



## **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.<sup>1</sup> The same study also revealed that nearly 90 percent of executives believe that organizational agility is critical to business success.<sup>2</sup> 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.<sup>3</sup>

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.

## 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.

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<sup>1</sup> 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>>

<sup>2</sup> 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>>

<sup>3</sup> 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>>

### 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

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 (e-mails, 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 are 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 virtual case folder aggregates all digital information relevant to the case.

### How it works

As identified below in the five stages, case processing involves 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—from incoming information capture to communication of the final resolution or status to customers or stakeholders—is crucial to success. Some organizations fail to meet their case processing goals because they focus on only one element of the equation.

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.

To manage the flow of activities within a case, managers should be able to easily track progress towards 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

1. **Case initiation:** Customers, stakeholders, or workers initiate a case by submitting information in the form of paper, e-mail, 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 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 in the virtual case folder. Integrated 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 a single 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:** Once the case is completed, workers can automatically generate personalized communications to customers and stakeholders. 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, e-mail, 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.

**EMC Documentum xCP:**

- Provides a single platform to rapidly build case management applications
- Helps build solutions up to 50 percent faster at substantially lower cost (when compared with previous versions of Documentum)
- Uses configuration instead of coding—requiring fewer resources and reducing complexity and risk
- Provides greater application agility, lower TCO

## The challenges of building case management applications and solutions

Historically, developing case-based applications and solutions by bringing together a variety of technologies from various vendors has been complex. In the past, the time, effort, and expense developers had to devote to integrate all the disparate systems needed to support a case-based application were significant. Technologies often were not compatible, couldn't be easily integrated, and required custom code to meet specifications, which restricted the flexibility and adaptability of the application. When changes were necessary, the reliance on custom code resulted in "brittle" applications with limited long-term viability and lack of scalability. It also exposed organizations to increased project risk in the event that the final application failed to meet delivery dates, inadequately addressed usability and user requirements, failed easily, or increased support and maintenance costs.

Building case processing applications through a process of composition—for example, by configuring and assembling components—rather than relying upon custom code has proven to be much more effective. By utilizing this process of composition, IT can spend less time involved in traditional software development and testing cycles, and can reuse various case components in other applications and solutions to leverage its initial investment and support a shared services model. In the current environment of fewer resources, the ability to reuse components in similar case management applications provides organizational agility and also reduces operational risk.

## Developing case management applications with EMC Documentum xCelerated Composition Platform

IT organizations need to use tools that reduce the complexity of application development and deployment, and that offer a scalable, flexible, and extensible platform that can adapt to changing business requirements. The EMC® Documentum® xCelerated Composition Platform (xCP) sets a new standard in case management application development by providing organizations with a single, unified platform that combines fully integrated technologies, development and deployment tools, and a design emphasis on configuration versus coding.

### Configuration instead of coding

Documentum xCP enables organizations to assemble applications and solutions substantially faster and at a lower cost because it requires fewer resources to develop via configuration and proven design patterns. As a result, IT organizations can devote more time to embedding the organization's domain expertise into an application, rather than integrating individual technology components. Documentum xCP minimizes or even eliminates the need for custom coding and replaces it with composition. IT can use pre-defined process models and repeatable activity templates to configure the basic building blocks of each case management application. The platform includes process and content unification capabilities to manage both process and content, which are designed, tested, and validated together.

Documentum xCP composition tools enable IT developers to assemble case processes and end user interfaces graphically. They can drag and drop elements to quickly set up virtual case folders, build and implement forms, and automate workflows. The virtual case folder can also be integrated with other processes, content, repository services, and systems such as SAP® or Oracle. Creating a form within the platform is easily done using a built-in form composition tool similar to traditional word processing programs. Each field on the form is tied to the data model, representing the data that is created and modified during the case process.

Using the platform's role-based applications, IT can quickly tailor intuitive experiences based on specific business roles to take advantage of available work capacity and skill sets. IT can also set up easily the assignment and delivery of virtual case folders determined by workers' skill sets and availability, and the automated routing of cases to ensure that all approvals and sign-offs are obtained.

## **Tailored applications**

Documentum xCP provides a rich set of pre-built components and templates that can be extended and used as the building blocks of a case processing application or solution. A set of accelerators that includes best practice guides, sample applications, and express installers makes applications easier and faster to assemble, tailor, and deploy. All functions and processes are exposed as services and adhere to a well-formed service-oriented architecture, enabling easy integration into an enterprise infrastructure.

In addition, best practice guides help IT determine the optimal way to build the most effective application for each respective area. Pre-configured object types eliminate the need to define each case object. Instead, IT can inherit the base case object and leverage existing business process diagrams within its solution, saving critical development time. And using repeatable process templates as the basic building blocks of its solution, IT can establish and execute workflows quickly and easily.

Using established design patterns, sample applications demonstrate how to optimize the solution architecture for interoperability, performance, and scalability. These applications clearly designate the areas that can be extended by IT and ones that should be left alone; specify how retention, compliance, and archival services can be added; describe how architecture customizations should be addressed and at which levels; and encourage configuration rather than customization and coding. The deployment architecture and scalability also demonstrate how applications can be implemented across multiple departments. Deployment considerations include implementing an architecture that is appropriate to a particular project or solution, or one that is tailored to a use case scenario (for example, eight hour days or 24/7), the number of users, platform configuration, and uptime requirements.

## **User interface**

Creating an engaging and interactive user interface is a time-consuming, yet critical part of application development—an unsuccessful interface can translate to low adoption rates. The interface must be as intuitive and dynamic as possible, with a common look and feel across all form templates used in the case process. Documentum xCP enables IT to assemble rapidly a purpose-built user interface, without coding, that blends process, content, and monitoring into a single user experience. IT gains the flexibility to tailor the user interface to individual roles within an organization's business process or match the standard interface used by its organization.

## **Monitoring reports and dashboards**

Empowering operations managers to create and compile their own process-centric reports and dashboards helps alleviate some of the burden on IT. Documentum xCP allows business managers to drag and drop process and data entries to set up quickly realtime monitoring reports, and then use these reports to create their own customized performance dashboards—all without any programming or SQL knowledge. These reports and dashboards help managers monitor the actual progress within their work areas, along with the status of work queues and open and pending items.

With the ability to create personalized reports and dashboards, business managers can monitor their case processes and make adjustments to ensure optimum operation in their respective area. The progress of each case can be automatically monitored to identify and alleviate any bottlenecks—making the appropriate staffing adjustments as required. Load balancing makes the best use of available resources to meet productivity goals and maintain service level agreements. These reports can also alert managers and appropriate investigative units to suspicious patterns indicative of fraud.

## **Reducing risk**

The configuration and design patterns of Documentum xCP have been proven in many organizations, allowing IT organizations to deliver applications with greater certainty. By reducing the custom code used in applications and, instead, assembling repeatable, reusable, and fully integrated components, IT can mitigate its project risk and stop developing expensive, one-off projects.

## 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.<sup>4</sup> 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 (NYSE: EMC) 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](http://www.EMC.com).

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<sup>4</sup> 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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