Law Matter Management (Refresh)

Technology Blueprint

Enterprise Architecture

September 23rd , 2020

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Acknowledgements

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HBR Consulting	Cesar Callao, Richard Riefke	7/22/2020 7/26/2020

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1. **Executive Summary**
2. Concept Definition & Model Framework
3. Requirements & Environmental Analysis
4. Current & Future State Architecture Models
5. Architecture Solution Analysis
6. Roadmap
7. Recommendation
8. Appendices

Law Matter Management: (September 2020 Refresh)

Project Name	Changes
Law Matter Management	**Refresh Scope for September 2020 ARB -** • Addition of WCI (Workspace creation interface) hardware to allow users to create workspaces in NetDocuments via a web page exposed within NetDocuments.

Key Takeaways

What is it?

- Law matter management system to replace legacy tool to perform case management tasks and integrate with current E-Billing tool.

Why are we doing it?

- Law Department will be able to conduct case management tasks effectively and efficiently.
- Improve efficiency in matter creation and management, resulting in reduced processing time for Law staff

What is changing?

- New cloud-based solution NetDocuments for supporting Law Department activities.
- Addition of WCI (Workspace creation interface)to allow users to create workspaces in NetDocuments via a web page exposed within NetDocuments.
- Retire and Archive existing Law matter management system Practice manager.

* Five prime strategies are: trusted advisor to our customers, grow membership, transform care through provider partnerships, disciplined stewards of our financial resources, and great place to work.

Our strategy is to become the most affordable, high quality health plan for all Californians

Our North Star

To create a healthcare system that is worthy of our family and friends and sustainably affordable.

How we'll get there

- Create a personal, high-quality experience
- Serve more people
- Be financially responsible
- Be a great place to do meaningful work
- Stand for what's right

Who we are

Human. Honest. Courageous.

Executive Summary

What	Develop a technology blueprint to implement solution for law matter management system.
Prerequisites	**Security Assessment:** Approved | **Privacy Office:** Approved | **Enterprise Data Governance:** Pending | **Funding Source:** Strategic

	Current State Architecture	Future State Architecture
User Experience	**Users:** Attorneys, Regulatory Specialist, Support Staff **Channels:** Desktop Client of AutoMon Practice Manager **Omni-channel Services:** NA	**Users:** No Change **Channels**: **(New)** Desktop client of NetDocuments, **(Retire)** Automon client, **(New)** Web UI **Omni-channel Services:** (**Expand**) IAM: SSO (Ping Federate)
Applications	**Law Matter Management Systems** • Legal Self Services- Manuel, Practice Manager • Reporting – Practice Manager (on-premises) • Billing Management – Legal Tracker (Serengeti/SaaS) • Matter Management – Practice Manager (on-premises) • Document Management – Practice Manager (on-premises)	**Law Matter Management Systems** • Legal Self Services- **(New)** NetDocuments • Reporting- **(New)** NetDocuments • Billing Management – **No Change** • Matter Management – **(New)** NetDocuments, **(Retire)** Practice Manager • Document Management – **(New)** NetDocuments, **(Retire)**Practice Manager
Integration & Interoperability	**B2B Integration:** (Gap) **Application Integration**: N/A **Data Integration:** N/A **Common Integration**: NA	**B2B Integration: (New)** Legal Tracker (Serengeti) Cloud to NetDocuments – Dell Boomi **Application Integration**: N/A **Data Integration:** N/A **Common Integration**: NA
Data	**Layer 1:** Legal Repository - Practice Manager, Emails Repository, Litigation Billing - Legal Tracker (Serengeti)	**Layer 1:** Legal repository - **(New)** NetDocuments, **(No Change)** Emails, **(No Change)** Repository Litigation Billing - Legal Tracker (Serengeti)
Infrastructure & Security Foundation	**Compute:** NA	**Compute:** (**Expand**) Linux VMs (Staging) **Storage:** (**Expand**) Evault, Optim (Archiving Practice Manager)

Dependencies	None
Key Next Steps	1. Complete formal Security Risk Assessment. **Owner**: IT Information Security 2. Readiness of staging environment for Practice manager migration. **Action Step Driver:** IT Infrastructure Services 3. On-prem Practice manager components for matter, document and reporting must be extracted and stored in designated repository. **Action Step Driver:** IT Infrastructure Services 4. Refresh technology blueprint to address additional requirements for phase II . **Action Step Driver:** Enterprise Architecture.
ARB Decisions	1. Reviewed and validated key business requirements. 2. Directionally approved roadmap key next steps.

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Law Matter Management: Business Capability Model

Primary Impact

Secondary Impact

Customer Experience Mgt

Constituent Mgt

knowledge management	education management
customer satisfaction	inquiry management

Channel Mgt

IVR/VRU/telephony	video	social networking	wearable device
web	IM & SMS	mobile	chat

Omni-Channel Mgt

UX design & human factor management	customer profile management
unified communications & collaboration	multilingual support
touch-point history	search

Business Development & Product Mgt

Product Mgt

- develop product strategy
- design products
- manage specialty services
- manage funding accounts
- build products and formulary
- implement and manage product

Sales Mgt

- manage leads and opportunities
- manage proposal / quoting
- manage sales accounts
- manage producer services
- manage internal sales
- manage sales artifacts
- sales process services
- underwriting

Marketing Mgt

- develop marketing strategy
- conduct research & analysis
- manage campaigns
- manage outreach
- manage communications
- manage brand

Provider Network Mgt

Network Mgt

- develop network strategy
- build networks
- maintain networks

Provider Mgt

- contract providers
- define provider payment structure
- credential providers
- manage provider relations
- manage provider performance & incentives
- manage provider payment processing

Health Mgt

Healthcare Mgt

- manage care experience
- manage wellness and incentive programs
- identify member needs and triage
- care management
- disease management
- utilization management
- social services
- manage healthcare practice

Healthcare Quality Mgt

- define quality metrics
- measure and report on healthcare quality
- implement quality improvement programs

Medical and Medication Policy Mgt

- manage policy economics

Benefit Mgt

Enrollment Mgt

- manage enrollment intake
- setup and maintain groups
- setup and maintain members
- verify eligibility
- design collateral
- distribute collateral
- initiate initial premium bill

Billing & Payments Mgt

- generate bills
- distribute bills
- process payments

Appeals & Grievances Mgt

- manage appeals
- manage grievances

Ongoing Member Maintenance

- manage account
- maintain eligibility
- manage renewals
- manage termination

Claims Mgt

- receive and route claims
- review claims
- price claims
- pay claims
- manage post payment
- manage accumulators

Provider Selection Mgt

- identify provider choices
- select provider for service

Common Business Capabilities

Human Capital Mgt

- talent acq
- talent mgt
- HR info & rpt
- benefits
- payroll & exp
- employee rel
- internal comm.
- HCM pln & strat

Analytics Mgt

- common analytics
- advanced analytics
- real-time streaming analytics
- AI & machine learning

BPM

- business process foundation
- business unit application

Innovation Mgt

- product strategy
- idea mgt
- partnership mgt
- prototype dev.
- pilot mgt

Finance Mgt

- a/p & exp
- rcv & coll
- acctng & rpt
- FP & A
- treasury & capital mgt
- tax mgt
- Ent. planning

Actuarial Srvcs

- product pricing
- corporate actuarial
- revenue mgt analytics
- network analytics

Enterprise Architecture

- bus. arch
- info. arch
- app. arch
- infras.. arch

IT Mgt

- app mgt
- info mgt
- shared services
- infras. mgt

Security

- sec arch
- sec ops
- sec mgt

Audit, Risk, & Compliance Mgt

- corporate compliance
- manage FWA ops
- General counsel
- internal audit

PMO Mgt

- prog & proj delivery
- portf prn & resource plng
- stakeholder mgt
- change mgt

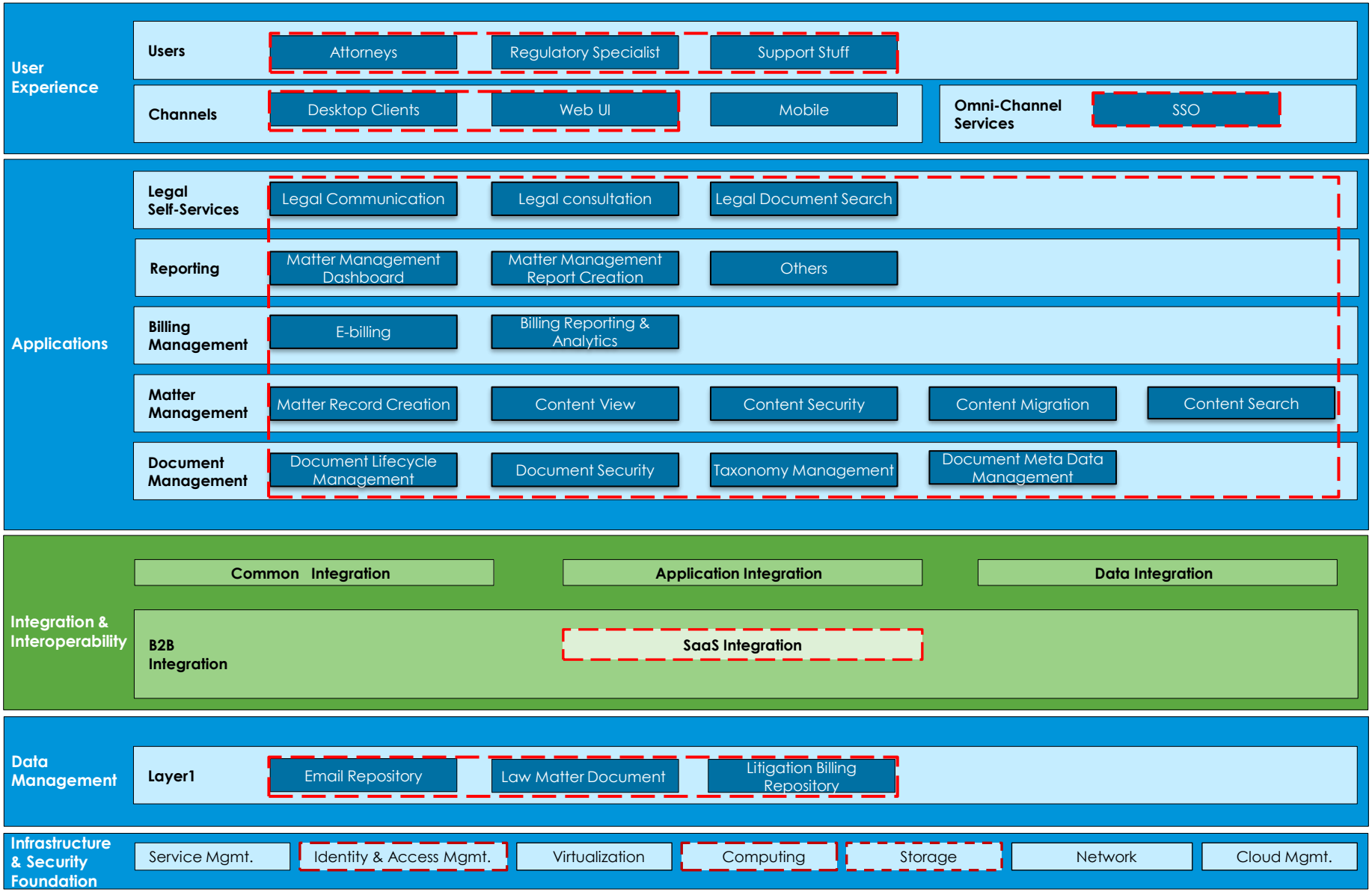
Ent Sourcing & Supplier Rel Mgt

- enterprise sourcing (suppliers)
- supplier relationship mgt

Corp Mgt

- facilities mgt
- general counsel
- corp comm
- public relations
- mergers & acquisitions
- mandates control

Law Matter Management: Conceptual Model



Law Matter Management: Definitions

Term	Definition
Content	Legal documents, including files, templates, emails, meeting notes, etc.
Taxonomy	A hierarchical structure of information components, any part of which can be used to classify a content item in relation to other items in the structure.
Enterprise Content Management	Is a formalized means of organizing and storing an organization's documents, and other content, that relate to the organization's processes. The term encompasses strategies, methods, and tools used throughout the lifecycle of the content. It includes Document Management, Web Content Management and Records Management.
Document Management	Document management, in this context, refers to document management systems in the narrow sense of controlling documents from creation to archiving.
Document Repository	Ability to store, version and preserve content in a database and file system.
Metadata Management	Metadata is a set of fields and values used to describe and categorize content and managed objects.
Document Workflow Management	Workflows can be implemented as solutions, with which users interact, or engines, which act as a background service within the ECM. Either way, workflow automates content management-oriented business processes allowing work to be shared (directed) efficiently.
Document Security	Electronic signatures, digital rights management , watermarking , encryption and enterprise rights management are forms of content security. Content Security improves confidentiality, integrity, availability and non-repudiation. These security technologies are available to all ECM components.
Matter Management	A practice of managing the records of a matter and the related documents throughout their life cycle, from the time they are created to their eventual disposal. This includes creating, classifying, storing, securing, retrieving, tracking and destroying or permanently preserving matter records and their documents.
NetDocuments	NetDocuments is a cloud-based document and email management service that provides enterprise-level security, mobility, disaster recovery, and collaboration solutions for organizations with high data security requirements, such as law firms, financial institutions, and insurance industries.
WCI	WCI (Workspace creation interface) allows users to creation workspaces in NetDocuments via a web page exposed within NetDocuments.

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Law Matter Management: Business (Functional) Requirements

Business (Functional) Requirements

Practice Manager Data Migration

- The business needs a new Legal Matter Management system that will allow the Law Department to be able to perform their case management tasks more efficiently.
- The solution must have the ability to migrate documents using a NetDocuments administration account.
- The solution must have the ability to have an administrator at the repository level and be an interactive account that will be non- federated.
- The solution must have the ability to store documents in the repository for the Law Department.
- The solution must have the ability to extract raw data from Practice Manager to NetDocuments.
- The solution must have the ability to populate the correct form fields from Practice Manager into a staging environment.
- The solution must have the ability to provide a physical machine for staging environment.
- The solution must have the ability to refresh extracted data as requested.
- The solution must have the ability to be repeatable.
- The solution must have the ability to remote into the staging hardware.
- The solution must have the ability to install tools in the staging environment.
- The solution must have the ability to give HBR local admin rights.
- The solution must have the ability to maintain performance internet connection to NetDocuments data center.
- The solution must have the ability to maintain performance metrics for internet connections.
- The solution must have the ability to access SQL Server.
- The solution must have the ability to execute migration utilities from within staging environment.
- The solution must have the ability to host the data in a secure and compliant form.
- The solution must have the ability to replicate the same set of meta data within the document.
- The solution must have the ability to reproduce Practice Manager functionality for managing documents.
- The solution must have the ability to produce reports that matches Practice Manager data with the same NetDocuments data.
- The solution must have the ability to produce statistical reports that include Practice Manager and NetDocuments metric data.
- The solution must have the ability to remove/decommission Blue Shield staging environment.

Law Matter Management: Business (Functional) Requirements

Business (Functional) Requirements

Practice Manager App Retirement

- The solution must extract and later archive all matter record details from Practice Manager.
- The solution must allow users to define prompts (search criteria and filters) to use when retrieving archived records.
- The solution must include ad hoc reporting abilities and a canned report.
- The solution must allow business to run ad hoc queries.
- The solution must include a link(s) to associated supporting documentation for matters in report output.
- The solution must give users the ability to search for unstructured data, supporting documentation, without a report.
- The solution must support the business decision to retain all data indefinitely
- The solution must retain all data indefinitely whether a matter has data related to a legal hold.
- The solution must not archive Practice Manager data that are duplicative and not needed to understand Records in the application source of truth.
- The solution must decommission the Practice Manager application from all business and IT activities.
- The solution must archive available application security logs that are not already archived. Logs must be retained for 6 years.
- The solution must limit the view of archived data according to the appropriate user role.
- The solution must create a new security group for the legal department, BSC:LAW.
- The canned report must contain matter name, matter type, case number, law type, law name, jurisdiction, status date, case open date, case closed date, entity type, parent organization.

Law Matter Management: Business (Functional) Requirements

Business (Functional) Requirements

NetDocuments Functionalities

- The solution must have the ability to integrate Microsoft Office and Acrobat Pro with NetDocuments.
- The solution must have the ability to establish an electronic workspace in NetDocuments.
- The solution must have the ability to display audit trail of documents from beginning to end.
- The solution must have the ability to conduct advanced searches in NetDocuments.
- The solution must have the ability to place emails in NetDocuments.
- The solution must have the ability to create, add, delete and change workspaces.
- The solution must have the ability to access NetDocuments from BlueShield laptops and desktops.
- The solution must have the ability to generate metrics on usage of documents.
- The solution must have the ability to access dashboard views for reports.
- The solution must have the ability to keep local copies of documents on hard drive (Echo folder).
- The solution must have the ability to send secure email links embedded within documents.
- The solution must have the ability to send shared documents with external clients.
- The solution must have the ability to individually secure documents.
- The solution must have the ability to confidentially handle and store PHI data.
- The solution must have the ability to dispose of documents at the end of the retention process.
- The solution must have the ability to manage data retention, preservation, archival and disposition.
- The solution must have the ability to integrate with Excel, Outlook, Word and PowerPoint.
- The solution must have the ability to preserve documents under legal hold.
- The solution must have the ability to store documents on the local desktop.
- The solution must have the ability to provide predictive email filing.
- The solution must have the ability to provide folder mapping.
- The solution must have the ability to file and retrieve emails.
- The solution must have the ability to create and/or configure existing fields in Practice Manager in new legal matter including templates.
- The solution must have the solution must have the ability to import documents from SharePoint drive into NetDocuments.
- The solution must have the ability to import documents from SharePoint drive into NetDocuments.
- The solution must have the ability to import documents from the Network drive into NetDocuments.

Law Matter Management: Business (Functional) Requirements

Business (Functional) Requirements

NetDocuments Functionalities

- The solution must have the ability to add secure document links into Service Market Place.
- The solution must have the ability to route matter information from NetDocuments to the Legal Tracker administrator.

Approved via email
Jim Hinrichsen, Sr. Manager
Corporate Integrity & Risk Management, 7/23/2020

Law Matter Management : High Level Requirements

Information Requirements	• Support for data management for both structured and non-structured data, including data lineage & traceability, data enrichment, and integrated data repository. • Support for defining and maintaining metadata and eventually share metadata with authorized personnel. • Support for master data management to ensure the uniformity, accuracy and semantic consistency and accountability of enterprise shared master data assets. • Support for data quality management activities to ensure data accuracy, accessibility, comprehensiveness, consistency, currency, definition, granularity, precision, relevancy and timeliness. • Support for database technologies, such as RDBMS, NoSQL, others.
Application Requirements	• Support for various customer-facing digital channels, including web, mobile, messaging, IVR, Chatbots, AR/MR/VR, Wearables/IoTs, and other emerging digital channels • Support for BSC brand requirements, including white-labeling, cascading style sheets • Support for SSO (single sign-on) integration for digital channels, using open standards • Support for personalization and its implementation (rules engine-based, AI/ML-based, Omni-channel hub, etc.) • Support for inbound & outbound data integrations via APIs (REST, SOAP, etc.), streaming, batch/data feeds
Technology Infrastructure Requirements	• Ensure technology versions must be either current (N) or one behind current (N-1) release for effective vendor support • Support backup/recovery, archival and disaster recovery (DR) capabilities for the data and application platforms to ensure business continuity • Ensure the technologies meet scalability, performance, availability, and reliability requirements • Support platform agnostic and open architecture standards • Environments should be monitored 24X7X365 and technical support maintenance of the software, security and infrastructure (patches/fix packs)
Security Requirements	• For on premise, follow BSC security polices, standards, patterns and controls. • Services should be HiTrust and HIPAA compliant • Data should be encrypted at rest and motion including support data Loss prevention • Security monitoring and auditing of access to information sources • Identity and Access management to systems such as software, server, databases, endpoints etc.. Leveraging Mulit-factor authentication, Oauth and Open ID support; SAML, Authorization policy management and User provisioning standards

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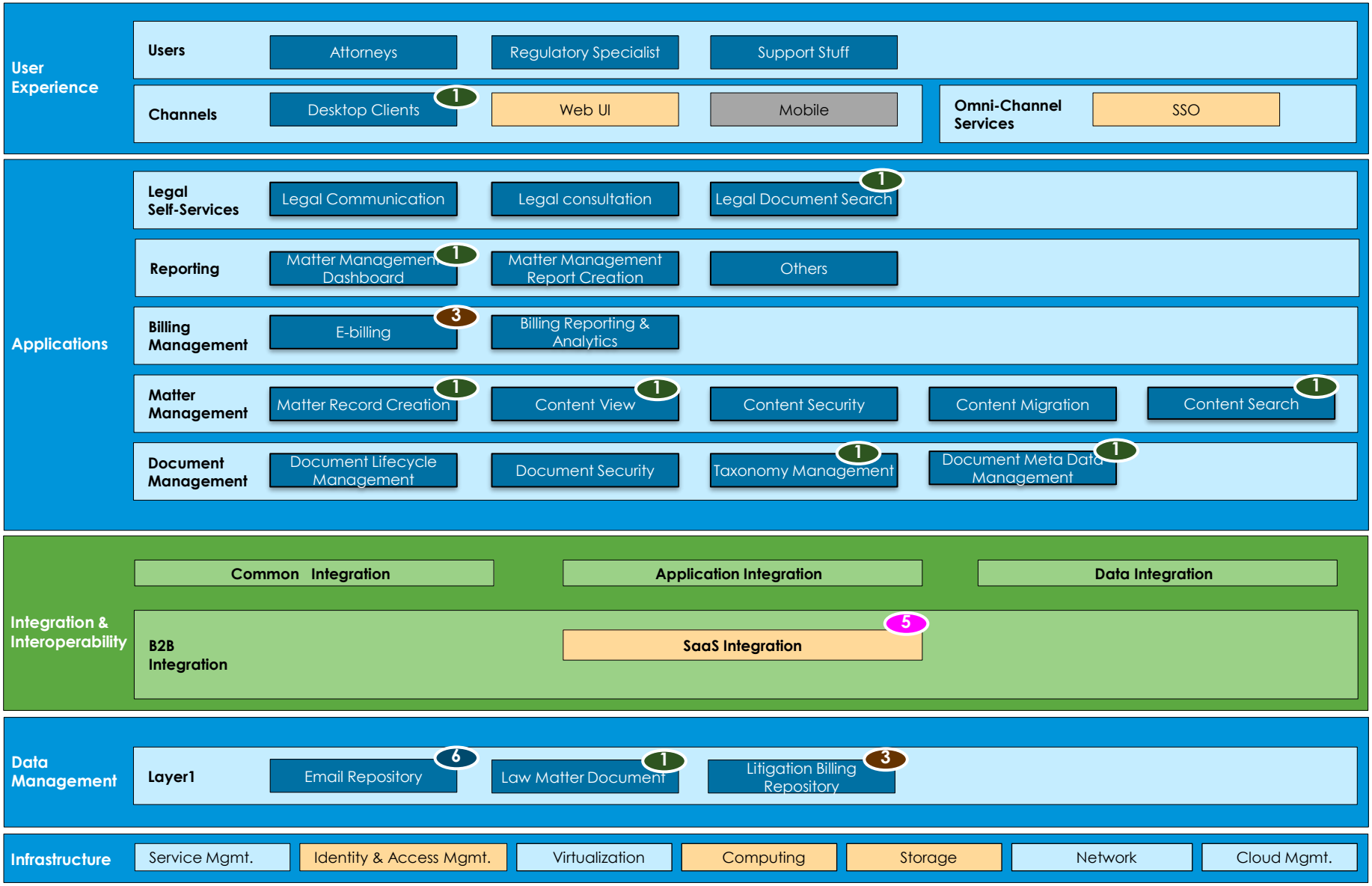
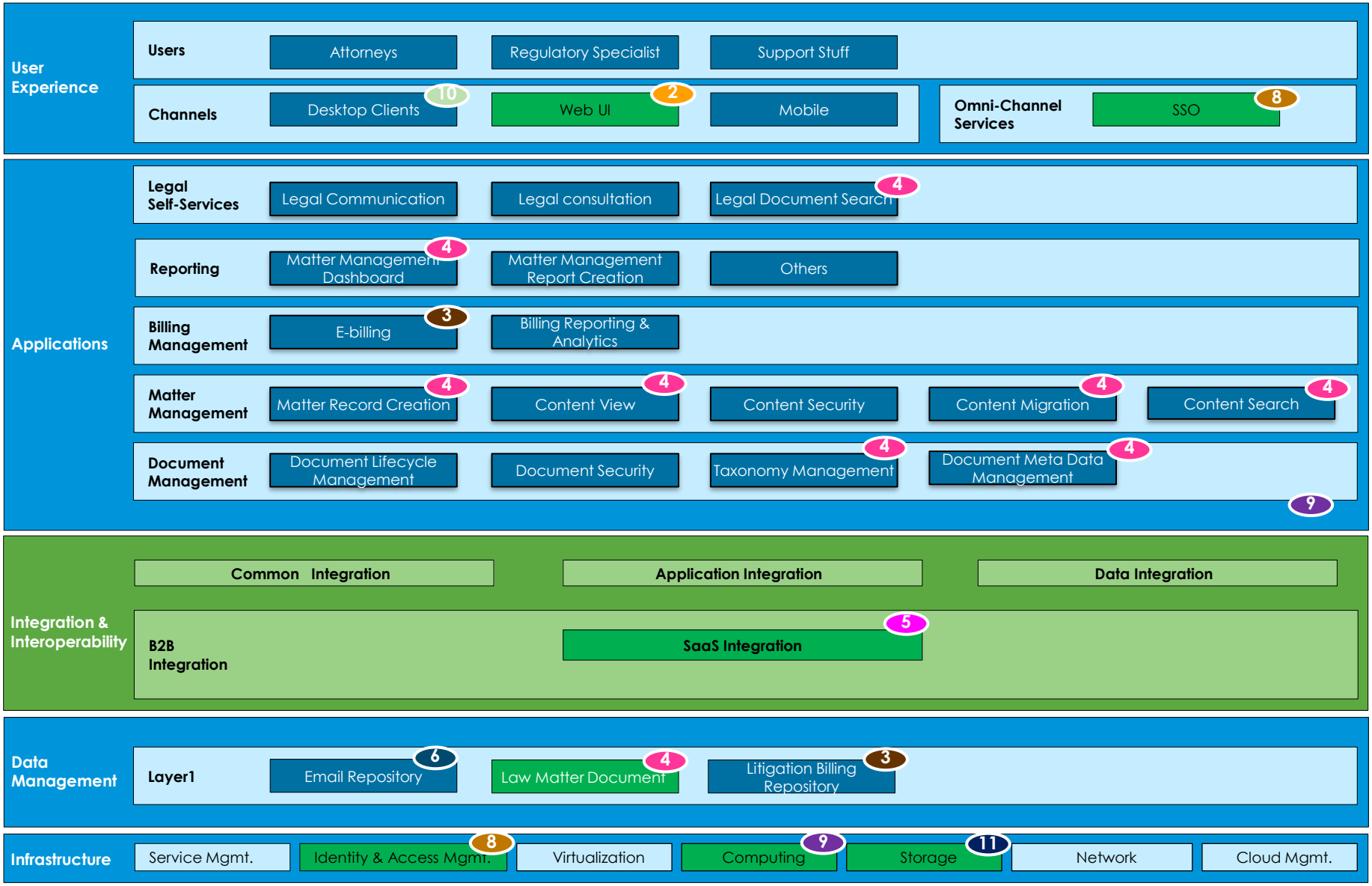
Law Matter Management: Current State



Law Matter Management: Future State

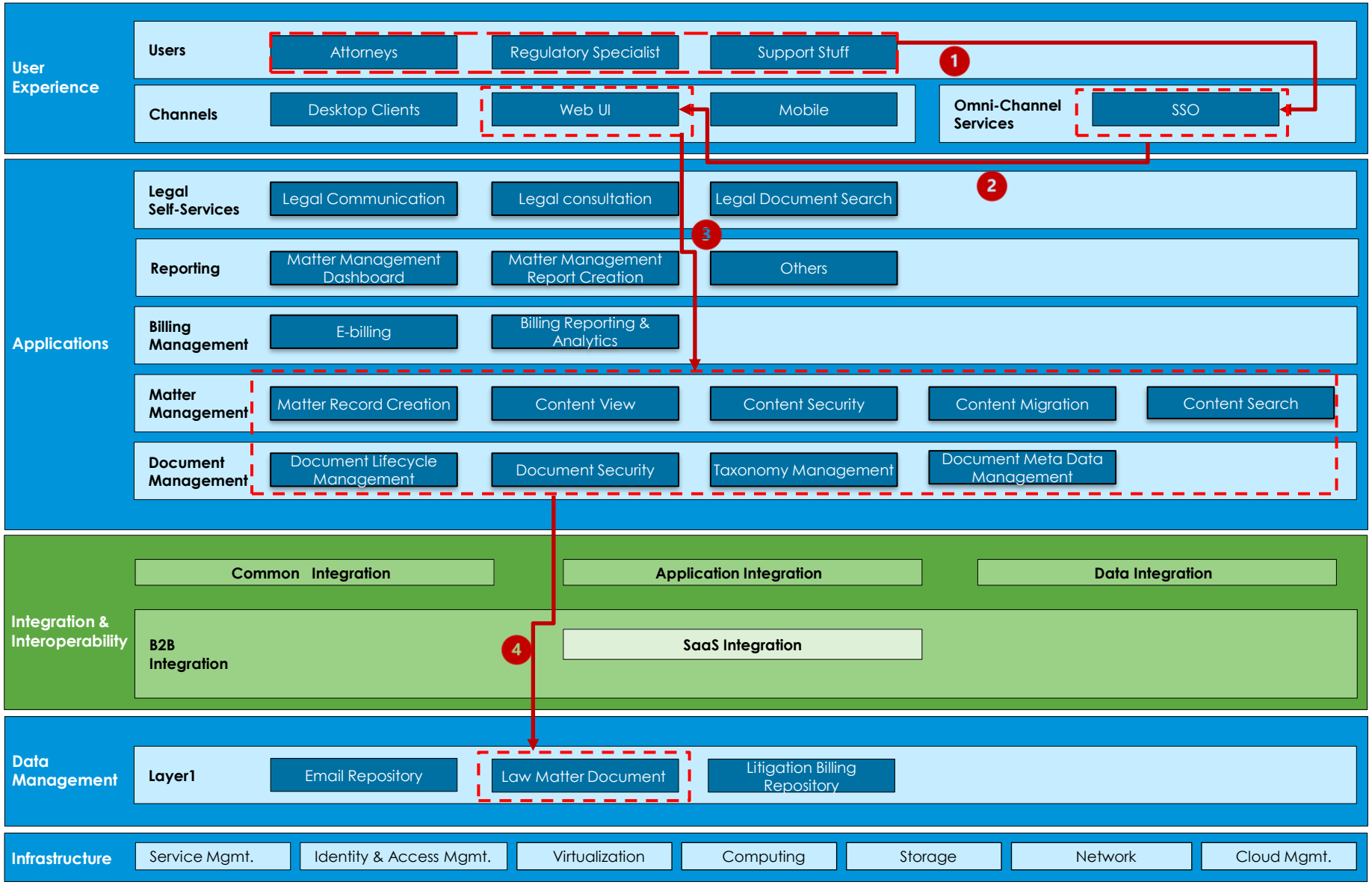


Legend: Gap Addressed | Partial Gap | Gap | Retire | N/A

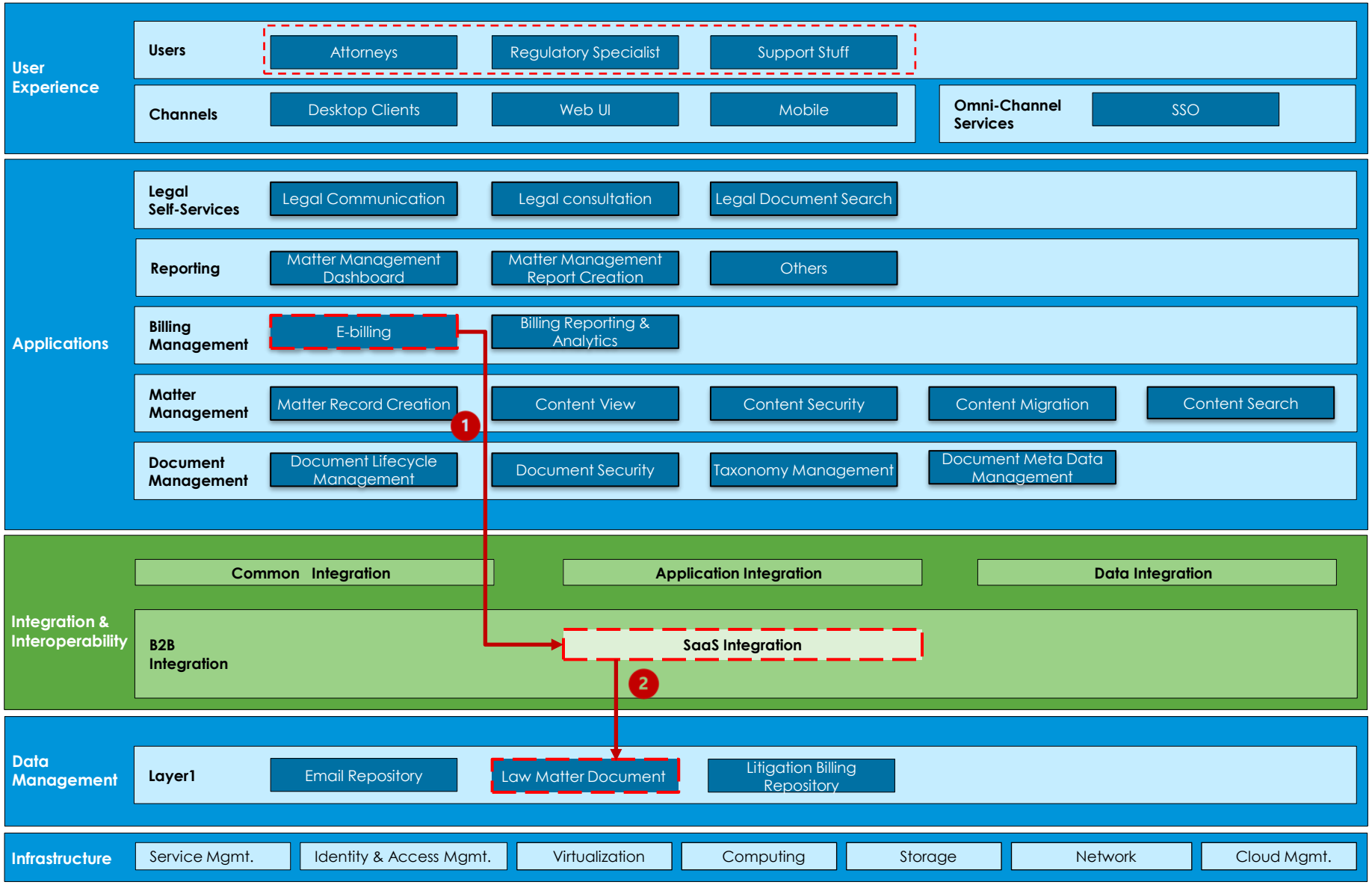
Law Matter Management: Technology Solutions (Current/Future State)

Capability Category	Capability	Sub-Capability	Current State Technology	Future State Technology
User Experience	Channels	Desktop Client	Practice Manager (Automon) 1	ND Client (NDoffice, NDsync) 10
		Web UI	Gap	NetDocuments UI 2
		Omni-Channel (SSO)	Gap	Ping Federate 8
Applications	Legal Self Services	Legal Document Search	Practice Manager 1	NetDocuments 4
	Reporting	Dashboard	Practice Manager 1	NetDocuments 4
	Matter Management	Record creation	Practice Manager 1	NetDocuments 4
	Document Management	Meta data Management	Practice Manager 1	NetDocuments 4
	Billing Management	Legal Billing	Legal Tracker (Serengeti/SaaS) 3	
Integration & Interoperability	B2B Integration	Legal Tracker (Serengeti) Cloud to NetDocuments	Gap	Dell Boomi 5
Data Management	Data Stores	Email repository	Microsoft Exchange 6	
		Law Matter Document	Practice Manager (SQL) 1	NetDocuments (CSV) 4
		Litigation Billing Repository	Legal Tracker (Serengeti/SaaS) 3	
Infrastructure	Identity & Access Mgmt.	SSO	Gap	Ping Federate 8
	Compute	WCI, Staging Server	Gap	VMs 9
	Storage	Achieving	Gap	Evault, Optim 11

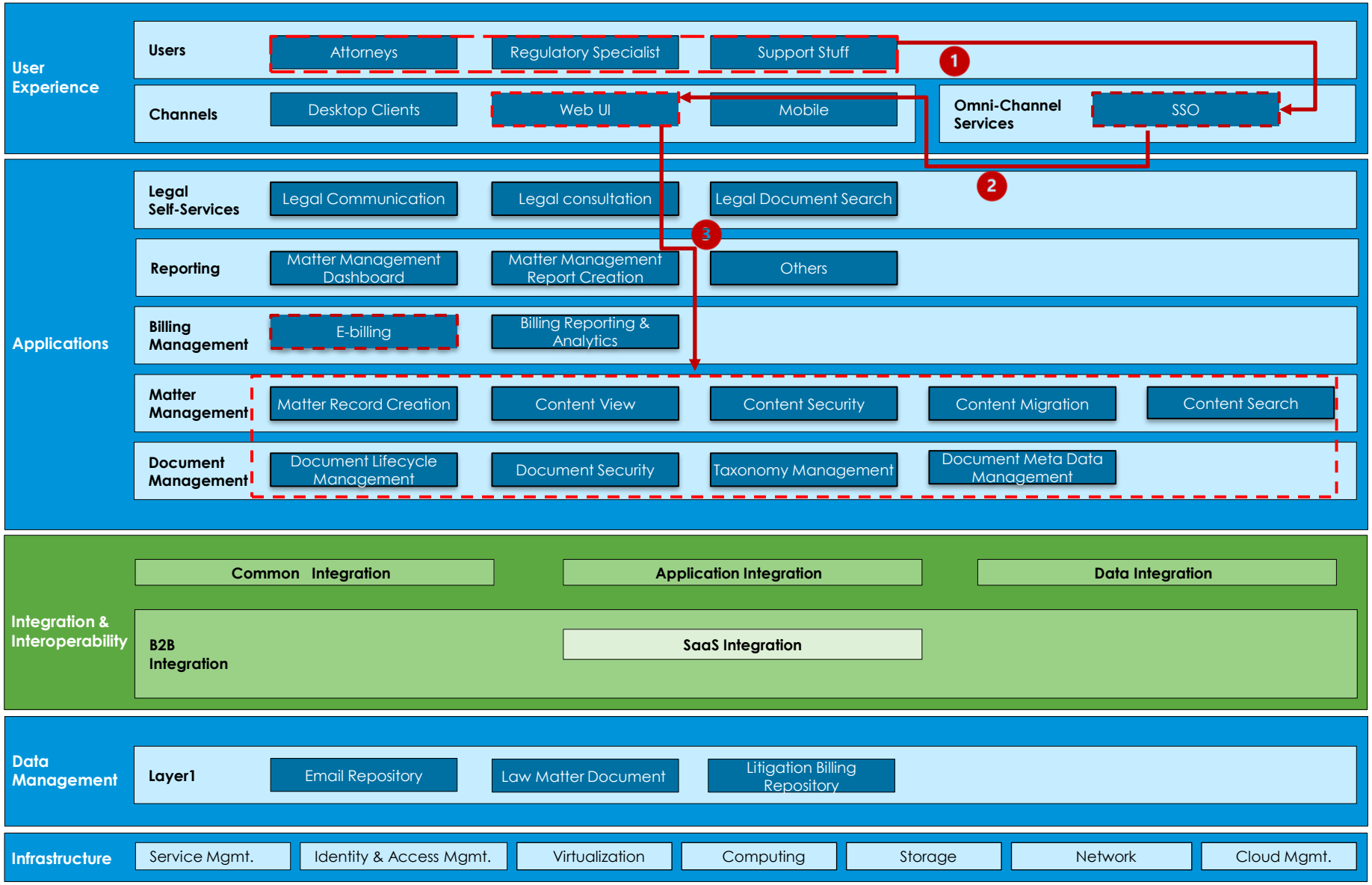
Law Matter Management: Use Case 1: Matter and Document Mgmt.



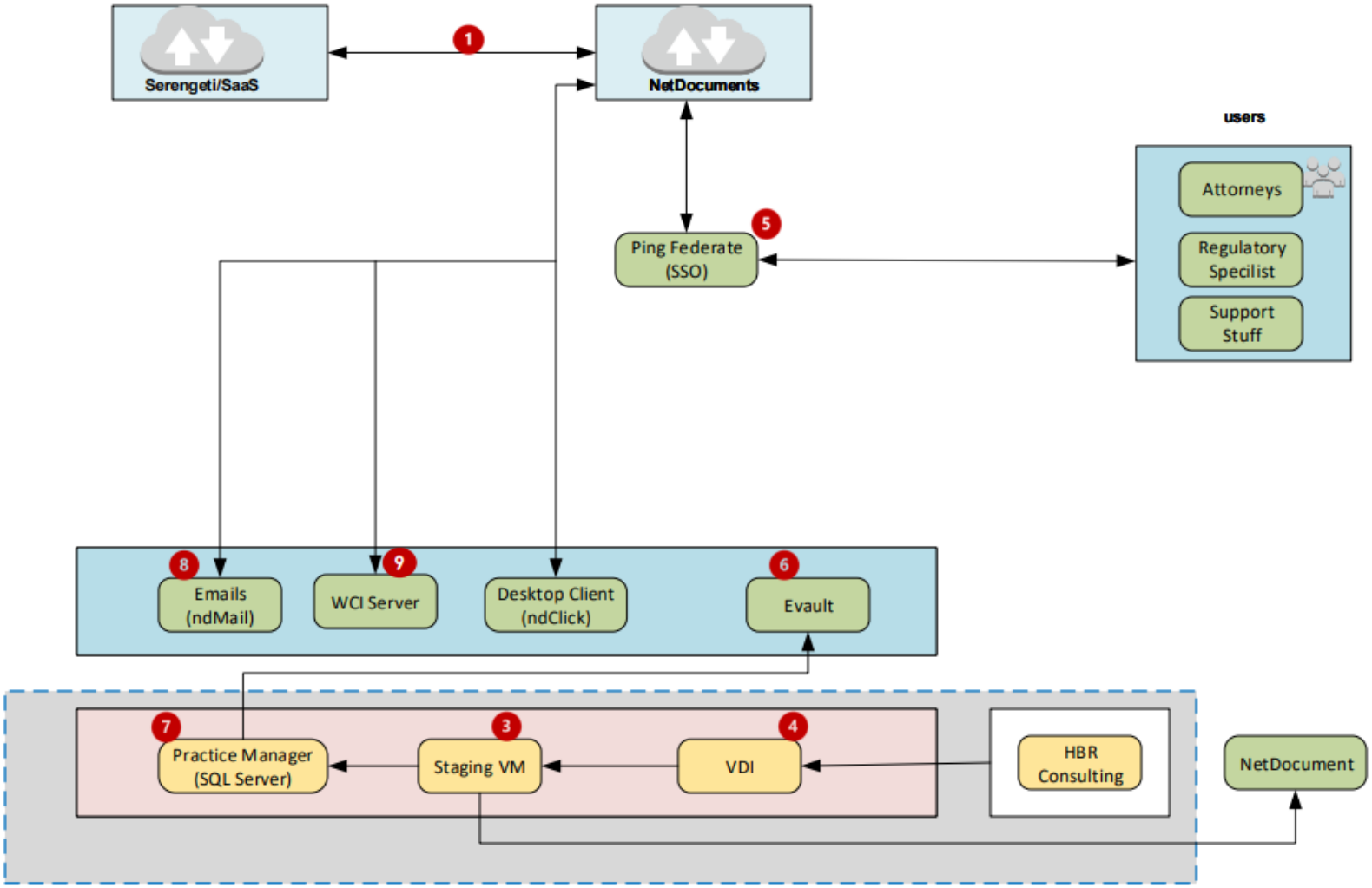
Law Matter Management: Use Case 2: SaaS Integration for E-billing



Law Matter Management: Use Case 3: Workspace creation interface



Law Matter Management: Logical Architecture



*All Blue dotted components will decommissioned after migration

Law Matter Management: Component Catalog Integration & Interoperability

#	Component (Integration Assets)	Description	Data Topics	Data Format	Batch/ Real-time	Frequency	Integration	Interface Source	Interface Target / Consumer	Comments	Delivery Owner(s)
1	Serengeti to NetDocuments	Dell Boomi to pull billing data from Serengeti and load	E-billing Data	JSON (Web Service)	Batch	daily	Dell Boomi SaaS Integration	Serengeti	NetDocuments	New	IT Application Services, HBS consulting

Law Matter Management: Component Catalog Data Management

#	Component (Data Assets)	Data Layer	Description	Data Topics	Data Format	New, Expand or Retire	Delivery Owner(s)
7	Practice Manager	3	Matter Documents	Legal	RDMS	Retire	IT Data Services
8	Exchange	3	Email data	Legal	MIME	Expand	IT Infrastructure

Law Matter Management: Component Catalog Infrastructure Foundation

#	Component (Technology Assets)	Infrastructure Domain Area	Sub-Domain	Deployment Model	New, Expand or Retire	Delivery Owner(s)
3	Staging VM Server (for Migration of PM DB)	Compute	VM for Production Server	On-premise	New	IT Infrastructure Services
4	Staging VDI	Compute	VDI (workstation) for Desktop application	On-premise	New	IT Infrastructure Services
5	Ping Federate (SSO)	IAM	Identity Provider (IdP)	On-premise	Expand	IT Infrastructure Services
6	Evault	Storage	Archiving	On-premise	Expand	IT Infrastructure Services
9	WCI Server	Compute	VM instance	On-premise	New	IT Infrastructure Services

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Law Matter Management : Gap Analysis

Gap	Description
Application Knowledge/Skills	• NetDocuments Skillset is not available in Blue Shield, which may bring challenges for support. • NetDocuments add-ons require additional maintenance from End User Computing.
Data	• Entity information (Such as phone number, address etc.) cannot be accommodated in NetDocuments.

Law Matter Management: Impact Analysis

Impact	Description
Process & Policy	• Improve efficiency in matter creation and management, resulting in reduced processing time for Law staff. • With integration between Law matter management system and eBilling system, it'll eliminate duplicate efforts when creating Litigation matters as staff will no longer need to create the same case in 2 systems. • The current matter management processes need to be updated to take the advantage of the new capabilities of the new matter management system. • For Legal Compliance purpose, Application team needs to work with Enterprise analytics to build BO reporting from Archive data.
Users Training	• User and support staff training is required.
Support	• Application support model does not exist and need to be established. • Microsoft add-ons require additional maintenance from End User Computing.
Migration	• Migration of practice manager data will be multi steps iterative process. There will be a test migration, pilot migration, and final migration. It may impact user access and availability to current environment.

Law Matter Management: Risk Analysis

Risk	Description
IT Security Vulnerabilities	• A thorough Preliminary Security Assessment has been conducted considering the prior experience with iManage's security vulnerabilities. A Detailed Security risk assessment is needed prior to final implementation to rule out all security vulnerabilities. • Data Transportation from current Practice Manager to NetDocuments cloud need security guidance. • Potential IT Security issues during integration process.
Pre-production Environments	• Cannot secure BSC IT resources during required delivery timeline - Failure to secure appropriate IT support may delay progress on this implementation.
Data	• All future data will be in cloud. NetDocuments will provide Archival and DR solution. Since its legal data , recommendation will be to keep a copy of data in BSC archival system also.

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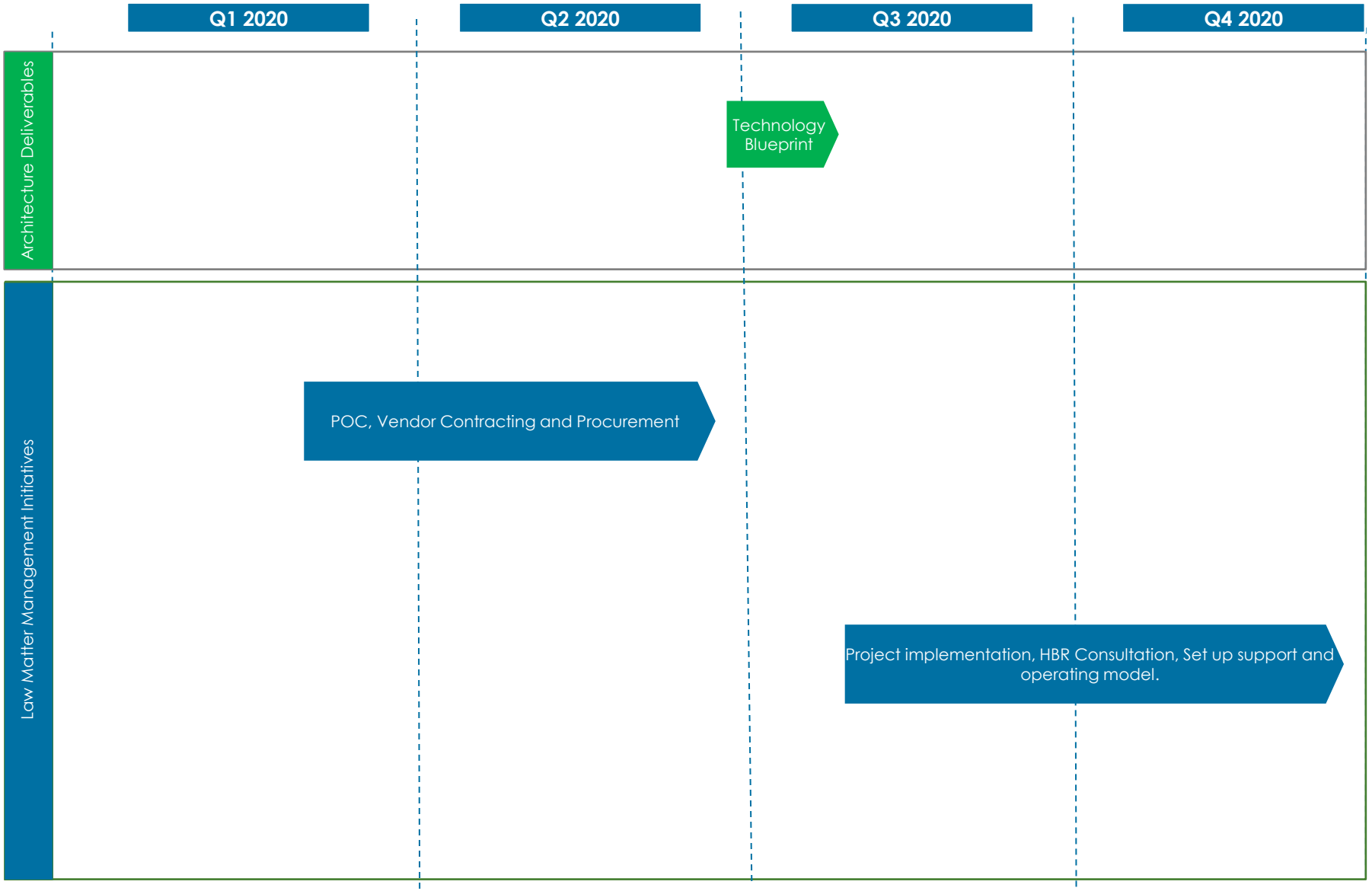
Law Matter Management: High Level Roadmap



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Recommendation

Prerequisites: **Security Assessment:** Approved | **Privacy Office:** Approved | **Enterprise Data Governance:** Approved | **Funding Source:** Strategic

Future State:
User Experience:
- **Users:** Attorneys, Regulatory Specialist, Support Staff
- **Channels**: Desktop client of NetDocuments **(New),** Web UI **(New)**
- **Omni-channel Services:** IAM: SSO (Ping Federate) (**Expand**)

Applications:
Law Matter Management Systems
- Legal Self Services- NetDocuments **(New),** Practice Manager **(Retire)**
- Reporting – NetDocuments **(New),** Practice Manager **(Retire)**
- Billing Management – **No Change**
- Matter Management – NetDocuments **(New),** Practice Manager **(Retire)**
- Document Management – NetDocuments **(New),** Practice Manager **(Retire)**

Integration & Interoperability:
- **B2B Integration:** Legal Tracker (Serengeti) Cloud to NetDocuments – Dell Boomi **(Potential)**
- **Application Integration**: N/A
- **Data Integration:** N/A
- **Common Integration**: NA

Data:
Layer 1: Legal repository - NetDocuments **(New)**, Emails Repository **(No Change)**, Litigation Billing - Legal Tracker (Serengeti) **(No Change)**

Infrastructure:
Compute: WCI VM, Linux VMs (Staging) (**Expand**), **Storage:** Archiving- Evault, Optim (**Expand**)

Dependencies: None

Key Next Steps:
1. Complete formal Security Risk Assessment. **Owner**: IT Information Security.
2. Readiness of staging environment for Practice manager migration. **Action Step Driver:** IT Infrastructure Services
3. Define the operating model for managing the NetDocuments dashboards/reports. **Action Step Driver:** HBR consulting, Enterprise Analytics Team
4. On-prem Practice manager components for matter, document and reporting must be extracted and stored in designated repository. **Action Step Driver:** IT Infrastructure Services
5. Refresh technology blueprint to address additional requirements for phase II . **Action Step Driver:** Enterprise Architecture.

Ask ARB	Decision
1. Reviewed and validated key business requirements.	Presented to IT Stakeholders for ARB approval and no objection received.
2. Directionally approved of roadmap key next steps.	

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