Advanced Case Management in Government: The Roadmap for Effectiveness and Efficiency

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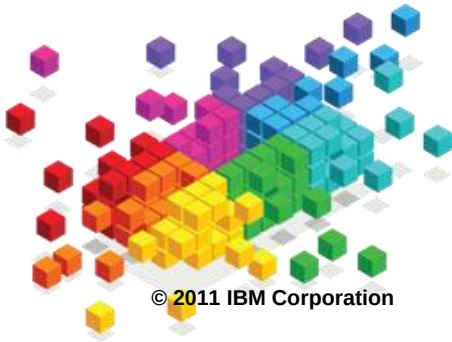

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Agenda – Share and Talk !

- Advanced Case Management in Public Sector
- Discuss a recent IBM ECM BVA
- ECM Maturity Models and Business Cases

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Common goals for most government agencies...

- Increase Interoperability
- Multi-Modal Communication
- Comply with regulations
- Improve employee productivity
- Improve business processes
- Reduce administrative costs
- Stop Water Cooler Decision Making

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Can you prove and sustain….

- **Equality**
- **Integrity**
- **Productivity**
- **Quality**
- **Compliance**

Can you measure success ?

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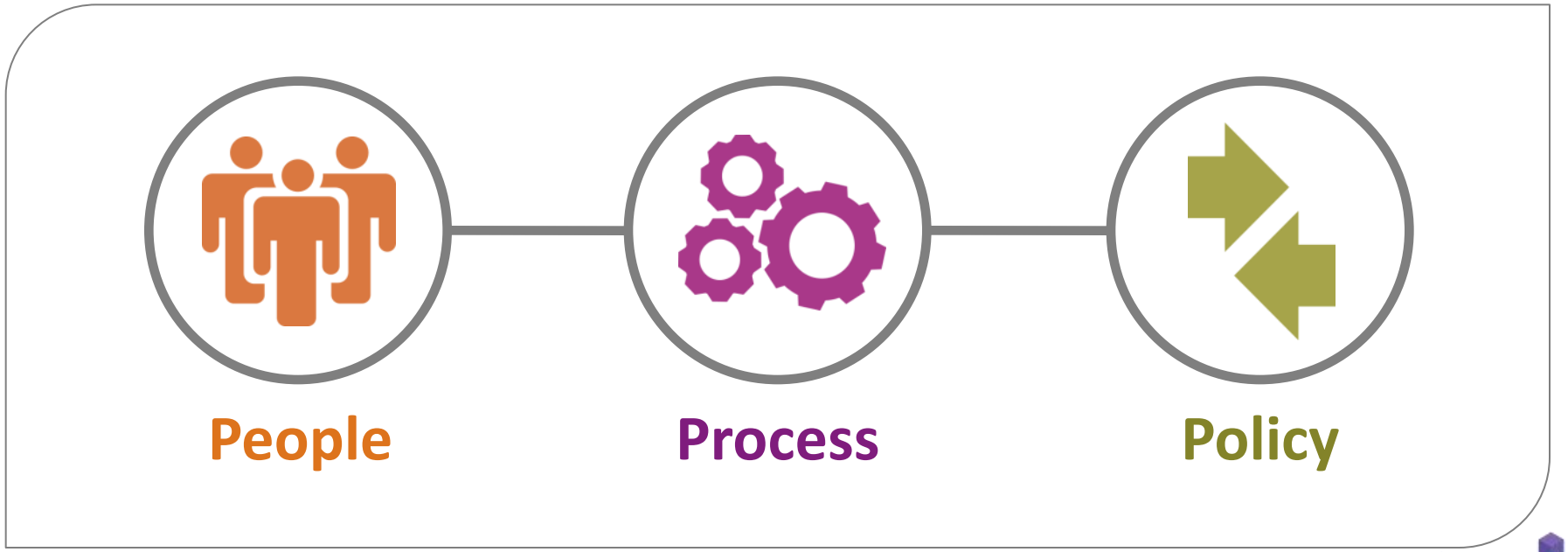
Regardless of the form, management is key—you need to align people, process and policy



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Leveraging Master Content at NYC-HHS

Creating a Single View of the Citizen – and the City

Problem

- Information silos prohibit a holistic view of city services for citizens, and leave city agencies with incomplete citizen information
  - Frustrated citizens provide the same information repeatedly and are left asking city employees "Don't you talk to each other?"
  - Agency case workers cannot easily access citizen information stored in other agencies
  - 8-10M records, 1B+ content objects, 75,000 case workers to integrate

Solution

- A Master Information solution leveraging MDM and Master Content to create a single, trusted master view of each citizen across agency data & content
- On-demand access to data, content & documents about each citizen through multiple channels

Benefits

- Increased accessibility and trustworthiness of citizen information improving city services
- New self-service opportunities for citizens, increasing efficiency and accountability
- Greater citizen satisfaction with city services
- Lower costs by eliminating redundant information

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Leveraging ACM for Crime Intelligence

Aggregate historical Cases → **Analyze** → **Explore for trends and patterns**

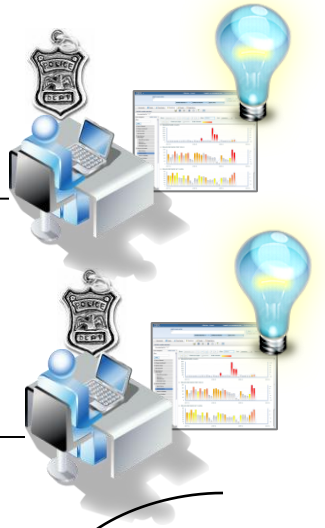
- Criminal Case Files
- 911 Reports
- Police reports
- witness statements
- evidence descriptions
- forensic reports

Case Management

1) Aggregate
A large city police department starts using ACM to manage all of its criminal investigation cases.

Text descriptions of crime, motive, perpetrators' actions

Crime and Perpetrator data



Discover

Take Action based on derived insight

Business
Ar

Deliver

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IBM Case Manager

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State of North Dakota used advanced case management to improve services and public safety

The need:

- **Modernize its paper-based process of storing, cataloging and retrieving records**
- **Support the state's growing collection of citizen, business and internal records, impacting staff productivity and response times**

The solution:

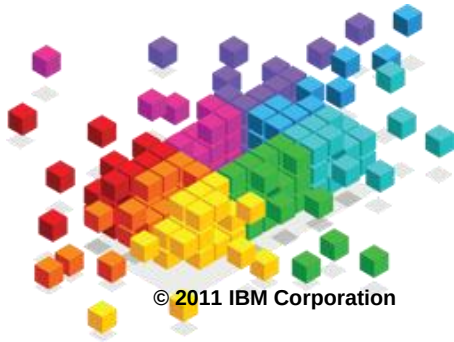
- **Implemented a centralized electronic archive, business process automation and electronic forms to replace paper-based processes**
- **Enabled agencies to efficiently retain, access, and share information**
- **Planned to add analytics to collect, analyze and report on information and notes in incident reports, benefits requests, and other documents**

"Advanced case management will help keep our parole officers safer because they'll have information faster and more reliably."

—Chuck Picard, Enterprise EDMS Coordinator, State of North Dakota

The benefits:

- **Moving from paper-based to paperless processes reduced time to respond to citizen inquiries from days to seconds**
- **Improving process efficiency and information sharing drives significant economies of scale and cost savings**
- **Applying content analytics will help staff identify previously undetected patterns to improve officer safety and detect fraud**



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Junta de Castilla y León shortens service delivery

The need:

- Reengineer its IT systems to comply with new regulations
- Provide better service to citizens

The solution:

- Implemented a centralized process-oriented management system for granting benefits, automating the agency's work and shortening services delivery
- Adapted quickly to the new regulatory framework

The benefits:

- Improves service
- Facilitates compliance
- Provides greater flexibility for implementing future policy changes

"By combining the strengths of IBM Software and services, we are dramatically reducing the time to process benefits, allowing the staff to put more focus on handling exceptional cases. "
- José María Molina, Project Director, Junta de Castilla y León

Junta de Castilla y León

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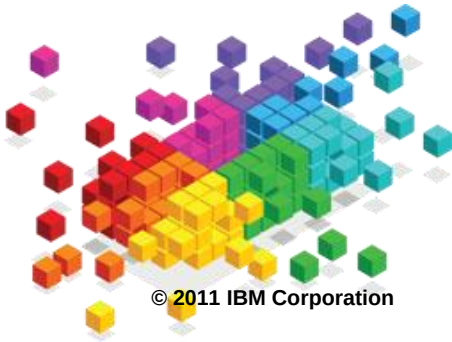
Discussion on Advanced Case Management

- Do you agree with the direction of Advanced Case Management?
- Discussion of of Content Analytics; use cases need?
- What progression path would you see being needed?
- Advanced Case Management can be viewed as a strategic roadmap?
- Do you agree with the need to encapsulate “Water Cooler Decision Making”?
- What are the most important Key Performance Indicators for your organization and can ACM help you measure and meet those metrics?
- How do you measure success today?
- Do you need to change your business model moving forward?



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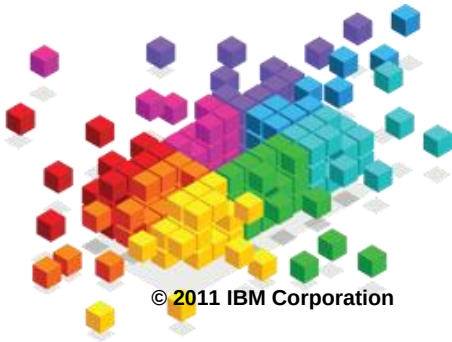
Recent IBM ECM Business Value Assessment



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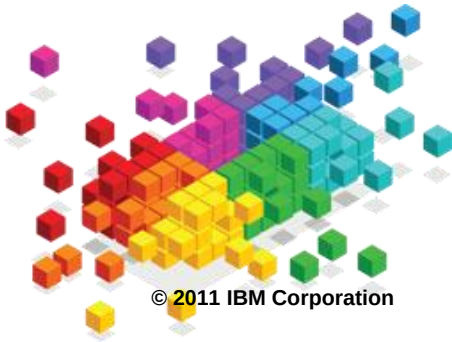
Key Business Requirements

- **Improve staff efficiency and productivity**
- **Provide an integrated environment for document search and retrieval**
- **Provide access to documents for offsite Auditors**
- **Provide the ability to capture and store printed management reports**
- **Provide a scalable solution to support Records Management for retention and destruction**



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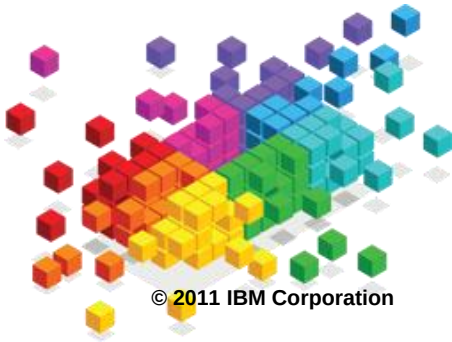
Solution Assessment Findings

- **Approximately 13% (62 minutes) of staff time is spent on paper management**
- **Approximately 50% of Supervisors' time is spent manually balancing workload, measuring employee productivity and supporting backlog**
- **Approximately 50% of paper files are copied and multiple copies stored as records**



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Return on Investment – Assumptions

- **Observation included 41 FTE**
- **Extrapolation for SAP FTE to total of 481**
- **Extrapolation for 319 General Forms users**
- **Average salary assumption $40,000CAD**
- **Annual Salary for 800 FTE $41,600,000CAD**

Existing Employee Details

Clear Data On This Sheet

Insert Add'l FTE

Job #	Job Title	Current # FTEs Per Position	Burden Rate	Annual Salary Per FTE	Annual Overtime $ Per FTE	Fully Burdened Annual Salary Per FTE	Total Current Annual Salary Cost
1	Manager, Operational Accounting AP	2.00	30%	$40,000		$52,000	$104,000
2	AP Financial Services Officer	4.00	30%	$40,000		$52,000	$208,000
3	AP Clerk	13.00	30%	$40,000		$52,000	$676,000
4	AP Administrative Assistant	1.00	30%	$40,000		$52,000	$52,000
5	AP Payment Processing Specialist	Incl					
6	AP Financial Accountant	Incl					
7	Director AR	1.00	30%	$40,000		$52,000	$52,000
8	AR Secretary II	1.00	30%	$40,000		$52,000	$52,000
9	AR Manager Financial Services	3.00	30%	$40,000		$52,000	$156,000
10	AR Financial Services Officer III	Incl					
11	AR Financial Services Officer II	Incl					
12	A/R Clerk III	16.00	30%	$40,000		$52,000	$832,000
13	AR Clerk IV	Incl					
14	AR Clerk III	Incl					
15	General SAP Employees	440.00	30%	$40,000		$52,000	$22,880,000
16	General Departmental Employees	319.00	30%	$40,000		$52,000	$16,588,000
	Total	**800.00**					**$41,600,000**

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Return on Investment – Business Tasks

- **Annual Salary for 41 FTE $2,132,000.**
- **Current Manual Processes Cost $1,573,455.**
- **Savings estimated 13%**

Transactional Savings | Clear Sheet Data | Distribution View

Insert Add'l Discrete Task

Task	Discrete Task List	Performed By	(mi A Tas	% Savings With IBM Year 1	% Savings With IBM Year 2	% Savings With IBM Year 3	Savings With IBM Year 1	Savings With IBM Year 2	Savings With IBM Year 3	Total Savings W/ IBM
1	Validate Customer via Registry of Joint Stock	AP Clerk			25%	50%		$17	$33	$50
2	Validate Customer via GST/HST Registry	AP Clerk			25%	50%		$17	$33	$50
3	Validate Postal Code and address via Canada Poste	AP Clerk			25%	50%		$55	$112	$167
4	Complete SAP data entry from Customer Create Request	AP Clerk			35%	50%		$77	$112	$189
5	Complete SAP data entry from Customer Create Request for Direct Deposit	AP Clerk			35%	50%		$77	$112	$189
6	Print screens completed in SAP	AP Clerk		100%	100%	100%	$219	$221	$223	$663
7	Update Notes in SAP	AP Clerk		25%	70%	70%	$55	$155	$156	$366
8	Sign and Date	AP Clerk		25%	70%	70%	$55	$155	$156	$366
9	Convert SAP report to Excel	AP Clerk		25%	70%	70%	$301	$851	$859	$2,011
10	Lookup each item in SAP to add data to Excel Report	AP Clerk		25%	70%	70%	$383	$1,083	$1,094	$2,560
11	Complete Stale/Stop Payment Request Forms	AP Clerk		25%	70%	70%	$957	$2,708	$2,735	$6,400
12	Complete Return of Cheques for Cancellation	AP Clerk		25%	70%	70%	$137	$387	$391	$914
13	Attach Cheque and Envelope	AP Clerk		25%	70%	70%	$27	$77	$78	$183
14	Manually route form for Manager approval and signature	AP Clerk		25%	70%	70%	$27	$77	$78	$183
15	Pick up AP docs	AP Clerk		25%	70%	70%	$27	$77	$78	$183
16	Review AP docs for accuracy	AP Clerk		25%	25%	25%	$162,812	$164,440	$166,085	$493,337
17	Enter invoice into SAP	AP Clerk		25%	25%	25%	$54,271	$54,813	$55,362	$164,446
18	Date Stamp and put in work bundle	AP Clerk		25%	70%	70%	$54,271	$153,477	$155,012	$362,760
19	T4A Adjustment prepared	AP Clerk								
20	Route T4A for approval	AP Clerk		25%	70%	70%	$162,812	$460,432	$465,037	$1,088,281
21	Enter T4A Adjustment	AP Clerk								
22	Support backlog	AP Financial Services Officer		5%	5%	5%	$1,313	$1,326	$1,339	$3,979
23	Phone support mentoring and training	AP Financial Services Officer								
24	Print and Sort End of Day Vendor Change Report	AP Administrative Assistant		25%	25%	25%	$55	$55	$56	$166
25	Pull completed work from AP Clerks	AP Administrative Assistant		25%	70%	70%	$27	$77	$78	$183
26	Line item check off End of Day Vendor Change Report	AP Administrative Assistant		25%	70%	70%	$2,462	$6,962	$7,032	$16,456
27	Photocopy report and reconciliation to Manager	AP Administrative Assistant		25%	70%	70%	$27	$77	$78	$183
28	Date stamp and file	AP Administrative Assistant		25%	70%	70%	$137	$387	$391	$914
29	Print Stale Cheques Report	AP Administrative Assistant		25%	70%	70%	$410	$1,160	$1,172	$2,743
30	Mail sorted and put in trays	AP Administrative Assistant		100%	100%	100%	$547	$553	$558	$1,658
31	Customer lookup Request for Invoice	A/R Clerk III		25%	70%	70%	$4,344	$12,284	$12,407	$29,035

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Return on Investment – Assumptions

- **Savings:**
  - **Extrapolated conservative 8% improvement for all other FTE:**
    - **General SAP FTE Savings = $1,830,400.**
    - **General Departmental FTE Savings = $1,327,040.**

Existing Employee Details | Clear Data On This Sheet | Detailed View | Enable Ou

Job #	Insert Add'l FTE / Job Title	Current # FTEs Per Position	Burden Rate	Annual Salary Per FTE	Annual Overtime $ Per FTE	Fully Burdened Annual Salary Per FTE	Total Current Annual Salary Cost	Productivity Savings %	FTEs Savings w/out Tasks	Equivalent Salary Savings
1	Manager, Operational Accounting AP	2.00	30%	$40,000		$52,000	$104,000			
2	AP Financial Services Officer	4.00	30%	$40,000		$52,000	$208,000			
3	AP Clerk	13.00	30%	$40,000		$52,000	$676,000			
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14	AR Clerk III	Incl								
15	General SAP Employees	440.00	30%	$40,000		$52,000	$22,880,000	8.00%	35.20	$1,830,400
16	General Departmental Employees	319.00	30%	$40,000		$52,000	$16,588,000	8.00%	25.52	$1,327,040
	Total	**800.00**					**$41,600,000**		**60.72**	**$3,157,440**

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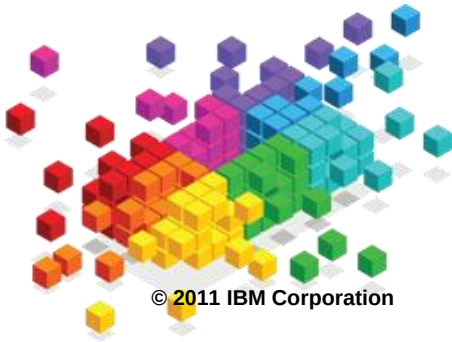
Building a Business Case or Roadmap



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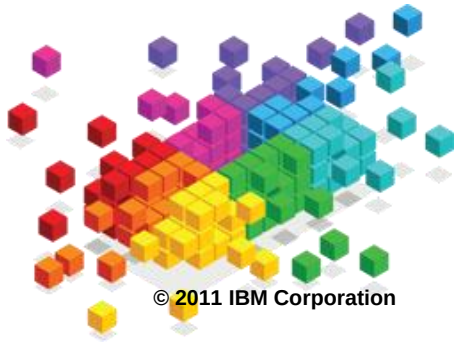
Discussion Points – A starting area

- When it comes to unstructured or content (ECM) what key business performance metrics do you look to improve on?
- What are the challenges / barriers of adoption?
- Who are the likely key stakeholders for ACM or ECM in your organization?



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Get the basics right and link to processes

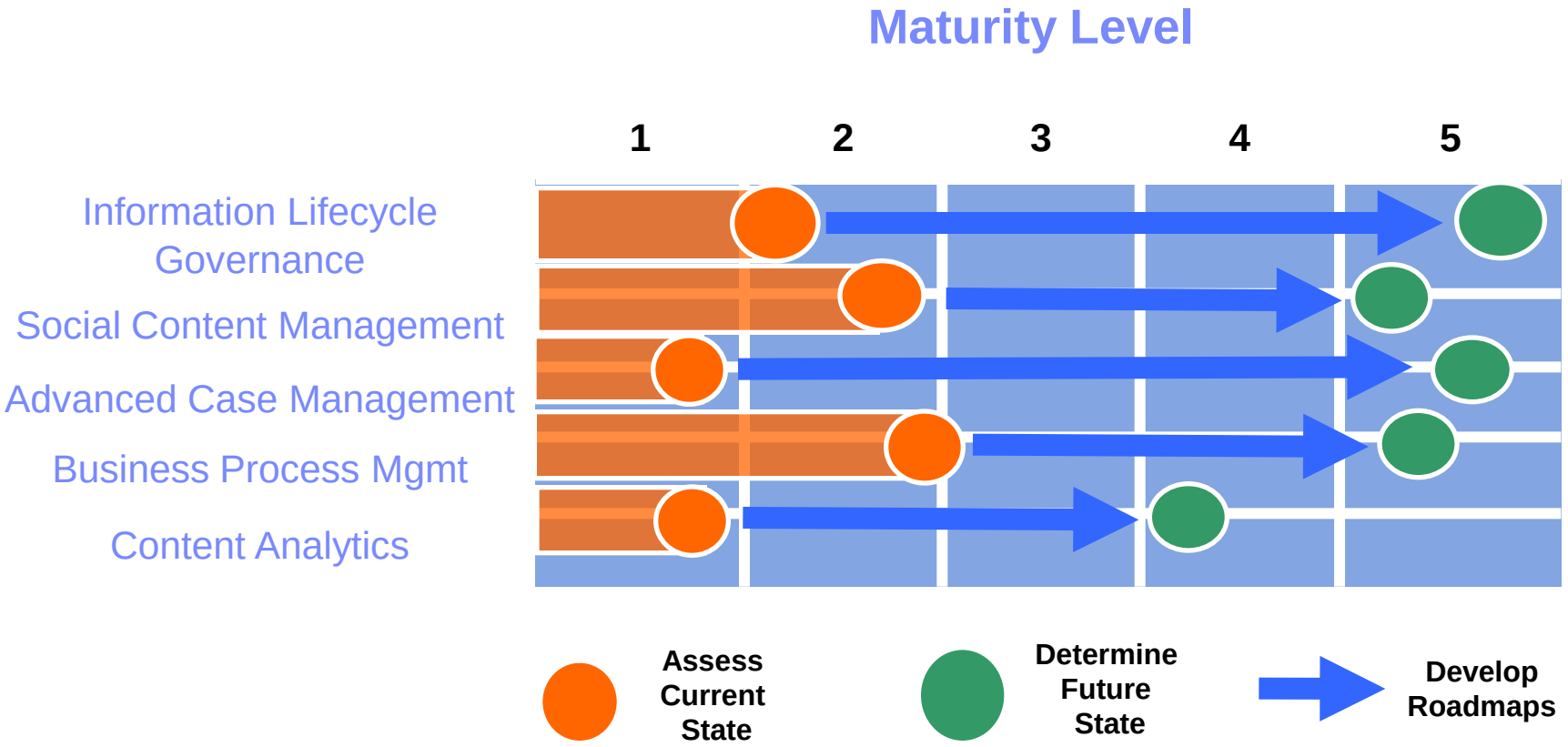
Enterprise Content Management

- Establish good content governance:
  - Have accountability for bodies of content
  - Give operational support
- Have good answers to these questions:
  - Who will own what content?
  - How will content be categorized and tagged?
  - Who will establish and maintain the retention policy?
  - How will adherence to ECM policies be measured and enforced?
- Don't manage all content at the enterprise or business-unit level
- Use BPM to enforce a content management life cycle
- Leverage virtual team spaces for unmanaged, shared "working" content
- Assess policy and process alignment

Information Lifecycle Management

- Create a cross-functional oversight team including business, IT, legal and finance personnel as well as an executive sponsor
- Identify compliance requirements (program, regulatory, legal, fiscal)
- Draft the appropriate records management policies and processes
- Build a retention schedule and file plan
- Determine functional and technical requirements
- Select and deploy records management technology
- Communicate records management policies and processes
- Establish continuous audit and review processes

ECM Summary Assessment



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ECM Information Maturity

Level	1	2	3	4	5
Information Lifecycle Governance	Basic Policy Enforcement	Data Governance Strategy	Information as a Strategic Asset	Integrated RMS and Discovery	Robust Compliance Platform
Social Content Management	Shared Files	Bespoke Folksonomy	Reference Master Content Management	Collaboration, Content Governance	Interoperability Mult
Advanced Case Management	Chaos	Silos + Storage	Search & Discovery	Federation & Activation	Federated Information Management
Business Process Management	Process Modeling	Process Execution	Service Oriented Architecture	Process Monitoring	Process Optimization
Content Analytics	Business Performance Management	Search	Auto-Classification	Integration and Interoperablit y	Unstructured Analysis

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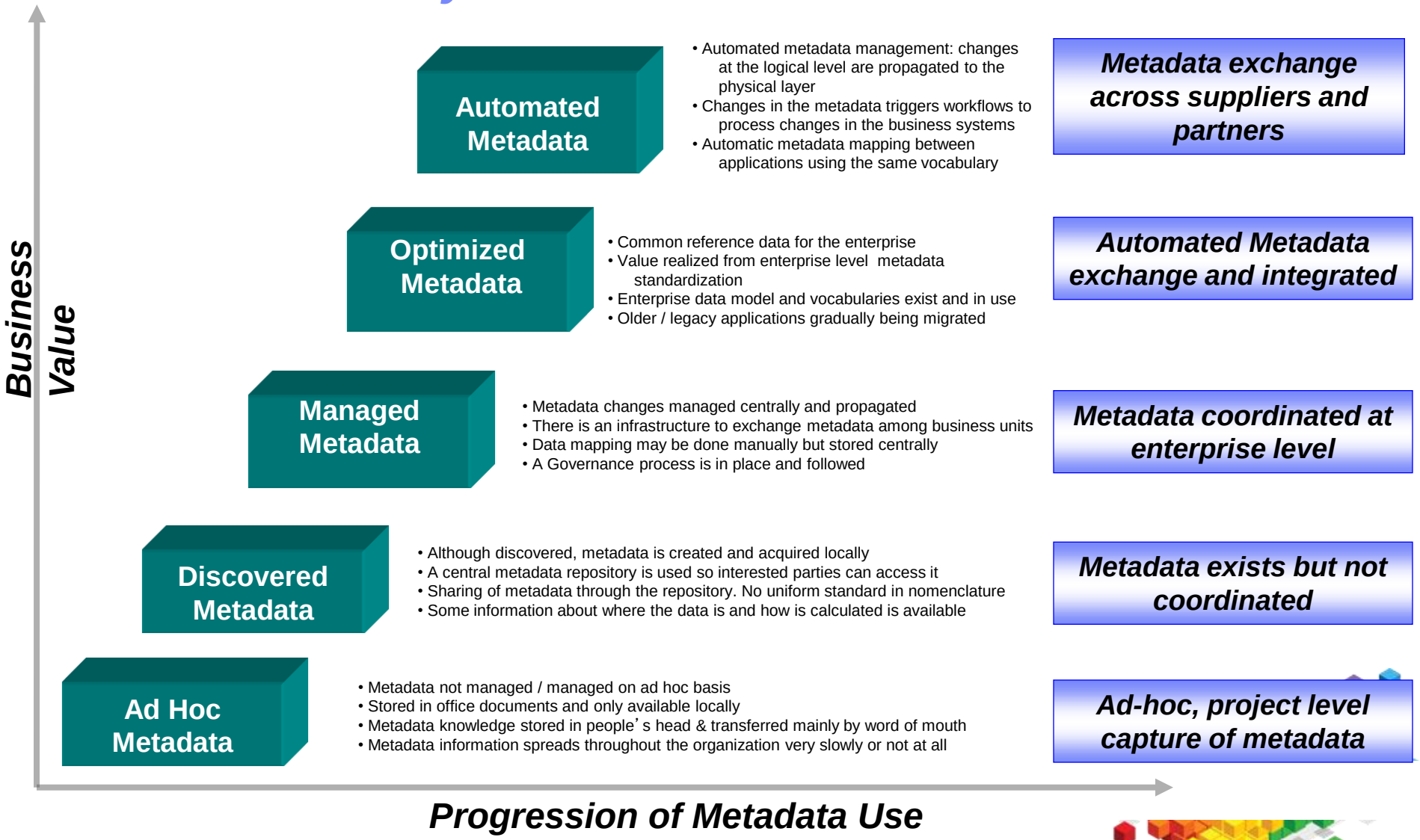
Metadata Maturity Model



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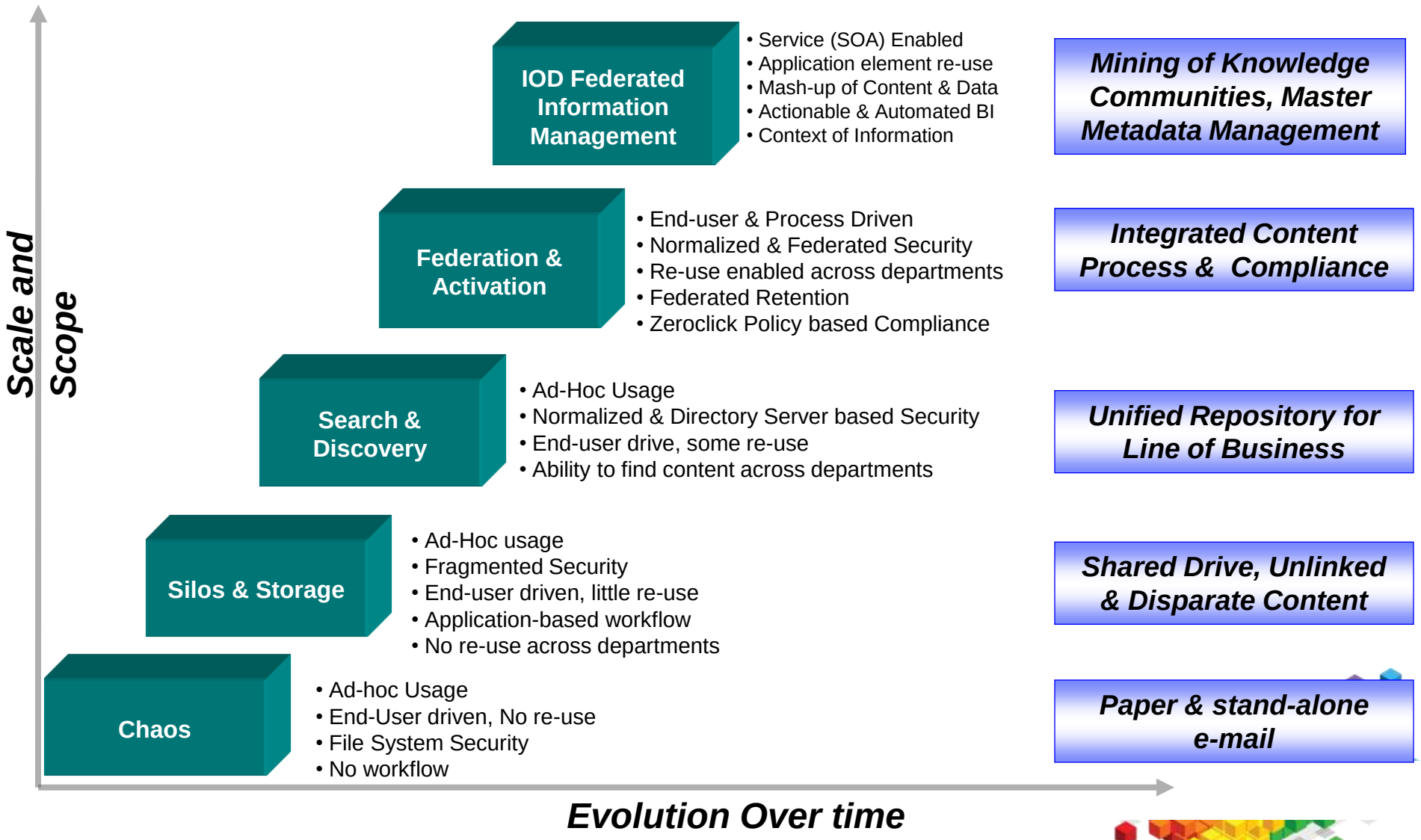
Enterprise Content Management Maturity Model



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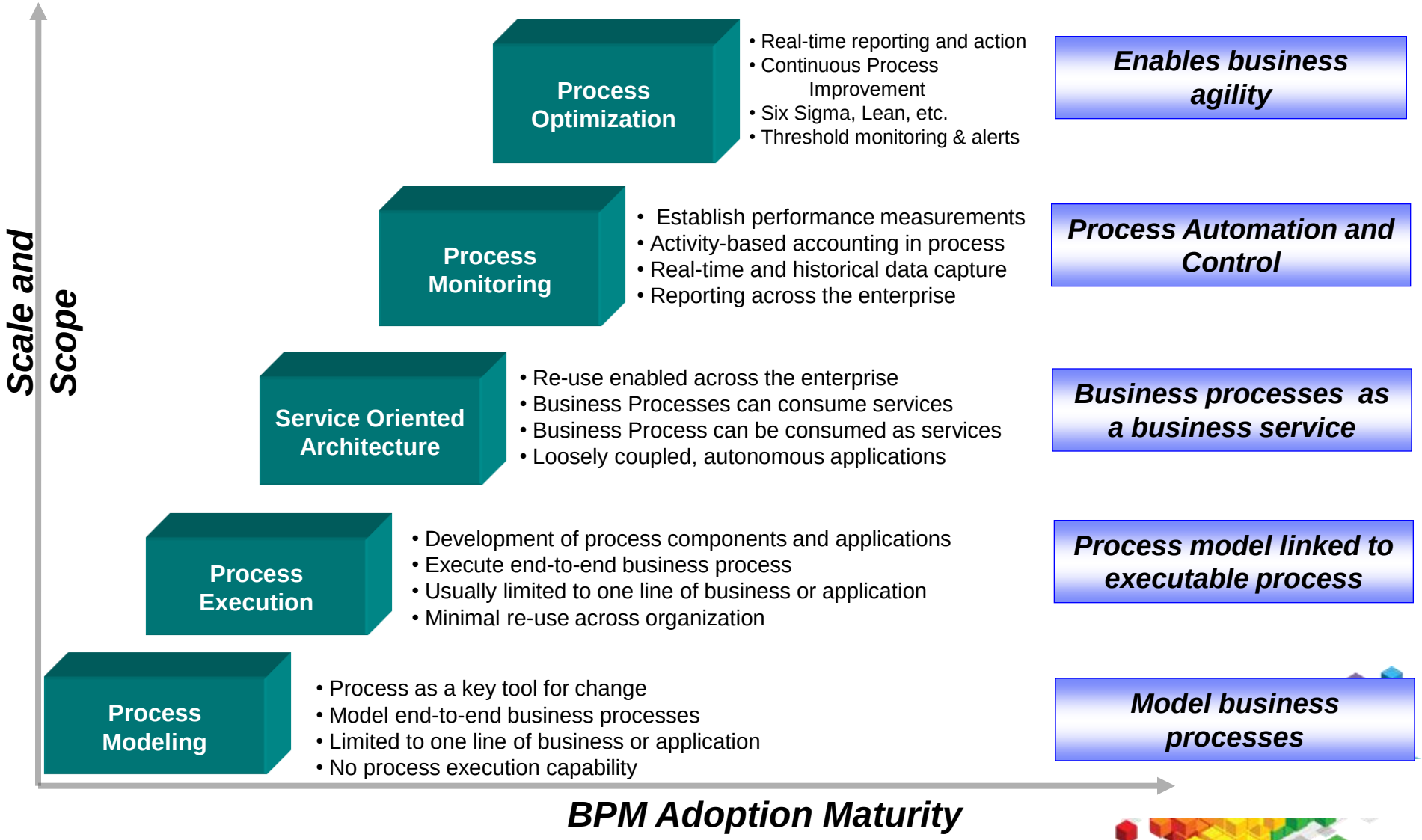
Business Process Management Maturity Model



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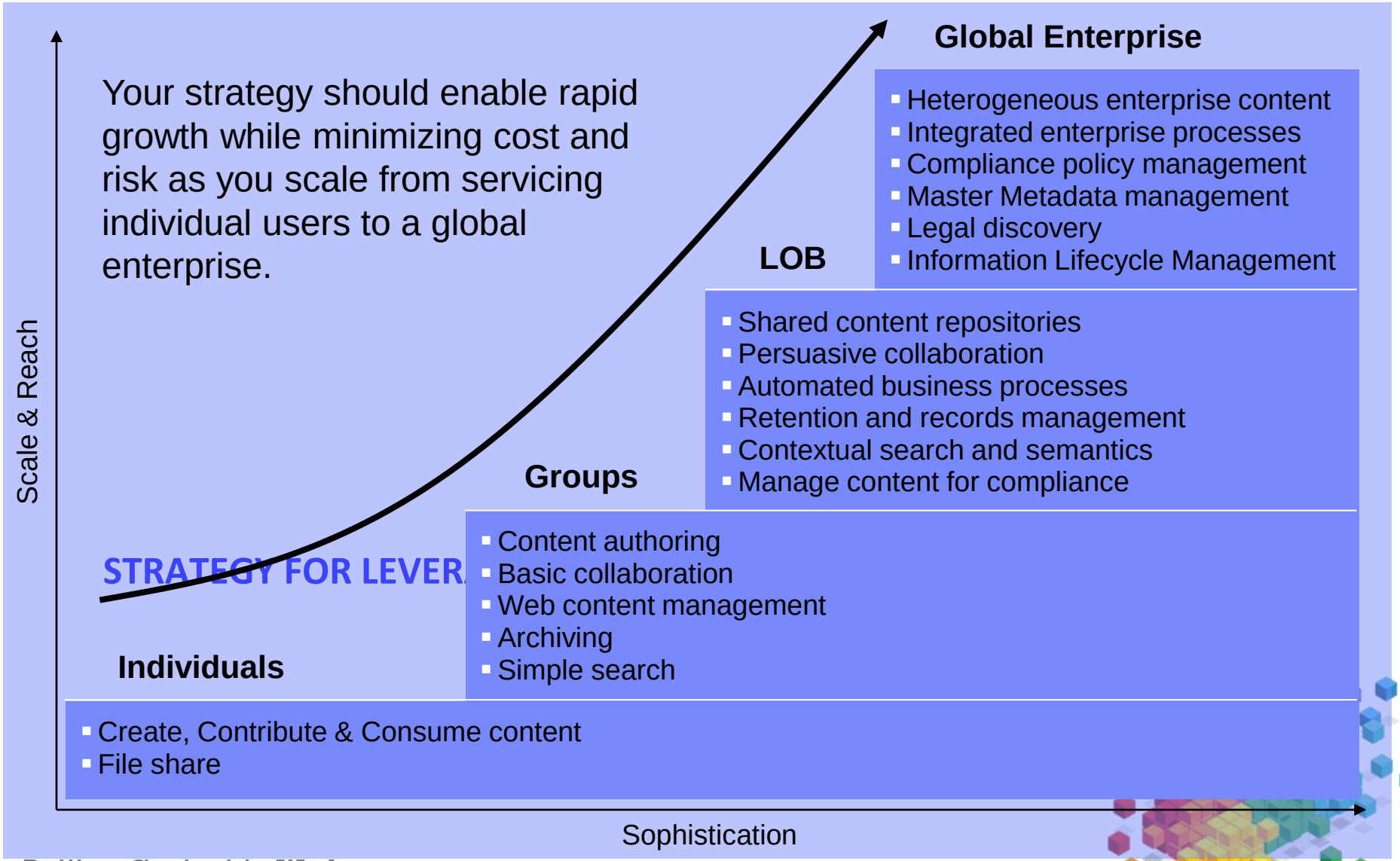

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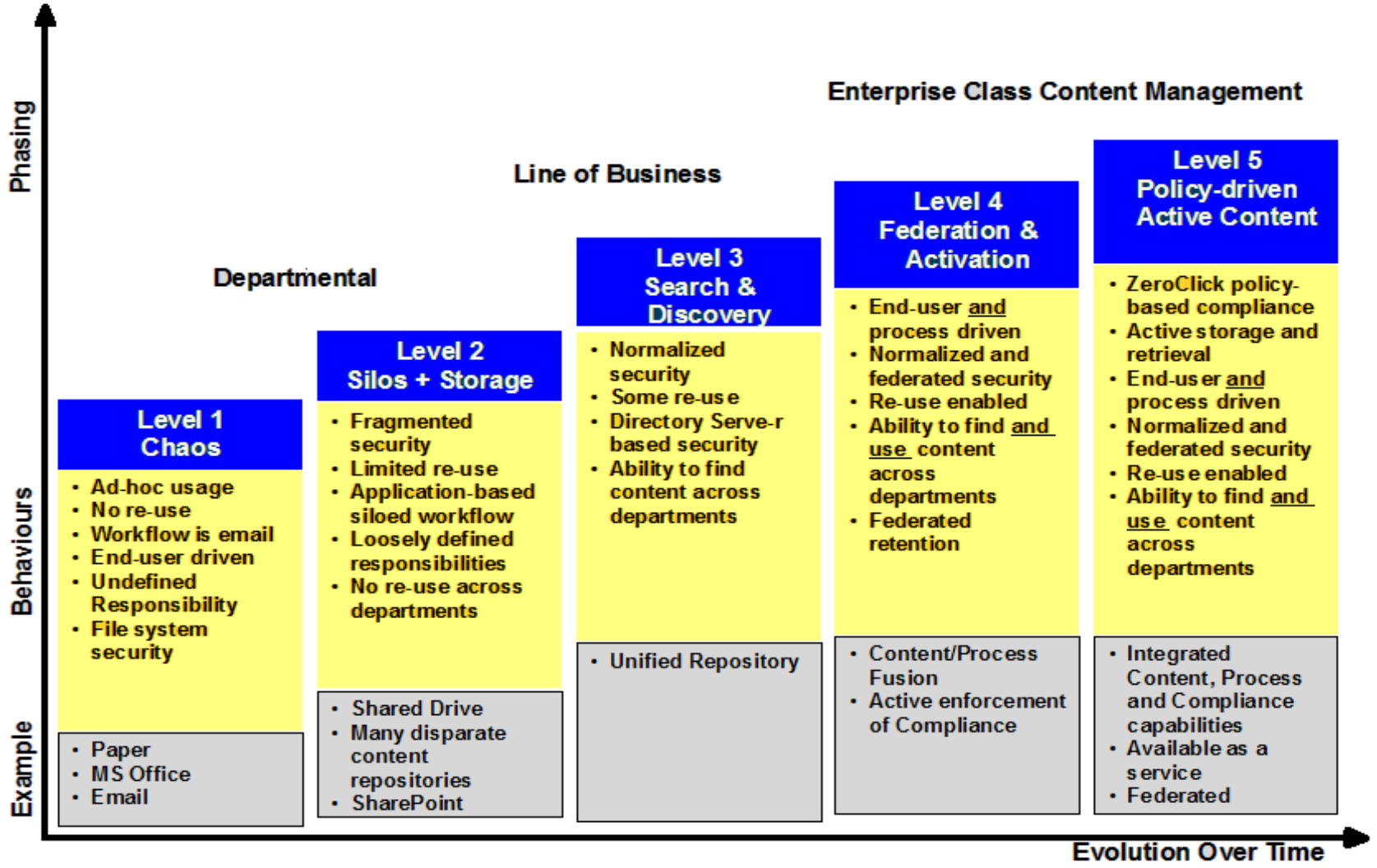
Content Management Maturity Model



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Next Steps

- IBM ECM Public Sector Customer Advisory Board
- IBM ECM Business Value Assessment
- Impact Analysis Tool
- Share Use Cases and Best Practices
- Maturity Model Assessment Collaboration

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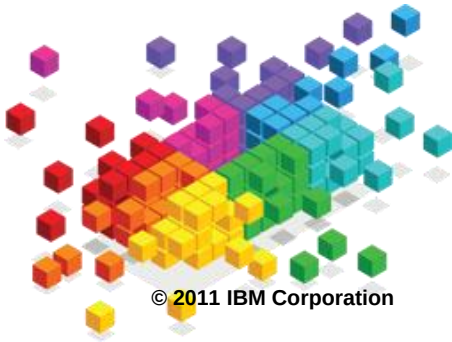

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