Advance Case Management

Identifying a Case Management Solution

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Agenda

- Case Management: Problem Definition
- Case Management: Solution Definition
- Case Management: Solution Patterns
- Q&A
- Wrap Up
Case Management Problem Definition:
Identifying Work Patterns
Every type of “Work pattern” helps an organization respond to a business need and requires a Solution.

Enterprise solution scope

All work patterns must co-exist
### The Complementary nature of Case Mgmt and BPM

<table>
<thead>
<tr>
<th><strong>Typical BPM Characteristics</strong></th>
<th><strong>Typical Case Management Characteristics</strong></th>
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</thead>
<tbody>
<tr>
<td><strong>Focuses on the following outcomes:</strong></td>
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<tr>
<td>- Consistent efficiency and automation while minimizing exception handling</td>
<td>- Increasing the effectiveness of knowledge workers</td>
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<tr>
<td>- Headcount reduction, reduction of exceptions, reduction of errors</td>
<td>- Managing &amp; manipulating Unstructured content</td>
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<tr>
<td>- Lowering of TCO</td>
<td>- Creation of persistable business entity that is audit and compliance ready</td>
</tr>
<tr>
<td><strong>Programmatic and methodical work</strong></td>
<td><strong>Knowledge work</strong></td>
</tr>
<tr>
<td><strong>Work pattern and activity flow is well defined</strong></td>
<td><strong>Evolving work pattern (pattern may ‘emerge’)</strong></td>
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<tr>
<td>- Process is documented L to R</td>
<td>- The work involved unfolds along the way</td>
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<tr>
<td>- Control lies primarily with the process</td>
<td>- Control lies with the knowledge worker</td>
</tr>
<tr>
<td>- Exceptions or special handing lead to Case Management or manual processing</td>
<td>- Maturity may lead to BPM</td>
</tr>
<tr>
<td><strong>80% predictable work, 20% discretionary</strong></td>
<td><strong>80% discretionary work, 20% predictable</strong></td>
</tr>
<tr>
<td><strong>Process is central, data get pulled in as needed by the process to aid efficiency</strong></td>
<td><strong>Data is central, process fragments get pulled in to help aid decision making</strong></td>
</tr>
<tr>
<td><strong>Mature process, executed in majority by the broader employee population</strong></td>
<td><strong>Ad-hoc process, perhaps an emerging work pattern, typically known to a relatively small group of knowledge workers</strong></td>
</tr>
<tr>
<td><strong>Consistently repeatable results (given the same input, identical results are expected each time)</strong></td>
<td><strong>There is variability in the outcomes.</strong></td>
</tr>
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</table>

**Banking:** Residential Mortgage Origination, Account Opening  
**Insurance:** Standard Claims Processing  
**Healthcare:** Payment Processing

**Banking:** Dispute Resolution, Fraud Investigation  
**Insurance:** Complex Claims (multiple parties, judgement by adjuster)  
**Healthcare:** Care Coordination
The Process Spectrum

What Others Are Saying?

Integration Model
- Systematic, repeatable work.
- Reliant on formal processes, methodologies, or standards.
- Dependent on integration across functional boundaries.

Transaction Model
- Routine work.
- Reliant on formal rules, procedures and training.
- Dependent on low-discretion workforce or information.

Collaboration Model
- Improvisational work.
- Highly reliant on deep expertise across functions.
- Dependent on fluid deployment of flexible teams.

Expert Model
- Judgment-oriented work.
- Highly reliant on individual expertise and experience.
- Dependent on star performance.

Thinking for a Living, Davenport (2005) from “Mastering the Unpredictable”, pg.31

*additions to original diagram
ACM and BPM
What Others Are Saying?

• Both used to help workers within organization to coordinate better, to achieve goals more efficient, and to better meet the needs of their customers.
• Both involve data, process, roles, communications, integration and analytics.
• However, they take very different approaches to doing this which are effective in different business situations.

In BPM, the process is primary, and so normally the process is predetermined and static, while the data flow through it. With ACM, it is the data that is primary, which tends to remain persistent for a long time, possibly forever, but it is processes which are brought to it. In many cases with ACM the processes are not even fully predefined, but can be defined on the fly.

The net result is that BPM and ACM are useful for different kinds of business situations.

• Highly predictable and highly repeatable business situations are best supported with BPM. For example signing up for cell phone service: it happens thousands of times a day, and the process is essentially fixed.
• Unpredictable and unrepeatable business situations are best handled with ACM. For example investigation of a crime will require following up on various clues, down various paths, which are not predictable before hand. There are various tests and procedures to use, but they will be called only when needed.
Case Management Solutions

Brings people, process and information together … in context of a case

- Case Management brings people, unstructured information (content), and process into a single solution.

- Case Management solutions are targeted to situations where knowledge workers must use unstructured content to take decisions in the context of a very flexible goal oriented process.

- In most cases, the artifacts used to process the case are expected to be preserved after the business goal has been achieved, and the business process has been completed.

- Unstructured content artifacts includes documents, spreadsheets, pictures, video, voice recordings, etc.
Underlying Capabilities

Capabilities required in most cases

- Content Management
- Process Management
- Business Rules
- Content Analytics (Text analytics)
- Real Time Monitoring (Real time analytics)
- Collaboration and embedded awareness in case runtime and web chat

**Bottom line:**
Case Management leverages and integrates multiple technologies
Case Management Solution Definition:
Identifying Implementation Patterns
Case Management Solution

- Case Management is a solution framework that brings people, information and process together in order execute specific business mission related projects.
- Identifying a Business Entity and its lifecycle helps in the information space with accurate data models, in the people space with services and task definitions and in the process space with identification of milestones and KPIs.
Solution Runtime Scope

[Diagram showing the relationships between Business Entity, Access Control, Information Model, Process Model, and Rules, including BE Lifecycle Integrity, BE State Transitions, BE Attributes, BE States, Class Methods, Activities, Tasks, and Service Model.]
Solution Expanded Scope

- Business Entity
  - BE Lifecycle Integrity
  - BE State Transitions
  - BE Attributes
  - BE States

- Access Control
  - BE Attributes

- Information Model
  - Activities
  - Tasks
  - Class Methods
  - Collaboration
  - UI model

- Process Model
  - BE State Transitions
  - BE States

- Rules
  - Activities
  - Tasks

- Triggers/Events
  - Alert/Monitoring

- Content Mgmt
  - Human Decision

- Compliance/Audit
  - Reporting/Analysis

- External data transform

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Building Blocks

- States
- Milestones
- Business Entities
- Documents
- Task completion
- Supporting
- Functions
- Services
- Process Paths
- Task steps
- Task mgmt
- Case tracking
- Knowledge Worker
Case Management Solution Patterns and Building Blocks

- **Business Focus ➔ identify business entities**
  - Client-centric
  - Process-centric
  - Information-centric
Pattern in Business Focus: identify business entities

- **Client Centric:** Track the information about the various events/activities pertaining to an individual or company with the purpose of ensuring better services, e.g. social services, special education, CRM model…
  - The goal is to deliver services to the client
  - The data model is client-focused
    - journaling/events recording
    - contacts information
    - service monitoring and delivery
    - assessment checklists
    - etc
  - Business entity examples: patient, service provider, interested party, event date, log entry item, progress report,
Pattern in Business Focus: identify business entities

- **Process Centric:** Track the information about the various events/activities pertaining to the processing of a service request with the purpose of ensuring integrity and fairness of the process, e.g. promotion review, patent evaluation, grant awards.
  - The goal is to insure the integrity of the process
  - The data model is process-focused
    - audit trail
    - review/approval
    - time sensitive alerts
    - task management/delegation
    - work queues
    - etc
  - Business entity examples: request, response, decision maker, evaluation report, deadline, notification
Pattern in Business Focus: identify business entities

- **Content Centric:** Track the information about the collection of data or documents pertaining to a specific work project, with the purpose of ensuring the favorable completion of the project, e.g. litigation, investigation, incident management
  - The goal is to aggregate information about a project
  - The data model is content-focused
    - document mgmt/versioning
    - project events and milestones
    - access to information (ACL/roles/privileges)
    - reporting/analysis/timelines
    - etc
  - Business entity examples: document, photo, briefs/reports, interested party, event date, log entry item,
Case Management Solution Patterns and Building Blocks

- **Business Focus** ➔ *identify business entities*
  - Client-centric
  - Process-centric
  - Information-centric

- **Activities** ➔ *identify process paths and steps*
  - Ad-hoc
  - Collaborative
  - Structured
Pattern in Activities: identify process paths

- **Ad hoc**: The stepping in the process is not predictable or cannot be driven by business rules. There is usually a human evaluation involved to determine based on the case information and the needed skills what the next step will be.
  
  - The process is driven by solid milestones and deadlines without focusing on how they are met.
  
  - The process characteristics are:
    
    * activity ownership clearly defined
    * process step ownership clearly defined
    * access control to case content loosely defined
  
  - Process path drivers: assign, reassign, alert, escalation, ad hoc monitoring, UI/step forms
Pattern in Activities: identify process paths

- **Collaborative:** *The steps in the process can be decomposed into many human tasks in order for it to complete. Those human tasks are determined by a human evaluation based on the case information and the needed skills.*
  - The process is driven by parallel flow paths and inter-step dependencies.
  - The process characteristics are:
    - case ownership clearly defined
    - process step sharing across step owners
    - concurrent access to case information
  - Process path drivers: assign, reassign, split/join, reminders, notification, collaboration area, iterative loop
Pattern in Activities: identify process paths

- **Structured:** *The steps in the process are predetermined or dictated by policy. They can be automated or driven by business rules and events.*
  - The process is driven by business rules and altered by business events. Steps can be automated and performed by systems.
  - The process characteristics are:
    - system steps, web services
    - solid feedback and monitoring
    - rigid access control to case content
    - externalized rules
  - Process path drivers: rules, events, monitoring, alerts, system interfaces
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- **Objectives** ➔ *identify case states, process milestones*
  - Information gathering: facts collection, investigative, research
  - Problem management: people coordination
  - Service fulfillment: customer satisfaction
Pattern in Objective: identify states and milestones

- **Information gathering:** Facts and information are pooled and collected into the case to support a specific decision making process. Examples are investigative cases, research and discovery projects, litigations, evaluative/vetting decisions, etc.

  - The lifecycle is typically punctuated by graduated phases which culminate toward the disposition of the case.
  
  - The phases are transitioned from one to another through a defined set of criteria, often bound by time.
Pattern in Objective: identify states and milestones

- **Problem management**: The case embodies the lifecycle of the solutioning process for a specific problem that triggers the opening of the case. Various user roles will collaborate to manage the problem solving process. Examples are complaint management, trouble ticket report, customer support, medical cases, etc..

  - The phases and states of a case will be mostly iterative fluctuating between solution delivery, solution verification and acceptance.
  - The criteria for transitioning are subjective and depends on the judgment of the process participants.
Pattern in Objective: identify states and milestones

- **Service fulfillment:** The process of delivering a service based on a specific request is tracked and managed in this case lifecycle. Specific user roles will engage at different phases to drive the service response process. Examples are loan applications, claims processing, benefit requests, etc…
  - The phases and milestones of a case will be mostly deterministic, structured and linear.
  - The criteria for transitioning are well-documented and rules-based.
Case Management Solution Patterns and Building Blocks

- **Business Focus** ➔ *identify business entities*
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- **Activities** ➔ *identify process paths and steps*
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- **Objectives** ➔ *identify case states, process milestones*
  - Information gathering: facts collection, investigative, research
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- **Problem space** ➔ *identify services and functions*
  - Volume/streamlining: time mgmt, resources allocation
  - Accountability: audit, alerts, notifications
  - Repository: discovery, records mgmt
Pattern in Problem Space: identify services and functions

- **Transaction volume**: *The case management solution is requested because the current process could not handle the amount of incoming cases and drive them to disposition within the prescribed time duration.*
  - The services and functions revolved around time management, resource allocation, skills identification, assignment management, automation.
  - Rule-based automatic decision making and analytics are great productivity gains.
Pattern in Problem Space: identify services and functions

- **Process streamlining and accountability**: The case management solution helps to bring in some discipline and structure to the current process, alleviate ad hoc exceptions, streamline redundant tasks and provide accountability.
  - The services include alert/notifications, escalations, logging and audit trail, process monitoring, etc...
  - Dashboard reporting for case tracking and statistics is a plus.
Pattern in Problem Space: identify services and functions

- **Information management:** The case management solution provides a paperless process, a uniform enterprise-wide framework and single point of administration for information and content. etc… It helps reduce lost cases, compliance risks, stale information and inconsistent record keeping.
  
  - The services are centered around search and discovery, streamlined data model, centralized content repository and .
  
  - Records management capabilities and granular content security is a plus.
Questions and Answers