Future Strategies Inc

TAMING THE
Unpredictable

REAL-WORLD ADAPTIVE CASE MANAGEMENT:
Case Studies and Practical Guidance

Contributors include:

- **Emily V Burns**
- **Dave Duggal**
- **Frank Michael Kraft**
- **John T Matthias**
- **Dermot McCauley**
- **Nathaniel Palmer**
- **Max J Pucher**
- **Bruce Silver**
- **Keith D Swenson**

The most valuable assets of a 20th-century company were its production equipment. The most valuable asset of a 21st-century institution, whether business or non-business, will be its knowledge workers and their productivity.

Peter F Drucker

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REAL-WORLD ADAPTIVE CASE MANAGEMENT:
Case Studies and Practical Guidance

The core element of Adaptive Case Management (ACM) is the support for real-time decision-making by knowledge workers.

Taming the Unpredictable presents the logical starting point for understanding how to take advantage of ACM. This book goes beyond talking about concepts, and delivers actionable advice for embarking on your own journey of ACM-driven transformation.

In award-winning case studies covering industries as a diverse as law enforcement, transportation, insurance, banking, legal services, and healthcare, you will find instructive examples for how to transform your own organization.

FOREWORD BY **Tom Koulopoulos**

Excellence in Practice Series
Published in Association with the Workflow Management Coalition (WfMC)
Edited by *Layna Fischer*

Excellence in Practice Series
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Overview: *Taming the Unpredictable*

Layna Fischer, Future Strategies Inc., USA

Highly predictable work is easy to support using traditional programming techniques, while *unpredictable* work cannot be accurately scripted in advance, and thus requires the involvement of the knowledge workers themselves. The core element of Adaptive Case Management (ACM) is the support for real-time decision-making by knowledge workers.

Taming the Unpredictable presents the logical starting point for understanding how to take advantage of ACM. This book goes beyond talking about concepts, and delivers actionable advice for embarking on your own journey of ACM-driven transformation.

In award-winning case studies covering industries as a diverse as law enforcement, transportation, insurance, banking, legal services, and healthcare, you will find instructive examples for how to transform your own organization.

This important book follows the ground-breaking publication, *Mastering the Unpredictable*[1] and provides important papers by thought-leaders in this field, together with practical examples, detailed ACM case studies and product reviews.

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FOREWORD: BEYOND THE BREAKING POINT
Thomas Koulopoulos, Delphi Group, USA

CASE MANAGEMENT 101: 10 THINGS YOU MUST KNOW ABOUT CASE MANAGEMENT
Emily V. Burns, Pegasystems, USA

In our connected world, there is no tolerance for disconnected approaches to work. This is true as much for the people doing the work, as for the people on whose behalf the work is being done. *Dynamic case management* is emerging as the standard for managing work the way we know it must be done—holistically.

But what *is* dynamic (or adaptive) case management? The principal goal of dynamic case management is to manage *all* of the work needed to handle a given case, regardless of type, such as automated work, manual work done by people, ad hoc work, content-intensive work, etc. The result, if fully embraced, is to create a living, breathing network of work that reflects the dynamism of the environments in which it is performed. By exploring ten common questions about case management, this paper will help you to understand what dynamic case management is, and how you can use it to manage your work more effectively—more holistically.

CONSIDERATIONS FOR IMPLEMENTING ADAPTIVE CASE MANAGEMENT
Max J. Pucher, ISIS Papyrus, Switzerland

In this chapter the author covers five essential considerations related to the implementation of Adaptive Case Management:

- Why would we need another way than orthodox BPM to deal with business processes?

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1 Mastering the Unpredictable: How Adaptive Case Management Will Revolutionize the Way That Knowledge Workers Get Things Done, published by Meghan-Kiffer Press, April 2010

- To gain the benefits of ACM does the business have to change its corporate culture or management style?
- How can an ACM solution gain the all-important adoption rates with business users that will make it ubiquitous?
- How can executives offer user empowerment or knowledge worker support and retain control of strategic objectives?
- What are the future opportunities of ACM that would make it an essential and safe business investment?

USER REQUIREMENTS FOR A NEW GENERATION OF CASE MANAGEMENT SYSTEMS
John T Matthias, National Center for State Courts, United States

As courts continue to update their case management system technology, selecting and implementing a highly-configurable case management allows a court to contemplate managing continuous change in the business environment. Selecting a system depends on judging its configurability capabilities, and developing good user requirements depends on capturing process-oriented requirements to take advantage of those capabilities.

A new generation of case management systems (CMS) emerged in 2007, making it necessary for courts to employ a new approach to identifying requirements when they acquire a new CMS. This has strategic importance for courts in providing service to the public and litigants, and for court managers responsible for wise use and increased productivity of judicial and support resources. The new generation of CMSs brings courts a step closer to the promise of court automation, but it requires an investment in thinking about systems differently and willingness to implement changes, tasks which are never easy.

ADVANTAGES OF AGILE BPM
Keith D. Swenson, Fujitsu America Inc., USA

Agile BPM represents the next generation of business process management—designed to flexibly address all types of processes to support all forms of work. It combines traditional Business Process Management (BPM) style predefined processes, along with Adaptive Case Management (ACM) style dynamic work support. Agile BPM is designed to flexibly address all types of processes used to conduct business: structured, unstructured, and hybrid process types to support all forms of work.

In recent years many organizations have come to the understanding that their business processes are proprietary business assets that can yield competitive differentiation and advantage. This recognition has led to the adoption of first-generation BPM technologies to automate fixed, repetitive processes for efficiency and cost-effectiveness. But the next generation of BPM, Agile BPM, will incorporate product capabilities that extend well beyond the system integration and fixed process automation initiatives that characterized first-generation BPM.

SOCIAL + LEAN = AGILE
Dave Duggal, Consilience International LLC, USA

This chapter provides a foundation for understanding Enterprise Agility. It defines the concept as it relates to Information Systems, identifying modern impediments and highlighting the role of empowered business-users as the agents of change. In conclusion, it outlines a solution based on Social and Lean enablement. Enterprise Agility is the measure of an organization's responsiveness to its environment. The more flexible an organization's systems infrastructure, the more readily it can adapt. Enterprise Agility does not entail a reduction in governance or imply

that all things are in flux all the time; rather it's about mitigating structural impediments to variance and change.

ACM AND BUSINESS AGILITY FOR THE MICROSOFT-ALIGNED ORGANIZATION
Dermot McCauley, Singularity, United Kingdom

Is *change* the only constant and *unpredictability* a new norm in your organization? For most organizations, the answer is yes. Simply put, business agility is now one of the most important skills of a successful enterprise, public or private. Adaptive Case Management (ACM) is a new approach that makes business agility achievable. What's more, ACM can release the agility in your organization while leveraging familiar Microsoft products. Agility has been thrust more urgently onto "must do" lists everywhere because the challenges organizations face today are more pressing than any they have previously known.

BPM AND ACM
Nathaniel Palmer, WfMC, USA

In the half-century since Peter Drucker first coined the phrase "knowledge worker," its share of the work force has grown considerably, to as much as half of all workers by some measures. So too have grown investments targeting knowledge worker productivity, with global IT spending reaching $4.35 trillion in 2010, according to Global Technology Index author Dr. Howard A. Rubin.

Yet we are far from realizing the level of improvement seen in manual labor over the course of the last century. Traditionally, IT investments targeting business productivity have focused on one of two areas. The first is automation technologies, such as enterprise resource planning (ERP) or the more contemporary technology of business process management (BPM). Those address repeatable, predictable modes of work and are designed to enforce a command and control management model, where efficiency gains are sought through standardizing how work is performed.

CASE MANAGEMENT: ADDRESSING UNIQUE BPM REQUIREMENTS (PRODUCT REVIEW)
Bruce Silver, Bruce Silver Associates, USA

Over the past several years, Business Process Management Suites (BPMS) have matured into powerful platforms for process automation and performance optimization, many configurable by business-friendly process modeling tools. The benefits of BPMS over a wide range of processes—improvements in cycle time, throughput, resource utilization, standardization and compliance, business integration, and end-to-end performance visibility—are well established. However, an important class of business processes has been unable to enjoy them because of the limitations of conventional BPM Suites: *case management*. This report describes the differences between case management and conventional BPM and shows you what to look for in a BPM solution to truly support case management and describes an ACM product offering.

USING THE *ADAPRO WORKSTREAM PLATFORM* FOR IMPROVING KNOWLEDGE WORK (PRODUCT REVIEW)
Frank Michael Kraft, AdaPro GmbH, Germany

Kraft's chapter *Improving Knowledge Work* in the book *Mastering the Unpredictable* (Kraft 2010) describes how adaptive case management (ACM) can leverage the abilities of individual knowledge workers. It describes a case study of Leona, who works in the engineering department in a company of about 150 employees and how she uses ACM to manage customer service and subsequent development planning and coordination for the phone systems that her company offers. That

chapter was without any reference to an individual tool, but described the holistic approach and how individual knowledge workers can draw immediate benefit from it. This chapter now completes the narrative, by showing how the case can be performed by a tool, the AdaPro Workstream Platform.

Award-Winning ACM Case Studies

The Workflow Management Coalition (WfMC) launched the "Adaptive Case Management Global Excellence Awards" this year to recognize case studies illustrating excellence and best practices in ACM use cases. The final winners were announced at the "ACM Live" Virtual Summit as well as published in KMWorld. Submissions were evaluated by a panel of experts, following a scoring model along various metrics, grouping into the three categories of *Innovation*, *Adaptability* and *Impact* (details on the evaluation criteria and the panel of judges can be found at www.adaptivecasemanagement.org).

Award submissions were received from organizations worldwide, with finalists spanning the Americas, Europe, Africa and Asia. Approximately half came from U.S. based firms, with a mix of local government, courts and legal.

UVIT–FINANCIAL SERVICES, NETHERLANDS
Gold Award: Customer Facing
Nominated by EMC Documentum, United States,

The Univé-VGZ-IZA-Trias group (UVIT) is a Netherlands-based insurance company. During recent years, the people of UVIT have been facing increased challenges from Internet insurance competitors. Because of this, a main objective was to automate outdated processes that were primarily paper-based. To do this, UVIT chose EMC Documentum xCP for the creation of a case management application to process claims. The xCP platform is seamlessly integrated with the UVIT capture platform to digitize all incoming mail, especially the vast quantity of doctor and hospital bills customers forward for payment. The system is used by UVIT service, field, and insurance agents, while in the office, at home, and on the road.

ACHIEVEMENT AWARDS GROUP (PTY) LTD, SOUTH AFRICA
Finalist: Customer Facing
Nominated by Pétanque Consultancy (Pty) Ltd, South Africa

Adaptive Case Management (ACM) is imperative in enterprises where the exception to process becomes the process! ACM, a topic widely discussed and analyzed by academics, professionals and IT specialists, is what is needed whenever processes must react to changing and diverse customer or client needs and interactions to ensure efficient and effective outcomes. This means that defined, rigid processes become responsive to circumstances that require fluid processes in order to address specific requirements. Achievement Awards Group (AAG), based in Cape Town, South Africa, recognized the benefits of adopting ACM as a critical success factor in attaining their strategic goals, and in response to their changing, diverse and unique customer requirements. The focus of AAG is to effectively and efficiently attain what they term "Customer Delight".

GLOBAL BANKING FIRM, USA
Finalist: Customer Facing
Nominated by Virtusa Corporation, USA

A global banking firm required a global Payment Exception processing system for their client support managers operating across the globe. The firm has thousands of named users across the globe who manage dispute related enquiries 24x7 at its Call Centers through varied channels – email, phone, SWIFT message, etc. Each

site used their own home-grown case tracking solutions, and few sites which had little or no system support beyond spreadsheets. Virtusa partnered with the client, and completely automated their end-to-end business processes and work flow using BPM/Pega technology. Our solution supports all relevant call center services, ticket tracking and integrated investigation capabilities. The solution covers the investigation and dispute management across various products in Cash, Cards, Securities and Trade businesses.

BAA Heathrow, United Kingdom
Gold Award: Innovation
Nominated by Pegasystems Inc., USA

At London's Heathrow airport, a new case is created by a system feed every time an incoming plane is registered by air-traffic control, and closes when the plane is en route to its next destination. This event enabled case-management approach to aircraft turn-around has dramatically improved the overall efficiency of operations at Heathrow. This has also projected increase in retail revenues, by allowing passengers on faster-boarding flights to spend more time in the terminal rather than seated in airplanes awaiting take off. The caseworkers in this scenario are the individuals responsible for the timely and efficient turn-around of airplanes, which includes airline teams, stand planners, air traffic controllers, to cleaning crews, and baggage handlers. With the new system in place these stakeholders were empowered with all of the information they need to make the right decisions (including a real-time visualization of planes on the runways) as well as the ability to initiate the right processes, and ultimately to allocate the right resources.

Lakshmi Kumaran & Sridharan, India
Gold Award: Legal and Courts
Nominated by Newgen Software Technologies, India

Lakshmi Kumaran & Sridharan (L&S) is a full service Indian legal firm providing advisory, litigation and compliance review services in the domains of Tax, Intellectual Property Rights, International Trade and Corporate laws. The requirements of the client (L&S) could be stated as 'an integrated document management and workflow management system capable of work allocations, knowledge management and assuring clients timely delivery of their cases with excellence'. Further the system should be capable of generating bills and tracking receivables. The ultimate objective of the system is to improve efficiency in service delivery by enabling legal professionals of L&S to work from anywhere outside the office and anytime of the day. This would provide flexibility in working for the professionals as well as guarantee availability of services to clients from any office. The system should also guarantee confidentiality and security of client information.

Pinellas County Clerk of the Circuit Court, USA
Silver Award: Legal and Courts
Nominated by Global 360, Inc., USA

Assuring justice for the nearly one million residents in the most densely populated county in the state of Florida requires both personal dedication and the right technology. For the Pinellas County Clerk of the Circuit Court that meant an adaptive case management solution that could serve the Clerk of the Court office, the courts, and the entire Pinellas County judicial system and its citizenry.

Ken Burke, the Clerk of the Court, was originally inspired to implement their Global 360 case management solution by his vision to "go paperless." The solution has achieved that and more for Pinellas. It positions them for compliance with state legislative mandates on e-filing and access to public records, ensures

that all court files and supporting documents are securely available within the judicial system, and provides improved collaboration, court file workflow and audit trails. With case management Pinellas have revolutionized how their work gets done. They have created a team-centric environment with collaborative access to court files, documents, tasks, deadlines, and threaded discussions from within a single virtual case folder, using an interface tailored to each individual's roles and privileges. The result is improved service levels and a reliable platform for future growth.

VELINDRE HOSPITAL INTEGRATED CARE PATHWAY

Gold Award: Medical and Healthcare
Nominated by Cardiff School of Computer Science and Informatics, Cardiff University, UK

Teamwork, collaboration and coordination are key aspects of the patient-centric approach taken by modern healthcare. Although many projects have been and are currently being undertaken to improve support for health care professionals, adequate support for teamwork, communication and coordination has yet to be achieved. The delivery of the healthcare service is very challenging as it involves heterogeneous distributed systems, multi-professionals and dependent tasks among each. In addition, the treatment journey of each patient is unique, as decisions are usually made according to several constraints related to the patient, medical condition, patient's choice, available resources and\or feedback from doctors' consultation.

We believe that, in order to provide the required support, it is necessary to explicitly acknowledge the patients' medical state within their treatment journey. This project proposes the use of a Business Process Management (BPM) system that uses associations between patients, health care professionals, and the Integrated Care Pathway (ICP) to provide improved support for healthcare professionals as individuals and as members of integrated care teams.

LOS ANGELES COUNTY INFORMATION SYSTEMS ADVISORY BODY, USA

Gold Award: Public Sector
Nominated by Global 360, USA
Los Angeles County DNA Offender Tracking System (DOTS)

Los Angeles County is one of the nation's largest counties with 4,084 square miles, an area some 800 square miles larger than the combined area of the states of Delaware and Rhode Island. It has the largest population (10,347,437 as of July 2008) of any county in the nation, and is exceeded by only eight states. Approximately 27 percent of California's residents live in Los Angeles County. There are 88 cities within the County, each with its own city council. All the cities, in varying degrees, contract with the County to provide municipal services; 37 contracts for nearly all of their municipal services.

The Information Systems Advisory Body (ISAB) is a multi-agency, multi-jurisdictional policy sub-committee of the Los Angeles County Countywide Criminal Justice Coordination Committee (CCJCC) established in 1982 to oversee the coordination, planning and development of major justice information systems. In response to the passing of Proposition 69, the "DNA Fingerprint Unsolved Crime and Innocence Protection Act," Los Angeles County ISAB developed a plan to implement a centralized, web-based DNA Offender Tracking System (DOTS) using Global 360's case management solution, Case360, as the application platform.

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NON-PROFIT ASSOCIATIONS AND RELATED STANDARDS RESEARCH ONLINE

- AIIM (Association for Information and Image Management)
  http://www.aiim.org
- BPM and Workflow online news, research, forums
  http://bpm.com
- BPM Research at Stevens Institute of Technology
  http://www.bpm-research.com
- Business Process Management Initiative
  http://www.bpmi.org *see* Object Management Group
- IEEE (Electrical and Electronics Engineers, Inc.)
  http://www.ieee.org
- Institute for Information Management (IIM)
  http://www.iim.org
- ISO (International Organization for Standardization)
  http://www.iso.ch
- Object Management Group
  http://www.omg.org
- Open Document Management Association
  http://nfocentrale.net/dmware
- Organization for the Advancement of Structured Information Standards
  http://www.oasis-open.org
- Society for Human Resource Management
  http://www.shrm.org
- Society for Information Management
  http://www.simnet.org
- Wesley J. Howe School of Technology Management
  http://howe.stevens.edu/research/research-centers/business-process-innovation
- Workflow And Reengineering International Association (WARIA)
  http://www.waria.com
- Workflow Management Coalition (WfMC)
  http://www.wfmc.org
- Workflow Portal
  http://www.e-workflow.org

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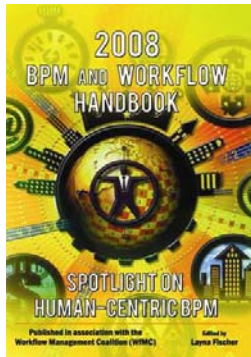
Spotlight on Human-Centric BPM

Human-centric business process management (BPM) has become the product and service differentiator. The topic now captures substantial mindshare and market share in the human-centric BPM space as leading vendors have strengthened their human-centric business processes. Our spotlight this year examines challenges in human-driven workflow and its integration across the enterprise.

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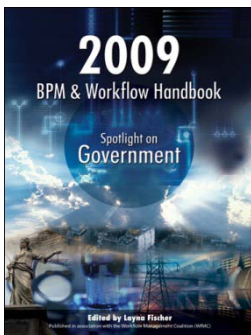
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The question, "How can governments manage change organizationally and be agile operationally?" is answered in this special spotlight on BPM in Government with specific emphasis on the USA government where agencies, armed forces, states and cities are facing almost insurmountable challenges.

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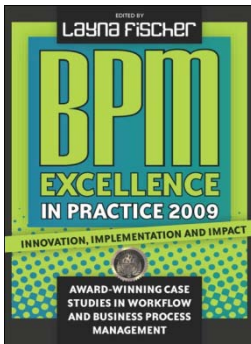
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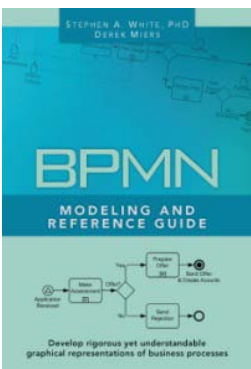
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Stephen A. White, PhD, Derek Miers

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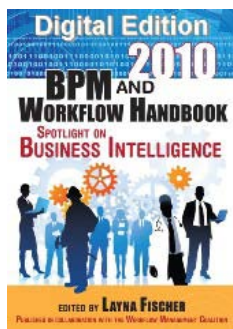
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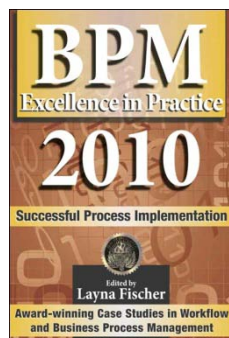
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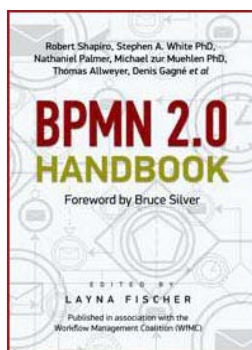
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Robert Shapiro, Stephen A. White PhD., Nathaniel Palmer, Michael zur Muehlen PhD., Thomas Allweyer, Denis Gagné *et al*

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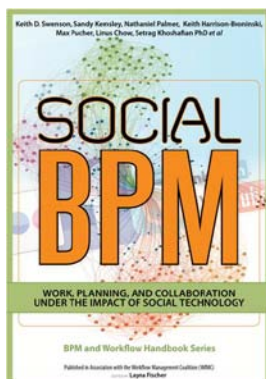
Work, Planning, and Collaboration Under the Impact of Social Technology

Keith D. Swenson, Nathaniel Palmer, Sandy Kemsley
Keith Harrison-Broninski, Max Pucher, Manoj Das, *et al*

Today we see the transformation of both the look and feel of BPM technologies along the lines of social media, as well as the increasing adoption of social tools and techniques democratizing process development and design. It is along these two trend lines; the evolution of system interfaces and the increased engagement of stakeholders in process improvement, that Social BPM has taken shape.

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