Case Management

Managing chaos: unstructured processes and dynamic BPM

BPM Trends Series
This paper is one of a series, Capgemini BPM Trends, which shares insights into how to resolve today's most pressing business challenges using the latest Business Process Management tools and methodologies.

Synopsis
Organizations increasingly need to deal with unstructured processes that ordinary Business Process Management (BPM) solutions were not designed to cope with. Case Management is a way to govern and control these unstructured processes, but Case Management solutions can be challenging to develop. Developing Case Management around a BPM solution – preferably in conjunction with an Enterprise Content Management system – solves many of the problems. Companies that have used this approach are already reporting significant benefits.

The challenge: processes that are a moving target
Business Process Management (BPM) solutions have helped organizations manage structured business processes that are clearly documented and well understood. But organizations now face the challenge of managing unstructured or semi-structured processes that are collaborative, content-intensive, and subject to constant change. These loosely structured processes – sometimes, but not always, called "cases" – can vary according to individual circumstances.

People matter, results count.

Cases pose some challenges when it comes to automation. For instance, let's take the example of resolution of credit card disputes. While a credit card issuer provides a standard form for initiating the dispute, the activities required depend on many factors. What is the reason for the dispute? Were the goods or services delivered? Were they defective? Was the defect the fault of the manufacturer, the shipper, the customer, or some other party? Does the dispute concern the amount of the charge? ...and so forth.

Resolution of the dispute could depend on any or all of these factors, each of which typically involves production and review of documents. The credit card company may require information from the customer; the manufacturer, retailer, or service provider; the shipper; possibly legal counsel, attorneys, or even law enforcement. The rules involved could depend on the customer's location. As the facts unfold, new tasks and documents may be added to the case. Thus, most "knowledge work" requires unique processing, and processes that can adapt to situations. Case Management systems have emerged to handle these untamed, unstructured processes which may need to dynamically adapt at run time.
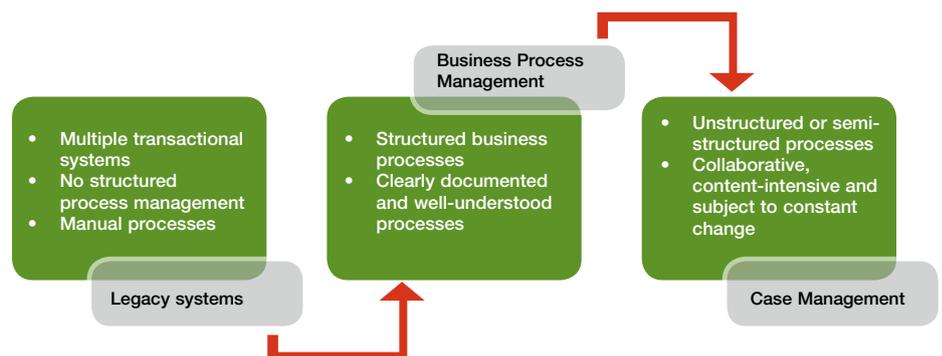
What is a case?

A "case" can be defined as a collection of tasks, actions, processes, and content in support of a specific business objective. Cases can involve multiple flows, tasks, and content, and sometimes have sub-cases within them.

In business terms, cases can be nearly anything: complaint/grievance from a customer, an insurance claim, feedback from stakeholders, etc. A case must be evaluated against organizational policy or procedure to determine the appropriate outcome.

Some common characteristics of a case are that it is:
- **Collaborative –** requires the involvement of multiple users and multiple departments/groups in an organization
- **Content-intensive –** usually contains multiple supporting documentation attached to it at various points in the lifecycle
- **Semi-structured or unstructured –** contains ad hoc tasks which are added at various points
- **Hierarchical –** multiple levels of tasks and actions to be managed
- **Dynamic –** requirements change based on individual circumstance; each case is different

Figure 1. Relationship between Case Management, BPM and legacy systems

Business Process Management

- Multiple transactional systems
- No structured process management
- Manual processes

Legacy systems

- Structured business processes
- Clearly documented and well-understood processes

- Unstructured or semi-structured processes
- Collaborative, content-intensive and subject to constant change

Case Management

Source: Capgemini

A case typically contains one or all of the following:
- **Data**
  - Documents
  - Data fields
  - Content

- **Process**
  - Tasks
  - Actions

- **Policies**
- **Status**
- **History**
- **Audit trails**
- **Reporting**

Case Management and its challenges

Case Management is fundamentally a process problem that is more challenging to deal with owing to its dynamic characteristics. Typically, the process is partially defined in advance by the case template, but with the flexibility to change at run time for each case. The actual steps and information required to complete each case are determined by a combination of human judgment, rules, and events. Most companies face the following typical challenges when it comes to Case Management:
- No standard system to manage cases across the enterprise
- Existing legacy systems are disparate and limited to specific business groups who need to share the information
- No/limited collaboration between various groups handling a case
- No/limited enterprise-wide reporting on cases
- No automatic resolution of cases based on pre-defined business rules – and handling each case manually is expensive
- No/limited straight-through processing for cases – again, manual intervention is expensive,

particularly in high-volume scenarios
- Limited functionality for providing consistent and continuous feedback about a case to customers and external stakeholders
- Lack of a consistent way to track and manage cases
- Lack of tracking and reporting cases poses risks when a litigation is filed against the firm
- Regulations pose a compliance risk with some types of cases
- Lack of a consistent way to manage customer complaints/ grievances gives rise to dissatisfied customers and stakeholders, and leads to potential loss of business

Many of these problems can be solved by building a Case Management solution, and we will discuss some approaches to doing so in the remainder of this paper.

Figure 2. Illustration of a case

Source: Capgemini
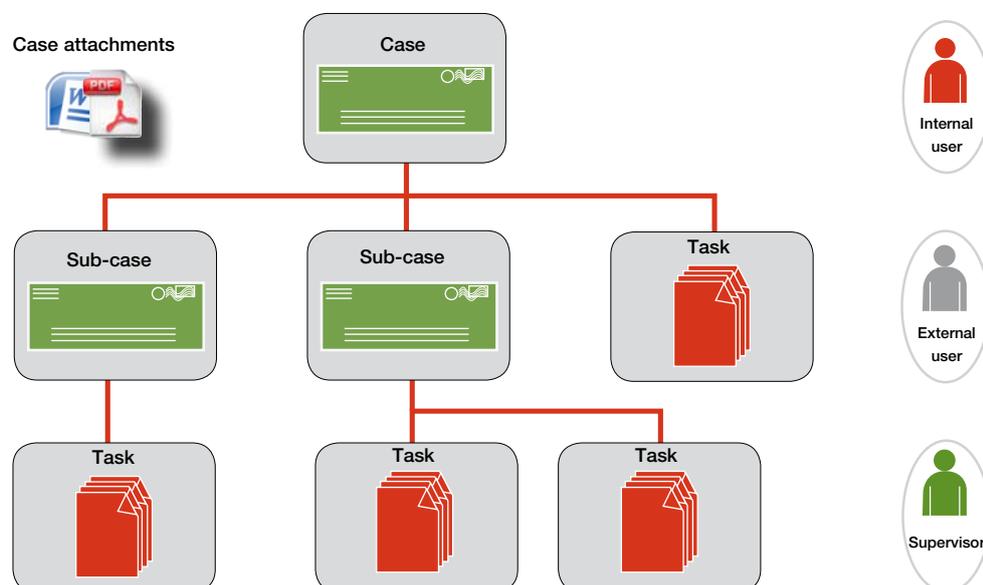
Approaches to implementing Case Management

To see how best to implement a Case Management solution, it is helpful to subdivide the business problems involved. Forrester[1] classifies them into three broad categories – Service Requests, Incident Management, and Investigative. Examples of Service Requests include on-boarding, loan origination, benefits administration, patient medical records, etc. Examples of Incident Management include product recalls, adverse event reports, complaint management, etc. Examples of Investigative Case Management include audit requests and regulatory queries.

Among the different types of tools available in the market to handle Case Management, CRM vendors support the Service Request area of Case Management. ERP vendors have the potential to support all areas of Case Management including order exception management, purchase order anomalies, etc. However, the

ERP vendors still need to fill gaps in handling unstructured processes. Today, BPM and Enterprise Content Management (ECM) vendors provide the basis for most Case Management solutions, and are well positioned to tackle the problem space.

ECM vendors have strong content management capabilities and workflows to handle documents, which can be leveraged in Case Management. Many cases tend to be content-intensive and this is a major plus for ECM vendors building Case Management solutions around their content management capabilities. BPM vendors have extremely strong workflow features, and can address the people-oriented and agile requirements of a dynamic Case Management solution. BPM products also have strong collaboration features which enable case workers to tackle complex cases together. BPM tools support the case hierarchy (case/sub-case/task), skill-based and ad hoc routing, business rules to enable

Figure 3. Case Management categories

Government
- Freedom of information
- Permitting and client proposals
- Patent examination
- Forensics management
- RAC

Financial services
- Onboarding
- Loan origination
- Customer inquiry response
- Pitch book and proposals
- Trade settlement

Government
- Permitting
- Benefits administration
- Social welfare benefits applications
- Disability claims
- Aging and disability services
- Immigration applications

Financial services
- Audit requests
- Regulatory queries
- Credit-card fraud
- Insurance underwriting
- Mergers and acquisitions

Investigative

Service requests

Healthcare
- Payer care management
- Health payer claims
- Patient medical records
- Provider care management

Incident management

Government
- Homeland security
- Disaster relief
- Police and fire
- Vocational rehabilitation
- Complaint management

Manufacturing
- Product change requests
- Quality management
- Adverse-event reports
- Order-exception management
- Product recalls
- Asset management documentation

Source: Forrester Research, Inc.

[1] Forrester Research, Inc., Dynamic Case Management: Definitely Not Your Dad's Old-School Workflow/Imaging System, September 28, 2011.

automatic case resolution, etc. Hence these tools are well positioned to meet most of the needs of a Case Management solution.

A BPM-enabled Case Management solution

Putting BPM at the center of Case Management

A BPM-enabled Case Management solution of the type illustrated in figure 4 can provide organizations with a way to manage various types of cases, and establish a collaborative environment for their users to work on and resolve cases.

A BPM system incorporating all the business rules and the process engine should be at the center of the Case Management solution. The system's customer-facing modules can manage interactions with customers and other external stakeholders. This allows intelligent scripting and coaching tips for the customer service representatives (CSRs) to reduce

training effort, and also enables computer telephony integration to save time and effort for the CSRs by avoiding re-entry of information. The approach minimizes average call time and ensures uniform customer service.

The content uploaded as part of the case can be managed within the BPM system or (often preferably) through a connector to an ECM system that the organization uses. Which option is adopted will depend on the organization's preference, and also on the size and volume of the case content and attachments. The decision is also driven by compliance needs.

Systematic yet flexible case handling is achievable

With this type of solution, it is possible to define case templates that guide the overall case resolution workflow, but can be dynamically changed or extended by case workers at run time.

This is necessary because Case Management typically involves ad hoc processing, and deals with the unpredictable. To support these requirements, the solution should allow tasks to be added during case execution, flows to be executed, extra content to be added, and sub-cases created. There could be various channels through which cases are initiated, and the source of a case could be either external or internal. The case hierarchy should preserve the case/sub-case/task relationships, and provide a central view for management handling a specific case, bringing together multiple related transactions or multiple related cases. For example, when US Airways flight 1549 ditched into the Hudson, that one case, the flight's crash landing, spawned many sub-cases where the passengers were also filing claims.

Figure 4. A BPM-enabled Case Management solution
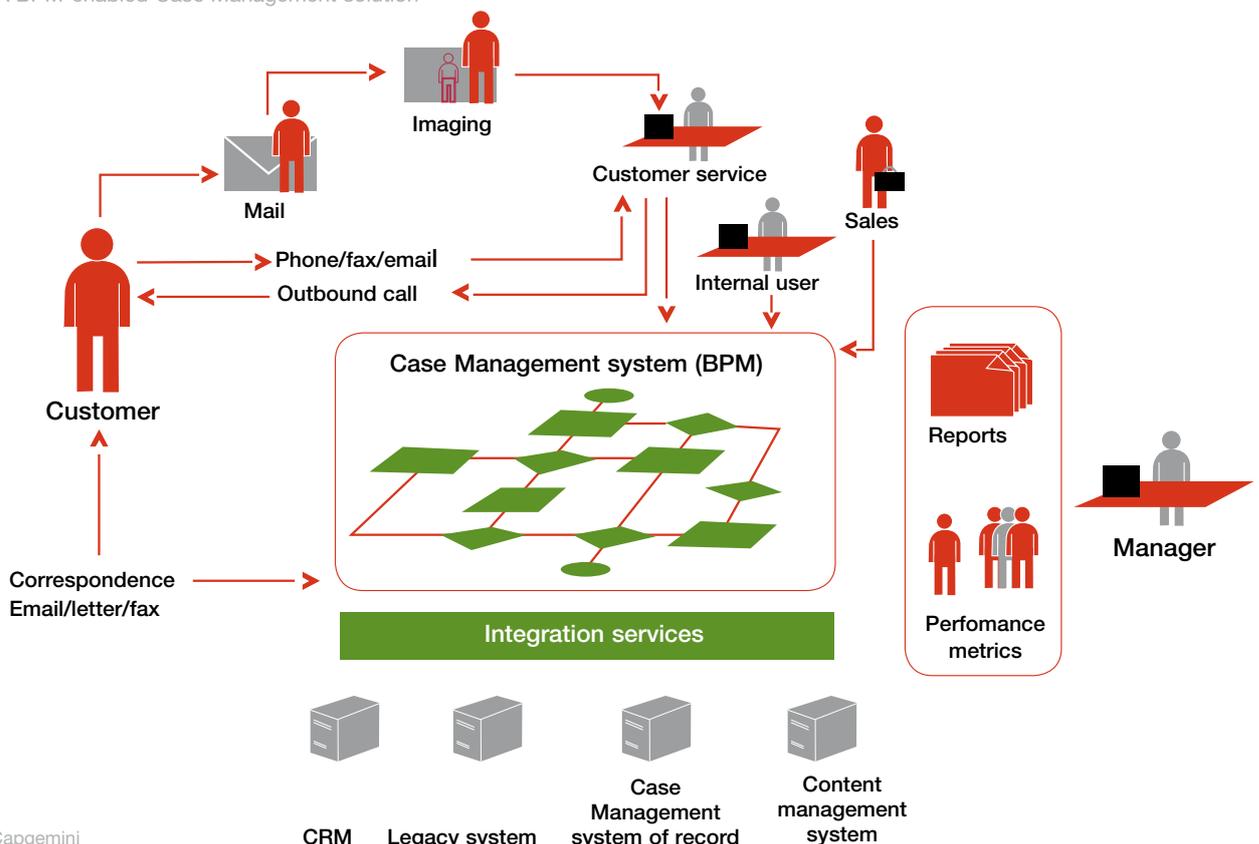
Source: Capgemini

How a BPM-enabled Case Management solution is used

A CSR can create a case using the BPM system, and capture all relevant information like case details, customer details, subjects involved, case description, attachments, etc. Once a case is created, it can be intelligently routed, based on business rules, to the case workers who are best positioned to resolve them.

The routing approach allows extensive collaboration among the various case workers involved; cases can be accessed through common work baskets. The case workers can update the case information, add actions on the case, capture all action-related information, upload case attachments, generate correspondence to the various case stakeholders, etc. The ability to add actions/tasks to each case allows for the ad hoc nature of case processing.

Each case can be broken down into sub-cases if required, and these sub-cases can be assigned to different business groups for processing. The main case acts as the container to hold all the sub-cases and provides a comprehensive view to the interested users. The case is then resolved after all necessary actions/tasks are completed and all the sub-cases are resolved. Business rules determine who can resolve a case, according to case type.

Summary of features

Features that a BPM-enabled Case Management solution can provide include:

- Making case information available to knowledge workers in the form of a shared case folder (subject to security and access control rules)
- Managing a library of processes that can be added to the existing cases as required, e.g. referral to a loss adjuster or fraud department
- Allowing new processes to be designed and added at runtime where they don't already exist
- Managing case information in the form of business documents rather than structured data
- Allowing ad hoc tasks, such as requesting an estimate during a claims process

Figure 5. Typical case lifecycle
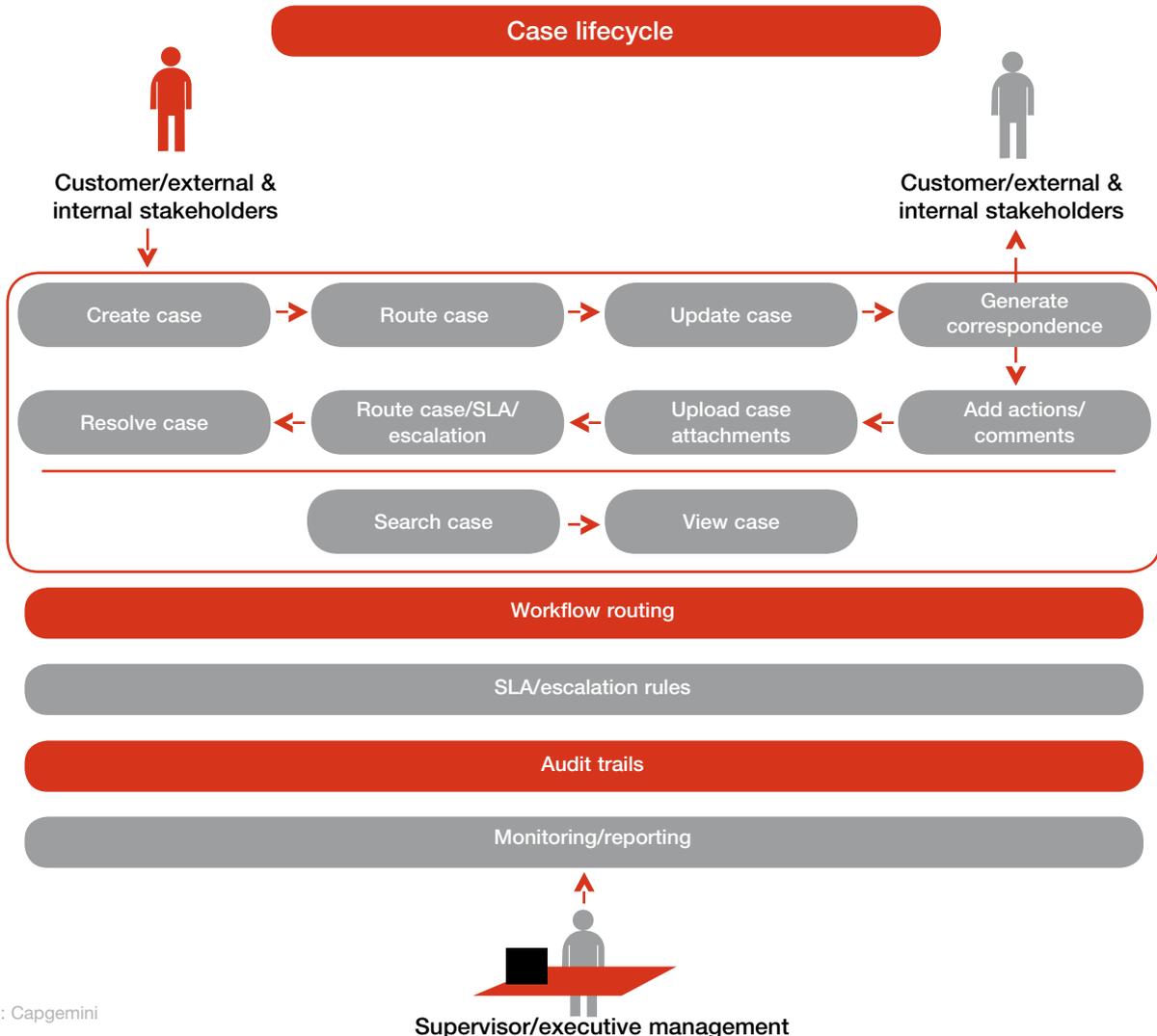
Source: Capgemini

- Allowing cases to advance through external as well as internal events – for example, a customer contact might increase urgency
- Providing a case portal/dashboard that relates similar cases to one another
- Allowing for case escalation based on Service Level Agreements (SLAs)

Conclusion

BPM on its own cannot cope with unstructured processes; Case Management can, but with conventional approaches it can be hard to implement. In order to build a Case Management solution, an organization must understand the differences between traditional workflow/BPM and the new breed of unstructured dynamic process solutions.

In our view, what truly differentiates a Case Management solution from a

BPM solution is that it:
- Enables collaboration between and among all process participants, both internal and external to the organization, and records and audits their activity in resolving cases
- Incorporates a library of processes that a user can select from and add to the existing case when required, or alternatively
- Enables the user to create a totally new process at run time if required

Until recently, organizations tended to shy away from Case Management on the grounds that it was too expensive, and so slow that a solution could be obsolete by the time it was implemented. Building a Case Management solution around a BPM platform overcomes these objections, along with a number of other earlier difficulties associated with conventional Case Management. Because a BPM-enabled solution

is configured largely from existing components, results can be obtained much faster and more affordably.

This approach does, of course, require the organization to marshal adequate skills in both BPM and Case Management. Fortunately, there is now a growing body of professionals who understand both of these disciplines. They need to apply their skills to both the technology implementation and the related business change – for example, they must ensure that the users involved clearly understand what will be systematized and what will not.

Successful early adopters of BPM-enabled Case Management are reporting substantial benefits that strengthen the business case. One of our public-sector clients has seen a 20% increase in employee productivity, along with greatly improved visibility and control of processes via real-time reporting.

Case study: Enterprise Case Management solution for handling stakeholders' concerns

Capgemini has supported implementation of an enterprise Case Management solution for a large pharmacy benefits manager. The organization has multiple stakeholders: prescribers, patients, clients, etc. There are specialized Case Management requirements for each individual stakeholder, but many functions are common and reusable.

Capgemini suggested a best-practice approach of building an enterprise layer for Case Management, which holds the reusable functions and components across the individual Case Management systems. The organization faced the following Case Management challenges:

- No single system to handle cases. Different groups handled complaints, feedback, and grievances from stakeholders in different ways

- Limited collaboration between groups handling cases
- Limited enterprise-wide reporting on prescriber cases
- Lack of visibility of issues until external or serious escalation occurred

Capgemini's Case Management solution focused on:

- Establishing one single system to handle cases
- Building an enterprise Case Management layer to store the reusable components and common services to access back-end systems
- Building case workflows involving automatic routing rules
- Business rules to drive automatic case resolution and improve straight-through processing
- Reporting to senior management

- on Case Management
- Managing customer interactions with the CSRs

Business benefits from the Case Management solution included:

- Reduced case handling time
- Improved relationship/communication with customers
- Ability to capture and manage cases created across the enterprise
- Better tracking of cases
- Increased case resolution rate
- Enterprise-wide reporting on cases
- Improved collaboration between various groups handling a case
- Removing or reducing redundant activities
- Improved automatic resolution of the cases and more straight-through processing

![Capgemini logo](CONSULTING.TECHNOLOGY.OUTSOURCING)

About Capgemini

With around 120,000 people in 40 countries, Capgemini is one of the world's foremost providers of consulting, technology and outsourcing services. The Group reported 2011 global revenues of EUR 9.7 billion. Together with its clients, Capgemini creates and delivers business and technology solutions that fit their needs and drive the results they want. A deeply multicultural organization, Capgemini has developed its own way of working, the Collaborative Business Experience™, and draws on Rightshore®, its worldwide delivery model.

Learn more about us at www.capgemini.com

Rightshore® is a trademark belonging to Capgemini Group

This article has been written jointly by Nicholas Kitson, Ragavendran Ravisanskar and Rajesh Nair Soudamini.

Nicholas is Head of BPM of Capgemini's Financial Services Global Business Unit. He has considerable experience in business transformation through the use of technology and has implemented transformational programs for clients in the areas of Customer Relationship Management, Enterprise Content Management (ECM) and Business Process Management solutions. Discuss BPM with Nicholas via Capgemini's Expert Connect program.

Ragavendran has extensive experience in program management and business analysis on global large-scale BPM and Enterprise Content Management projects involving distributed teams. His expertise includes consulting in BPM Strategy, Six Sigma Process Consulting, Enterprise Case Management, IT Strategy & Roadmap, and Agile/Scrum methodologies adoption.

Rajesh leads the BPM Practice at Capgemini Financial Services North America. He has more than 15 years' experience of process re-engineering, BPM, Enterprise Content Management and Case Management system implementations. Rajesh has set up and managed BPM and ECM practices for multiple global system integrators.

Find out more about our approach to Business Process Management and about the BPM Trends Series

visit:
www.capgemini.com/bpm
www.capgemini.com/bpm-trends

or email:
BPM@capgemini.com