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**Electronic Adjudication Management System  
(EAMS)**

**Information Technology  
Needs Assessment Report  
Deliverable**

provided to the  
**Commission on Health and Safety  
and Workers' Compensation  
of the State of California**

*June 29, 2011*

**Renee Taylor Consulting, Inc.**

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## 1.0 Executive Summary

### 1.1 Background

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.

As stated in the Special Project Report No. 3 dated July 2008:

DWC is replacing its current court technology and is upgrading its supporting infrastructure in order to better meet statutory guidelines, realize operational efficiencies, and lower the overall cost of the California workers' compensation system. The Electronic Adjudication Management System (EAMS) project will introduce technology that will greatly improve the DWC and DWC's district offices, as well as the Workers' Compensation Appeals Board (WCAB) Recon Unit's, ability to quickly resolve workers' compensation claims by enhancing responsiveness to claim filings, employing more efficient and effective calendaring to ensure that all parties to a dispute are available to meet with workers' compensation judges, and improving its ability to track case documentation.

Primary objectives for the new system include:

- Streamline the process of creating files, setting hearings, and serving decisions, orders and awards
- Improve access to case records while preserving confidentiality
- Provide cost and time savings to parties to a case and to the State
- Reduce delays and eliminate duplication
- Reduce file storage space and shipping costs
- Standardize the DWC desktop computing environment across all units
- Support enforcement against uninsured employers

DWC procured an Electronic Adjudication Management System (EAMS) to be designed, developed and implemented by Deloitte Consulting. EAMS went "live" in August 2008.

In several critical areas, EAMS has not fulfilled the needs it was designed to meet and has created new problems for DWC internal users and other stakeholders.



## **1.2 Reason for Assessment**

This assessment is to address the following questions provided to the Commission on Health and Safety and Workers' Compensation from the Assembly Insurance Committee Chairman Jose Solorio on February 7, 2011.

- What are EAMS' significant shortcomings?
- Can these shortcomings be corrected, and if so, at what future cost?
- Are other changes in the work processes of the Division necessary to adapt to the limitations of EAMS?

This report describes the findings of an independent review performed by Renee Taylor Consulting, Inc. (RTC) to assess the gaps between the original requirements for EAMS and the system's demonstrated capabilities, and provides forward recommendations for closing those gaps.

## **1.3 Summary of Shortcomings**

EAMS has the following flaws:

- Logon access to EAMS has not been made widely available, due to the licensing models of the vendor providing EAMS' underlying case management functionality.
- In addition, other external parties have chosen to forego access to EAMS since those with logons are required to use e-filing for all the documents they enter in a case. The efficiencies achievable by electronic filing (e-filing) of documents are possible only with logon access to EAMS.
- Those without access rely on DWC clerical staff to scan documents into the system for them, but in over half the DWC offices, scanning backlogs are significant, with typical delays of weeks, not days. Scanning has been known to cause delays in case proceedings due to staff shortages and the need to resolve problems in optical character recognition (OCR) (exacerbated by inexpensive equipment being used in district offices). As online access to EAMS has been limited, the time and labor-saving improvements envisioned by everyone e-filing documents in a unified manner have been unrealizable to date.
- Cúram case management software – though customized by programmers at least 40% in terms of screen design – still does not support certain intrinsic needs for workers' compensation case adjudication, the most pressing example being the need to assess multiple injuries for an individual. Error-checking routines are inadequate to catch and prevent user errors in data entry (for example, a worker's injury date can predate his birth date). Templates are missing that would aid in



preparing many common orders and other documents. Tasks for judges set by the system are often meaningless and can be overlooked even when important. (For other examples, see section 7.2.) DIR technical staff shortages have prevented many improvements from being implemented to date.

- User error is rife, particularly in the scanning process. Documents for scanning are frequently improperly prepared by external firms, even after they have attended the training provided. Stringent rules on document acceptability are necessary due to the inexpensive scanning equipment in use in DWC offices.
- FileNet (EAMS' online document management software) is experienced as slow and cumbersome to use and has no automatic facility for logically organizing documents in EAMS consistently, or across other EAMS screens. While scanned documents could be properly labeled and dated to be more organized for viewing, DWC clerks who process scanned submissions make frequent errors, especially in entering document names and dates of receipt. As a result, many judges find it difficult to assemble the information necessary for successful case management. To mitigate the lack of user access to e-filing, OCR scanning was retained, and new bulk filing of key forms is being instituted by DIR's Office of Information Services (OIS). However, technicians supporting EAMS have been redirected to develop the new approach, called JetFiling, and are taken away from improving core EAMS system functions. Change requests to improve the system have been put on hold, even where urgently needed to address critical issues and major irritants.

Improvements needed to address these issues in the short term include addressing the staffing and licensing issues which constrain EAMS from reaching its potential and its user community.

#### **1.4 Positive Feedback**

Users interviewed cited many benefits of EAMS: judges and commissioners lauded the ability to view case information online and presiding judges the viewing of caseloads to help manage office and regional task allocation. EAMS has alleviated file storage shortages, reduced the volume of shipments of physical files, and enabled multiple users to review a file concurrently. Commissioners appreciate the ability offered by EAMS of being able to establish carve-out appeals cases, instead of going through DWC for the carve-out appeal case creation. Users appreciated being able to view the documents and to verify their receipt in FileNet, as one user commented:

FileNet has become helpful in that we can view documents as long as they've been scanned in, sometimes in a matter of hours, but at least within a day. This is very helpful.



Among external users, e-filers expressed much more satisfaction in using EAMS than did OCR filers. E-filers reported significantly fewer problems than those using OCR scanning. While users vary in readiness to adopt new technology, e-filers reported a short learning curve in making the switch.

The ability for external parties to access information and get hearing dates online is seen as a clear advantage, and more parties seek online access to EAMS. Electronic data interchange and/or electronic document filing is seen as the way of the future and many await the opportunity to share in the benefits of EAMS. The public search engine available as of December 2010 for queries on cases is highly appreciated. There is also growing interest in JetFiling as a data upload solution.

External users to DWC mainly feel that training has been appropriate and timely and appreciate the regular webinars. Internal users sought more training for all types of users. Praise was offered for the support given by DIR OIS staff on migration issues and problems, and most felt a clear sense of the commitment of DWC and technical staff in the face of challenges to maintaining EAMS during the current budget and staffing crisis.

## **1.5 Summary of Recommendations**

EAMS provides value to many stakeholders, especially e-filers, whose method of document entry into the system is what EAMS was originally designed to support. The problems EAMS has experienced are typical of large-system implementation efforts and can be addressed with additional resources, improved scanners, and increased training. Specific actions can be taken to address the gaps in EAMS usability, based on recommendations detailed in Section 8 and shown here in summary recommendations.

### **Recommendations**

- 8.1.1 Restore User Groups to Serve at a Strategic Partnership Level
- 8.1.2 Increase Stakeholder Role in Requirements Analysis/Best Practice Research
- 8.2 Re-scope the EAMS Architecture based on Value Analysis
- 8.3.1 Increase Access to Training and Supporting Documentation
- 8.3.2 Improve Technical Support Responsiveness to User Issues
- 8.4.1 Upgrade DWC Scanners to Address Errors and Backlogs
- 8.4.2 Centralize Scanning at Key Regional Locations
- 8.5 Upgrade and/or Further Customize Cúram to Add Functionality
- 8.6.1 Consider Other COTS Solutions for Case Management Functions
- 8.6.2 Consider Alternatives to FileNet
- 8.7 Expand E-Filing Access to EAMS
- 8.8 Expand Electronic Data Interchange Options for EAMS
- 8.9 Increase Staffing to Better Support EAMS



A matrix showing how the recommendations address specific problems identified in this assessment is provided below. In Section 8, this is expanded to show how specific problems will be addressed by implementing the recommendation.

RECOMMENDATION	Problem Addressed	BUSINESS PROBLEMS
8.1.1 Restore User Groups to Serve at a Strategic Partnership Level	6.1.1, 7.9.1, 7.9.2	6.1.1 Lack of Strategic Cost/Benefit Analysis Leads to Unsupportable Scope
8.1.2 Increase Stakeholder Role in Requirements Analysis/ Best Practice Research	6.1.1, 6.1.2, 7.9.2	6.1.2 Inadequate Requirements Analysis and Customization Reduce Usability
8.2 Re-scope the EAMS Architecture Based on Value Analysis	6.1.1, 6.1.2, 7.9.1	6.1.3 Insufficient Access Prevents EAMS' Benefits from Being Realized
8.3.1 Increase Access to Training and Supporting Documentation	6.1.4, 6.3.2, 7.4, 7.7, 7.9.3	6.1.4 DWC Consistency Issues Need to Be Addressed
8.3.2 Improve Technical Support Responsiveness to User Issues	7.8, 7.9.4	<b>TECHNICAL PROBLEMS</b>
8.4.1 Upgrade DWC Scanners to Address Errors and Backlogs	7.4	6.2.1 COTS Limits Potential for Customization and User Satisfaction
8.4.2 Centralize Scanning at Key Regional Locations	7.4	6.2.2 Redirected Efforts Constrain Core Improvements
8.5 Upgrade and/or Further Customize Cúram to Add Functionality	7.2, 7.7, 6.1.2, 6.2.1	6.2.3 Inadequate Knowledge Limits Technical Staff in Supporting EAMS
8.6.1 Consider Other COTS Solutions for Case Management Functions	7.2	6.3.2 Learning Curve, Input Errors and Inadequate Training as a Factor
8.6.2 Consider Alternatives to FileNet	7.5	7.2 Gaps Exist in Cúram's Case Management Functionality
8.7 Expand e-Filing Access to EAMS	7.3, 7.6, 6.1.3, 6.2.3	7.3 Accessibility Limited Due to Cúram Licensing Models
8.8 Expand EDI Options for EAMS	6.1.3, 6.2.3	7.4 Failures in the Scanning Process
8.9 Increase Staffing to Better Support EAMS	6.1.2, 6.2.2, 6.2.4, 7.7, 7.9.1, 7.9.3, 7.9.4	7.5 FileNet Issues
		7.6 E-Filing Issues
		7.7 Failures in Reports
		7.8 Limited OTech Server and Support Capacity Causes System Downtime
		<b>GAPS IN EAMS' SUPPORTING PROCESSES</b>
		7.9.1 Users Feel a Need for Greater Accountability & Stewardship of EAMS
		7.9.2 Users Seek Greater Involvement in Addressing Needs for Change
		7.9.3 Users Find Current Training and Documentation Inadequate
		7.9.4 Responsiveness Issues Limit Satisfaction with Technical Support

**Recommendation to Problem Matrix for EAMS Assessment**



## 2.0 References

### 2.1 Interviewees

Representative user stakeholders interviewed for problems and requirements concerning EAMS included:

WCAB judges and commissioners:

Dan Asturias, Monterey, Salinas

Rick Dietrich, WCAB Board

Susan Hamilton, WCAB Board

Bob Kutz, Eureka

Richard Newman, San Francisco

From DWC:

Joel Harter

Keven Star

From lien claimant organizations:

David DePaolo, WorkCompCentral and DWC Direct, LLC

Nancy Roberts, The 4600 Group (formerly Chief Counsel, Boehm & Associates)

From law firms:

Saul Allweiss, Law Offices of Saul Allweiss

Richard Brophy, Jake Greenwell and Daniel Teklehaimanot,

Law Offices of Hanna Brophy, Maclean, Mcaleer & Jensen

Andrea Coletto, Floyd, Skeren and Kelley

Adam Dombchik, California Applicants' Attorneys Association, CAAA

From large employers and insurers:

Joe Caressi, Southern California Edison

Jim Cole, Owen Curtis and Anita Weir, Safeway

Jill Dulich, Marriott

Rob McGrath, Republic Indemnity

Carolyn McPherson, Zenith Insurance

Mokhtar Moussaoui, Denise Spelzini and field staff, State Fund

Jett Ricafort, CompWest

Cheryl Scott, City of Glendale WC Administrator

Also interviewed:

Joel Hecht, CompData and SpeedComp EDEX Services and Southern California Med-Legal Consultants



Steve Cattolica, AdvoCal, representing the California Society for Industrial Medicine and Surgery and the California Society for Physical Medicine and Rehabilitation

## **2.2 Contributors**

Contributors providing research and answers to questions involved in this study include:

From DIR's Information Systems Division:

Michael Chiang  
David Cohen  
James Culbeaux  
Walter Sensing

From CHSWC:

Chris Bailey  
Irina Nemirovsky

## **2.3 EAMS System Components Reviewed**

The user-facing front-end functionality of EAMS is primarily experienced by users of its case management and file management components. This study focused on those user-facing elements:

- EAMS' case management and adjudication software, Cúram
- EAMS' use of FileNet document management software as a back end for file transfer and front-end viewing
- EAMS' OCR transmission process
- EAMS' front-end reporting capabilities and underlying database structures
- EAMS' screens and functions

## **2.4 Documents Reviewed**

Documents reviewed for this project include:

- DWC EAMS Feasibility Study Report revision 4.4 dated May 2004
- EAMS RFP (#DIR 7350-66, Addendum 13, April 18, 2006)
- DWS EAMS SPR Final August 2006 and SPR Appendix E072006
- DWS EAMS SPR Addendum, Sept. 2006 and SPR Approval Letter, Oct. 2006
- Deloitte Consulting's Requirements Traceability Matrix, August 27, 2007
- DWS EAMS SPR #3, July 2008
- EAMS system documentation and vendor software literature



## **3.0 Assessment Methodology**

Steps taken to perform this assessment are described in sequence below.

### **3.1 Stakeholder Interviews**

An initial project launch meeting was held with project sponsors, and interviewees to be contacted as stakeholder representatives were identified. Through scheduled interviews with more than two dozen individuals in various roles as users of EAMS, including DWC judges, WCAB commissioners, external lawyers, employers and insurers, RTC investigated gaps in functionality in relation to stakeholder needs. RTC also performed interviews with key technical staff from DIR's Information Systems (IS) division. To help in the formulation and prioritization of recommendations and improvements from a user perspective, internal DWC staff and external users of EAMS described the impacts made by EAMS on their business processes and daily tasks. They also offered suggestions for improving the workflow and technology. Their needs for communication, training and support were also discussed. Additional staff from within the DIR OIS group provided more detailed understanding of EAMS' current structure, capabilities and limitations from a technical point of view, and headcount, budget and cost components affecting the provision of service.

### **3.2 Document Review and Findings Analysis**

In conjunction with interviewing stakeholders, RTC analyzed system and procurement documentation, including documentation from the system's website, system diagrams, database schema diagrams, change requests dating from 2007, recent issue logs, and marketing literature from vendors describing current and future releases of EAMS software components. OIS staff also gave demonstrations of EAMS screens and document filing processes. RTC reviewed procurement documentation, including prior feasibility study reports, special project reports and EAMS requirements lists to understand the goals EAMS was designed to achieve.

The assessment focuses on how well the functions EAMS was designed to perform are meeting its goals and user needs today. To form recommendations, critical capabilities were assessed for their ability to achieve greater workflow efficiency and effectiveness. DWC's own recommendations for changes to better support users were also evaluated.

### **3.3 Gap Assessment**

Through reviewing information gathered from interviews, documents and logs, a list of unmet needs and requirements emerged, along with user expectations of the system. To identify and assess gaps, original requirements were compared to current system functionality and changes imminently expected in new releases of EAMS.



Gaps were analyzed to provide a basis for recommendations that outline specific changes needed in order to improve operational efficiency, improve utilization of technology and information, reduce costs, and enhance overall process effectiveness.

### ***3.4 Needs Assessment Report***

To develop the assessment report, specific functional achievements and shortfalls of the current system are summarized in section 7 as problems with the present scope (and system performance) of EAMS. Forward recommendations for gap resolution are provided in Section 8, and Section 9 includes a high-level cost analysis for changes recommended to close the gaps.



## 4.0 Functions Supported by EAMS

EAMS was designed to support the following business process areas by offering four areas of functionality:

### 4.1.1 Case Management

- Provide the ability to process cases in an efficient and effective manner, as well as the ability to capture critical case information that facilitates expeditious, uniform resolution.

### 4.1.2 Calendaring

- Provide the ability to schedule critical milestone points in a case such as a Mandatory Settlement Conference (MSC), as well as the ability to create schedules that do not conflict with various parties' availability while at the same time fully utilizing the resources (rooms, judges, timeslots) of the DWC district offices.

### 4.1.3 Document Management

- Provide the ability to manage documents through their lifecycles, including receiving, recording and distributing documents relative to a case.

### 4.1.4 Business Intelligence

- Provide the ability to access, analyze and act on information by exploring data, data relationships and trends, thereby helping to improve overall decision-making.

See also the Appendix following Section 9 for the original goals EAMS was designed to meet, from the 2004 Feasibility Study Report (FSR).



## 5.0 EAMS Objectives, Features and Components

This section highlights the business objectives, key features and components comprising the infrastructure of EAMS.

### 5.1 EAMS Objectives

As described in the 2004 Feasibility Study Report (FSR) and Special Project Report (SPR) Addendum of Sept 2006, EAMS was procured in order to better meet statutory guidelines, realize operational efficiencies, and lower the overall cost of the California workers' compensation system. Specifically, EAMS was to provide:

- An enhanced ability to quickly resolve workers' compensation claims by enhancing responsiveness to claims filing,
- More efficient and effective calendaring to ensure that all parties to a dispute are able to meet with judges, and
- Improved ability to track cases.

EAMS was to realize these benefits by accomplishing the following goals:

- Streamline the process of creating files, setting hearings, and serving decisions, Orders and Awards
- Improve access to case records while preserving confidentiality
- Provide cost and time savings to parties to a case and to the State
- Reduce delays and eliminate duplication
- Reduce file storage space and shipping costs
- Standardize the DWC desktop computing environment across all units
- Support enforcement against uninsured employers

As noted in the SPR approval letter from the California Department of Finance in September 2006, EAMS' primary business objectives were to:

- Conduct Mandatory Settlement Conferences within the 30-day statute period 80% of the time
- Conduct trials within the 75-day statutory time limit 85% of the time

Procurement of EAMS was estimated to result in annual savings of 17.3 personnel years and \$2.9 million.

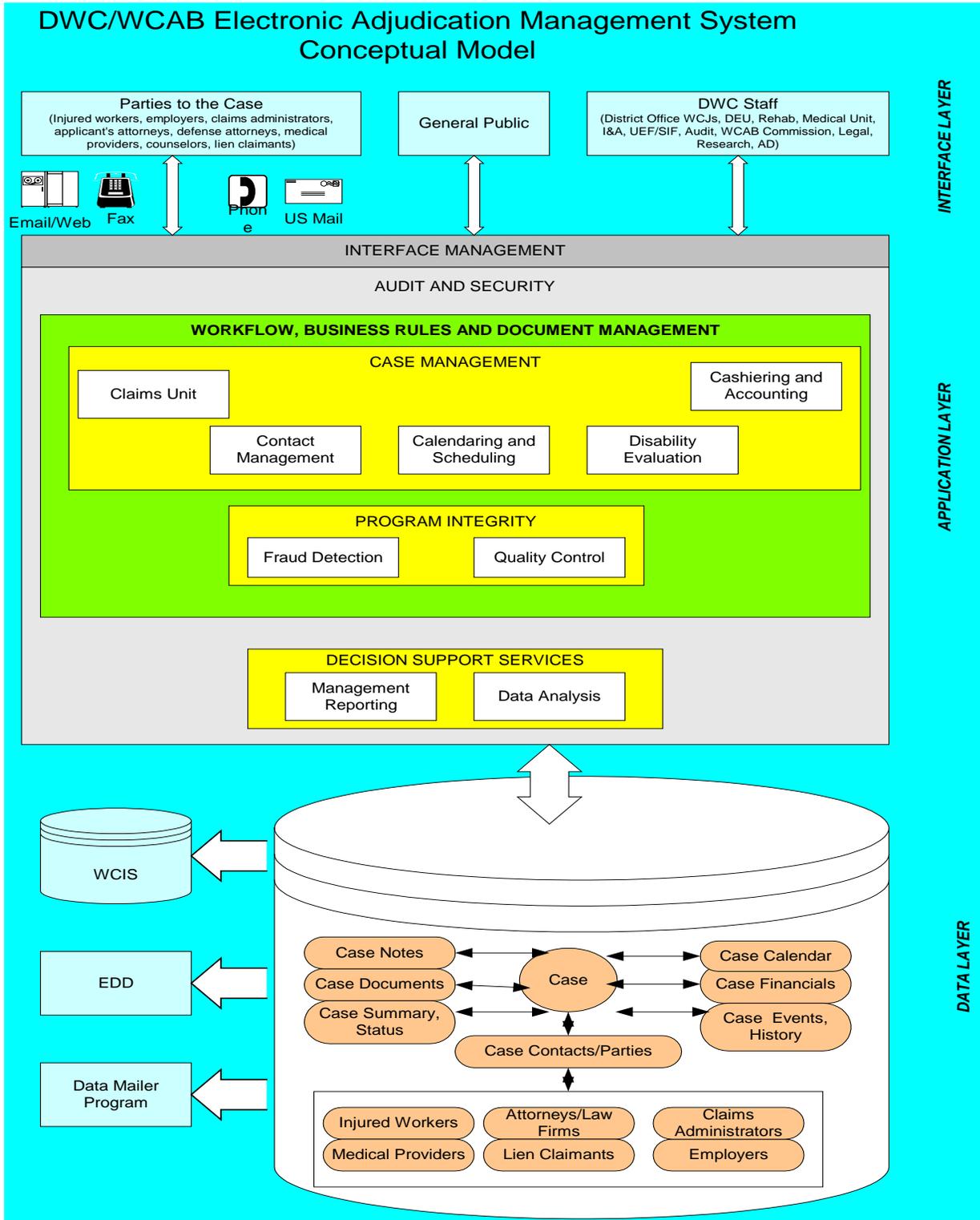


## **5.2 EAMS Features and Components**

EAMS integrates commercial case management, calendaring, cashiering and document management software, and supports the following business processes:

- Electronic document filing, routing, storing and retrieval as well as data entry
- Filing Applications for Adjudication of Claim and creating new case files
- Adding and deleting parties and representatives and updating addresses
- Calendaring hearings
- Tracking case status
- Providing information and assistance to parties
- Coordinating information available to the court, rating unit, and special funds
- Securing the integrity of court records against alteration, damage, theft or loss
- Preventing unauthorized access to records

EAMS replaces paper case files for the Workers' Compensation Appeals Board (WCAB) as well as paper records for the Disability Evaluation Unit, the Subsequent Injuries Benefits Trust Fund and the Uninsured Employers Benefits Trust Fund. EAMS consists of a number of features and modules, supported in a multiple-vendor platform environment, as envisioned in the conceptual model of the system outlined in the Request for Proposal of 2006:



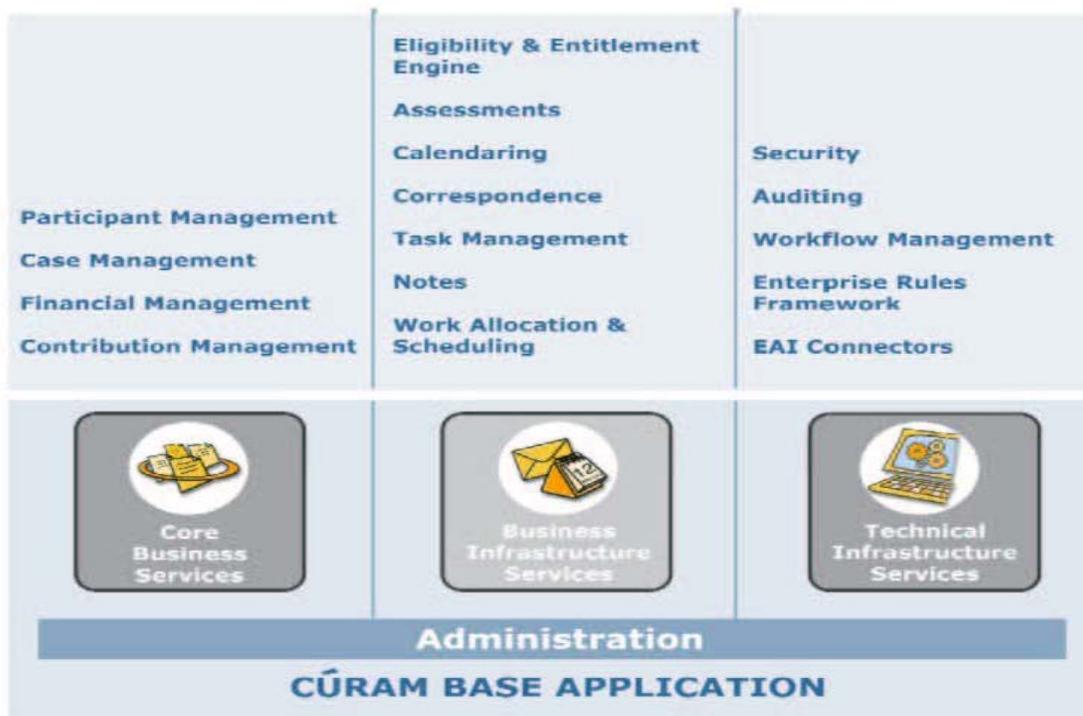
The major EMAS vendor-provided components include:



1. Cúram – a COTS Case Management, Calendaring, and Cashiering System
2. FileNet – a COTS Document Management System
3. Oracle – a division-wide relational database system with integration to the Workers' Compensation Information System (WCIS)
4. Cognos – a COTS reporting software tool

### 5.3 EAMS Case Management and Calendaring Software, Cúram

Within EAMS, Cúram provides screen-based components supporting DWC and WCAB, as well as calendaring functions for both internal and external users, with the following modules, as shown on Cúram's website:



These modules are built on top of an Oracle database, and information is extracted using Cognos reports.

### 5.4 EAMS Cognos Report Capabilities

EAMS has a strong underlying database platform, Oracle 10g, and a data warehouse (reporting database) where aggregate summary information is presented to users via search and sort criteria. EAMS provides standard and ad-hoc report capabilities using Cognos Reports. EAMS uses a transformation process to extract, transfer and load information nightly from Cúram's transactional database format (OLTP) to data warehouse mode.



Through this process, information is summarized and made more efficient for reporting purposes. DWC users have access to this report repository to find, manage, organize and view reports and related information. Authorized users can develop their own ad-hoc reports, selecting columns of data to perform data manipulations such as sorting, formatting, filtering, summarizing and calculation within the report. Once an ad-hoc report is finalized, it can be saved and shared with other DWC users.

Cognos provides standard features for reporting. Some of the features used are detailed in the table below.

Column Name	Column Description
"Drill-down"	The EAMS solution allows users to "drill-down" from one report to another by selecting a "linked value" to navigate to more detailed information. Several of the reports allow users to view data from an office level and drill down to access additional information for units, cases and individuals.
Grouping	Grouping allows users to break out the data by a specified attribute. For example, many of the UEF/SIF reports are grouped by examiner so that a user reading the report would see all the transactions that correspond to a particular examiner displayed together.
Calculations	One of the most commonly performed calculations is totaling. When using the Labor Code section 5502 Report, users are able to see the percentage of cases in compliance with statutory deadlines.
Graphs	Several reports use graphs to present a visual representation of the data.
Prompts	Several of the reports prompt users for values such a date range, office, hearing type, etc.

## 5.5 FileNet for Electronic Document Management

EAMS uses FileNet as a document management system for filing, retention and review of documents submitted on cases. External users who are case participants can view case documents held within FileNet if they have logon access to EAMS (are e-filers). Currently, external parties submit documents to EAMS in two ways for upload into FileNet:

- Optical character recognition (OCR) forms, scanned in batches consisting of a cover sheet and one or more documents, each preceded by a separator sheet.
- Electronic forms (e-forms), in which users enter data into e-forms via computer screen.

Each document contains information necessary for the system to route the scanned image of the document to the correct case file in FileNet and to



appropriately identify the document and trigger workflows and tasks appropriate to the document's contents.



## 6.0 Problems and Conditions Creating the Problems

### 6.1 Business Problems

#### 6.1.1 Lack of Strategic Cost/Benefit Analysis Leads to Unsupportable Scope

Insufficient cost/benefit analysis may have been performed at a strategic level in the planning stages of EAMS, including at the time the 2004 feasibility study was performed. It would still be timely and productive for management to review EAMS' scope and strategic direction for the next decade, based on an analysis of alternatives that are weighed for their value-added potential compared to the cost involved. Certain components of EAMS do not appear to have justified their cost in the eyes of users. Architectural decisions that formed the proposed solution offered by Deloitte Consulting may now require review and reconsideration. Strategic cost/benefit analysis for each major component of EAMS may not have been performed sufficiently to determine system benefits and capability for different stakeholders.

Thus, EAMS may be trying to do both more than it can and less than it was envisioned to do.

EAMS includes 18 different vendor products and multiple document upload methods. It has not been possible to achieve seamless integration across components (and the complex environment can occasion system downtime). As one internal user involved in development noted:

We should concentrate on getting things done correctly that we are trying to do today before spending much time expanding. Expanding an imperfect system is not best; we have to work on getting it right.

Reviewing the longer-term future direction of EAMS in terms of its scope and architecture from a cost-benefit perspective would be timely and in line with complex systems development life-cycle best practices.

#### 6.1.2 Inadequate Requirements Analysis and Customization Reduce Usability

EAMS provides case adjudication and calendaring features using a commercial off-the-shelf (COTS) product from Cúram. Out of the box, it does not address some of the needs of users involved in workers' compensation claims in California. Cúram software required customization to address DWC requirements, as it was created originally for a very different social program in Ireland. Analysis to identify customizations to fit DWC needs was frequently cited as inadequate by interviewees. Extensive workarounds and retention of manual processes have been needed to make up for some of the gaps.



Change requests will require more detailed analysis to address core functional improvements in EAMS. Users seek more involvement in the analysis and customization process, feeling their role is vital to ensure that EAMS meets real-world needs.

Multiple sources cited insufficient analysis of EAMS user requirements by the consultants involved. Gartner Group prepared high-level functional requirements in the 2004 EAMS Feasibility Study Report (FSR), while VIP Consulting further detailed requirements to delineate business functionality and technical specifications in the EAMS Request for Proposal (RFP) in 2005. Following contract award, Deloitte Consulting (Deloitte), together with DIR OIS and DWC, took these requirements as inputs and redeveloped the list of actual requirements to be met during their design, development and implementation of EAMS, making many specific requirements more general, as shown in the Deloitte Requirements Traceability Matrix of August 27, 2007. Generic requirements lack specificity of detail in ways that surface as poorly designed solutions in the eyes of stakeholders. As one attorney stated:

DWC has made a concerted effort over the last 24-36 months to bring in users like myself to find ways to make EAMS better. They should be commended for that, but it should have been done prior to EAMS' design. It is imperative that judges, attorneys, DWC staff and others meet together on the requirements for system interaction, to gather consensus. EAMS is poor in meeting needs due to poor planning at the outset. They underestimated the access requirements, just didn't have the information. A more efficient system is dependent on more information from those who use the system every day.

As described by staff in DIR OIS supporting EAMS:

- Business users assisting with requirements definition during FSR development were encouraged by the FSR consultants to reduce granularity of requirements, which were documented in a more general manner.
- RFP requirements following on from the FSR lacked specificity, and these were further generalized by the Design, Development and Implementation (DD&I) vendor, Deloitte, during their requirements review. There is a perception among DIR OIS that users were misled as to the system capabilities to be delivered by Deloitte.
- High-level general requirements resulted in the loss of required functionality.
- Few of the Deloitte staff participating in the final requirements analysis and design of EAMS were perceived to have experience in the industry or to possess specific understanding of the needs of users. Junior consultants were common, with very little IT experience, according to OIS staff.



During requirements analysis and throughout the Deloitte Consulting engagement to design and implement the system, OIS personnel were insufficiently included, creating a system difficult for OIS to own and manage.

- Deloitte did not include OIS staff in the process in order to meet the minimum requirements in a short amount of time due to project compression. Originally expected to take three to five years, the project was compressed in time to 18 months, resulting in poor quality.
- In some reports, underlying data were found to contain incomplete analysis of what was required to constitute a complete report. The Labor Code 5502 report, for example, appears to contain all the required data elements, yet the underlying logic yields an incomplete and unusable result. This seems to exemplify a common theme throughout the reports delivered by Deloitte, especially for ones requiring more complex business logic. Charts and graphs are similarly misleading.

Unmet requirements have resulted in business problems, as identified from background documentation and interviews with EAMS technical staff and key stakeholders who participated in the DD&I and/or user acceptance testing processes alongside Deloitte. The result of these problems is detailed in the Gap Analysis section 7.

In summary, due to poor analysis of requirements, EAMS was not designed to support users to the extent of addressing their real-world needs. A new opportunity is arising to analyze requirements for EAMS as change requests are addressed in future.

### **6.1.3 Insufficient Access Prevents EAMS' Benefits from Being Realized**

Another major factor in the benefits of EAMS not being fully realized, beyond budget and staffing constraints which prevent or delay urgent improvements, is the limited access to logons for EAMS available to external users who seek to e-file. E-filing, which promised key benefits and which reflected state-of-the-art technology, has met with insufficient adoption due in part to Cúram license models. Initiatives such as JetFiling (part of the EAMS "Present Term Solution" or PTS) provide workarounds to the licensing issues. JetFiling was designed in 2010 and piloted in the late spring of 2011, and enables high-volume "bulk" filing of documents using an electronic data transmission interface to EAMS that does not involve Cúram. Data fields from six frequently-used forms are being utilized in the JetFiling pilot phase, and it is planned that eventually, transmission of data from all 26 forms will be possible with JetFiling, if the pilot goes well.

With the inability to e-file, external users retain older methods, including manual delivery of the more cumbersome, paper-intensive optical character recognition (OCR) forms. DIR OIS and DWC staff, already reduced in size by California's budget cuts, can be commended for initiating alternatives to aid users where they can, while facing limitations due to staffing freezes.



#### 6.1.4 DWC Consistency Issues Need to Be Addressed

A number of external users who are attorneys requested that DWC ensure greater uniformity in judges' workflow and how rules are applied across DWC offices. While EAMS was expected to enforce consistency, this has not occurred to date:

As large firms who are external users expressed it:

EAMS has not prevented inconsistency across workers' compensation boards in applying rules or handling cases. Across Northern California, judges are inconsistent with their expectations; you have to follow what seem to be the rules in advance of a hearing, and then they don't have what they need; there is confusion. Not everyone is clear on what the rules are, for example, about filing exhibits within a certain timeframe. EAMS has not created consistency within the process.

There is a need to enforce uniformity across district offices. EAMS was supposed to make everything consistent, but we have district offices with different, inconsistent rules. This makes it difficult for us to know how to submit forms and do what each district wants when different offices are being inconsistent. Uniform training is needed for the judges. Not just the offices, but each judge may have his or her own individual way of wanting things done, like how exhibits are done, wanting paper, etc.

One example of inconsistency that pains external users is how different district offices respond to submittals of OCR documents that contain minor flaws: some offices entirely reject them, while other offices seem to accept them.

A judge summarized the problem this way:

It was the hope of DWC Administration that implementation of EAMS would unify district office practices around the state. Instead, each office has had to devise and adopt workarounds and workflow solutions to deal with intrinsic EAMS weaknesses, shortage of scanner time, staff shortages, and varying levels of competence by OCR filers. My impression is that there are more variations in office practices and directed deviations from the court administrator's and WCAB rules than there were before EAMS was put in place.

The uniformity of processes across district offices was precisely one of the goals EAMS aimed to address.<sup>1</sup>

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<sup>1</sup> **From the 2004 Feasibility Study Report for EAMS:** [An] area of concern for many in the workers' compensation community is the alleged lack of uniformity among the 180 or so workers' compensation



## 6.2 Technical Problems with EAMS

### 6.2.1 COTS Limits Potential for Customization and User Satisfaction

Cúram, the commercial off-the-shelf (COTS) case management solution, was not customized sufficiently by Deloitte to adequately reflect DWC business processes, nor is it easy to customize. An underlying problem remains an issue in several critical areas: Cúram was not designed to support claims adjudication, particularly in the area of workers' compensation claims. On the other hand, it is not always possible or appropriate to change business processes to make them agree with a COTS approach. OIS technicians confirm user complaints that extensive workarounds and manual steps are needed to make up for deficiencies accruing from using Cúram for case management and calendaring. About 45% of Cúram screens in use have been customized, but any changes made to the core product significantly lengthen the time and cost of applying future versions, as customizations must be reanalyzed and reapplied for each update.

Users are discouraged from requesting changes and see EAMS as unwieldy and lacking in functionality. Staffing to support EAMS is insufficient to make many enhancements. Of the 600+ underlying tables in Cúram's database, just 30 have been added or modified to date. Section 7.2.6 discusses changes needed to Cúram's database structures to better support workers' compensation scenarios, but changes at the foundation layer do have to be minimized if EAMS plans to take advantage of Cúram product updates in future.

### 6.2.2 Redirected Efforts Constrain Core Improvements

Technical personnel that could provide enhancements and fixes to EAMS have been redirected to work on technical systems alternatives to direct access, due to licensing issues. OIS staff indicated that other priorities, such as rollout of the JetFiling bulk-filing solution, take their attention away from core EAMS enhancements. Insufficient personnel-year (PY) allocations make it difficult to provide needed changes, and users cited lengthy delays in the process. Stakeholders who could provide helpful design and implementation recommendations and who wish to steer EAMS towards maximum usability report that they have been asked to wait before submitting further change requests. Since 2009, enhancements to EAMS have been largely curtailed. Fewer than 10% of outstanding high-priority change requests are shown being completed or updated since late 2009.

Stakeholder groups which provided early input into the design of the system have been put largely on hold. Interviewees were unaware of active user groups involved with

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judges in the 24 district offices. As a system that is set up to follow rational and certain guidelines, workers' compensation requires that procedures and outcomes be predictable. This goes far beyond ensuring that workers with similar injuries will receive similar levels of benefits no matter where they reside or which judge is assigned to hear their case.



change implementation at present, while appreciating these activities in the past. Users who have grown familiar with EAMS since its deployment in 2007 are unable to provide much input.

While appreciative of the many efforts of staff to provide solutions or workarounds to problems with EAMS, interviewees reported feeling frustration and a wish for greater involvement and bi-directional communication. Critical gaps identified by users during this assessment often show as open entries in the Change Request Log.<sup>2</sup> The majority of these requests center on gaps in the Cúram product. The need to address other priorities for access, due to issues with vendor licensing models, has had a negative impact on the core functionality offered by EAMS and on user faith in the system.

On a positive note, the EAMS Change Control Board (CCB) has recently reconvened (June 2011) and has begun reviewing and reprioritizing change requests (CRs). A formal process does exist to review and prioritize CRs, staffed by the product delivery unit managers of DWC and DIR OIS staff who serve on the CCB.

### 6.2.3 Judges Find EAMS Makes it Difficult to Review a Complete Case File

FileNet lists the documents which have been uploaded for a particular case, but judges find that the way in which they are listed is not organized in a logical manner. Additionally, user filing errors and problems in the scanning process can cause documents to be mislabeled or delayed. While documents must be gathered into a unified context for case review and decisions, judges are far from certain that they have electronic access to the complete set of documents that should be filed in a case. External users can be unfairly penalized, and some judges have threatened sanctions and awarded attorney fees when documents appeared not to have been filed in order, even when filed correctly in EAMS.

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<sup>2</sup> An analysis from the April 18, 2011 copy of the Change Request Log showing change requests logged from before EAMS' official release in October 2007 up through 2009 indicates that of 380 logged items requiring review and potential change, 61% have been addressed. This is a reflection of the considerable effort to improve functionality already made by DWC, OIS staff and the vendors who support them. However, there are about 145 outstanding change requests for EAMS logged prior to 2010. After December 31, 2009, user complaints and requests for change seem to be unlogged. Statistics can be derived from the analysis of EAMS change requests:

**Of 380 total EAMS change requests in the Change Request Log (as of April 18, 2011):**

208 are marked completed since 10/2007 while 26 were withdrawn.

A total of (61%) of logged requests are no longer at issue.

Of the outstanding change requests opened between late 2007 and the end of 2009:

134+ are still unresolved (several in the log are not marked either open or closed)

69 are ranked high in importance (over 50%). Of these 69, 54 involve Cúram (78%)

42 ranked as medium in importance; Cúram is involved in 31 of these (74%)

23 ranked as low in importance; Cúram is involved in 20 of these (87%)



Attorneys bring paper sets of documents to hearings to ensure a complete record is viewable, negating the use of EAMS as an electronic document management solution.

#### **6.2.4 Inadequate Knowledge Limits Technical Staff in Supporting EAMS**

DIR OIS staff members lack adequate DWC program knowledge to support EAMS on their own without user guidance. They also lack technical knowledge of EAMS in all of its internal aspects due to not being included sufficiently by Deloitte during the system development cycle.

The following criticism of Deloitte was given by a member of the OIS staff charged with support for the system:

Deloitte did not invite OIS staff to participate in many aspects of user requirements specification, design, testing or acceptance. While representative business users did participate in these phases, OIS staff members were not included. This created a lack of contextual understanding of business needs and user requirements among the team who now are charged with supporting the system. DIR OIS was entrusted with few aspects of the system prior to the departure of Deloitte. Poor turnover and transition led to State employees taking over a largely-unknown system. Gaps in knowledge transfer have led to a long and difficult learning curve.

### **6.3 The Human Factor and User Error**

The CHSWC 2010 Annual Report on EAMS stated:

Resistance to change is to be expected, and a learning period is also to be expected. Two years into EAMS implementation, however, it appears that deeper problems remain to be resolved. For example, the volume of lien filings fell off sharply when EAMS was inaugurated, presumably due to the difficulties of learning new processes. Even two years later, however, the volume is still recovering. It appears likely that at least part of the problem is that the process is still too demanding for users.

#### **6.3.1 The Learning Curve Factor**

E-filers made up the bulk of the external firms surveyed for this assessment. Of these, most were early adopters of e-filing within EAMS who participated in acceptance testing and rollout phases. Given extra exposure and training, they experienced a comfort level with the learning curve, and their organizations were frequently well-structured to take advantage of train-the-trainer possibilities that resulted.



E-filers in general feel EAMS to be usable and helpful to them for daily tasks, unlike OCR filers, who experience frustration with scanning backlogs, uncertainty and delay due to lack of online access.

Given the chance to e-file and to receive adequate training and support, learning and using EAMS do not appear problematic. However, as noted by DIR OIS staff:

EAMS will never be a system that fits our needs completely. We're trying to take a benefit-delivery system and make a California workers' compensation claims adjudication system out of it. There is some overlap: cases are cases, but users have had to change some of their business processes to use EAMS and change their own terminology (a big learning curve for some people). That is one reason the learning curve is steep.

### 6.3.2 Input Errors and Inadequate Training as a Factor

Many problems cited as belonging to poor design or functionality of EAMS can be traced to user input error. User errors can be summarized as:

- Non-entering of documents
- Non-timely filing/scanning of documents
- Mistakes in data entry or mislabeling of information put into EAMS

It is a multi-sided problem, as user error can be reduced by additional training and by improving automated system routines to reduce errors and enhance system usability.

The frequency of user error was clearly unexpected, and is a problem of major significance. The system's inability to match up values for names and addresses causes users to mistakenly duplicate records and results in an inability to pull information together properly. User errors in mislabeling or misclassifying of documents cause tasks not to reach judges for action and add to the inability to collect data together for decisions. Attorneys often need to recreate files using printed paper to show in court that a complete record exists. The discrepancies and lack of organization of information in EAMS cited by judges and commissioners are key contributing factors to internal users' dissatisfaction with EAMS.

Scanning of documents leads to particular errors that cause information discrepancies. External parties frequently do not follow the rules for how to submit documents for scanning, occasioning DWC clerical effort to close the gap or return the submission. (One DWC office estimated the postage cost to be over \$12,000 per year for such rejected packages.)

Internal users and technicians commented on the problems experienced in scanning:



Time spent by the scanner operator is 20-30% longer than would be the case if external users followed publicized procedures -- no apostrophes, hyphens, or other punctuation in names, addresses, or social security numbers [and so on].

Field office personnel, faced with multiple process steps, provide the bare minimum input in many cases, leading to unpredictable outcomes and errors. We have varying degrees of consistency in the way that information is entered, resulting in various degrees of reliability of the EAMS reports.

There are emails with instructions to staff on how to perform basic functions but this is not relevant or meaningful training.

Errors made by DWC staff performing scanning often contribute to the difficulty of being able to identify a complete history of documents in a case.

Scanning staff do not always enter the correct date of receipt for a document, but instead enter the document signature date or the date it is scanned. Since WCAB and DWC district offices are courts and have time periods for performing actions, it is vital that the date of receipt is entered correctly. While FileNet has three options for dates, document date, date entered and date received, for an e-filer, those three dates are generally the same. Staff performing scanning can be confused about what date to enter. Such errors create inconsistencies in the case record that are unacceptable.

Part of the problem is that EAMS is a system made up of many component parts, and seamless integration has not been truly possible. Documents stored in FileNet should mirror the narrative in the Cúram screen entitled ADJ Product Events, but often do not:

ADJ Product Events is the narrative legal record history of the case, which identifies each legally significant event in the life of the case by action and date. For example, the first legally significant event in most cases is the filing of an application for adjudication of claim. ADJ Product Events should record that action by title and date, e.g., "Application for Adjudication of Claim Filed June 1, 2011." The filing date should be the same in both FileNet and the ADJ Product Events entry showing the document. However, there are numerous inconsistencies between the date of actions in ADJ Product Events and the corresponding documents scanned into FileNet.

The FileNet component of EAMS is the repository of documents that are the legal record in a case. The legal record is compromised to the extent that documents or events are missing from either FileNet or ADJ Product Events, use different dates of receipt, are not correctly labeled, are not stored in logical chronological order, or are incomplete.

Training is essential to reduce input errors and ensure uniformity. Software routines that check for errors on data entry need to be prioritized to address the issues of data



inconsistency and integrity. As inadequate analysis occurred which could have resulted in routines to catch and fix errors made upon data entry when EAMS underwent design, the change requests which outline such problems now need to be addressed.



## 7.0 Detailed Gap Analysis

This section documents specific gaps to be closed between the current system and the objectives previously identified.

### 7.1 Overview of Gaps

EAMS can be assessed as to the realization to date of the objectives it was set to meet. High-level objectives in this table are taken from the 2004 FSR for EAMS. Based on the feedback gathered from this assessment, many but not all of the goals for EAMS have been achieved to date.

EAMS Objective (from the 2004 EAMS FSR)	Realized	Unrealized
Streamlining the process of creating files, setting hearings and serving decisions	√ in part	
Improving access to case records while preserving confidentiality	√ in part	
Providing cost and time savings to parties to a case and to the State		√
Reducing delays and eliminating duplication		√
Reducing file storage space and shipping costs <sup>3</sup>	√	
Standardizing the DWC desktop computing environment across units	√	
Supporting enforcement against uninsured employers	√ in part	

### 7.2 Gaps Exist in Cúram's Case Management Functionality

Users experience Cúram's case management and calendaring functionality as inadequate in several ways.

#### 7.2.1 Screen Navigation Does Not Support Workflow and Is Not User-Friendly

Cúram screens for case management do not support user expectations for workflow and are characterized as slow and inefficient:

- Navigation is slow and awkward, lacking shortcuts to move through screens quickly
- Case summary information does not exist
- Poorly designed screens do not follow efficient workflow for judges/staff
- Screen flow was not designed per specific role types, and users accessing "wrong" parts of Cúram are kicked out to the main menu without warning
- Screen features lack relevance to workers' compensation case management
- Screens do not handle user errors well and actually prevent error deletion

<sup>3</sup> While DWC has achieved reduce storage of paper files, the need to be able to verify that a case file of documents is complete (due to the inability to do this well using EAMS) pushes the paper-retention burden out to external users, as they experience it.



As noted by one technician working with EAMS:

Cúram's application design results in multiple screens having to be navigated to obtain even the most basic of information. It is rather confusing in its flow, not intuitive for anyone in our field offices who has worked in workers' compensation for any length of time. There is a steep learning curve of two or three weeks to learn the basics of EAMS just to do their job.

Cúram's product was not built for workers' compensation claims case management. Some sequential steps that are required for accurate statistical reporting are skipped, causing EAMS' data to seem unreliable. EAMS uses five or more screens to get the common information you need, which is complicated and difficult for training. The party address, status of the case and events associated with a case all are in different screens, inefficiently. Many of the operations take several steps unnecessarily. The opportunity to leave a step out is always there.

Another dimension of the problem is the lack of specific support for workflow rules intrinsic to workers' compensation cases and the appeals process, as noted in one example problematic for the WCAB:

The DWC judge (WCJ) is responsible for preparing a report and recommendation on the petition for reconsideration within 15 days of the date of filing of the petition. Additionally, during that 15-day period, WCAB Rule 10859 authorizes the WCJ to rescind, amend or set aside the decision. Once the 15-day period has expired, the WCJ loses jurisdiction to act on the case. After the 15-day time period has expired, EAMS should not allow the WCJ to take further action on a case, such as to set a hearing date. Unfortunately, there does not appear to be a reliable "lock-out" feature. EAMS can allow a WCJ to take action on a case pending before the WCAB on a petition for reconsideration more than 15 days after the petition for reconsideration has been filed. Furthermore, EAMS has "unlocked" a case pending before the WCAB on a petition for reconsideration when a second petition for reconsideration in the same case was filed. This should not occur.

### **7.2.2 Cúram Does Not Support Viewing of the Complete Case History of Events**

Related to the problem described in sections 6.2.3 and 6.3.2 above, judges and commissioners are unable to piece together easily the complete record of a case due in part to Cúram problems:<sup>4</sup> It is difficult to see a case history, in that users who enter a case "event" in error are prevented from deleting it, leaving "error event" records which form part of the case and which cause confusion. There is no administrator-level privilege

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<sup>4</sup> Cúram is the window through which judges view FileNet's list of documents, but the FileNet indexing and organizational problems are noted elsewhere.



to allow the deleting of event errors. Neither is there any helpful first-page summary screen to show the case type and the date set for hearing.

DWC judges noted:

Within Cúram, “events” are the history of legal actions within Cúram and should be error-free and match the documents in FileNet. Notices need to be meaningful and easy to relate to other sources, matching to the events in Cúram. Now we have to piece together the legal record by piecing together many different places within EAMS to understand the case, and we find discrepancies when we look.

You should be able to open on the first screen and see a thumbnail of the name of the injured worker, the status, notation of any upcoming court dates, etc. We have to thumb through various screens to put together the essential information in a case, having no summary view. The old system (Electronic Data Exchange, EDEX) provided that on an information summary page.

The impacts of these and related problems are major:

Judges who lack certainty that they have all the information filed in a case, due to insufficient or missing documentation, have issued orders for reconsideration and rehearing of cases.

### **7.2.3 Attorneys’ fees and other penalties have arisen due to judges not being able to discover what actually was filed in EAMS.**

#### **Auto-Logoff Causes User Frustration Due to Loss of Work**

For security reasons, Cúram logs users out after periods of 20 to 30 minutes of inactivity, requiring restarting the work process and losing work unsaved to date. As noted by users:

If an interruption to work on one document requires creation or editing of another (in the same or different case), the first must be saved and closed, or work since the last save will be lost by the system timing out. This causes a loss of hours of work. We lose documents frequently, and it takes much time to redo. We sometimes email the draft document to ourselves to avoid the loss of work.

If interrupted while viewing or sorting files, EAMS logs you out, and you have to begin all over again (if you are interrupted by a phone call, for example). It is thus very tedious to do this in EAMS. We often simply print out the documents in order to review them. We thus now use more paper than we did before EAMS.



#### 7.2.4 Inadequacies with Task Handling Cause Tasks to be Ignored

Filed documents generate task messages in Cúram for judges and other internal users to handle. Documents filed as letters, petitions and notices generate a trigger for action which arrives in the inbox of that user as workflow to be accomplished. However, tasks have not been well analyzed or designed to meet the many needs of DWC users, and more analysis and further subcategories for actual tasks are needed. As a feature of Cúram, tasks are also cumbersome to use and are misleading in how they are categorized, judges stated. The task assignee must open the task to look at it, then take action and, eventually, delete it. Specific problems include:

- Cúram tasks are harder to see and access than getting an email requesting the same kind of thing. Some users would prefer to have emails, as email lets them see whether they have already reviewed a task (altering from bold to normal font).
- No “Other Task” workflow exists for many needed “other tasks,” and the task “Other Pull” is frequently an inappropriate categorization made by users.
- Some general codes like Misc Correspondence-Other generate tasks for judges, while others appear not to generate tasks.
- Task combinations are not well handled (such as a petition for reconsideration/removal) and cause the system to do nothing – WCAB does not receive notice, and the judge does not receive notice and has to act beyond the time limit.
- Workflow is not generated by a generic "other document," so judges cannot take needed action if this type is triggered.
- Many tasks are not something a judge needs to be concerned about. If a case has been filed, there is no reason for the judge to know about change of address for each participant in every case, but these arrive for review and action as tasks. This inappropriate use of tasks for minor notifications causes loss of time.
- Tasks cannot be viewed at a glance and deleted as appropriate by the person to whom they are assigned.
- Tasks frequently do not provide enough information to know if there is a real need to look at an underlying document or whether a task can simply be deleted.
- Filed documents do not always create tasks when they should and can create tasks when they should not.



- Certain tasks on e-filed documents (such as C&R's, Stipulations, Petitions for Reconsideration, etc.) come to the judge but should go to the secretary for action if the judge is on vacation or leave.

As a result, some judges are cited as not being entirely responsive to the task list. One judge noted that less than half of the tasks that he receives are relevant and require action. Other problems judges experience included:

- Tasks set time frames for action but do not consider the time required in actuality (such as the time required by service by mail or delegated service).
- Deleting unnecessary tasks is key-intensive; they cannot be deleted in a group.

### 7.2.5 Cúram Data Structures Lack Full Support and Relevance for DWC Needs

#### Such as for “companion cases” and multiple case participants

The nature of workers' compensation claims requires complex linkage of information which is not well supported by Cúram. Its database (both originally and as modified by Deloitte) is too simplistic to adequately track the data interlinkages required, such as:

- Links between cases involving multiple injuries for the same worker, or in fact any interrelationship between one case and another
- Links between documents and cases (Cúram documents belong to only one case)
- Parties' interrelationships to companion cases
- Interrelationships between a party and its legal representation

The ability to link cases to one another remains unsatisfied, though funded (as noted in EAMS Special Project Report (SPR) #3), by an “unanticipated tasks” work authorization issued to Deloitte prior to the 2008 date of the SPR3 approval.<sup>5</sup>

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<sup>5</sup> **SPR 3 extract – from “Project Scope”:**

*b. Implementation of Companion Case functionality (Change Request 003).*

*Approximately 30% to 45% of all cases before the DWC involve a single injured worker who has more than one application – which means that worker has more than one case pending. Companion cases are cases that typically involve the same injured worker, yet the claims were submitted at different times and typically involve different insurance carriers and different doctors. For instance, a knee injury in one year and a back injury years later at a different employer would result in two applications for adjudication of benefits being submitted by that worker. The contractually approved system requirements delineated that EAMS would link cases. The EAMS system requirements did not require that the linked cases receive automatic notification of hearing dates nor tie the documents that are stored together electronically in the FileNet portion of EAMS. Failure to have companion cases would result in a larger backlog in hearing dates which is specifically what EAMS is aimed to reduce. The backlog would result because the system would not allow for the automatic notification of all companion case parties. Additionally, clerical workers would have to work closer with the judge to determine which cases were to be tied together and which were to be not only tied together but to have parties appear together for settlement conferences and trials. A change request and work authorization*



One external user expressed the inability to sort out case representation relationships:

A design flaw is that it is virtually impossible to identify which law firm represents which party in a case. We have case participants in our old system which helped us tell which law firm represented which party; we cannot tell now, in EAMS, who represents whom.

Specific companion case problems include:

- Links between cases do not appear in Cúram even when they have been associated together. Sometimes injured workers' injuries are consolidated and litigated together but with separate case numbers. Finding related cases requires clicking on the party's name to review manually how many cases and what types of cases are involved and opening each case separately to see if there is an association. Cúram cannot handle a case with two case numbers. Joint cases must be identified as related, or else the system will assign each one to separate judges.
- When cases have been related, when a party e-files or scans in a Declaration of Readiness, the first listed case is made the driver case by Cúram, but is not always the major or lead case among the companions. Nevertheless, it is relied upon inappropriately for setting, continuing, cancelling or completing hearings.
- Posting of hearing-completion information, where there are multiple related cases, only goes into the driver case. If the cases have not been correctly related to each other, it does not go into the other cases.
- If a case was heard on three different applications and a judge is working in the driver case and later discovers a lack of hearing completion on the companion cases, when the completion information and disposition are posted for those other cases at the later time, the system lists the day you do the posting as the date you do the action. This goes into the events record and is significantly misleading, especially to another user in the system (and increasing external access is being given to selected users).
- After a hearing is conducted, only case participants on the driver case can be shown as attending the hearing, unless disinterested parties in the lead case are listed as case participants.

Many other data limitations exist, and some of the more problematic ones include:

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*in the amount of \$487,250 was processed to pay for this change request out of the Unanticipated Task dollars in the existing contract.*

To date, work authorization in the amount of \$487,250 has been issued... to implement Companion Case functionality.



- Case participants have no unique identifier number, so the “uniform-assigned name” concept had to be devised to eliminate the massive duplication.
- The number of characters for descriptive fields is too limited.
- Data formats are vague and undifferentiated in certain key places, such as for coding of body parts, lacking "right" and "left" body locations, etc.

Another problem has been the inability to integrate data easily into Cúram’s database, due to the lack of commonality of data field names and formats across forms, as designed by Deloitte

### **7.2.6 Inadequate Error-Checking Routines Result in Unreliable, Inaccurate Data**

Cúram is also lacking in data entry validation standards, as error-checking requirements were not deeply analyzed or addressed during Deloitte’s engagement. The results are:

- Substantial errors for common data entry points, such as addresses having no standards to ensure validation of zip code to city, etc.
- Frustration of users due to inaccurate information and an inability to delete information that has been entered in error.
- Duplicate data proliferation in the absence of routines to trap and delete errors.

Inadequate data editing routines in EAMS’ database cause poor data entry:

- An injured worker can be injured before his or her date of birth and after his or her date of death.
- Birthdates and injury dates can be in prior to 1900 and into future centuries.
- Document receipt dates are not validated against any existing case data to help prevent old dates or future dates from being entered, resulting in misleading average time spans, etc.
- Any judge is allowed to be credited with issuance of a Decision; there are no edits to prevent improper postings.

The result is that judges and commissioners are unable to gather essential information for a case due to gaps and duplicate information, and they express a lack of faith in the accuracy or completeness of the data in EAMS.

The problem will only increase if more users gain access to e-filing, as one judge noted:

If more people e-file, there will be more errors, particularly at the beginning. Improving our ability to correct errors is key. Dealing with a new system, especially



one as complicated as this, uncovers a propensity for error that is unexpected. Errors include typos of all kinds, including inputting case numbers correctly. Documents can also be incorrectly associated to the wrong case by a transposition in the case number.<sup>6</sup>

Also of concern is the inability to correctly compare and merge information across system components or related systems. Users report that information is not “mirrored” or matching between EDEX and EAMS. The result is unreliability in the information held within EAMS.

### 7.2.7 Lack of Unique Identifiers Leads to Duplicate and Uncollectable Data

Duplicate names abound in EAMS due to problems with accurate matching of names when searching for a record, causing the creation of new records.<sup>7</sup> Users find it difficult to match and search for a named party to a case, as the name to search on must be entered using an exact match of name and address as originally entered, with no extra spaces or abbreviations (any discrepancy causes Cúram to consider it to be a new entity — not only for claimants, but employers too).<sup>8</sup>

Uniform assigned names (UANs) have been instituted for claims administrators to facilitate searches and matching of records for cases. There are several problems arising from this feature, however:

- Fields which require UANs should be highlighted, so that users realize they should search on that as a match.
- UANs should not be used for output on legal documents, as it is a code name or nickname, and not the legal name of the party. The template in Cúram documents uses the UAN inappropriately.
- The UAN does not help in determining whether the UAN equates to an insurer licensed to write workers’ compensation insurance in California, so determining the name of the entity actually liable for payment of benefits is problematic.

One judge noted the COTS aspect of Cúram to be particularly inapplicable here:

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<sup>6</sup> A major defense firm cited a lawsuit allowed by the judge due to a typo made by one of their clerks, associating the wrong insurer to a case. The insurer incorrectly entered into the record was bankrupt.

<sup>7</sup> Sun Valley Floral Farms, formerly Sun Valley Bulb Farms, in Arcata, California, has 14 EAMS Reference Numbers as an employer, plus four more for its operations at sites in Del Norte and Ventura Counties. Pacific Gas & Electric Co., a self-insured employer, has over 200 employer reference numbers in EAMS.

<sup>8</sup> One judge estimated his office generates up to 400 redundant records weekly.



The Workers' Compensation Board is a court established in 1914 and we need to afford parties due process. Cúram was developed for a social services system in Ireland. There you invite someone to a meeting, not give notice to a legal proceeding.

We had to engraft due process onto EAMS. In doing that, those who created EAMS concentrated on the claims administrator, the payor, as the responsible party, rather than the insurer or other more responsible party.

The claims administrator is not the responsible party, ultimately. In fact, the self-insured employer can change administrators and remain self-insured.

Another noted that UANs for lien claimants are needed but will be difficult to implement:

By using the UAN convention to uniformly assign code names of claims administrators and representatives/attorney firms that use the system, we do a really good job of matching them to cases. Even with the attorney firms, we had to do a lot of cleanup in conversion, because someone might put a slightly different name in, and we would end up with duplicates and have to clean it up and assign a special name to each one for a specific location.

Using the UAN for lien claimants, who can change their name is more difficult. It would be a significant undertaking, but worthwhile. We have thousands of lien claimants in the system. UANs would help us find cases of a certain lien claimant, and avoid the search for all the ways they have been entered in order to see how many cases they have. Helpful when you're trying to consolidate cases to address their issues on a more global basis, to try the case in one proceeding instead of a thousand.

### 7.2.8 Gaps Exist in Templates and the Document-Creation Process

To create documents more easily for standard purposes, Cúram provides a number of templates. However, problems with document templates include:

- Provided templates do not cater to the frequency of use of certain Awards, Notices, Orders or other documents used in adjudication procedures.<sup>9</sup> Some available templates are used rarely, while others which do not exist are needed ten times per week.

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<sup>9</sup> A judge may issue one or two Orders Approving Dependency Compromise & Release per year, and 500 Awards on Stipulations. There is a template for the former, but none for the latter. There are several ADJ templates one judge never used in the 32 months since EAMS production commenced.



- Drop-down menus do not include document titles for many different types of orders judges need to issue (such as Order Approving Joint C&R, Joint Findings and Award, Joint Award on Stipulations, Order Appointing Guardian Ad Litem, Order of Commutation, etc.).
- Templates do not appear in any apparent order, creating a need to press extra keys in order to sort the template list by name to locate any but the initial one that appears (which is seldom used).
- Templates are named inconsistently across the set.
- Templates are not uniform in the style of caption. Often, either the employer or the claims administrator name will not populate in the caption.

Document-creation problems include:

- Tasks are not triggered correctly by certain documents (as noted above). Notifications are generated, often in duplicate, for events not usually requiring a judge's attention or action – e.g., “a hearing has been set;” “a hearing has been rescheduled;” “a hearing has been cancelled;” or “an answer has been filed.”
- Case participants with their addresses cannot be populated to a document to show service. Cúram cannot insert addresses into documents for service by mail. Users must initiate a separate session by logging in or tabbing to the Communications file to cut and paste these into a document.
- Documents cannot be generated across companion cases automatically.<sup>10</sup> Companion cases can be associated in FileNet, but it requires manual steps to do this.
- To reach a document template, a case participant must be named; usually, the injured worker is named. However, if deceased, this does not work, so users must “un-decease” the injured worker briefly in order to get around this problem.
- Email service documents, created in Microsoft Word, alarm users due to the lack of security afforded by this document format type. Word documents allow sentences and signatures to be altered, which is unsuitable for legal proceedings.

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<sup>10</sup> More user effort is required to do this. If a document is filed with all the cases pertaining to it listed on the document, it will be lodged against all the cases to which it pertains. However, if it is filed without this information, FileNet cannot associate the document to other cases of the injured worker.



### 7.2.9 Problems with Calendaring Functionality Constrain Timeliness of Hearings

Cúram provides for automatic calendaring for e-filers who file a Declaration of Readiness, by assigning the first available date for a hearing from available dates within a given range, or by the e-filer selecting from the first seven open dates.

However, problems with calendaring include:

- Calendaring dates get exhausted, causing help desk intervention/calls to WCAB.
- The trial calendaring function gives no weight to the realistic time frames needed for a particular trial type, resulting in some trial days being heavily overset in a calendar and others substantially under-set.
- The “My Calendar” function lists the injured worker’s surname and the hour set, but not case number, number of applications set or the nature of the hearing. Obtaining that requires drilling down much more deeply.
- The calendar lists hearings by hearing start time and injured worker’s name, but does not show if it is a conference or trial or who the defendant is. Users must drill down three levels further to get to the participant list and if it is a trial, cannot see the estimated length of trial even on that screen or on the calendar printout. This inefficiency causes people to ask the staff to state the type of hearing scheduled.
- The aim of automatically assigning hearings dates has been impeded by the inability to know when attorneys, lien claimants or representatives have other hearings scheduled or other conflicts. This inability, calculated one judge, results in multiple hearing dates assigned before a date can be agreed upon.<sup>11</sup>

Clearly, tracking attorney availability is more than Cúram can accommodate. Paper calendaring still happens, as a result, creating the problem for district offices that cases must be manually rescheduled by the calendar clerk time and time again.

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<sup>11</sup> One smaller district office has reverted to legacy scanning and manually setting of hearings to begin to approach Labor Code §5502 time standards of date of filing to actual first hearing held. In larger district offices, calendar setting is often done by walkthroughs, where one attorney determines available dates for the other party’s attorneys to appear and requests a date from a range made available by the calendar clerk on instruction from the presiding judge.



### **7.3 Accessibility is Limited Due to Cúram License Models**

Access to EAMS has not been available to as many external users as would wish it due to Cúram's licensing models.<sup>12</sup> As a result, many external users who seek to electronically file documents in their cases cannot do so. For the same reason, case participants cannot view public documents (accessible only through Cúram screens) in FileNet. Nor can computer kiosks in DWC offices or screens in hearing rooms be provided for case participants to view documents in their cases, nor can admitted exhibits be marked in view of the case participants attending a hearing, as once envisioned. As one judge put it:

When we devised EAMS, we thought external users would be able to file documents electronically into the system and be able to review case records, activities and public documents using FileNet in cases in which they were participants. However, Cúram sought \$1,000 in license fees for each external participant, and we have to have huge bandwidth to allow access to all users.

We are beginning to have access for external users to case files in which they are participants, meaning documents can come into our district offices to be scanned (instead of electronically filed by the external parties themselves). For this, people have to come to our district offices to see the documents in their proceedings. We can go into FileNet and pull up a list of documents that have been filed and provide that to them. We can sort the list to hide anything that is not a public or legal document.

Once they're a party to the case, opposing parties must serve them. Sometimes, lien claimants aren't served on everything they should be. If you go into Cúram, you see that in some of our offices, we are often behind in scanning documents that have been received but not yet loaded into case files. That's why we often get inquiries: has this document been filed? why am I not getting this response? Our staff is busy trying to catch up with scanning as external users don't have the access that we thought they would have. This puts a demand on our staff. We've never had the complete access that was planned.

### **7.4 Failures in the Scanning Process**

Due to the limited number of external organizations currently e-filing, optical character recognition (OCR) scanning has been retained, which is an older, more cumbersome method of uploading documents into FileNet. OCR scanning has its own drawbacks in getting documents into EAMS, as the following problems show.

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<sup>12</sup> Also, since external users with logon access are required to use e-filing for all their case documents, some who were offered logons have chosen to forego access for this reason.



### 7.4.1 Backlogged OCR Scanning Queues Cause Critical Delays

District office scanners are inadequate for the volume and complexity of documents being processed, creating significant delays. Lower-priority documents, such as liens, have frequently been backlogged by several months.

As noted by both external and internal DWC users:

Scanning delays cause workflow problems even for e-filers awaiting other parties' filed documents to move past the OCR scanning document queue at the WCAB courts ... Both sides need to be e-filers to avoid this issue.

An example of how it impacts us would be: if opposing counsel files an Application for Adjudication of Claims, it enters the court's scanning queue as a case opening document. The case is not assigned a case number until that document is scanned into the system. If the defendant receives the Application and wants to file an answer, we need the case number. If an issue arises and there is a need to file a Declaration of Readiness to Proceed, we cannot do this until the Application is processed at the District Office. If scanning queues could be sped up, it would alleviate these issues.

### 7.4.2 Impact of Scanning Problems is Considerable

Users reported the following impacts due to problems in the scanning process:

- Increased paper loads, resulting in slowdowns and visits to court by external users to ensure the case file is complete
- Lack of certainty about whether OCR transmissions have been received, so that attorneys have to recreate the entire case file in paper form to show the judge
- Scanning backlogs exacerbated by inadequate staffing within DWC/WCAB causing customer service problems (including slowdowns for e-filing attorneys who wait for opposing counsel's scanned input to be processed)

### 7.4.3 Inexpensive Desktop Scanners are Inadequate

The inexpensive desktop scanners available at the district offices are insufficient to address the level of quality required in recognizing scanned information, as well as for the volume of paper being processed in the current scenario. Users noted the following particular issues occurring with inexpensive scanners, such as the inability to accurately recognize user handwriting on forms and other aspects of poor data recognition, leading to accuracy errors and frequent rejection of documents. As internal users noted:



It's easy with tabletop scanners to have document errors/completion errors that really comprise the integrity of the system. The more that can e-file, the better.

Even for scanners checked and cleaned by a professional bi-annually, staff still have to re-type some fields in completion steps or reject the document submission. The scanning equipment also causes many fields to fill up with dashes that were not on the paper, causing staff to have to go through each section and clean them up.

This slows us down considerably. If people can't get their hearings set quickly, "Justice delayed is justice denied" (Justice Oliver Wendell Holmes). Delays in processing mean people might suffer more or longer without getting the right treatment. Dealing with settlements and petitions which are not scanned or handled optimally, the same principle applies.

While some offices are willing to retype fields that the scanner equipment would otherwise reject as being unclear, other offices tend to simply reject flawed documents altogether. As part of the problem can be sourced to poor equipment, the delays experienced by external users who are forced to resubmit case documents are particularly frustrating. It is also costly for them, requiring more paper, ink and postage.

#### **7.4.4 Other Scanning Problems and Irritants Exist**

Users had further problems to relate in the area of scanning of documents:

- OCR-entered information may not be retrievable without retyping it into an e-form.
- OCR font size can be a cause of document crashing.
- OCR wastes paper and should not require cover sheets for legacy documents.
- The inability to save OCR forms online causes rework.
- External users are not offered the opportunity to utilize both methods and to choose when it is best to e-file vs. to use OCR scanning.
- No receipt confirmation for filed documents is provided.
- OCR settlement forms need to include expanded fields so that additional data can be entered to clarify settlement documents without requiring an addendum.
- All liens that are scanned are treated as original liens, even if a lien was amended.



## 7.5 FileNet Issues

### 7.5.1 Viewing and Printing Documents in FileNet is Slow and Cumbersome

Opening and viewing documents in FileNet are slow and printing functionality is limited. Printing must be of the whole document.<sup>13</sup> This frustrates users who often want to see only a certain page, like the information concerning the disability rating. It is also problematic that while Cúram lets users create documents, they do not upload easily into FileNet:

As noted by a member of DIR's OIS staff supporting EAMS:

To get information into EAMS, Deloitte chose to implement electronic document management using FileNet and FileNet's primitive e-form filing capability. They took the fastest, quickest, easiest path to implementation, cutting every corner they could possibly cut.

As designed by Deloitte, FileNet processing requires two licenses, FileNet and Cúram, and does little or no validation for the users who file using the e-form capabilities (about 500 external users at present). The users have to enter the data each time they file a form. This is not a very friendly tool for them and often requires multiple passes to get it right: if there are five errors on a form, it reports each error one at a time, and the user must resubmit it five times just to discover each error in turn.

Other aspects of FileNet's cumbersome handling of documents include:

- FileNet shows only 50 documents at a time, far too low a limit for DWC cases.
- Clicking through 5 to 25 documents per task, and a case may have 8 tasks, is too time-consuming.
- For ease of identification, exhibit numbers need to be visible on all documents.
- Need electronic documents in .jpg, not .tiff file formats, to ensure ADA-compliance.

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<sup>13</sup> Users may not be aware of a current workaround to this: the document can be downloaded and viewed with Adobe Acrobat and print jobs can be limited to certain pages, according to DIR OIS, which is currently testing a change in the platform for viewing and printing of documents to overcome this limitation.



A frequent complaint is that forms are longer than the paper forms used before EAMS.<sup>14</sup>

### 7.5.2 Slowness in Opening Documents Reduces Efficiency

FileNet is slow, perhaps because of the number of users attempting to access it. One internal user categorized the time it takes:

Opening FileNet in search view takes up to seven seconds. Opening a document takes another 20 to 35 seconds and often pops up with query dialogue boxes due to security issues before you can open it. The first page is a separator sheet (if more than one document was submitted in the scanning batch), without meaningful data. You can only scroll from page to page or jump to the first or last page. It takes several seconds to scroll to each new page – more time-consuming than turning a paper page. It's more efficient to print the paper and review it.

### 7.5.3 Document Searches May Not Yield Desired Results

FileNet allows searching for documents by certain criteria (author, document title, document type, date of document, entry date, and more). If unfiltered, all documents appear, including transmittal letters, cover sheets, and proofs of service that are not meaningful. To weed them out is cumbersome. Better search-filtering options would be appreciated, such as "show all but" criteria. Certain documents, if not filed with the correct titles, are excluded from display if they are searched for by a particular document type or title, while broader searches return irrelevant and useless cover sheets and notifications of service.

FileNet does not allow for grouping of exhibits in logical numerical or alphabetical order, but scatters them over the file set. (By default, documents are listed in order of the date they were added.) The result is a case file difficult to organize visually from what appears on system screens. One of the most critical problems for judges is this difficulty in telling what documents have been submitted in a case.

Documents must be indexed and classified properly to be easy to find and managed in FileNet. Due to poor indexing of records, users cannot search for information easily. It is difficult to research all the documents filed in a case and thus obtain much of the information routinely needed to perform job duties. Exhibits and other documents within the court record are therefore difficult to identify. Legacy scanning of documents has been a workaround, but legacy-scanned documents lack indexing. Yet while OCR-scanned and e-filed documents have codes to sort and organize them to allow them to be logically organized and associated to cases, these codes are not well-utilized.

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<sup>14</sup> E.g., a one-page Application for Adjudication is now a six-page document; a two-page Compromise and Release is a nine-page document; a three-page Stipulations with Request for Award now covers 9 pages; information formerly on a two-page C&R or Stipulation form is now spread over 8 or 9 pages.



## **7.6 E-Filing Issues**

While external users who file documents using e-forms in the manner known as “e-filing” are relatively more comfortable with the process than those who file using OCR scanning, several problems were reported, many of which are simply the result of user error:

### **7.6.1 Unstructured Document Types do not Trigger Tasks When Needed**

Users who file documents into EAMS can forget to fill out the e-form version of a document and submit an attachment as an unstructured document (of no specific named type). Such attachments do not generate any workflow for judges or staff, and the document may not be reviewed in a timely manner.

### **7.6.2 Mislabeling of Documents Blocks the Triggering of Tasks**

Another category of frequent user error is mislabeling of attachments, which can also result in a lack of workflow (set of tasks generated by the system) for judges and staff. In these cases, a document (which may be a petition requesting action or a proposed settlement, both urgent) will sit unnoticed until a DWC staff member happens to look in the FileNet document list, usually due to some other activity on the case. E-filers are also able to inadvertently label documents as belonging to a document type intended for internal use only (such as “emergency hearing”). While users are cautioned to avoid such document types in training sessions, the problem persists.

### **7.6.3 Other Glitches are Still Being Discovered**

The number of external user locations that e-file is only about 500 at present, and additional problems in how they process electronic forms are still coming to light, such as:

- If e-filers fail to list all cases to which a document pertains, upon filing, FileNet will not lodge the document in other cases of the injured worker. For medical reports, petitions or liens, in particular, this can lead to failure to consider all relevant evidence or request(s) for action or liens in those other cases, especially if the other cases have not been related to each other.
- When an e-filer files a Notice of Representation, EAMS does not automatically add the party, counsel, or lien claimant to the case participant list, nor does it add the participant as an applicant or defendant. There is no notice given to staff that an Official Address Record is in need of updating.
- Loss of prior-year (legacy) forms in the system can result in rejected settlements.

Other problems with e-forms structure and content were raised, including:



- No online ability exists to see errors made in a batch of e-filed documents, for faster fixes.
- E-forms mimic older paper forms in an unnecessary fashion, with unneeded data fields required on the form that are not required by EAMS.
- E-forms cannot be auto-populated from stored data in EAMS.
- E-forms do not allow users to save filled-out e-forms in order to reuse the information where it is to be copied across multiple forms.
- A greater variety of e-forms is needed – the set is not complete.
- There is no way to auto-associate the e-filer firm as a case participant.
- E-filing of settlement documents which require multiple original signatures requires extra work: the e-filer must attach the original signed form to an e-form version of the form when filing. As scanned forms do not require this extra step, some law firms are staying with OCR scanning for this reason, but **wish they could choose to use scanning and e-filing both, for what each does best.**
- E-filed submissions can get a message that is unhelpful, without an ADJ number or other identifier on the page.
- The ADJ number should automatically repeat when entering related exhibits.
- Error messages need to be more user-friendly and descriptive.
- The amount of documents allowed to be filed in one attachment, in both OCR and e-filing methods, is too limited.
- E-forms are longer than old paper forms and tend to require much more preparatory time to upload than using paper forms.
- The case party name cannot be viewed on the first page of all structured forms (users have to page through the document to find the name).
- Some forms lack enough space to list all parties, especially co-defendants.
- Forms sent to the unprocessed document queue (UDQ) are not automatically returned to the submitter (so the submitter rarely learns about the error and its



cause in a timely fashion, making it harder for the actual submitter to learn from mistakes).

## **7.7 Failures in Reports**

EAMS' Cognos reports lack key information due to limits within Cúram's database structures and due to the accuracy and completeness of data entered.

Judges and others reported the following problems with the reports from EAMS.

### **7.7.1 Getting Reports with Meaningful Content is a Problem**

As described by one internal user:

It isn't clear what elements Cognos pulls out of Cúram to get the reports. When a petition is submitted or acted upon, different keywords can be input and it's not clear how that's done. The upshot is the reports which we used to rely on are no longer available, like the 60-day report when judges are 60 days over the deadline for a decision. We have no way to get this data. Partly this is poor system design; the other part is lack of training of both judges and secretaries on how to input data and timing of data input to ensure reports are accurate. I'm not happy with more than 25% of the reports, such as Disability Evaluation Unit (DEU) reports that summarize how many ratings are done by each rater and by each office. I don't think the reports are very accurate. We don't get all the reports we need and the ones we get, I don't trust the data. This would be true of other judges as well, I sense. There's a lot of frustration along similar lines.

IS staff felt many of the following problems that exist with reports can be traced to inadequate analysis and customization of Cúram by Deloitte, along with data entry errors.

### **7.7.2 Inconsistent Data Upload Means Unreliable Reports**

Although an effort was made, reports were not well analyzed or thought-out in the Deloitte design phase. Technical staff from DIR had to retrofit and fix the Deloitte reports, some of which they cite as having had obvious defects, and to develop new reports that were not addressed in the original requirements. Several Deloitte reports require re-analysis to determine whether they are performing correctly or not, as unreliable data are suspected.

Impacts of these problems include:

- Lien and hearing dispositions are not posted.
- Decisions are delayed as a result.



Among the different e-forms themselves, data fields were not standardized by Deloitte during design, exacerbating the problem of collecting information correctly into EAMS. On a positive note, DIR OIS has nearly completed the effort of standardizing these data fields across forms by now.

### **7.7.3 Reporting Database Does not Reunite Hearing and Other Case Information**

In the design of EAMS, the Cúram database separated out hearing cases from their respective product delivery. This data could have been brought back together in the Reporting database, but this was not done.

### **7.7.4 Data Conversion Problems Persist**

Related data conversion problems were experienced, as one technician remembers:

Deloitte was aware, just prior to EAMS going live, of things they had not thought about: how we would match up against existing data from legacy systems to EAMS. This involved hundreds of thousands of parties. There was a great amount of duplication in the legacy system. Deloitte didn't think through just how things were going to match up; to match up on exact name, address and zip code is virtually useless. OIS staff documented (June 2010) some of these major issues. DWC and Deloitte chose to deal with two out of four or five, related to case party matching: law firms and claims administrators. They didn't deal with injured workers or others. As a result, we add lien claimants to the same case multiple times, so EAMS can't tell you if they are unique lien claimants or duplicates. EAMS can't process an amended lien, so people file a brand new lien, each time.

### **7.7.5 Failures in Populating the Data Warehouse for Reports**

Data extraction, transformation and load (ETL) processes, developed by Deloitte to populate the data warehouse for reports, have been known to fail or not perform properly. Specific examples of missing data that are caused as a result include:

- Payment information from UEF/SIF
- EDEX update information
- Truncated party information, e.g., party name truncated to 30 characters although transactional system supports up to 75 bytes



## **7.8 Limited “OTech” Server and Support Capacity Cause System Downtime**

The servers which support EAMS, located at the California Technology Agency’s Office of Technology Services (OTech), may not be adequate to support the volume of information and the load of an increasing number of users accessing the system.

Degradation – slowness – of speed experienced by users navigating Cúram screens and documents in FileNet, for example, can be traced to server capacity, a problem often mentioned by users. The system is frustrating users while they wait.

The servers go down, causing EAMS to “freeze” frequently, according to some users. While this has decreased in recent months, the length of waiting time experienced leads some to question whether OTech is sufficiently resourced in terms of equipment, to support it. A further irritant experienced by internal users is that there is no advance notice given by OTech of any problem prior to downtime. Often, DIR OIS has to notify OTech personnel of the problem before it can be addressed.

## **7.9 Gaps Exist in EAMS’ Supporting Processes**

### **7.9.1 Users Feel a Need for Greater Accountability and Stewardship of EAMS**

EAMS requires strong stewardship, users felt, to address its needs to satisfy such different stakeholder groups. Bi-directional communication and a sense of accountability to the user community are lacking at the present time, some users felt.

### **7.9.2 Users Seek Greater Involvement in Addressing Needs for Change**

The EAMS implementation process included reporting on problems or deficiencies. DWC logged change requests based on user experiences. Users today seek more involvement with this and feel discouraged from making change requests at present, as stated by one external user:

We don’t feel we have real input into it, which from a practical standpoint is not only unfortunate but absurd. We are responsible for all of the judicial functions including trial level, and yet our input into the system has been limited, particularly in terms of the initial design, in which we had no involvement.

We have no input into the process of prioritizing change requests. We’ve asked for a list of change requests and still have not seen that, so we don’t know what changes are requested or what the priorities are.

Stakeholder groups are largely dormant as EAMS technicians are focused on other issues to provide non-EAMS functionality. As noted by an external user:



Recently, in the last year and a half, we've not recognized any stakeholder groups that are effective in addressing needed change. All the stakeholder groups have become dormant in their effect and in their activity, due to lack of resources to respond to whatever they're talking about, due to other priorities of technical staff in rolling out the JetFiling approach to EAMS.

### 7.9.3 Users Find Current Training and Documentation Inadequate

External users primarily experience EAMS training by webinar. Other information is provided by download from the EAMS website, and Judge Casey's blog<sup>15</sup> was cited as useful, with its tips on how to use the system. Some users cited the training frequency as insufficient. Training by "phone" (webinar) does not always help users understand what to do with specific parts of EAMS. One internal user noted:

Due to lack of training, things are not done uniformly, and in a court system, everything should be uniform. This is a statutory requirement and we can't meet it. This is not the fault of users. The training we were given was superficial, just an overview. The lack of adequate training creates tremendous inconsistencies from district office to district office in how to key-enter information. This is a major problem because EAMS is in essence a court record, a record of a judicial process, and it's very important that events are properly identified and chronicled in a logical order, because we have to certify the record to a district court of appeal as a true and correct copy.

Training for all role types, both internal and external, is seen as necessary: clerks, secretaries, judges and everyone using EAMS, and not just on basics. More practical training was requested. Some DWC staff do not seem to know the system very well when users call for help.

Documentation is a factor as well. Some users mentioned they had not seen any training manual that explains how to perform the various functions in EAMS. While the external user manual for e-filing can be found on the EAMS website by clicking on the hyperlink "training tools," the external user guide for OCR filing can be found only in a different location. How documentation and guides are presented and made available is factor which may contribute to user perceptions that training manuals are lacking. While the EAMS website has a wealth of information, some users experience the array of what can be found on it as overwhelming.

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<sup>15</sup> [http://www.dir.ca.gov/dwc/EAMS/Blog/EAMS\\_blog.htm](http://www.dir.ca.gov/dwc/EAMS/Blog/EAMS_blog.htm)



#### **7.9.4 Responsiveness Issues Limit Satisfaction with Technical Support**

Users noted that many changes requested to make EAMS more usable have already been made, and that EAMS is better than when it was first released. Still, many cited poor support in terms of addressing bugs and issues and more major change requests.

Users experiencing a problem with the system must log into an issue-tracking tool, then manually check back to see if any action is taken. Response times vary but can take up to several days, which for data entry or retrieval problems is too long to be practical. Users have no backup person appointed as their “administrator” with privileges to be able to contact the help desk if that person is out of the office. Users are not satisfied with response times which cause them to be without information while they wait. They report sometimes going around this process by calling contacts within DWC to see if anyone else has had the problem, to fix it themselves, more quickly.

#### **7.9.5 Lack of a Third-Party Vendor Toolkit to Enable EAMS Front-End Products**

Vendors in the business of providing user-friendly screens and utilities for electronic forms filing and electronic data interchange into EAMS feel the lack of an “open architecture” approach to support their interface products. Such support is necessary to build better tools and value-added services for the EAMS user community. They would like:

- Up-front communication about changes and plans for EAMS
- Better support and access to the internals of EAMS to provide value-added access to the system, including a developers’ toolkit allowing back-end access to EAMS
- Some large firms seek the ability to directly enter their own system data into EAMS, which requires a toolkit showing data tag types to enable this approach

What is created by such vendors forms another source of ideas for EAMS improvements.

Vendors noted that staffing limitations have constrained the ability of technicians to provide this support in large part. The constraints on DIR technical staffing and budgeting have helped to create this field of opportunity for third-party vendors to fill.



## 8.0 Recommendations

Recommendations have been summarized into key sections below.

### 8.1 *Reinvigorate Stakeholder Communication and Participation*

Bi-directional communication on an ongoing basis is needed. User groups need to be reconstituted and supported as partnership bodies that can help with communication outreach efforts and the training of others. Several activities would improve morale and skill among users of EAMS and provide a channel for prioritization of enhancements:

#### 8.1.1 **Restore User Groups to Serve at a Strategic Partnership Level**

Restore the strategic opportunity for key stakeholders (if not all) to serve in executive user groups, capable of functioning as a working body in partnership with DWC and DIR OIS, to give input into specific problems, issues and requirements and to help prioritize user-generated change requests. A visible bridge needs to be formed to mediate between the different parties which are stakeholders of EAMS: DWC, WCAB, external users (law firms, insurers, employers, unrepresented workers and advocates), third-party vendors and technical staff.

As is being done, continue to invite a panel of representational stakeholders from DWC staff and external parties to serve in train-the-trainer roles following participation in future cycles of testing and training. Extend this opportunity to key members of executive user groups and other user groups as appropriate.

This recommendation addresses problems 6.1.1, 7.9.1 and 7.9.2:

#### *6.1.1 Lack of Strategic Cost/Benefit Analysis Leads to Unsupportable Scope*

Strategic user groups will provide important guidance on future analysis done to assess the cost/benefits and impacts of major changes as EAMS continues to develop. Considerations of EAMS' future scope needs to involve key user participants in the decision-making process where appropriate.

#### *7.9.1 Users Feel a Need for Greater Accountability and Stewardship of EAMS*

Users who feel they lack a voice in EAMS would welcome the opportunity for bi-directional communication with an effective, knowledgeable steward of EAMS' future directions that can provide respect and recognition for their needs.

#### *7.9.2 Users Seek Greater Involvement in Addressing Needs for Change*



Users offered to support future development of EAMS through providing more input into requirements, testing and user-training efforts, as desired and appropriate. It is felt to be in everyone's interest to support the process of helping EAMS reach its full potential.

### **8.1.2 Increase Stakeholder Role in Requirements Analysis/Best Practice Research**

Increasing user involvement in requirements analysis is critical. Future iterations of EAMS require rethinking the change management approach in order to involve users further in gathering requirements in detail, across all affected role types. Further efforts are needed to involve key stakeholders in scoping change initiatives in future releases.

Stakeholders expressed a need to be more actively involved in requirements-gathering and prioritization of changes. Stakeholders would also welcome the opportunity to serve in outreach and train-the-trainer programs. It is also important to recognize external stakeholders' adoption of best practices that might lead to improved technology directions in the future. Several large and sophisticated firms have created solutions that could help.

This recommendation addresses problems 6.1.1, 6.1.2 and 7.9.2:

#### *6.1.1 Lack of Strategic Cost/Benefit Analysis Leads to Unsupportable Scope*

External stakeholders have many important lessons to share about how they are using EAMS and solving problems facing the general user community, such as with scanning and/or direct data upload from forms into their own systems for case management. Users who provide detailed requirements—including usability factors—will help EAMS fulfill real workflow needs and reduce many of the unnecessary irritants and glitches that are currently experienced. Users stated a willingness to share these lessons and to provide strategic input into the choices faced by EAMS in the future. As noted in recommendation 8.1.1, users need greater involvement in the decision-making process where appropriate.

#### *6.1.2 Inadequate Requirements Analysis and Customization Reduce Usability*

Greater user involvement in requirements analysis and testing cycles is important to gather the necessary specificity of how change requests need to be addressed. Users seek to provide greater feedback as EAMS begins to address major change requests.

#### *7.9.2 Users Seek Greater Involvement in Addressing Needs for Change*

It would be helpful to acknowledge the greater user community of EAMS, both external and internal users, by providing recognition of the value of their ideas and feedback. Users have offered to support future development of EAMS by providing more input into requirements, testing and user training efforts, as desired and appropriate. It is felt to be in everyone's interest to support the process of helping EAMS reach its full potential.



## 8.2 Re-scope the EAMS Architecture Based on Value Analysis

To improve EAMS and plan new strategies may require rethinking the architectural choices both past and future. Additional strategic thinking can provide a basis for detailed cost/benefit analysis to guide the forward direction.

Several judges and others recommended decreasing the scope of EAMS in order to refocus on the most important needs it can fulfill.

**Scale EAMS down to its strengths and DWC core needs.** Specific suggestions are to:

- Focus on what users need most (and solicit user input on priorities), both in terms of screen functionality and report functionality, along with other change requests.
- Consolidate or reduce the number of screens, based on most-needed functions.
- Streamline the user interface to better support existing workflow and to make EAMS more user-friendly.
- Better integration with rating information available from the DEU.<sup>16</sup>
- Reduce emphasis on addressing external user interfaces for data upload which third-party firms seek to offer, but provide support to third parties as appropriate.
- Reduce to the extent possible OCR scanning of forms to better integrate information coming in to EAMS.

This recommendation addresses problems 6.1.1, 6.1.2 and 7.9.1:

### 6.1.1 Lack of Strategic Cost/Benefit Analysis Leads to Unsupportable Scope

Re-scoping EAMS—reviewing what is providing the greatest value for an appropriate cost today and determining what needs to be implemented both short-term and longer-term—will result in more effective and supportable scope for system functionality.

### 6.1.2 Inadequate Requirements Analysis and Customization Reduce Usability

Cost/benefit analysis will help to determine what aspects of EAMS are still worth retaining and enhancing and which need to be exchanged to better support users and/or to reduce time and effort for both internal staff. Customizing and enhancing what works well or needs to be retained should be an outcome of the cost/benefit analysis conclusion.

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<sup>16</sup> Medical ratings of disability go through an old system that still has to be used by the Disability Evaluation Unit and translated to get into EAMS, and there are many complaints that things do not get done as easily.



### 7.9.1 Users Feel a Need for Greater Accountability and Stewardship of EAMS

Setting and communicating a renewed strategic direction for core EAMS components and future enhancements, achieved through cost/benefit analysis, will help to satisfy users who are unsure of what changes and improvements can be expected.

## 8.3 Increase User Training and Support

The high volume of user errors being input into EAMS suggests that more emphasis be placed on training and documentation for data-entry staff and other users.

### 8.3.1 Increase Access to Training and Supporting Documentation

Users need to be made more aware of the training and system documentation that exist. Promulgation of what is available may not reach all those for whom it is intended. Users requested more training and improved support, although e-filers reported greater satisfaction with the training provided, especially “paperless” firms who adopt new technology readily.

Specific recommendations include:

- **Disseminate user guides and manuals** to address the priority of achieving process uniformity in the use of EAMS.
- **Expand training to twice yearly at a minimum for all user types** (internal staff, judges and commissioners, external OCR filers, e-filers, JetFilers, etc.). A dedicated trainer available in northern, central and southern California to teach staff who can train their own organizations in turn would be appreciated.
- **Broaden the methods in which training, support and documentation are made available** and announced to the EAMS user community:
  - Disseminate training manuals and user guides for different user types and make sure users know what is available
  - Train external users going beyond telephone/webinar means and make training more interactive (such as with tests or quizzes and “certification of completion” based on a final test or quiz)
  - Provide an ongoing train-the-trainer program
  - Provide training on an ongoing basis – as staff at DWC and external users too are “constantly coming and going”
- **Consider a Certification Process to Enhance Training Effectiveness**  
Tests can make training more effective by measuring to what extent the presented material has been absorbed by attendees. Knowing that tests are part of the



training process also tends to make attendees more alert and participatory. Training that includes quizzes during training chapters and a final test of competence is recommended. Certification of competency would be possible using this approach and could be implemented as a recognition program. Certification of trained staff would help DWC and external organizations to know where more training needs to be applied and to identify staff able to serve in train-the-trainer programs both within and external to DWC.

- **Organize the EAMS Website to Meet Divergent Needs**

Provide user-friendly avenues to appropriate information for different role types and levels of skill with EAMS. Users appreciate the website with its wealth of information but some found the array overwhelming. A slight redesign of the material available might alleviate some concern.

Users felt that more frequent training – and access to training manuals – would go a long way in addressing the priority of achieving uniformity in the use of EAMS and reducing errors.

These recommendations address problems 6.1.4, 6.3.2, 7.4, 7.7, and 7.9.3:

#### *6.1.4 DWC Consistency Issues Need to be Addressed*

Consistency among judges and district offices is not to be expected merely through introduction of a computer system but through targeted training to overcome old methods of work and a reliance on paper-based files. As EAMS addresses its technical challenges and improves as a platform for case information integration, it will be easier to rely on EAMS to standardize work processes. In the meantime, additional training on how to use EAMS and to work around current flaws is recommended across all user role types within DWC.

#### *6.3.2 Learning Curve, Input Errors and Inadequate Training as a Factor*

Submitters of e-forms and especially of OCR documents require more training to overcome the learning curve and to avoid critical levels of errors in how documents are submitted, as their management reported in interviews in this assessment. With more training, input errors can be minimized and delays shortened in information upload. Training also should be more intensive and co-participatory to the extent possible, not merely offered by telephone or webinar, which users experience as a learning experience that is often too superficial (and where their attention may not be held). Internal staff handling scanning will also benefit from more training on the process.

#### *7.4 Failures in the Scanning Process*



It will help if errors can be caught quickly—and prevented—by submitters and DWC clerical staff through the provision of more training, more often and more in-depth.

### *7.7 Failures in Reports*

To the extent that information entered into EAMS is entered inaccurately, giving rise to reports of questionable validity, training will help to address this at the source.

#### *7.9.3 Users Find Current Training and Documentation Inadequate*

Increasing the amount and quality of training and EAMS documentation—and ensuring that the user community realizes what is available and scheduled—will address this problem. Making the training experience more interactive is also important, to ensure that students participate more fully.

### **8.3.2 Improve Technical Support Responsiveness to User Issues**

Users seek better responsiveness when they experience problems with EAMS. Reprioritizing communication tasks would enable a faster response to user issues. Documents sitting in the UDQ which were incorrectly scanned need to move more quickly through, as well.

The EAMS technical staff should consider auto-notification (or at least call-back) methods to respond more proactively to user-logged issues, in particular. For users experiencing delays or problems of a critical nature, it is recommended that online or telephone support be made available with a response time frame of less than four hours. Additional support staffing is needed to address this problem.

These recommendations address problems 7.8 and 7.9.4:

#### *7.7 Limited OTech Server and Support Capacity Causes System Downtime*

While it is not within the scope of DIR to address resource issues at the California Technology Agency's OTech office which supports the EAMS servers, server downtime was an issue cited by several interviewees, and the source of such problems is unknown to them. However, additional resources (if staffing can be increased) assigned within the DIR technical EAMS team would improve bi-directional communication and relay of problems to and from OTech. Users would benefit from greater communication and support to the extent possible with an expanded outreach effort to keep them informed.

#### *7.9.4 Responsiveness Issues Limit Satisfaction with Technical Support*



User frustration with technical support can be addressed by faster and improved methods for communicating to users about system glitches, issues logged by users, periodic system downtimes, and longer-term enhancements that are urgently awaited.

## **8.4 Address Scanning Backlogs and Inadequacies**

### **8.4.1 Upgrade DWC Scanners to Address Errors and Backlogs**

Unless or until scanning is centralized, and for as long as scanning needs to continue for certain user segments, upgrading to industrial-strength equipment for OCR scanning at district offices would minimize delays in processing documents as currently experienced. The benefit of equipment upgrades may justify the expense: reduced backlogs and delays in hearings, due to fewer problems in recognizing data on the scanned forms. If OCR scanning is expected to phase out soon, this is a lower-priority recommendation. Another suggestion is to utilize high-speed copiers to network legacy documents, avoiding OCR scanning of these altogether.

These recommendations address problem 7.4:

#### *7.4 Failures in the Scanning Process*

Avoiding errors in how scanners recognize data is essential to efficient workflow and timely scheduling of hearings and decisions.

Better scanners will also free up staff time currently spent on scanning. This process improvement is likely to free up valuable PY resources and enable PYs to be redirected to more essential roles.

### **8.4.2 Centralize Scanning at Key Regional Locations**

Centralizing scanning and removing it from some, if not all, DWC district offices may provide major cost benefits, as suggested by one large firm interviewed. It would improve both office workflow and clerical job satisfaction (important to staff retention during a hiring freeze). Documents would be uploaded more quickly using professional scanning technicians and equipment. A centralized scanning location could accept postal mail and courier receipt of documents. Two State of California agencies, the Franchise Tax Board and the Employment Department, possess central scanning locations but do not have capacity to partner with DIR for scanning until the beginning of FY 2013/14. At that time, they may be in a position to share facilities, if the costs and benefits warrant such an approach. If so, up-front investment in expensive equipment could be minimized.

If the centralized scanning approach is not feasible, upgrading district office scanners should be more strongly considered.



This recommendation addresses problem 7.4:

#### *7.4 Failures in the Scanning Process*

Centralizing scanning would eliminate many failures in scanning at district offices among changing and semi-trained staff members using inexpensive machines prone to character-recognition failure. This recommendation would greatly increase staff efficiency and speed up the workflow of district offices as a result.

### **8.5 Upgrade and/or Further Customize Cúram to Add Functionality**

Cúram software for claims adjudication and calendaring is a major front-end for EAMS, forming the core component that e-filers and DWC staff experience most often. Cúram still requires significant enhancements and fixes to be more useful. Change requests need to be further analyzed and addressed and certain customizations increased in priority order. It should be noted that technical staff resources to improve EAMS require increased PY allocation, and therefore, an exception to the current hiring freeze.

Cúram's already-released versions 5.2 and version 6.0 may solve some user problems. Statements of direction and technical demonstrations would help to determine this. Cúram marketing materials show that a major upgrade in business intelligence (reports and data warehouse capability) is realizable with Cúram version 6.0, for example.<sup>17</sup>

This recommendation potentially addresses problems 7.2, 7.7, 6.1.2 and 6.2.1:

#### *7.2 Gaps in Cúram's Case Management Functionality*

Most of the gaps in case management support for workers' compensation industry purposes are unlikely to be targeted in the next releases of Cúram software, based on the information that is known today. However, these new version releases may address several issues of concern to users, if the cost justifies the benefit. The major new release, version 6.0, will cost DWC additional funds, while the minor 5.2 release is covered by current support-fee structures invoiced through the Deloitte Consulting contract as it is currently set up.

#### *7.7 Failures in Reports*

As Cúram's version 6.0 is planned to include better reporting features for end users, the upgrade should be weighed and the cost/benefit determined, in case it warrants adoption.

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<sup>17</sup> It was not possible within the time frame of this assessment to arrange a technical demonstration from Cúram due to their sales team's schedule constraints, nor could technical details of future releases be released due to Cúram copyright-protection rules.



### 6.1.2 Inadequate Requirements Analysis and Customization Reduce Usability

Upgrading to future versions of Cúram may provide aspects of functionality that reduce the need for DIR to customize the product, although most change requests currently awaiting resources are unlikely to be fulfilled by standard upgrades of a general nature.

### 6.2.1 COTS Limits Potential for Customization and User Satisfaction

Certain improvements expected in the upgrade to future releases of Cúram software used in EAMS should improve user satisfaction, including better “business intelligence” functionality. Also, typically, software bugs and other irritants are smoothed out in successive versions of packaged software products, and Cúram should be no exception.

## 8.6 Consider Alternatives for Key System Components

### 8.6.1 Consider Other COTS Solutions for Case Management Functions

Switching to new case management software could be considered. While it is likely that users would be on hold for years longer before realizing the benefits of alternative solutions, it might prove worthwhile to research:

- What are the current market offerings and custom-built systems in use by other court systems within and external to California?
- Do alternative best-of-breed solutions exist with greater functionality and relevance to replace components of EAMs **at an acceptable cost and time to implement?**

Users would appreciate a better match for workers' compensation case management and note that legal software has evolved in the last half-dozen years.<sup>18</sup>

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<sup>18</sup> Interviewed users stated the following:

- The State Personnel Board is using a custom-built, user-friendly system, though smaller in volume.
- The huge federal court system, Pacer, though not proprietary, is quite good. They are not using FileNet but another method. DWC is licensed to use Pacer across the internet for federal cases that impact us.
- DMV's custom solution is worth looking at; it is higher-volume than SPB, though less complicated than ours.
- The Administrative Office of the Courts is implementing a very major computer system for case management and calendaring involving the trial level of the Superior Courts of the State of California. The U.S. Eastern District Bankruptcy Court is a model for electronic filings.
- Florida has built a paperless court management system of good repute.
- The federal Social Security (SSA) system might be more aligned to DWC.



Both alternative COTS and custom-built solutions were mentioned, including systems in use by other courts in California. Users noted that there would be many similarities, involving court documents, signatures, documents input and processing, even though such systems cater to a different kind of law.

It is vital to find better solutions to improve user workflow, from either further Cúram customization or other solutions. Switching away from Cúram may stretch the good faith of users while they await gap analysis and customization of a new product, however. It would take three or more years to fully implement an alternative, in all probability, due to the need to analyze the gaps fully, address them with design changes and customize the product, and to perform data conversion and testing cycles as necessary.

This recommendation addresses problem 7.2, and may also assist with the learning curve in the longer-term.

### *7.2 Gaps in Cúram's Case Management Functionality*

A better software solution to support workers' compensation case management would be appreciated by users, if alternatives are assessed and found worthy to replace Cúram, capable of justifying the change of direction and the extra cost and time required.

#### **8.6.2 Consider Alternatives to FileNet**

As more than 20% of user discomfort with EAMS expressed in this study can be traced to FileNet weaknesses in indexing and organization of documents, a better solution for file management could be investigated. Alternatives to any system component require analysis to clearly show the cost/benefit basis on which they should be considered.

This recommendation addresses problem 7.5: *FileNet Issues*.

### **8.7 Expand e-Filing Access to EAMS**

If filing using electronic forms ("e-filing") is best for most users to upload documents in EAMS, it is recommended that ways be found to expand access to this method. Having a more uniform method of uploading information would enable EAMS to achieve its vision

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- Appellsoftware.com specializes in case management for law firms that do this kind of law; it is well thought-out and user-friendly. Generally, a system that contemplates case management for legal-type cases will be a better fit than one created for social services (Cúram).
  - Legal-based software in general, including some civil-case type software, is suitable. What judges need vs. what attorneys need in such a system is fairly similar: a document management and calendaring program, with a task feature for workflow set-up and monitoring. All these now are standard features. Submitting things electronically, which Cúram tries to do, can be found in other COTS used today.



of being a truly integrated platform for case management information and reduce the number of documents loaded in by scanning. Many problems occurring for users today would be mitigated if e-filing could eclipse OCR scanning altogether. Documents that are summarized, coded and transmitted using different technologies make it difficult to pull information together into a contextual whole.

E-filing confers benefits to users by providing useful online access to:

- case file information and lists of parties associated to a case
- documents (that can be viewed) submitted by parties to a case
- information on liens and lien claimants
- a history of events in the case, such as hearings, and details such as judge assignment

If Cúram is retained and licensing for it can be decoupled from access to e-filing, users will benefit greatly. Uploading of electronic forms into EAMS is a switch many users would like to make who are frustrated with the cumbersome aspects of scanning. This would not only enable many users to switch to e-filing, but would also allow technical resources to be deployed to focus on fixing glitches experienced by external users. As noted by one internal user:

We need to stay the course, get people into e-filing. It will be less of a burden on our internal staff if we can do less scanning, fewer corrections, simplify the fixing of errors, rather than creating elaborate workarounds. We had planned for EAMS to be an electronic system where most documents would come in electronically. OCR was to have been an exception rather than the rule. Because the transition could not be immediate, scanning backlogs occur, but they will go down over time.

However, e-filing may not work for everyone. The smallest firms and representatives, along with unrepresented workers, may be unable to take advantage of software for electronic filing of forms. For this reason, scanning will need to be retained at present.

This recommendation addresses problems 7.3, 7.6 and 6.1.3:

### *7.3 Gaps in Accessibility due to Cúram Licensing Models*

As noted above, increasing e-filing among users will provide more direct, online information access. Users cited this as a number one priority in many interviews.

### *7.6 E-Filing Issues*

Some of the problems or glitches experienced by the current e-filer user community may be exacerbated, not solved, by increasing access. However, the demand for expanded



access should provide a justification to increase the staffing resources necessary to address these issues and glitches.

### *6.1.2 Insufficient Access Prevents EAMS' Benefits from Being Realized*

For EAMS to become a more integrated information platform for DWC case management, the older, more cumbersome and problematic method of OCR scanning should be retired when feasible, or reduced in scope. This requires expansion of e-filing to the user community, most of whom are in a position to adopt it.

## **8.8 Expand Electronic Data Interchange Options for EAMS**

Another approach to getting information into EAMS which is planned for expansion is by electronic data interchange (EDI).<sup>19</sup> The DWC is in the process of rolling out JetFiling, an EDI service available through third-party software providers which allows the transmission directly into EAMS' database of data from six frequently-used forms. JetFiling is targeting parties with high filing volumes. Instead of scanning OCR forms or processing electronic forms (e-filing), EDI transmits data as a set of electronic signals directly from one computer server to another (EAMS).

The costs for EDI limit this option primarily to large and sophisticated user firms who are prepared to set up the interchange mechanism to go from their system to EAMS. Third-party firms have been participating in building user interfaces for the JetFiling solution. If Cúram licensing for more e-filers and Cúram functional enhancements prove too costly to achieve in the near- to medium-term, EDI may be an option to prioritize.

DIR's technical team plans to expand JetFiling to all 26 commonly-used forms, following the six-form pilot. However, JetFiling is simply another data filing method and does not come with the online access to Cúram's case viewing and calendaring functions available to e-filers today. Access to EAMS online to gain Cúram functionality is still of interest to large firms who adopt JetFiling.

The benefits of advanced electronic information exchange are that information is uploaded directly and in an error-free manner, having been checked for errors at the source by the computer system of the sending organization. This does, however, require financial resources, as it represents the most technically complicated solution. Third-party vendor services must be retained to facilitate data interchange directly into EAMS' underlying database (though large, sophisticated firms would be in a position to do this for themselves).

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<sup>19</sup> EDI is not a new technology; it was the platform for an older DWC data transmission method used prior to EAMS, called Electronic Data Exchange (EDEX).



Promoting an open toolkit using XML or HTML and providing **lower-cost ways to adopt such direct methods would benefit users**, including large firms who seek the ability to upload data directly from their own sophisticated database systems into EAMS.

Each information upload method has its merits: scanning may remain the best—and cheapest—method for uploading legacy documents into EAMS for now, while e-filing will be favored by small- and medium- sized firms. JetFiling is aimed at larger bulk-filing firms. EAMS will have to support the range of stakeholders' needs to achieve its purpose.

This recommendation addresses problems 6.1.3:

### *6.1.3 Insufficient Access Prevents EAMS' Benefits from Being Realized*

JetFiling could become a viable alternative to e-filing for firms sophisticated enough to have their own computer system for case management and perhaps for a wider audience if third-party vendors can provide interface systems for a subscription price. Direct data transfer is less cumbersome than e-filing of forms, providing instantaneous error-checking and seamless updates into EAMS. Information integration goals will be advanced by such methods for those who find them suitable, once all of the datasets are created for the 26 DWC forms and any other documents requiring frequent upload.

As this method uploads data using standard tags for data transmission between a user system and EAMS, it fosters seamless data integration, as no forms are involved.

## **8.9 Increase Staffing to Better Support EAMS**

### **8.9.1 Add Staffing for Technical Positions to Fill Urgent Openings**

There are many unfilled PYs within DIR's technical division that were planned for EAMS which impact user support, training and the ability to enhance system functionality. A total of 31 positions were requested for EAMS, and of these, only 12 were filled, and 3 staff departed; their positions cannot be filled due to the hiring freeze and lack of budget change proposal (BCP) approval. Thus, there are only nine positions filled at present. EAMS' technical support unit in particular has three vacancies and currently only a three-member team, including a Cúram specialist, a database person and a FileNet expert. This is insufficient to adequately support a system of this size and complexity. To address EAMS' backlog of change requests alone, a staff of five is estimated to be required. Addressing users' needs for training and support along with change requests would require a total of 6.5 PYs for currently unfilled positions, according to DIR estimate. The cost to fill a technical position (including benefits) is \$90,000 to \$120,000 per PY. (An Information Systems Analyst PY is just over \$100,000.)

As certain features and components of EAMS are replaced or upgraded over time, technical team members are needed both to maintain and to transition old components in favor of new ones. Most critically, positions need filling to be able to analyze



requirements in detail, design improved solutions and convert data, and then test and rollout new components.

These needs for staff are not unplanned or unexpected. Staffing levels were planned to be filled at a greater capacity than has proved possible. Achieving more of the full complement of staff originally envisioned for EAMS is of the highest priority, not just to address the backlog of important change requirements and training needs, but to better communicate with both external and internal stakeholders and increase system capacities over the long-term.

It should be noted that DWC staff are constrained in numbers also, exacerbating the difficulties of processing information quickly through EAMS. However, other recommendations for centralizing scanning (and to some extent, increasing training), if taken, may alleviate the clerical staffing load and backlog in scanning of forms.

Planning and cost/benefit analysis for these needs is recommended to aid the DWC.

Increased technical staffing is essential to address most of the problems identified in this assessment, and while this will not in itself provide a complete solution, without more staffing, very little can be expected to change.

Solutions to problems 6.1.2, 6.2.2, 6.3.2, 7.2, 7.9.2, 7.9.3 and 7.9.4 particularly depend on increased technical staffing: to support customization of Cúram and address backlogged change requests; to increase training and user support; to better facilitate user involvement in the change process; and to improve the user experience of EAMS overall.



### **8.10 Additional Process Improvements Suggested by Users**

Users provided many helpful ad-hoc suggestions during the course of this assessment. Providing a reliable, structured communication channel for more suggestions may prove helpful.

Ideas suggested to improve business processes and/or EAMS itself include:

- Allow online access to EAMS in DIR district offices and court buildings for case participants, especially for unrepresented workers, via either mobile wireless access or an EAMS kiosk.
- If Cúram's task functionality cannot be quickly improved, put court clerks back in charge of generating tasks for judges using FileNet documents as triggers.
- Consider using MS Office for task creation, as an alternative.
- Promote the use of Adobe PDF's ability to allow e-annotation of documents for judges to quickly find essential items for review within a file (not available with Adobe Reader, but with the approximately \$300 Adobe full-flavored product).
- Make e-service of legal documents a requirement, not an option. Eliminate service by mail, or at least provide a way for OCR filers to e-serve a legal document instead of printing and service by mail. (E-filers have this ability today.)
- Allow the ability to email unstructured documents using .PDF or .TIF format, reducing scans.
- Allow controlled access to external cases for discovery, if security issues can be resolved appropriately.



## 9.0 Costing and Priorities

### 9.1 Summary of Priorities

EAMS' problems can be solved and are not unique as large system implementations go. Attempting to roll out and support a system with as many stakeholders and diverse interests as those of EAMS is a major undertaking, and the freeze on hiring has not helped.

Architectural choices made early in EAMS' planning stage now may need revisiting, as many as half of the problems faced by external users are attributable to a combination of FileNet, OCR and e-forms issues. As judges and other DWC staff are primary users of Cúram, they highlighted Cúram problems more than external users. One judge summarized it:

Of all EAMS problems, 60% can be attributed to Cúram, while 30% are due to inefficiencies with FileNet including scanning issues: time to scan; navigating the FileNet search and document list; and document retrieval time.

Alternatives to FileNet and to Cúram exist and may prove more beneficial, long-term.

For external users, getting document information into EAMS is the critical step, and their prime interest is being able to see the case information and set hearing dates online. Many of their issues relate therefore to the limited access to e-filing and the cumbersome, backlogged OCR scanning process. Training was the other priority most often cited. Using JetFiling for all forms will be an important advance, as well.

### 9.2 Prioritized List of Changes Recommended with Relative Costs

The essence of a decision is the alternatives. What costs are justified to improve EAMS, when balanced by user needs and the impact of maintaining the status quo?

The following table shows the priorities and their relative cost in terms of resources and timelines.



Change Type Required	Time/Effort and Payback Involved	Relative \$ Cost	Relative Importance
8.1 Reinvigorate Stakeholder Participation	Near-term timing; immediate benefit	Low (1 to 1.5 PY)	High
8.2 Re-scope EAMS via Value Analysis	Near-term timing; long-term benefit	Low	High
8.3 Increase User Training & Support	Near-term timing; immediate benefit	Medium (3 PY)	High
8.4 Address Scanning Backlogs	Medium-term timing, medium+-term benefits	Medium <sup>20</sup>	Medium
8.5 Upgrade/Customize Cúram	Medium-term timing, medium+-term benefits	Medium+ (3+ PY)	Medium (if retained, High)
8.6 Consider COTS Alternatives	Medium-term timing, longer-term benefits	High (easily >\$1M)	Medium (see above)
8.7 Expand e-Filing	Short-term timing, immediate-term benefits	Low	Medium to high
8.8 Expand EDI	Medium-term timing, longer-term benefits	Medium	Low to Medium
8.9 Increase Staffing	Near- to medium-term timing; immediate benefits	Medium-High	High

<sup>20</sup> Fujitsu scanners in use at one major defense firm experiencing few scanning problems cost \$8,000 each. Centralizing scanning locations within DWC regions might keep costs down in terms of this expense.



## Appendix – EAMS’ Original Goals, from the 2004 Feasibility Study

### 3.2.1 Improve Case Management to More Effectively Resolve Cases

Having complete and accurate information contributes to expeditious and predictable case resolution. Presently, need for case information by parties drives calendaring, evidentiary and adjudication demands because DWC/WCAB information systems currently provide little useful information for interested parties. For instance, most substantive case information is contained only in the paper files, which are difficult to access, as previously noted.

Lack of access to this information also contributes to scheduling delays and lost documentation and creates other challenges—including the inability to allocate scarce resources, develop and enforce workload standards, and engage in rational planning. Combined, these problems hinder DWC’s ability to adjudicate cases. In short, the opportunity exists to capture and provide better case information in a more timely and efficient manner.

The inability of the information technology systems to provide a complete case picture causes lack of uniformity in practices and procedures throughout the DWC/WCAB. For example, the information technology systems used at DWC/WCAB contain multiple case numbers, and much of the information related to a case is only contained in paper files, which are difficult to access. Non-uniformity hinders expeditious delivery of decisions and consistent, predictable case resolutions, impedes staff efficiency, and limits useful information to interested parties. In addition, users of the information technology systems know that the information their systems contain is not captured in a consistent fashion, and therefore view the data as unreliable.

In order to reduce delays, costs and increase uniformity, DWC/WCAB needs to better manage how it processes injured workers’ cases.

### 3.2.2 Improve Schedule and Manage Court Calendar to Minimize the Cost of Adjudication

DWC staff currently calendars conferences and trials using several non-integrated paper calendars. Each district office has a paper master calendar, and each judge has a separate calendar. Multiple calendars contribute to wasted calendar time and delays in resolution. The lack of a holistic view of the calendar hinders the DWC ability to utilize unexpectedly open calendar slots. For example, when a case is settled at the time of trial, the courtroom could be used for another matter. The paper calendaring system does not easily support the ability to block out when judges are unavailable due to vacations or illnesses. For attorneys who practice before multiple district offices, the lack of visibility into schedules across all DWC district offices frequently leads to double-booking, and, consequently, case continuations because the attorney could not appear at one of the district offices.

The current paper calendaring system causes staff to spend an inordinate amount of time scheduling participants because staff cannot efficiently track resources (i.e., attorneys, judges, and courtrooms) for scheduling purposes. An average of one PY per office is dedicated to calendaring duties. This includes coverage for lunch/breaks/etc. and smaller offices where the position is shared. A modern calendaring system can use parameters to automatically schedule



events, reducing the time required by clerical staff. DWC estimates that the time dedicated to this function can be reduced by 60% using a modern, enterprise-wide calendaring system.

### 3.2.3 Improve Manage Documentation Related to Cases

The opportunity exists to improve how the DWC/WCAB manages the flow of documentation through its system. As noted previously, the organization heavily relies on paper, leading to several problems:

- Documents get misplaced or lost
- Case files are vulnerable to destruction
- Staff get injured while moving paper
- Information security is not effective
- Postage costs are high for DWC/WCAB and parties to the case
- Documents are not processed expeditiously, i.e., incoming mail does not get opened in a timely manner and documents are not routed efficiently.

While the number of lost documents is very difficult, if not impossible to quantify, the number of misplaced documents can be estimated using anecdotal evidence. Based on experience, DWC estimates that for every 20 files reviewed, there is one file that contains a mis-filed document. The impact in terms of additional clerical work is evident, but the lack of appropriate information to support claims adjudication also impacts the ability for judges to make knowledgeable decisions that affect the lives of California employees.

During research for this FSR, attorneys who practice before the DWC described several instances illustrating how ineffective document management hinders the resolution of cases. One instance involved a case with a potential 100 percent permanent disability claim, arising from injuries in 1993 and 1996, where files were pulled as part of a block setting on the applicant's attorney's DOR. However, when the parties appeared at the district office for the MSC, approximately six weeks after filing the DOR, they discovered that the matter had been taken off calendar. Furthermore, the files had been shipped to the State Records Center (SRC) because a DWC clerk saw that they were more than five years old. Further delay occurred during retrieval from SRC, causing extensive trial-setting delay. This delay caused further frustration and economic hardship for the injured worker.

A second example provided by practitioners illustrates that at one DWC/WCAB district office, the staff is simply too busy, due to inadequate staffing, to open and process mail in a timely manner. Therefore, practitioners refrain from mailing anything to that district office. It is "like Russian roulette" as to whether mail will be opened in a timely fashion. At this district office, delays of six months and longer are typical, from the filing of the DOR to the MSC. If a DOR is mailed in, the case may never get set. Follow-up phone calls and in-person meetings to try to locate the file are necessary.



Current law allows a defendant 90 days to admit or deny liability, but there is no access to formal discovery until the establishment of a WCAB case with an attendant case number. A processing delay in opening case files can eliminate or curtail the period for discovery. Defendants may consequently accept cases that would otherwise be defensible or face audit fines and other penalties for unsubstantiated denials. These examples highlight a clear need for improvements in document-management tools and processes. Through the establishment of web forms, standard templates, and other “e- document” technical improvements, delays related to processing of documentation can be favorably impacted. Data can be submitted to a central data source, which can be accessed (with proper permissions) by staff without the inherent overhead engendered by the paper-based system. Document-management improvements provide an opportunity to alleviate the adverse impacts borne from case opening delays.

### **3.2.4 Deliver Mandated Services in an Efficient and Cost-Effective Manner**

The current information technology applications do not provide valuable management information upon which to make program decisions. Lack of information is caused by limited access to comprehensive program information, since the systems simply do not capture all of the necessary data relative to cases. (Most of this information is contained in the case file, but is not entered into the electronic systems.) Therefore, the opportunity exists to better capture and manage case information so DWC/WCAB executives and researchers can identify trends in caseload types, workload and other key areas to decrease the time to adjudication and the costs of the workers’ compensation system.

