



CASE MANAGEMENT: A BLUEPRINT FOR SUCCESS

How case management can create
business agility and efficiency

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INTRODUCTION: ACHIEVING AGILITY THROUGH CASE MANAGEMENT

In today's challenging economy, organizations must be more agile and work smarter in order to create value for their customers quickly. A recent worldwide survey of 350 executives conducted by *The Economist* found that, over the next three years, reducing operational costs is recognized as the number one business challenge for one-half of all respondents.¹ The same study also revealed that nearly 90 percent of executives believe that organizational agility is critical to business success.² These executives identified three critical traits of an agile business: rapid decision making and execution, a high-performance culture, and the ability to access the right information at the right time.³

Organizations have been mandated to operate with fewer resources, yet are still expected to deliver superior services while increasing efficiency and productivity. As a result, they can no longer tolerate the inefficiencies of limited information access and manual, time-consuming processes inherent to siloed environments. Now more than ever, organizations need to transform their critical business processes and leverage multiple sources of information to adopt a better way of working.

To make this transformation a reality, leading organizations have turned to case management solutions to reduce operational costs and organizational risk, acquire and retain customers, improve decision making, and process work faster and more effectively. Case management allows organizations to automate routine tasks and aggregate multiple sources of information in a collaborative work environment for rapid decision making. By implementing case processing, organizations improve both their agility and efficiency by leveraging proven best practices for information and process management.

What is a case?

Many business activities require the integration of people, processes, and information toward achieving a desired outcome. "Case" is a convenient metaphor for this pattern of work, indicating a set of operations, events, and information around which people systematically perform tasks, collaborate, and make decisions. Traditionally used in social services, healthcare, banking, insurance, and legal environments, case management is rapidly expanding into many other industries as organizations recognize its ability to apply rigor to case processing. The goals of case management are to make case information easily accessible, up to date, quickly tracked, and more manageable in the context of business processes.

WORKING SMARTER WITH CASE MANAGEMENT

MANUAL PROCESSES OUTLIVE THEIR USEFULNESS

Many of today's organizations process cases manually, making cases difficult to manage, track, and control. Case files can be lost, misplaced, or mishandled, resulting in failure to meet operational and service performance goals, and/or regulatory mandates. In addition, maintaining physical case folders increases the time and cost associated with processing each case.

For many reasons, traditional, paper-based methods for case processing are no longer viable. First, the proliferation of information produced for each case and the variety of formats in which this information is submitted (both paper and electronic files such as forms, images, video, and audio content) make manual processing inefficient and prone to risk. This accumulated data also makes locating all case-relevant information within the organization difficult. Second, today's global, mobile workforce cannot collaborate or consult efficiently through paper-based methods which require the physical transfer of case files from location to location for review. Case management tasks often cannot be done sequentially because they are paper-based. Also, in many industries, case volume has increased considerably. And, finally, governance and regulatory requirements necessitate the retention of full documentation of each case. This documentation includes how and why decisions were reached, discussion threads, policies reviewed, and opinions rendered.

MOVING TO A VIRTUAL CASE ENVIRONMENT

Without greater control of case information and its associated structured and unstructured processes, organizations cannot improve their agility and efficiency—both necessary to compete in today's economy. Improving case management through case processing requires integrating people, processes, and information; automating structured processes; and expediting the unstructured case processes—all while fostering more collaboration among case workers.

For example, capturing case information electronically allows organizations to eliminate manual data entry, misplaced information, and related data entry errors. This action can

then initiate the creation of a virtual case folder that aggregates all digital information relevant to the case (emails, faxes, forms information, images, audio and video files, photographs, policies, discussion threads, and collaborations). It is this virtual case file that becomes the focal point for each case.

With a secure virtual case folder—the cornerstone of case processing—workers can easily collaborate with other business users, independent of their geographic location. The folder view includes tasks, rules and policies, events, history, reporting, documents, people, and even other processes, providing the necessary context to make the most accurate decisions quickly. By nature, some activities within case processing are collaborative such as internal review discussions and research, and may span multiple steps across a process.

Case processing typically involves a combination of linear and structured processes as well as non-linear and unstructured processes that are driven by the circumstances of the case itself. The linear and structured processes can be automated as a way to improve productivity. By virtue of their unstructured, unpredictable nature, the non-linear processes are not easily automated by traditional approaches because they require multiple transactions to occur simultaneously. In addition, the progression of these unstructured processes is often driven by the circumstances of the case itself and the policies, events, and discussions that take place during review of the case. In these instances, it is the decisions, the people, and the information that drive the case processes.

By moving to a virtual case environment, organizations readily gain access to case information that is up-to-date, tracked, and visible across the organization. Workers have a holistic view of their work from beginning to end as well as a sense of ownership. With all information and its context aggregated into a single folder, workers can consult internal and external resources, and review and make better decisions to resolve the case. A virtual case folder also enables tasks that would require sequential processing to be done in parallel, speeding case resolution.



The case aggregates all relevant information

What is unique about case management?

- Knowledge worker and information intensive
- Highly collaborative (internal and external)
- Dynamic and structured business process support
- Strong compliance/governance features

HOW IT WORKS

Case processing can be divided into five stages involving process and content management: intelligent capture; monitoring and reporting; collaboration; personalized customer communications; and compliance and archiving. Data and documents are transformed into digital assets and managed in a virtual case folder for the entire case lifecycle. Adopting a case processing strategy that involves the complete case lifecycle is crucial to success, and must cover all events from incoming information capture to communication of the final resolution or status to customers and other stakeholders. Some organizations fail to meet their case processing goals because they focus on only one element of the equation.

To manage the flow of activities within a case, managers should be able to easily track progress toward milestones, productivity goals, and service-level agreements. Case processing also automates simple and repetitive tasks to enable workers to focus on more complex work. It allows organizations to:

- Decrease processing time by eliminating the need to locate and physically transport information stored in various areas and locations
- Monitor and control case processing through realtime reports and dashboards
- Give workers the ability to interact and participate in realtime discussions
- Provide security and information rights management to the contents of the virtual case folder
- Apply retention policies and records management to meet government mandates and regulatory guidelines

More cases can be resolved faster by using automated and streamlined business processes, and by incorporating business policies and business models. By ensuring more efficient access to information, case processing provides improved worker productivity, increased work visibility, enhanced service delivery, controlled compliance, and enforced retention policies.

THE FIVE STAGES OF CASE PROCESSING

The five stages of case processing include the following:

1. **Case initiation:** Customers, stakeholders, or workers initiate a case by submitting information in the form of paper, email, or via the Web. For information not submitted in digital format, integrated intelligent capture reduces the effort associated with scanning case documents by embedding capture capabilities (such as document scanning, automatic classification and indexing, and validation) directly in the case management application. Upon initiation, the content related to the case is placed in the content repository, which generates a virtual case folder and activates various business processes. The case folder is assigned to a worker or a group of workers as determined by their expertise, workload, or business policies using the information gathered in the case folder.
2. **Information collection:** All information relevant to the case is gathered within the virtual case folder. This information includes digital images captured from paper, forms, and electronic documents; audio and video files; photographs; and data from external sources. Additional data, documents, and internal discussions that are identified as relevant can be included or referenced in the virtual case folder. Through integration with multiple systems within the organization, data can be pulled and published as the case is evaluated, allowing collaboration between internal and external participants.
3. **Evaluation and assessment:** In this stage, case processing provides the ability to manage, process, and monitor content within the case folder. Workers may need to exchange information with team participants involved in the process or route and/or receive additional information in the case file for further evaluation. Using virtual case folders, all data, supporting content, and discussions are shared in a secure manner.
4. **Customer/stakeholder communication:** Throughout a case, pertinent information is communicated to customers and stakeholders in a personalized format that enables interactive responses. The creation and delivery of highly personalized, interactive correspondence can be automatically generated on demand or in high-volume batch for delivery via print, the Web, email, or archive. These types of customer communications improve customer experience and speed time-to-market while substantially reducing document development and delivery costs.

5. **Case file closure:** When a case is closed, the virtual case folder is declared a record and automatically assigned a retention period. The retention policy includes migration of the folder to an appropriate storage tier—including archival storage—and designation of folders for disposal. With electronic archiving of closed cases, business users can be assured of rapid access to these cases for follow up or future reference. Reopening a case for any reason triggers a new case management process.

Using a solution built upon the EMC Documentum xCelerated Composition Platform, organizations gain a blueprint for successful solution delivery based upon a best practice methodology and a focus on configuration versus coding.

MANAGING CASES WITH EMC DOCUMENTUM XCP

EMC® Documentum® xCelerated Composition Platform (xCP) is an end-to-end case management solution made up of best-practice products and services. xCP offers a unique advantage for case management with its combination of state-of-the-art process management, enterprise content management, analytics, data capture, customer communications, and compliance, effectively covering all stages in the case management lifecycle. xCP features:

- Strong ECM capabilities for content management, security, and search and discovery
- Strong BPM capabilities for defining, managing, and monitoring business processes
- Enterprise capture to automate case creation and eliminate data entry error
- Customer communications management for correspondence with external stakeholders in a case
- End to end information governance to provide a complete audit trail and retention of all information related to a case
- Graphical tools for rapidly creating applications and user interfaces that can adapt to the continuously evolving nature of cases
- Integration to external systems to bring together all the information and processing required for a case
- Dashboards for a 360-degree view and display of key metrics and analytics

CASE FOLDERS PROVIDE A UNIFIED VIEW OF ALL CASE INFORMATION

A case within xCP is represented by a virtual case folder, a managed object with a hierarchical folder structure that can contain or reference sub-cases. Cases are linked to both structured and ad-hoc business processes that support and govern the case lifecycle. The case folder is automatically associated with relevant metadata, lifecycle states, structured data, folders, and content.

ADAPTABLE AND DYNAMIC CASE PROCESSING

xCP provides an optimal balance between flexibility and control to support the dynamic processing required for case management.

Cases are governed by a well-defined model that ensures users work within established policies and procedures, with appropriate user-controlled configuration and adaptability at runtime. A network of processes and sub-processes support and manage case processing, defining the events and policies applicable to a case. Activity templates define both manual (requiring user input) and automatic tasks.

Workers can manage both ad-hoc and predefined tasks for an active case, giving them considerable scope to adapt processing to individual case needs and changing business conditions. Cases can be created and initiated by automated or manual processes. Any number of business process snippets (actions and policies) can be made available to the user to initiate at any time via configurable actions within the application. For example, users can asynchronously add content to a case, generate an email notification that an exception needs to be investigated, or initiate a review process for a newly received document.

Documents and emails received from external sources, such as a document captured by EMC Captiva®, can launch a case or be automatically correlated to an existing case. This means a case can be initiated by any worker or external user through scanning a document,

submitting a form, or sending an email. Any user can also initiate an ad-hoc workflow to handle a new type of case that may not have been anticipated by application designers. These workflows can be tracked like more formally defined processes.

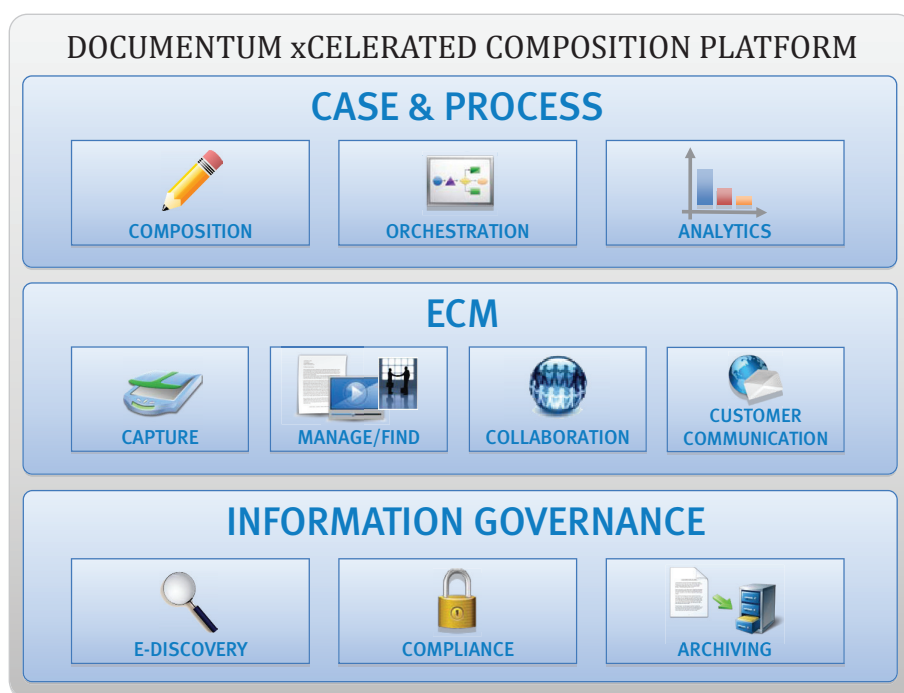
xCP provides built-in, easy-to-use conditional expressions as well as integration with rules engines to dynamically handle case routing, alerts, task assignments, prioritization, validation, and many other capabilities. For example, a process parameter based on a risk assessment can determine if a case goes through a managerial review sub-process.

INFORMING DECISIONS WITH CASE ANALYTICS

In human-centric processes such as case management, the ability to inform decisions as fully as possible is critical. In particular, where a case outcome is derived from a collaborative, iterative process of building knowledge, enriched contextual information will drive better decisions. Monitoring and analytics capabilities in xCP provide managers and case workers with information to guide their decisions and actions, and provide a context that can help to achieve an optimal outcome.

xCP's Business Activity Monitor (BAM) monitors and reports on case lifecycles, business data, and all business process activity associated with a case, both structured and ad-hoc. The execution state of cases and their business processes are monitored in real time, and BAM provides historical analytical reports on instance and aggregated data that show business metrics such as productivity, revenues, and costs, with breakdowns by various dimensions (e.g., geography, time, and customer). BAM reports measure all aspects of a case including application management, human performance, queue performance, system behavior, and document management.

Search and content analytics capabilities within the Documentum platform go even further to provide insights into information pertaining to a case. Within an xCP application, the advanced search capabilities of xPlore, Documentum's full text search engine, can provide enterprise search results from structured and unstructured information and concept-based searches. Documentum Content Intelligence Services enables automated indexing to help categorize and discover relationships and other hidden value within enterprise information. Faceted navigation helps users find relevant information quickly by providing multiple dimensions (facets) in search results. And federated searches bring in external data that can be contextually related to an active case.



Documentum xCP provides everything you need to fully implement case management.

GAIN SPEED TO VALUE WITH EMC DOCUMENTUM XCP

As illustrated by *The Economist* report, achieving organizational agility requires the optimization of internal core processes, reduction of information silos, and integration and automation of fundamental knowledge-sharing processes.⁴ Adopting case processing enables organizations to achieve this type of agility because it brings together people and processes, and aggregates all relevant information in a virtual case folder. Case processing automates fundamental knowledge-sharing processes to improve organizational decision making. The value of case processing is demonstrated by its inherent versatility across an organization: a case is the basis of many applications, such as human resources, contracts, financial, patient records, accounts payable, grants, and legal proceedings. With case management applications developed with Documentum xCP, organizations can achieve speed to value and agility—substantially reducing costs, satisfying customer requirements, and reducing risk.

ABOUT EMC

EMC Corporation is the world's leading developer and provider of information infrastructure technology and solutions that enable organizations of all sizes to transform the way they compete and create value from their information. Information about EMC's products and services can be found at www.EMC.com.

CONTACT US

To learn more about how your organization can benefit from a case management application built on EMC Documentum xCP, visit www.EMC.com/xCP or call 800.607.9546 (outside the U.S., call +1.925.600.5802).

1 Marie Glenn. March 2009. Organizational agility: how business can survive and thrive in turbulent times. Economist Intelligence Unit. 8. <<http://www.emc.com/collateral/leadership/organisational-agility-230309.pdf>>

2 Marie Glenn. March 2009. Organizational agility: how business can survive and thrive in turbulent times. Economist Intelligence Unit. 5. <<http://www.emc.com/collateral/leadership/organisational-agility-230309.pdf>>

3 Marie Glenn. March 2009. Organizational agility: how business can survive and thrive in turbulent times. Economist Intelligence Unit. 5. <<http://www.emc.com/collateral/leadership/organisational-agility-230309.pdf>>

4 Marie Glenn. March 2009. Organizational agility: how business can survive and thrive in turbulent times. Economist Intelligence Unit. 8. <<http://www.emc.com/collateral/leadership/organisational-agility-230309.pdf>>

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