



Case Management

Barbara Re

Agility

"An agile organization is one that can *sense* opportunity or threat, *prioritize* its potential responses, and *act* efficiently and effectively."

- Sensing
being aware of own organisation and its operating environment (customers, competitors, macroeconomy) and changes of these
- Prioritizing
coherent set of goals and priorities at all levels of the organisation
- Acting
execute business processes exceptionally well and adapt them quickly as business needs change

Analogy: Agility of a Sports Team



- A good player must
 - **sense** what is happening
 - **prioritize** best next action
 - **act** effectively
 - A playbook defines moves
 - but: moves depend on the opponent
 - Playbook corresponds to
 - Business process model
 - decision model
- but must allow for flexibility

adapted from (Cauley 2010)

Analogy: Sports Team



Agility in different levels:

- revise playbook after game(s):
Define new moves/processes
 - enterprise/process level (BPM)
 - design time
- adapt strategy in the midst of game:
choose other moves/planning
 - process level
 - run time
- flexibly modify move reacting on opportunity or threat
 - task level
 - run time

adapted from (Cauley 2010)

Agility at Design Time vs. Agility at Run Time

Agility at design time:

- Reaction on changing environment
 - adapt process definition
 - modify decision models
 - business transformation
 - business-IT alignment

Agility at run time:

- Reaction on specific events
 - determine which activities need to be performed
 - determine whether additional steps are required
 - determine who should perform a task
 - select appropriate resources/information

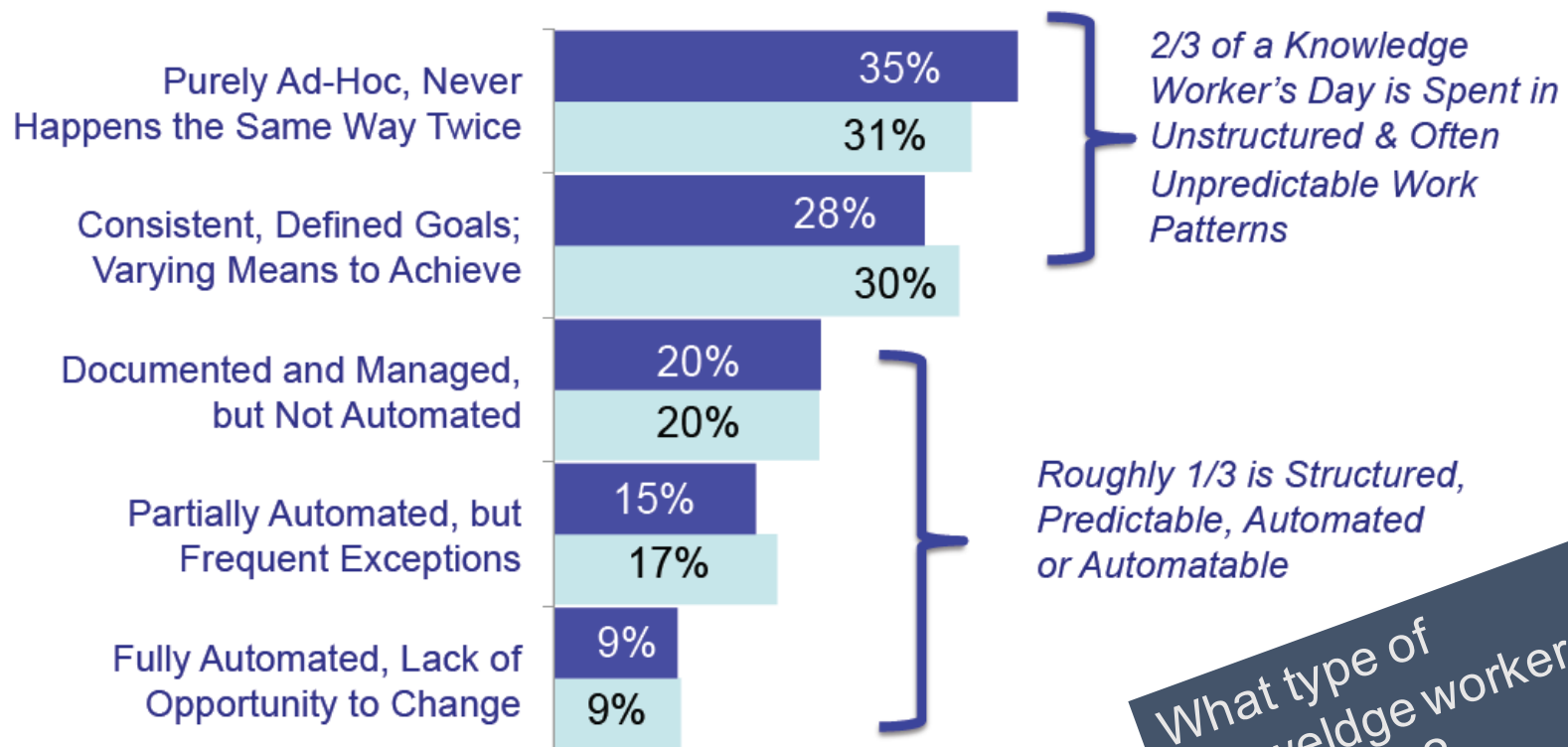
➤ **Maturity Models**
(Continuous Improvement)

➤ **Case Management**

Work Patterns of Knowledge Workers

Percent of the Day Spent in Different Modes

Most of a knowledge worker's day is spent working toward an identified outcome, yet the means for achieving this cannot be predetermined



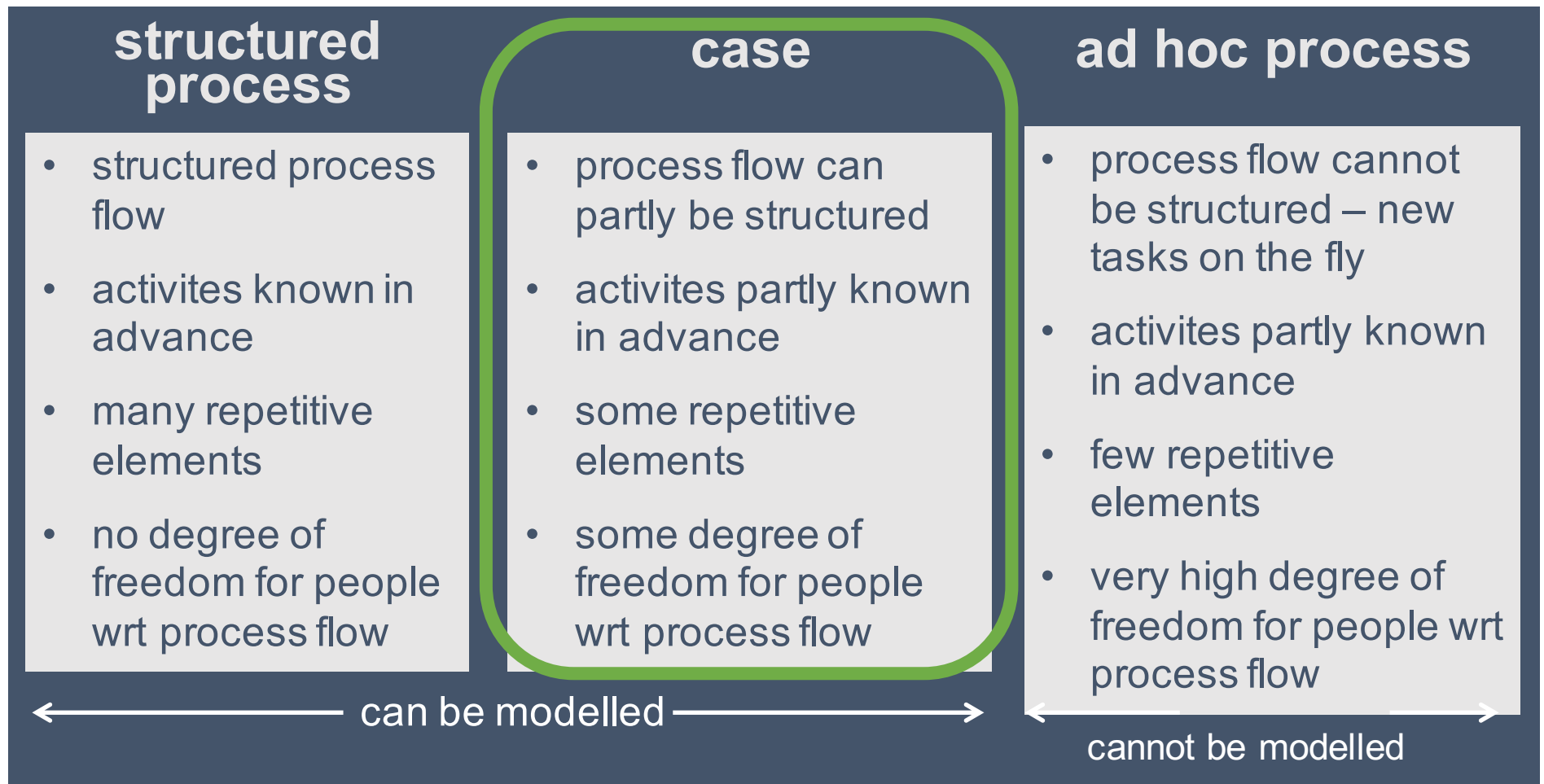
Source: 2011 - 2013 Case Management Survey

Demand for agility at run time

Case Management

What type of knowledge worker do they mean?

Classification of Processes



partly translated from (Gadatsch 2005, S. 44)

Case Management

Case management is the management of *long-lived collaborative processes* that require *coordination of knowledge, content, correspondence, and resources* to achieve an objective or goal. The *path of execution cannot be predefined*. Human judgment is required in determining how to proceed, and the state of a case can be affected by *external events*.

- Synonyms for Case Management are
 - Adaptive Case Management (ACM)
 - Dynamic Case Management (DCM)

Case Management vs. Business Process Management

- Structured BPM
 - demand a process model
 - completely defined in advance
- Case Management
 - collection of activities
 - number and identity cannot be fixed
 - human judgment, external events, and business rules determine which activities need to be performed – either picked from a predefined menu or conceived on the fly

Case Management Processes

Case management processes: common in many industry segments, where activities and documents required depend on the circumstances of each case

- **Benefits Administration**
 - Examples: welfare assistance, student financial aid, grants programs, disability benefits
- **Underwriting**
 - Examples: commercial lending, life and disability insurance
- **Project Management**
 - Examples: launch of a new product/service, major IT system upgrade
- **Dispute Resolution**
 - Example: customer demands a refund

Case Management as Part of Routine Work

- Case Management can also occur in routine processes
- Examples
 - Distinguishing between routine and non-routine cases, e.g. for credit assessment, claims management
 - Doing something extra for the customer, e.g. offering an insurance product during claims management
 - Dispute resolution: Processing payments is a conventional structured process, but when a customer disputes a charge or demands a refund, case management is usually required

Content is Central for Case Management

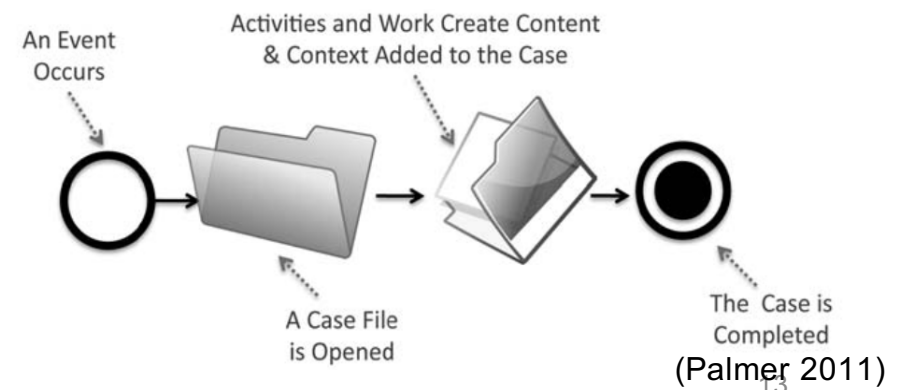
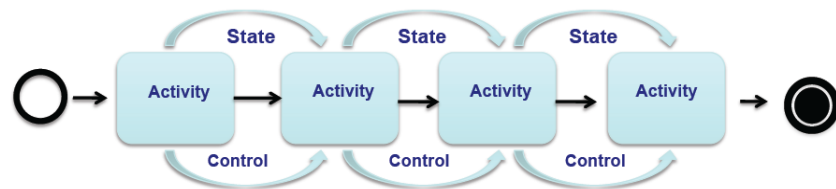
- Activities create information and add it to the case.
- Ability is required to jump forward, jump backward, re-do or otherwise perform work in a sequence that cannot be determined in advance
- The state of the Case is determined by the content within the case, not in which task the case is at any time



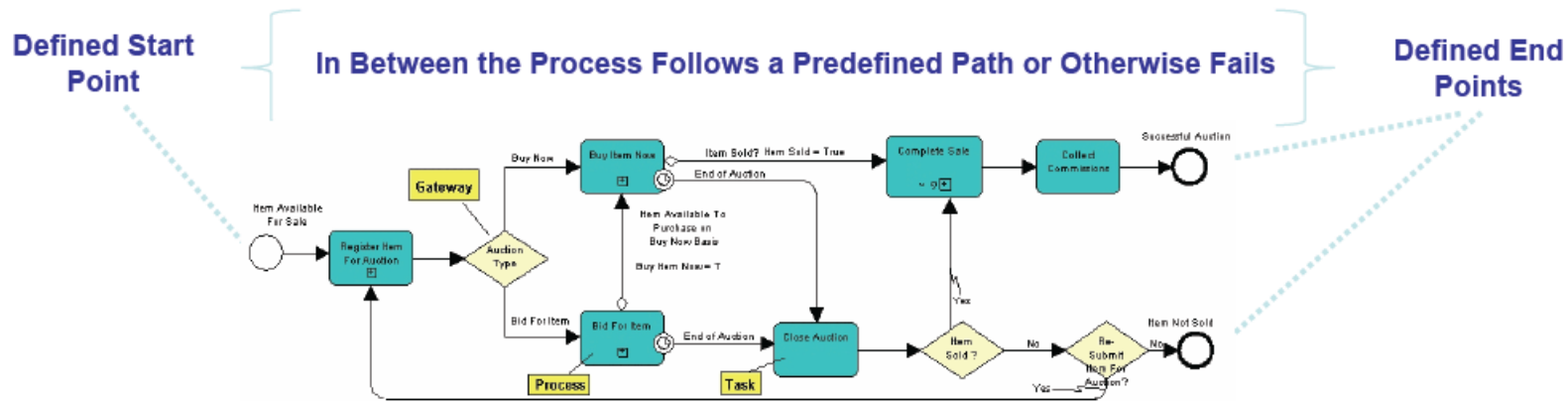
Source: Nathaniel Palmer

ACM – Event-driven, Content- and Context-Aware

- BPM focuses on activities in a flow
 - All the possible paths and permutations are defined in advance
 - As an activity occurs, the state of the process changes.
- ACM focuses on events and outcomes
 - Activities to reach completion cannot be predetermined completely
 - At the start, when an event occurs, a case file is opened
 - Events, Content and Context determine activities
 - The state depends on the content of the case file.



How Case Management (bottom) Differs From Structured Workflows (top)



Rather than a path determined by a predefined workflow, the case flow evolves based on content added to the case folder

Source: Nathaniel Palmer

Case File

- The Case File is a virtual folder ultimately providing the permanent record of a case
- The case folder provides overall coordination of the case as a whole. Just as you cannot predefine all the tasks needed to complete the case, you cannot specify in advance all of the documents required.



Source: Nathaniel Palmer

Business Process Management vs. Case Management

- BPM
 - deterministic
 - task-centric
 - state-driven
 - structured
- The function of BPM is to provide transactional thread across multiple systems of record.
- ACM
 - non-deterministic
 - content-centric
 - user-driven
 - unstructured
 - collaborative
- In ACM the case folder and the case itself is a system of record.

"standard procedures, practices, and policies"

"what needs to be done to resolve this case."

Differences from Conventional BPM

- Case Information Managed as Documents
 - case-related information is received and managed in the form of business documents rather than structured data
- Case Activities Added at Runtime
 - Some tasks and processes may be defined in advance, but ad hoc tasks—whether selected from a pre- defined menu or defined from scratch—are a critical distinguishing element
- Case Advancement through Events
 - External events include messages whose contents are added to the case folder, Internal events include assignments and business rule to create and assign tasks.
- Case Context through Shared Case Folder
 - All case information, which is required for human judgment about advancement or resolution of the case, is typically available in the form of a shared case folder.

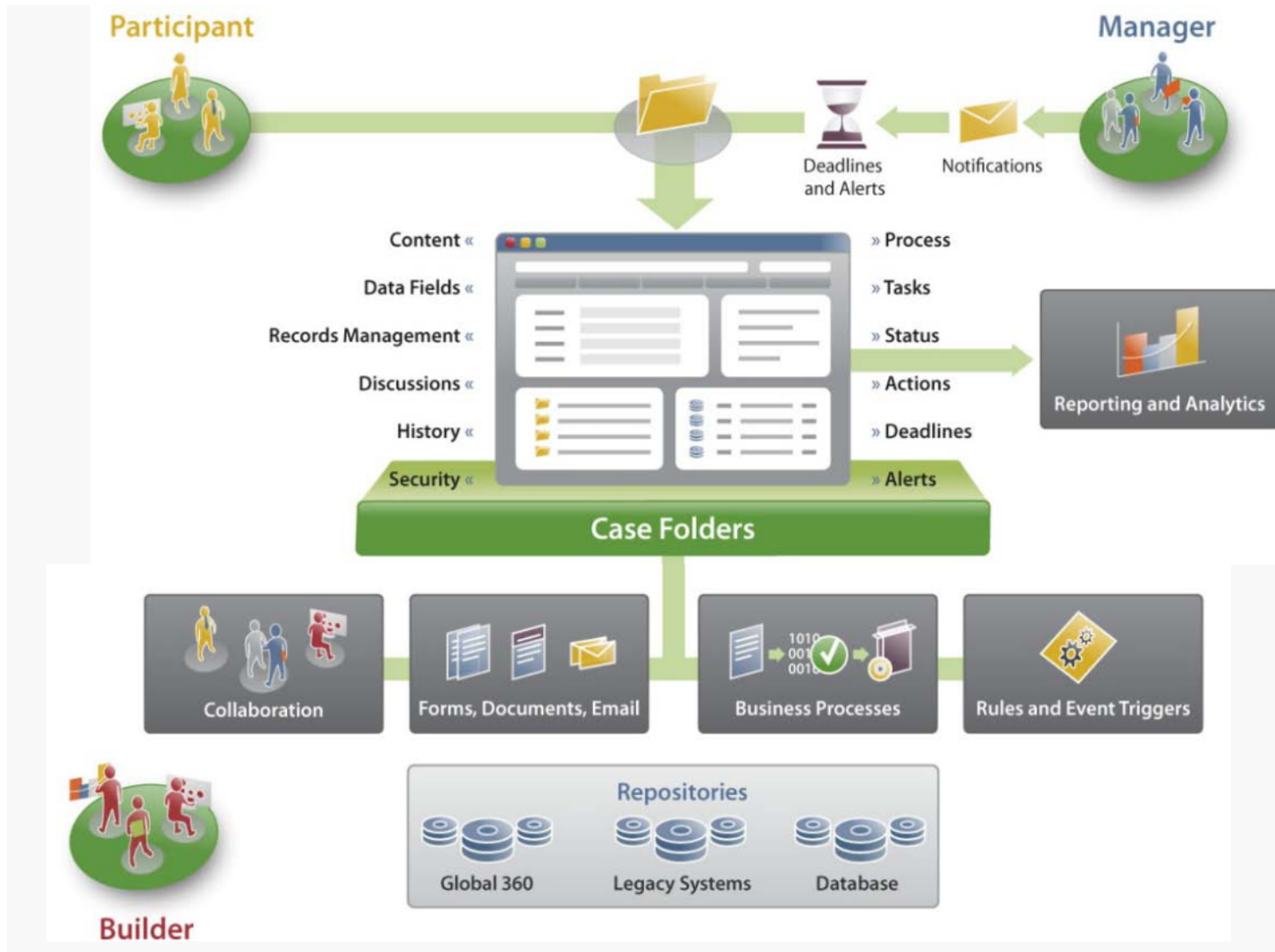
Planning

- Case management is often directed by a human—a Case manager or a team of Case workers—with minimal predefined encoding of the work to be performed.
- Planning at run-time is a fundamental characteristic of Case management.
- Case management planning is typically concerned with determination of which Tasks are applicable, or which follow-up Tasks are required, given the state of the Case.
- Cases are directed not just by explicit knowledge about the particular Case and its context represented in the Case File, but also by
 - explicit knowledge encoded as rules by business analysts,
 - the tacit knowledge of human participants, and
 - tacit knowledge from the organization or community in which participants are members

Rethinking Knowledge Work

- ACM is ultimately about allowing knowledge workers to work the way that they work the best.
- Case management support combines
 - workflow,
 - content management (ECM, DMS, CRM, ERP)
 - business rules,
 - portal and collaboration tools,
 - social media
 - outside information systemswhich collectively allow for the completion of an entire case.

Example of a Case Management System: Case 360



Task Panel in Case 360

- Tasks that are expected to be part of a case can be predefined in the case template.
- Other tasks may be added at run-time either from a list of predefined tasks or tasks are defined on the fly

The screenshot shows a software interface with a 'Tasks' tab selected. The interface displays a table of tasks with columns for Task, Status, Completed, Assigned To, Deadline, and Actions. A context menu is open over the 'Request IS System Access' task, listing various actions such as 'Begin 360 Review', 'Request Cell or Blackberry', and 'New Task'.

Task	Status	Completed	Assigned To	Deadline	Actions
Manager's Tasks	★				
Request IS System Access	Not Started	0%			<ul style="list-style-type: none">Begin 360 ReviewRequest Cell or BlackberryBegin Annual Review ProcessOffboard EmployeeNew TaskNew SectionClear What's NewSubscribe
Request Computer	Not Started	0%			

Click the link at the left to begin the process of requesting the employee's access to systems

If the employee needs a computer for work, select the link at the left to begin the computer acquisition process

Content Management in Case 360

- Case360 includes a complete document repository supporting check-in/check-out, versioning, storage migration etc.
- The Contents panel lists documents attached to the case as well as placeholders for documents required by the case

The screenshot displays the Case360 web application interface. At the top, the user is logged in as 'SONORAADMIN' with a 'Logout' and 'Actions' menu. A left-hand navigation pane lists various document categories such as 'CSR Management', 'Customer', and 'Life Insurance Policy'. The main content area is titled 'Search Claim Documents in Execute360 Domain 1' and includes search fields for 'Policy Number', 'Document Type', and 'Document Name'. Below the search area, a document preview for 'ResumeTemplate for Filestore (#833)' is shown, listing three versions of 'Holly Hampton Resume.doc' with their respective dates and times.

At the bottom of the interface, a 'Content' table provides a detailed view of document components, including their status, assigned users, and deadlines.

Content	Status	Assigned To	Deadline
Application Pages			
Personal Information	Completed	Matt Mulcahey (nba)	7/28/2009 4:33:32 PM
Traditional and Universal Life Policy Details	Completed	Matt Mulcahey (nba)	7/28/2009 4:33:38 PM
Life Financial Information	Completed	Matt Mulcahey (nba)	Must be filled 1 business hour(s) after th "Life Financial Information" is in progress.
Fraud Notice	Completed	Matt Mulcahey (nba)	Must be filled 1 business hour(s) after th "Fraud Notice" is in progress.
Authorization	Completed	Life Manager	Must be filled 1 business hour(s) after th "LI_Traditional_Universal Life Application" is in p
Agreement	Completed	Lorrie Stein	Must be filled 1 business hour(s) after th "Personal Information" is in progress.
Agent's Statement	Completed	Bella Winston (Agent Service Associate)	Must be filled 1 business hour(s) after th "Personal Information" is in progress.
Conditional Receipt	Deferred		
Applicant Questionnaires			
Lifestyle Questionnaire	In Progress	Jack Montague	7/28/2009 1:00:00 PM
Health Questionnaire	Not Started	Life Analyst	7/28/2009 1:00:00 PM

Example of a Case Folder in Case 360

The screenshot displays the 'UNDERWRITERS WORKBENCH' interface, which is divided into several sections for data entry and management.

UNDERWRITING ASSESSMENT SHEET

- UNDERWRITER: Richard Stanton
- MODIFIED TIME: [Empty]
- MODIFIED BY: SONORA
- REIMBURSEMENT: AUTOMATIC, FACULTATIVE
- COMPANY: Contoco
- FULL NAME: Mike Jackson
- DATE OF BIRTH: 7/24/1945
- RISK AMOUNT: \$750,000
- PLAN: Variable Universal Life
- INT / EXT REPL: none
- BEN INT (OK?): YES, NO

FAMILY HISTORY

- CANCER: YES, NO
- D.M.: YES, NO
- ALC. / DRUG: YES, NO
- FH (OK?): YES, NO

REQUIREMENTS / MEDICAL

- NONMED PT2: WNL, ABN
- BLOOD: WNL, ABN
- HOS: WNL, ABN
- EXAM: WNL, ABN
- EKG: WNL, ABN
- IR / PHI (OK?): YES, NO
- MVR (OK?): YES, NO
- NICOTINE: YES, NO
- CHOL: WNL, ABN
- HDL: WNL, ABN
- RATIO: WNL, ABN
- LDL: WNL, ABN (112)
- TRIG: WNL, ABN
- HEIGHT: WNL, ABN

FINANCIALS

- AMT: \$5,000,000
- AMT JUST: \$10,000,00
- PAYSTUB: verified
- W2 TS: \$148,987.87
- 1040: [Empty]
- SCHED C: consistent with app
- SCHED E: N/A

Navigation and Content

- Contents | Tasks | History
- Content | Status | Assigned To | Deadline
- Personal Information (Not Started)
- Lifestyle Questionnaire (Not Started)
- Medical Information (Not Started)
- Health Questionnaire (Not Started)
- Final Blood Work (Not Started)
- Home Office Specimen (Not Started)
- Memos: SONORA 4/8/2009 10:37:13 AM [Edit | Reply]
- Questions: SONORA 4/8/2009 10:37:13 AM [Edit | Reply]

A case folder not only provides access to content but also to tasks, history, discussions.

Tool Support for ACM

- Case Folder
- **Case Templates: Model for a particular type of case**
- Ad-hoc tasks and documents
- Support for conventional processes
- Document awareness
- Event-triggered automation
- Performance visibility