

**Process Design Document (PDD)**

**SUPERIOR COURT OF CALIFORNIA**

**Document History**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Date | Version | Role | Name | Organization (Dept.) | Function | Comments |
| 13.05.2020 | 1.0 | Author | Kranti Batchala | CoE | Business Analyst | Created document v 1.0 |
| 14.05.2020 | 2.0 | SME |  | Finance & Accounting | Business Process Owner | Updated according to SME feedback |
| 15.05.2020 | 3.0 |  | Bharti Dubey | CoE | Dev/RPA Solution Architect | Updated according to Solutions Architect feedback |

**Document Approval Flow**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Version | Flow | Role | Name | Organization (Dept.) | Signature and Date: |
| **4.0** | **Document prepared by** |  |  |  |  |
| **4.0** | **Document Approved by:** |  |  |  |  |
| **4.0** | **Document Approved by:** |  |  |  |  |

**Table of Contents**

**I. Introduction**

I.1 Purpose of the Document

I.2 Objectives

I.3 Key Contacts

I.4 Minimum Prerequisites for Automation

**II. As-Is Process Description**

II.1 Process Overview

II.2 Applications Used in the Process

II.3 As-Is Process Map

II.4 Detailed As-Is Process Steps

II.5 Input Data Description

**III. To-Be Process Description**

III.1 To-Be Detailed Process Map

III.2 Parallel Initiatives / Overlap (if applicable)

III.3 In Scope for RPA

III.4 Out of Scope for RPA

III.5 Business Exceptions Handling

III.6 Application Error and Exception Handling

III.7 Reporting

**IV. Other Observations**

**V. Additional Sources of Process Documentation**

# **Introduction**

## I.1 Purpose of the Document

The Process Definition Document outlines the business process chosen for automation using Robotic Process Automation (RPA) technology.

The document describes the sequence of steps performed as part of the business process, the conditions and rules of the process prior to automation and how they are envisioned to work after automating it, partly or entirely. This specifications document serves as a base for developers, providing them the details required for applying robotic automation to the selected business process.

## I.2 Objectives

The process that has been selected for RPA is part of the larger project SUPERIOR COURT OF CALIFORNIA conducted within the Odyssey Reference Guide, Courts department.

The business objectives and benefits expected by the Business Process Owner after automation of the selected business process are:

* *Reduce processing time per item by 80 %*
* *Better Monitoring of the overall activity by using the logs provided by the robots*

## I.3 Key Contacts

The specifications document includes concise and complete requirements of the business process and it is built based on the inputs provided by the process **Subject Matter Expert (SME)/ Process Owner.**

The **Process Owner** is expected **to review it and provide signoff for accuracy** and completion of the steps, context, impact and complete set of process exceptions. The names have to be included in the table below.

|  |  |  |  |
| --- | --- | --- | --- |
| Role | Name | Contact details  (email, phone number) | Notes |
| Process SME |  |  | Point of contact for questions related to process details & exceptions |
| Process Reviewer |  |  | Point of contact for questions related to process details & exceptions |
| Process Owner/ Approver for production |  |  | Escalations, Delays etc. |

## I.4 Minimum Prerequisites for Automation

1. Filled in Process Design Document
2. Test Data to support development
3. User access and user accounts creations (licenses, permissions, restrictions to create accounts for robots)
4. Credentials (user ID and password) required to logon to machines and applications
5. Dependencies with other projects on the same environment

# **As-Is Process Description**

## II.1 Process Overview

General information about the process selected for RPA prior to automation.

|  |  |  |
| --- | --- | --- |
| # | Item | Description |
| 1 | **Process full name** | Court Filing Processes |
| 2 | **Process Area** | Courts |
| 3 | **Department** | SUPERIOR COURT OF CALIFORNIA |
| 4 | **Process short description**  (operation, activity, outcome) | The Court seeks a solution to automate the Civil and Family Law filing processes, which relies on optical character recognition (OCR) and/or artificial intelligence (AI) to classify and separate documents on intake, extract data, redact confidential case information, and navigate through the Court’s case management system performing automated data entry based on predetermined RPA stories. |
| 5 | **Role(s) required for performing the process** | SUPERIOR COURT OF CALIFORNIA |
| 6 | **Process schedule and frequency** | Daily, Monday to Friday, 9 am – 6 pm |
| 7 | **# of items processes /reference period** | ~450/ day business as usual |
| 8 | **Average handling time per item** | 3 min |
| 9 | **Peak period (s)** | Beginning of every week, when weekend orders need to be processed |
| 10 | **Transaction Volume During Peak period** | 600 |
| 11 | **Total # of FTEs supporting this activity** | 10 |
| 12 | **Expected increase of volume in the next reference period** | Volumes will increase with 20% |
| 13 | **Level of exception rate** | No expected exceptions |
| 14 | **Input data** | Envelop # cases from Odyssey E-file CA |
| 15 | **Output data** |  |

*\*Add more rows to the table to include relevant data for the automation process. No fields should be left empty. Use “n/a” for the items that don`t apply to the selected business process.*

## II.2. Applications Used in the Process

The table includes a comprehensive list all the applications that are used as part of the process automated, at various steps in the flow.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| # | Application name & version | System  Language | Thin/Thick Client | Environment/  Access method | Comments |
| 1 | Odyssey | EN | Thick Client | Windows Application | Task management |
| 2 | Odyssey E-file CA | EN | Thick Client | Windows Application | For master data and Task Management |
| 3 |  |  |  |  |  |

*\*Add more rows to the table to include the complete list of applications.*

## II.3 As-Is Process Map

**High Level Map**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\YY64J720\Untitled Diagram.png

**Detailed As-Is Process Map:**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\UGP2T9VZ\Process to be.png

## II.4 **Detailed Process Steps**

## Step 1- Robot will login both Odyssey and Odyssey E-file CA with valid credentials.

Step 2- Robot Choose Stanislaus-Family in the All Queues drop down and Click filter. All the cases waiting in the Family Law queue will appear in this window.

New cases are designated with an Envelope #

Step 3 – Opening New Cases via E-file

1. Click the “play” button to start the review of the document

3 different windows will appear-

Review the Documents-

1. Robot will review each document listed.
2. If the documents are incorrect they will be rejected at this point.
   1. Click the Cross button on the actions pallet.
   2. Select a pre-approved rejection reasons, or if they don’t fit the reason for rejection, you may type your own.
   3. Click Confirm Reject.
3. If the documents pass the review, Robot will Verify Party Information.
4. Click the Verify Parties button to view the party information
5. The Verify Parties window opens. Move this box over on the screen so the Conf. Decl. is viewable.
6. Robot will Search for the party in Odyssey.
7. If a party record is not returned, click on User Filer Info, Your party and person ID will be created.
8. If a party record is returned, and is a 3 point match, use the Person ID from the Additional Tab of the party record in Odyssey.
9. Enter the Person ID in Party Lookup by filter ID and click search button.
10. Verify the name and address that populated is correct.
11. Click Use CMS Info button.
12. Robot will repeat the steps for each party listed. Click Save once all have been verified.
13. Robot will Review Case Information and Assign a Judge.
14. Leave the Case Number blank. This is system assigned
15. Confirm the location of filing is correct Stanislaus – Family
16. Category- Family
17. Type- Should match the type of petition being filed.
18. Status- Not created (for new cases)
19. Judge- Pick the next Judge from the E-File Assignment Binder. In the judge drop down, choose the correct judge.
20. Robot Will Review envelope information.
21. Robot will Review Filer information.
22. Robot will Filing Fees
23. Review Filing Information
24. Review Process Notes
25. Robot will Review and edit Document information
26. Stamping Documents for filing.

Click on Notes icon inside Annotations Tools toolbar to add process notes to the document.

1. For File marking- Petition, Click on Stamp icon inside Annotations Tools toolbar to add the available text or image stamps options to the document.
2. For Summons-
3. Click the Stamp icon. Place your file mark in the Court Use Only box
4. Click the “Stanislaus Seal” place the image in the seal box.
5. Click your name stamp, place this on the Clerk, by line.
6. On the date line, select the docket date stamp
7. Same steps will repeat for each documents

Step 4 - Once each document has been file marked or annotation, Robot will you will accept the individual filings.

1. On the actions palette, click the Right mark icon to accept the filing. An accept comment box will appear.
2. Click confirm accept.
3. Repeat the same action through all the documents. Once the last document has been accepted, it will return you to the review queue.

Step 5 - Robot will Confirm the process.

1. Click the Review History tab .
2. Your case will then show its status, and case number assigned.
3. Enter this case number in Odyssey to confirm all documents and events were successfully updated.

Step 6 - Robot will update parties in Parties Tab

1. Open the Confidential Declaration PDF in Odyssey
2. Move the viewer window to your other monitor
3. Update the party information provided for the Petitioner and Respondent
4. Save your case

## II.5 Input Data Description

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Step | Sample  (Print-screen) | Input type | Location | Inputs are standard? (Yes/ NO) | Inputs are structured? | Data to be used from |
| 1 | See Envelope #  cases | Screen | n/a | YES | YES | Document Display Window  Case Information section  Attachment Window |

# **To-Be Process Description**

This chapter highlights the expected design of the business process after automation.

II.1 **High Level Process Map**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\7M32L945\Untitled Diagram.png

2 **Initialization Map**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\7M32L945\Initialization1.png

3. **Data Acquisition Map**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\7M32L945\DataAcquistion2.png

4. **Process Data Map**

C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\UGP2T9VZ\Copy of Untitled Diagram.png

**End Process Map**

*C:\Users\bdubey\AppData\Local\Microsoft\Windows\INetCache\IE\7M32L945\End process.png*

*\*Mention below if process improvements were performed on the To-Be design and detail them*

## III.2 Parallel Initiatives/ Overlap (if applicable)

This chapter captures the proposed Business, Process & System changes in near future and its impact

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| S. No | Initiative Name | Process Step(s) where it is identified | Impact on current automation request? How? | Expected Completion Date | Contact person for more details |
|  | n/a |  |  |  |  |

## III.3 In Scope for RPA

The activities **in scope of RPA**, are listed here:

## III.4 Out of Scope for RPA

The activities **OUT of scope of RPA**, are listed here:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Sub-process  (if case) | Activity (step) | Reasons for Out of Scope\* | Impact on the To-Be | Possible measures to be taken into consideration for future automation |
| 1.1 |  |  |  |  |

*\*Add more rows to the table to reflect the complete documentation provided to support the RPA process.*

## III.5 Business Exceptions Handling

The Business Process Owner and Business Analysts are expected to document below all the business exceptions identified in the automation process. These can be classified as:

|  |  |
| --- | --- |
| Known | Unknown |
| Previously encountered. A scenario is defined with clear actions and workarounds for each case. | New situation never encountered before. It can be caused by external factors. Cannot be predicted with precision, however if it occurs, it must be communicated to an authorized person for evaluation. |

#### Known Exceptions

The table below reflects all the business process exceptions captured during the process evaluation and documentation. These are **known exceptions,** met in practice before. For each of these exceptions, define a corresponding expected action that the robot should complete if it encounters the exception.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **BE #** | **Exception name** | **Step** | **Parameters** | **Action to be taken** |
| 1 | Product out of stock | n/a | Product code | Ignore error, press the Continue button, fill in the data and Save. |

#### Unknown Exceptions

For all the other **unanticipated or unknown business (process) exceptions**, the robot should:

Send an email notification and error message screenshot attached.

## III.6 Application Error and Exception Handling

A comprehensive list of all errors, warnings or notifications should be consolidated here with the description and action to be taken, for each, by the Robot.

Errors identified in the automation process can be classified as:

|  |  |  |
| --- | --- | --- |
| Area | Known | Unknown |
| Technology/  Applications | Experienced previously, action plan or workaround available for it. | New situation never encountered before or may happened independent of the applications used in the process. |

#### Know Errors or Exceptions

The table below reflects all the errors identifiable in the process evaluation and documentation.

For each of these errors or exceptions, define a corresponding expected action that the robot should complete if it is encountered.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Error name** | **Step** | **Parameters** | **Action to be taken** |
| 1 | Application Crash / Internal Server Error | Any step | Error message | Recover & retry for maximum 3 times  Close the applications and run the sequence again |

#### Unknow Errors and Exceptions

For all the other **unanticipated or unknown application exceptions/errors**, the robot should:

Send an email notification at expected and error message screenshot attached.

## III.7 Reporting

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **#** | **Report type** | **Update frequency** | **Details** | **Monitoring Tool to visualize the data** |
| 1 | Process logs | Daily | How many times was this process run since the beginning of the month and what was the average run duration? | Kibana |
| 2 | Process logs | Monthly | How many robots worked on this process per each month? | Csv file posted daily on sharedrive |
| 3 | Transaction logs | Daily | How many transactions were run by this process since the beginning of the month and what was the average transaction duration? | Kibana |
| 4 | Error logs | Daily | Average number of errors by type per day | Kibana |
| 5 | Error logs | Daily | All errors per month grouped by type | Csv file posted daily on drive |

## **Other Observations**

Include below any other relevant observations you consider needed to be documented here.

*Example: Specific Business monitoring requirements (audit and reporting) etc.*

## **Additional Sources of Process Documentation**

If there is additional material created to support the process automation please mention it here, along with the supported documentation provided.

|  |  |  |
| --- | --- | --- |
| Additional Process Documentation | | |
| Video Recording of the process [Optional] |  | Insert any relevant comments |
| Standard Operating Procedure (s)  (Optional) |  | Insert any relevant comments |
| Business Logic Translation Table  (Optional) | Insert link to Business Logic Translation Table | Insert any relevant comments |
| Other documentation  (Optional) | Insert link to any other relevant process documentation (L4, L5 process description, fields mapping files etc.) | Insert any relevant comments |