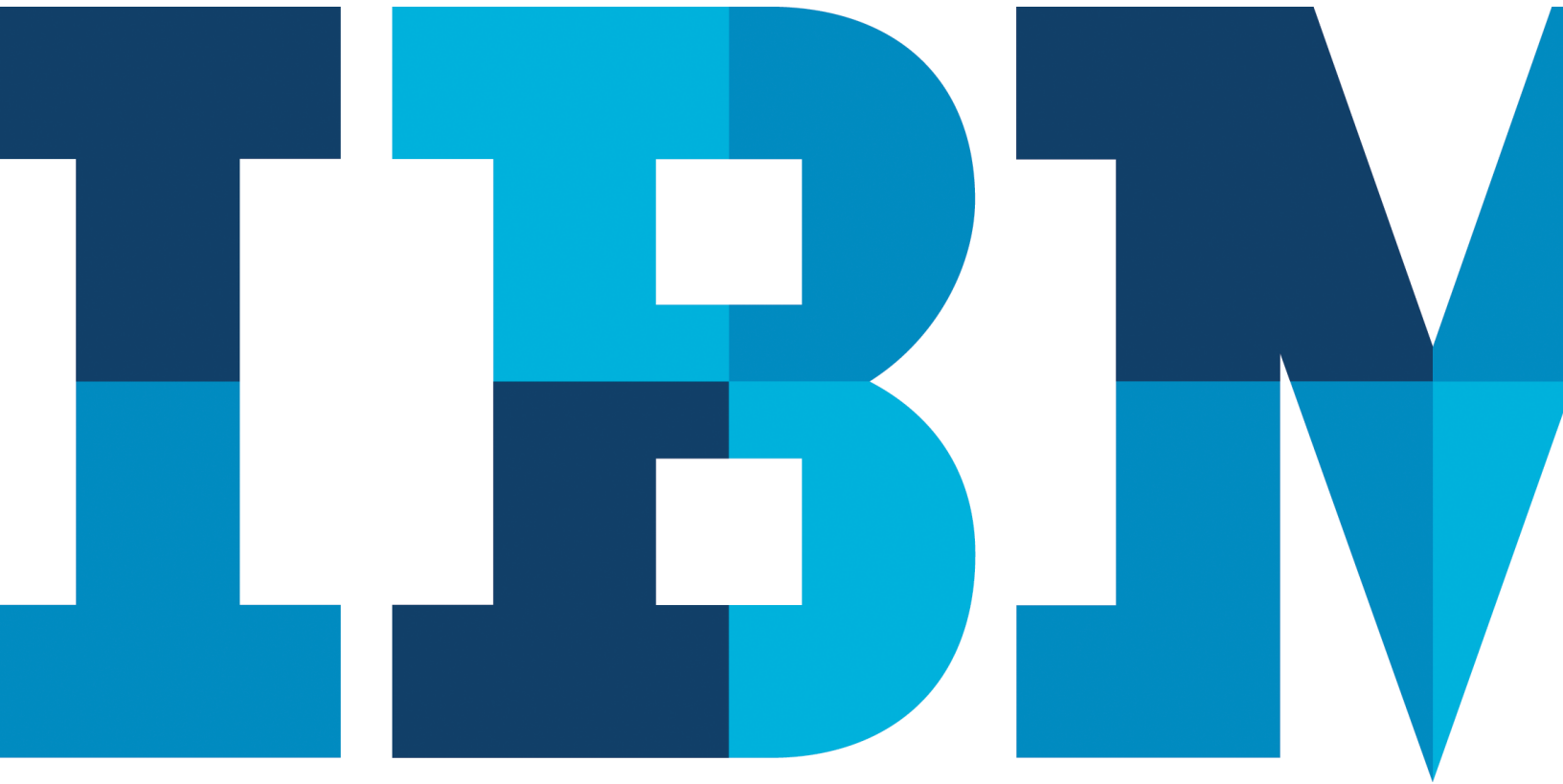


Advanced Case Management:

Making its Mark in Key Government Sectors



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Executive Summary

National, regional and local government organizations have the unending responsibility to ensure that they are running their programs as effectively as possible, based on the strategies they adopt and the technology available to them. Government agencies are discovering new opportunities within their case management practices to improve case outcomes, reduce handling costs and enhance program performance.

When services and tasks require many different structured, information-reliant processes to handle events or incidents such as grant applications, contract negotiations, judicial proceedings, citizen complaints, permit approvals, benefit claims and even fraud investigation, government workers must have the tools to collaborate and juggle an increasing set of tasks and information. To improve their approach to case management, instead of replacing their infrastructures or processes with new ones, agencies can leverage their existing tools and practices, supplemented with solutions and automated processes that will provide more value for the purpose of getting work done.

With advanced case management as a strategy, government agencies facing reduced budgets and resources now can integrate case file information, processes and people, for streamlined, policy-based practices and better, faster services to the public. Particular opportunities for government agencies to

benefit from advanced case management—and specifically a phased approach to making changes to their case management practices—exist in claims and social services processing.

Case Management Challenges for Government Agencies

The operational goals of government agencies are not unlike those in the private sector. Government organizations want business process and operational efficiency. They also must comply with strict legislative regulations and have the right processes in place that enable compliance. They are pressured to identify opportunities to reduce administrative costs. They want a high level of staff productivity supported by ready access to information for employees across the organization. In essence, they need the systems and strategies that can support their diverse, people-driven processes. The concept of a “case” file is germane to all aspects of the public sector; and in so much case management is undergoing a transformation within governments.

In speaking with more than 30 organizations across the United States and Europe employing case management strategies and capabilities, Forrester Research identified that older process automation approaches no longer fit the new era of people-driven case management needs and processes.

“As enterprises move toward an era where relatively fewer skilled resources must now tackle more varied work, jobs get smarter. Key drivers fueling this trend toward smart jobs include an increased need to manage the costs and risks associated with flexible—and even ad hoc—business processes, the need to drive the customer experience for service requests to higher levels, and new demands that regulators, auditors, and litigants place on businesses to respond to external regulations.”¹

Government agencies in particular are in need of a cost-effective, intelligent approach to managing cases and the wealth of information related to case work and case files. Government services or tasks that require structured, information-reliant processes to handle events or incidents need effective strategies for managing cases such as citizen complaints, unemployment claims, permit submissions, judicial

proceedings and many other actions initiated by individuals or organizations. Yet government agencies such as tax and revenue, health services, public safety, defense and judicial entities often struggle with inefficient processes and physical content and system silos: which leads to increased cost just to store information. When they lack advanced strategies for case management, the flow, availability and reliability of information, decision-making abilities, exposure to risk, employee productivity and especially the ability of staffs to effectively serve their internal and external clients are impacted.



Today's government organizations tasked with reducing costs while enhancing services are taking a closer look into their case management programs and processes, searching for opportunities for improvement. They're asking tough questions, such as:

- “Can we measure the productivity of the overall program we’re trying to deploy?”
 - “When challenged or appealed, can we prove equitable treatment of all case files?”
 - “Can we prove the integrity of every case file today?”
 - “Can we prove we’re in compliance with the overall policies associated with our government program?”
 - “As policies change, are policy divisions within our government organization tightly aligned with the underlying processes in order to implement the necessary business process changes?”
- “At any point in time, can we identify who made a previous decision related to a case file, when they made the decision, why they made the decision and exactly which policies they based that decision on?”
 - “Are staff members able to make and document case management decisions in a systematic, automated environment rather than in a manual process environment?”
 - “Are communication tools such as instant messaging and e-mail integrated into the case management systems that we depend on?”

When the answer is “no” to any of these or other important questions related to their case management processes, government agencies understand that changes are necessary to ensure the success of their programs. Some organizations, however, perceive that a comprehensive case management overhaul, implemented all at once, is necessary to effect noticeable improvements. Instead, advanced case management should be seen as a strategic direction for a government organization to take, rather than a single project that demands significant staff and budget resources to implement.

Agencies can start with understanding exactly how their claims and social services processes work, which applications and systems support them and where the processes are lacking. Then they can focus on the steps needed to reach short-term, mid-term and long-term case management goals

Enhanced Claims Processing: Opportunities and Use Cases

The Challenge

When citizens or government workers instigate a claim—such as submitting unemployment claims, registering complaints, requesting public records allowed through the Freedom of Information Act or requesting permits through a government agency—they expect a timely response based on comprehensive, up-to-date information on file at the agency. However, government agencies often lack the systems and processes to effectively manage cases through the lifecycle of a claim activity.

Staff challenges can include redundant systems that impact the accessibility of relevant case information, the reliability of data, and the timeliness of their response to the request or claim. Also, when systems lack integration and important controls, agencies are at risk of noncompliance with government regulations. They also may be unable to identify exceptions, which can increase their exposure to fraud such as duplicate claims or claims for more funds than an individual is qualified to receive.

When government budgets are strapped, complaint departments often consist of few staff members, so support from case management systems is especially critical to their ability to perform their jobs. However, when case management systems lack adequate integration and advanced capabilities, workers are unable to effectively address complaints from the public. As noted by Forrester Research, in surveying 155 case management influencers and decision-makers from the United States, United Kingdom, Australia and India, “Cross-departmental issues and integration top the list of case management challenges, while current systems lack agility and business-side control.”²

A Department of Transportation (DOT) was recently inundated with complaints, correspondence and requests for information related to the unintended acceleration in a particular automobile model. Whether receiving hardcopy or digital forms, phone calls or e-mail correspondence, or responding to the individual that contacted the department, workers quickly found themselves challenged to meet the needs of the public. Disjointed systems and heavy use of spreadsheets made information and process coordination difficult, and made repurposing information for multiple forms impossible, which greatly impacted staff productivity and customer satisfaction.

In some extreme cases, state Departments of Justice (DOJs) may not be able to properly handle certain cases due to inadequate case management systems and practices. When a DOJ lacks the right case management capabilities, the constant stream of highly formatted legal documents coming in to the court may be too much for the court’s systems to support. Attorneys may not be able to submit case information to judges in a timely manner and the DOJs may not be able to efficiently

develop trial dockets around that information. As a result, judges are unable to pursue cases in a timely and efficient manner and their ability to serve justice may be severely curtailed.



Consider the importance of case management within a state DOT managing work orders on specific segments of road and the associated linear assets, for the installation or maintenance of fire hydrants, road surfacing, lane painting or snow removal. These types of work orders generate vast amounts of information in the form of e-mail and letter communications, contracts, reports and more. In some areas of the country where mudslides occur, a state DOT is tasked with collecting massive unstructured information such as weather forecast details and geospatial data, associating it with a segment of highway and its susceptibility to mudslides, and saving it over a lengthy time frame to enable ongoing analysis and reporting. When road accessibility and especially public safety are at stake, a state DOT must have superior information-reliant processes in place.

When a state controller’s office was sued because they canceled a large construction contract with a vendor, they were faced with preparing for litigation through lengthy, complex eDiscovery activities. In the one year they were given to build their case, an already complicated process quickly grew much more complex, given their lack of an integrated, cross-department case management system. Instead, they were forced to allocate significant resources to access e-mails, forms, contracts, procedural and other documents located in isolated systems,

on backup tapes and CDs, and in archived systems. In addition, they lacked an integrated system to support extensive interviews and to manage the resulting documentation needed for their trial.

The Opportunity

To optimize program budgets while meeting the needs of the public, government agencies are turning to advanced case management capabilities for claims processing. With advanced case management, they can effectively act on events that occur such as unemployment claim submittals and requests for information, and meet the needs of both employees and the public. Their new approach to case management enables program directors to bring more value to the overall program by elevating the value of information for decision-making purposes. This new strategy aligns three major areas together: metadata/governance, enterprise content management and business process management. Gartner, Inc. describes how and why case management impacts decision-making:

“At the most elemental level, case management is the electronic equivalent of what has supported business over several centuries: the cabinets, drawers, folders, forms and collaborative workflow processes supporting important human decisions. Case management captures the backward-and-forward nature of human interaction to reach a specific outcome.”³

With advanced case management, caseworkers have the ability to automate information-capturing tasks, improving services delivered along with staff productivity. With advanced, integrated systems in place, workers have ready access to the right information at the right time for good decision-making. They perform their jobs based on a comprehensive information management strategy that features core capabilities including collaboration, e-mail and instant messaging within the case management environment.

System interoperability is key to the effectiveness of case management practices and the ability of the program to leverage existing technology investments. Through system integration, workers can take advantage of straight-through processing that incorporates all relevant structured,

transactional data from systems such as SAP BPM, Oracle ERP, Siebel CRM, shared files systems, databases and other content repositories into their case management activities. Staff members are also able to leverage massive unstructured information such as Microsoft Word documents, Adobe PDF files, audio files, video files and geospatial data, when making decisions around case exceptions, with the tools to document their decision-making and work through their cases efficiently. They can transform unstructured information into a usable, preferred format, whether they work with Microsoft Outlook, IBM Lotus Notes, file share systems, or various desktop applications, Web browsers and mobile devices.

Electronic case folders become intelligent entities that know their contents, where the information is supposed to go, who has the authority to view it and when a decision related to the information should occur. The folder also has inherent capabilities to flag exceptions and alert the right person when a case management process is held up because no one is looking at the file or a file-related activity is taking too long. Advanced rules management eliminates staff members' dependence on unreliable, outdated cheat sheets and sticky note reminders.

Advanced case management fosters an environment for government workers to not just perform the claims processing tasks at hand, but also manage the underlying processes. The systems are tightly aligned with compliance mandates within the government program, with automated internal controls that reduce risk and strengthen compliance. Risk management is enhanced with the ability to systematically document all decisions made on a case and enable lifecycle governance for case file data in motion and at rest.

Robust, automated data governance provides the means to monitor and measure the underlying business processes supporting the overall program, not just individual departments. Management is equipped with content analytics tools so they can measure the performance of case workers and the success of the program. Management can view multiple case files over a selected period of time, such as the previous year, previous three years or previous five years, to analyze that information to identify trends, patterns and behaviors.

Advanced Case Management Outcomes

Many government agencies are benefiting from advanced case management strategies, capabilities and processes. The following are a few examples of how government organizations are overcoming their claims processing challenges with advanced case management.

<i>State Department of Industrial Relations</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • The need to automate and simplify adjudication for Workers’ Compensation claims • The inability to quickly respond to claim filings and rapidly resolve claims • A lack of system integration and the ability for any user at any location to search for cases and view all relevant information • Excessive costs resulting from inefficient case management processes 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • Improved strategies for managing unstructured data and paper documents related to Workers’ Compensation cases • Easy-to-use, flexible case management processes that reduce the total cost of ownership, simplify process changes and enable integration with existing applications and processes 	<p>Outcomes:</p> <ul style="list-style-type: none"> • Streamlined the tasks for creating Workers’ Compensation files, setting hearings and serving decisions, orders and awards • Improved access to case records while preserving confidentiality • Reduced costs through accelerated case management processes • Reduced claim delays and eliminated data redundancies • Decreased file storage needs and shipping costs
<i>Federal Ministry of Finance</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • A fragmented view of information due to paper-based processes that didn’t allow for timely or effective communication among regions, tax departments and citizens • Tracking of physical files, which were often misplaced, caused delays in responding to claims (sometimes as long as six months), distributing work and resolving litigation • The inability to conduct detailed analysis and reporting due to manual, paper-intensive processes • Poor planning and ineffective management of scarce resources due to inefficient case management processes 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • A comprehensive solution including imaging, content management, workflow and templates • Integrated document management system with imaging, storing, filing, securing and management capabilities • Improved workflow that can deliver visibility, management, alerting and productivity enhancements 	<p>Outcomes:</p> <ul style="list-style-type: none"> • Increased transparency and accountability with optimized processes that enable channeling of documents based on profile and assignment of responsibilities • Accelerated claims processing and improved data integrity through process automation • Improved visibility with comprehensive online case files • Enhanced planning through alerting related to new claims
<i>Federal Regulatory Agency</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • The need to accelerate responses to requests for documents under the Freedom of Information Act, with a mechanism for identifying and routing certain requests to subject matter experts for review • Inefficiencies with the processes for routing incoming documents and new policy drafts to the right people for discussion • Manual processes around locating and assembling for review all materials, including e-mails, related to a specific topic or category 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • A seamless, end-to-end processing stream for incoming content, with particular applicability to documents requested under the Freedom of Information Act • Automated scanning, content assessment, classification, storage and Web enablement of incoming documents for self-service retrieval from the agency’s site • A collaborative review environment using rules to automatically establish a case folder, route the material to the appropriate reviewers and ensure version integrity 	<p>Outcomes:</p> <ul style="list-style-type: none"> • A versatile environment, assisted by rules and alerts, for collaboratively managing tasks and review processes involved in Freedom of Information requests, new incoming documents, policy reviews, claims and background checks • Content remains stored in a single repository to aid in reusability and version control • Automated classification tools enable fast, precise searches and help documents reach the appropriate experts for concurrent reviews

Social Services: Opportunities and Use Cases

The Challenge

Social services agencies facing diminishing budgets and the pressure to reduce the cost of case management must strive to operate with greater efficiency, which in turn allows them to serve more constituents. However, manual, paper-intensive processes and a lack of integration across systems tied to case management processes plague many social services organizations today. Growing volumes of social services content such as e-mails, postal mail, case management records, policy and procedural documentation, and compliance and audit reports are too often stored in standalone systems. As a result, workers lack the collaboration capabilities and access they need to relevant, current information for prudent decision-making around their assigned cases.

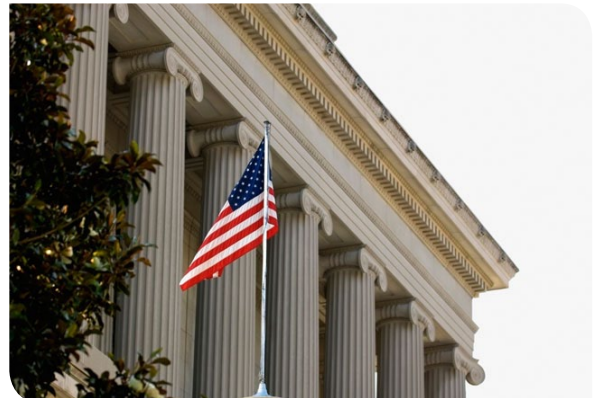
Manual processes and disjointed systems with siloed repositories of case notes and case correspondence increase risk and create hurdles for social services agencies that lack the capabilities to identify unintentional duplicate efforts or worse yet, intentional fraudulent case management activities. Insufficient analytics tools result in the inability to prove regulatory compliance and additionally, make it impossible to generate the metrics needed to show incremental program improvements. A prime example of a social services agency with significant case management challenges is Medicare, which processes 4.5 million claims per day in the United States. The program is plagued not only by costly case management inefficiencies, but also widespread fraud and abuse. The Medicare program is run by private contractors, doctors and hospitals committed to abiding by program rules to avoid audits, investigations, fines and penalties. However, the sheer complexity of the program's systems and regulatory landscape makes the program ripe for fraudulent and abusive activities.

The Opportunity

Social services agencies can significantly increase the efficiency of their case file processes through an integrated, coordinated strategy made possible by advanced case management capabilities. Advanced case management improves operational efficiency and employee productivity, reduces administrative costs,

improves compliance and enables workers to provide better client services and outcomes. Gartner, Inc. has boiled down the definition of case management based on what it should in fact offer organizations, including government agencies:

“Case management is the optimization of long-lived collaborative processes that require secure coordination of knowledge, content, correspondence and human resources and require adherence to corporate and regulatory policies/rules to achieve decisions about rights, entitlements or settlements.”⁴



By integrating all case file information through the underlying business processes that support their case management efforts, social services workers benefit from a single view of each and every citizen in the system, regardless of their circumstances, aliases or other variables. Staff members with unique responsibilities around case management can repurpose the data stored for a particular citizen into a format needed to suit their particular department, role and task.

Consider the work of a U.S. Department of Health and Human Services staff member tasked with assessing the eligibility of a homeless person for government assistance. With data that shows no fixed address and a history of criminal offenses, periodic drug rehabilitation and other activities, the information related to that citizen's history can reside in many different systems that are unrelated to one another. However, advanced case management strategies can centralize all data associated with an individual citizen, such as their relationships in particular neighborhoods, aliases, police files, social case files and drug rehabilitation files.

Workers from different divisions in different locations all view a single source of the truth based on comprehensive details about that citizen. Advanced case management centralizes, automates and streamlines what is typically a highly complex social services environment, delivering straight-through processing that makes case work very manageable. Centralized information and one version of the truth enhance the integrity of case work and help ensure equitable processing. The advanced case management strategy also connects citizens with important community resources that are provided secure access to case and client information residing with the social services agency.

Employees are empowered with content analytics and long-term tracking capabilities, as well as processes supported and enforced by fundamental business rules. They gain better decision-making overall, especially important when working with at-risk clients, in potentially harmful situations or when quick intervention is necessary. Robust analytics also supports auditing and fraud detection in the social services environment.

Advanced Case Management Outcomes

The following real-life examples illustrate how several social services organizations are leveraging advanced case management strategies and capabilities to improve their case management practices.

<i>Social Services Benefit Eligibility and Administration Program</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • Regularly changing regulations that impact the terms and conditions for eligibility • Citizen data related to cases is stored in various offices, making eligibility verification inconsistent and often impossible • Qualifying citizens are not always treated the same for each comparable case due to case management process inconsistencies 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • A central repository for all citizen information made available to all branches and offices, eliminating redundant information • A flexible rules engine for eligibility checks, with the ability to make quick adjustments when laws and regulations change • Consistent, standardized processes that ensure equal and timely service and payment to all eligible citizens 	<p>Outcomes:</p> <ul style="list-style-type: none"> • The regional administration is now able to comply with new laws for administering social services • Each eligible citizen is treated equally • More efficient processes have reduced the time required to provide services to the public

<i>State Department of Work and Pensions</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • The need to improve services and support in areas such as member enrollment and account management • Difficulty in managing large volumes of member, retiree and beneficiary information • The inability to respond quickly to member requests • System complexity with limited flexibility and high maintenance costs 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • Streamlined workflows that can accommodate and process large volumes of information • The ability to process each request or transaction as a “case” and initiate exceptions when necessary • The functionality for rapid development of case structures to enable the organization to respond to changing business requirements 	<p>Outcomes:</p> <ul style="list-style-type: none"> • Enhanced member satisfaction and reduced complaints through faster and more accurate resolution of claims requests • Improved system flexibility and configurability • Reduced process time and resource requirements through replicating and deploying best practices • Improved user experience through a common system interface

<i>Local Health and Human Services Agency</i>		
<p>Case Management Challenges:</p> <ul style="list-style-type: none"> • Information silos that prohibit a holistic view of city services for citizens and leave city agencies with incomplete citizen information • Repeated requests for the same information from citizens, creating client frustration • Agency caseworkers cannot easily access citizen information stored in other agencies • A complex case management environment with 8 to 10 million records, more than 1 billion content objects and 75,000 caseworkers 	<p>Advanced Case Management Capabilities Employed:</p> <ul style="list-style-type: none"> • A master information solution leveraging master data management software and master content to create a single, trusted view of each citizen across agency data and content • On-demand access to data, content and documents about each citizen through multiple channels 	<p>Outcomes:</p> <ul style="list-style-type: none"> • Increased accessibility and trustworthiness of citizen information, improving city services • New self-service opportunities for citizens, which increase efficiency and accountability • Greater citizen satisfaction with city services • Reduced costs by eliminating redundant information

Best Practices in Case Management for Government Agencies

Advanced case management provides government agencies the right resources to properly manage case processes and content. Through leveraging best practices in case management—which incorporate and integrate people, processes, policies and technology—agencies can streamline internal processes, reduce costs, close cases faster and better serve the public.

Advanced case management for government agencies includes important capabilities that support and significantly improve case management practices:

- **Centralized information** – delivers a comprehensive, 360-degree view of the case and always-accessible case file, for improved decision-making
- **Access to the right resources** – provides the applications and information, and identifies the staff members required, to deliver results and effectively serve the public
- **Deep analytics** – helps management monitor and improve the responsiveness and efficiency of the program, with improved auditing capabilities that reduce cost and risk and help meet compliance mandates
- **Tools that facilitate collaboration** – enable business processes to extend across organizational, geographic and government boundaries, and case workers to deliver better services

- **Automation and dynamic business rules** – reduce resource requirements, simplify assessment and payment processes, and enable staff members to easily respond to ever-changing policies and legislation
- **Streamlined processes** – foster employee and case worker productivity and effectiveness, with the capabilities to close cases faster and handle more cases with fewer resources

Conclusion

Government agencies faced with shrinking budgets yet ongoing pressure to deliver superior services to the public need smarter ways to handle their growing, increasingly complex caseloads. Advanced case management, as a strategy, can help government agencies alleviate many of the challenges associated with claims and social services processes.

With the right case management solutions backed by proven best practices, government organizations can strengthen these critical processes, improve the integrity of case file information, enhance compliance and reduce risk and costs. Most important, government agencies can support the public with relevant, comprehensive, up-to-date information specific to the client and their unique circumstances, and consequently elevate their level of service.

Resources

These websites provide useful references to supplement the information contained in this paper:

- IBM Advanced Case Management
<http://www-01.ibm.com/software/data/advanced-case-management/>
- IBM Government
<http://www-01.ibm.com/software/data/content-management/industry-solutions/government.html>

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