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Number 56.2

OPS Case Management Reference Model

Appendix A

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Preface

The Ontario Public Service (OPS) has developed an enterprise architecture program to:

- Enable the transformation of the programs and services of the Ontario Government,
- Increase its return on investment in information and information technology.

Business architecture is an integral part of enterprise architecture and is intended to ensure the alignment of I&IT with business needs. Case Management is a widespread business need in the OPS and at the time of writing there was no common understanding of its meaning.

Objectives

This reference model provides an abstract representation of Case Management in the context of government programs and services. It is intended for OPS ministries and agencies that are considering the adoption of a Case Management approach to planning and managing their operations.

The document is intended to help readers to:

- Gain a common understanding of what Case Management is and the generic business functions involved when a Case Management approach is applied;
- Adopt appropriate strategies for implementing Case Management.

Consultation Process

This document was created by the Business Architecture Domain Working Group (BADWG) under the direction of the Corporate Architecture Core Team (ACT). The Information Model related sections, namely Section 3.6, Section 3.7, and Appendix A1, were contributed by the Information Architecture Domain Working Group (IADWG). The membership of BADWG, IADWG and ACT is comprised of subject matter experts from all OPS I&IT Clusters and OCCIO offices.

Readers

The reference model is intended for the following readers.

Reader	Use of the Document
Business Planners, Policy Analysts, Business Analysts	• Provide support for business transformation or program review of government programs and services involving Case Management.
Program Managers	• Encourage a focus on client needs and delivering value • Support Case Management business model identification and design
Service Owners	• Support improvement of service performance • Support design of more cost effective service delivery processes
Change Initiative Project Managers, Business Architects, and Information Architects	• Ensure that business transformation initiatives define Case Management business models consistently across the OPS to support service transformation and integrated service delivery • Ensure that Case Management business models are well formed to support alignment of information systems with Case Management requirements.

Table of Contents

List of Figures

List of Tables

1 Introduction

Case Management is a business model common in the delivery of many Ministry programs. The number of Case Management tools/solutions in the OPS is large and increasing rapidly. The concept of Case Management must be well understood if business needs and I&IT solutions are to be aligned.

1.1 Problem Description

In the OPS, many organizations use (or have a need for) Case Management to meet the needs of their clients. Moving to a Case Management business model is a complex business transformation that can be supported by automated tools. Acquiring and implementing automated tools can be an expensive proposition requiring transformation initiatives to go through the OPS Gateway process, including architecture review and governance.

The Corporate architecture governance bodies (ACT/ARB) have reviewed a number of Case Management transformation initiatives and found a wide variation in understanding by project teams and the resultant business architectural modelling and design. The most common misunderstanding is the focus on the supporting services offered by an automated tool, at the expense of the transformation needs of the client-facing part of the business.

This standard is intended to <u>define a generic guideline</u> for a Case Management business model to bring uniformity to design. The desired outcome is to ensure that any automated tool that is chosen is the appropriate one, and is configured to meet a Case Management business need.

2 Definition and Characteristics of Case Management

This section provides an OPS definition of Case Management, case and reference model. Many definitions were examined through an environmental scan and the following definitions were adapted from existing definitions.

Term	Definition
Case Management	A collaborative process that assesses a client's needs, plans the required services, implements and/or coordinates services, and monitors and evaluates the effectiveness of the plan in achieving desired outcomes. This involves integrated delivery of services through the role of a case manager.[1]
Case	The object of investigation or consideration.[2]
Reference Model	An abstract representation of a problem space, which forms the conceptual basis for the development of more concrete models of the space, and ultimately implementations[3]

Table 1 - Definitions

A Case Management business model has a number of key characteristics. These include:

- A designated case manager;
- A plan defining desired outcomes for the client;
- A defined coordinated service delivery from multiple service providers for the client; and
- A mechanism to monitor and evaluate planned outcomes.

A business initiative that has these characteristics *qualifies as Case Management.* Case management is not defined by the functionality of a software tool to support the Case Management business.

3 Business Architecture Artifacts

This section contains selected Business Architecture artifacts that describe a generic Case Management business model. Descriptions of these artifacts can be found in the Corporate EA Review Requirements Guidebook on the OCCTO intranet site. These generic artifacts are intended to be used as a reference when developing artifacts for a specific business model.

[1] This definition is adapted from the Case Management Society of America (www.cmsa.org)
[2] This definition is adapted from Merriam-Webster Dictionary (http://www.merriam-webster.com/)
[3] Source: Wikipedia (www.wikipedia.org)

3.1 Party and Role Types

Case management program delivery involves a wide range of roles played by organizations and individuals. The table below identifies the key roles and parties of interest to the program. This *table must be used as a starting point* in analyzing the roles required to implement Case Management.

Role	Description	Cross-Reference Party or Parties playing the role
Program Manager	This role is accountable for a program that delivers one or more of the services required to meet the needs of a client	Accountable Organization
Public Service Provider	This role delivers (public) service outputs to a client	Service delivery organization
Support Service Provider	This role delivers the back office functions required to support Case Management	Support service delivery organization
Case Manager	This role is responsible for coordinating the delivery of services to meet a client's needs	Case manager / Case management team
Client	This role receives service outputs to meet their needs.	Individual / Organization

Table 2 - Party and Role Types

3.2 Need Types

Table 3 lists the type of needs to be satisfied by a program using a Case Management strategy with respect to both the client and the service provider. A need is a condition or situation in which something is required, desirable or useful for a given target group. The need would be to provide compliance, effectiveness, efficiency, consistency, fairness, access, convenience, quality and knowledge in delivering services using a Case Management strategy.

This *table must be used as a starting point* in analyzing the needs.

Need Type	Description
Client Needs	
Needs Recognition	Assurance that individual needs are recognized.
Coordinated Delivery	Need to receive service outputs in a planned and logical fashion.
Privacy	Assurance that sensitive or personal information is secure and protected from unauthorized use
Awareness / Understanding	Need for awareness of events, conditions, decisions, etc. that may materially affect their well-being.

Need Type	Description
Service Provider Needs	
Access to Case Information	Need permission to share and access client case information in order to optimize service delivery.
Information Stewardship / Custodianship	To ensure that information collected is protected and used only for the purposes stated at the time of collection. Careful and prudent management of client case information throughout its lifecycle to ensure integrity, security and privacy.
Case Tracking	The need to monitor the effectiveness of services in meeting client needs, track client progress etc.
Collaboration	Need to be able to collaborate with other service providers and case manager to discuss client needs, adjust plan etc.
Clear Accountability	Need to understand the accountability and authority for a case and case client

Table 3 - Need Types

3.3 Goals

Enterprise goals are based, in large part, on meeting the needs of the program's target groups. As noted above, the Case Management business model has two primary target groups: the client and the service provider.

The program logic model for Case Management has the following key characteristics:

- Goals associated with meeting client needs; goals associated with meeting service provider needs;
- The case client's goals are business specific and involve the work done by the case manager and service providers;
- The service provider's needs translate into goals related to organizational excellence and are informed by the work of support service providers to facilitate coordination and collaboration; and
- Goals associated with the Case Management component of an enterprise business need to map to the strategic goals of the enterprise and the government.

The program logic model shown in Figure 1 is a generic example and *should only be considered a guide* when developing an actual program logic model for an enterprise.

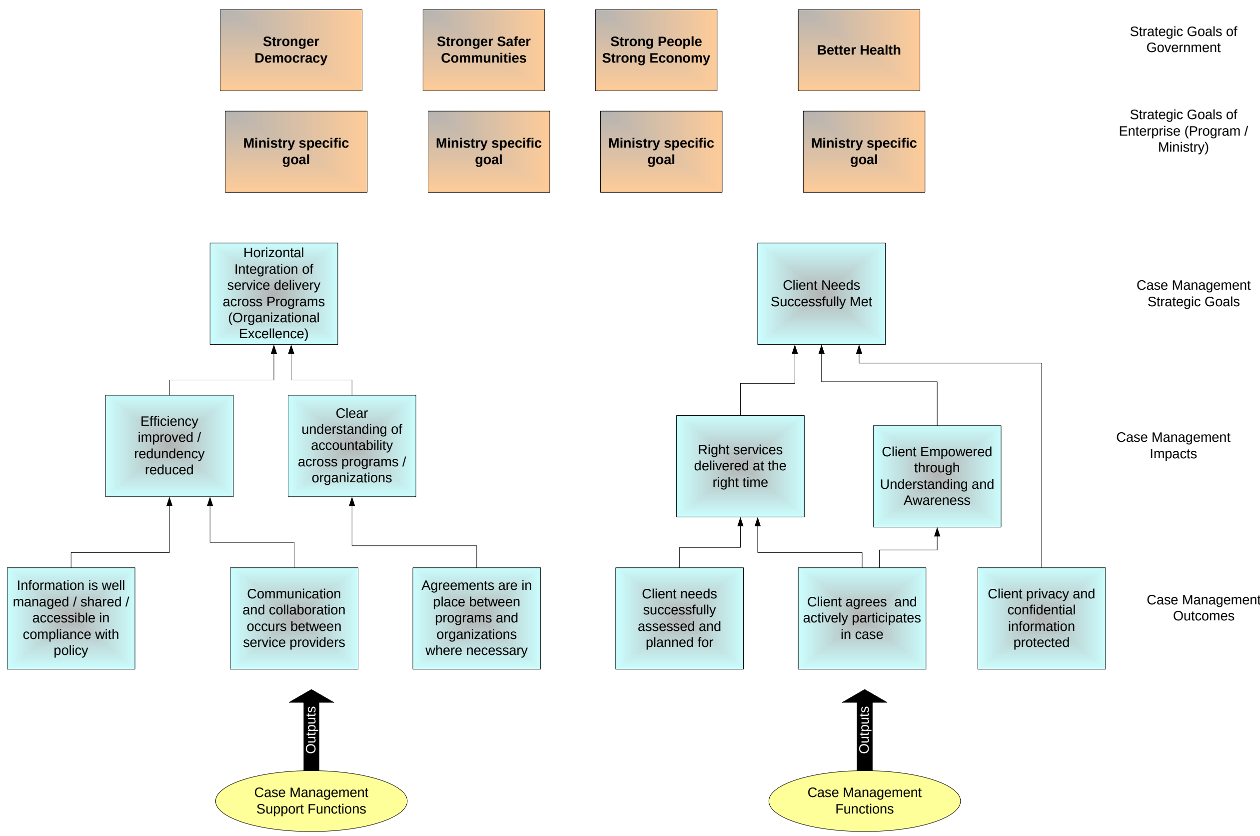

Figure 1 - Generic Program Logic Model for Case Management

3.4 Lifecycle of a Case

The generic lifecycle of a case is described in the following State-Transition Diagram (Figure 2). Each transition from one state to another is associated with a business function that achieves the transition.

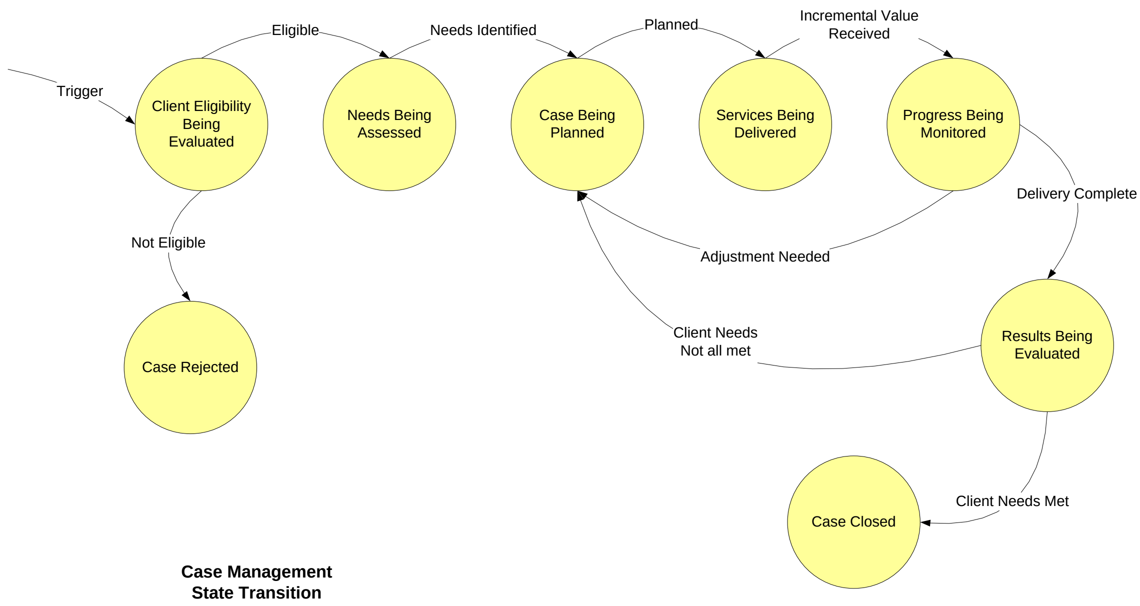

Figure 2 - State Transition Diagram

3.5 Business Functions

Case Management is a client-centered strategy intended to improve coordination and continuity of service. Success of a Case Management strategy depends largely on its integration within a comprehensive network of services.

Key Case Management functions performed by case managers that ensure continuity of services (i.e., client facing business functions) are specifically separated from back office administration functionality (i.e., business support functions) in order to eliminate confusion between the two functions.

Typically, case managers create a case, develop a plan, implement the plan and monitor the execution of the plan (see Figure 4). Additionally, case managers may need to manage appeals when the program permits challenges on the outcome. The dashed lines in Figure 4 indicate that Managing Appeals is not always applicable.

Business Function: A collection of processes intended to produce a valued output that a business must perform in order to meet its business objectives and continue in existence. As illustrated in Figure 3, a business function may be either a service or a process [4]

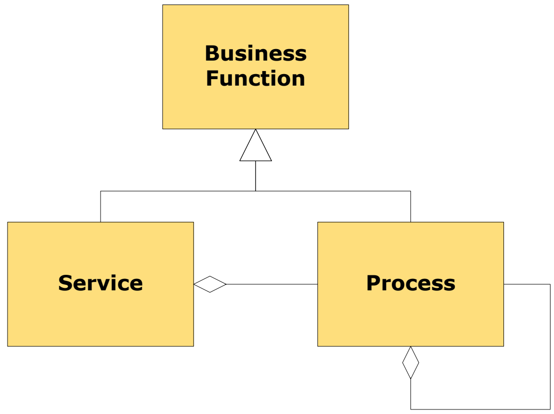

Figure 3 - Business Function

3.5.1 Client Facing Business Functions

This *business functions listed below must be used as a starting point* in analyzing the processes that the business performs.

[4] GO-ITS 56.1 Defining Programs and Services in the OPS, section 1.3.1.

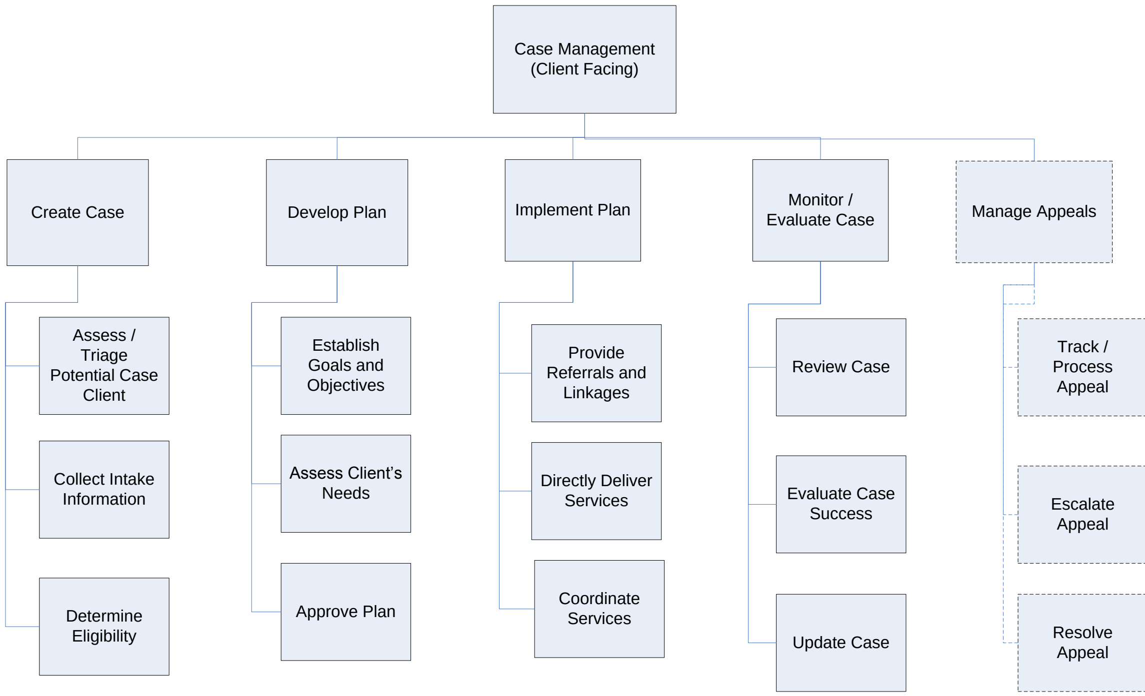

Figure 4 - Client Facing Functions

3.5.2 Client Facing Function Descriptions

Functions	Sub-Functions	Description
Create Case		Manage access to one or more services for a client including intake, filtering, triage etc. May assign a case manager
	Assess / triage potential client	Pre-eligibility (e.g., quick yes/no) assessment pending further scrutiny
	Collect intake information	Gathers information from the prospective client, verifies data, starts file, etc.
	Determine eligibility	Formal determination of the eligibility of the applicant to be a client for one or more of the services in the case portfolio
Develop Plan		Develops a case plan to meet client needs and establishes objectives to be achieved. Plan includes: needs assessment, service plan, service agreements with client and providers as required, referrals, etc.
	Establish goals and objectives	Sets targets for the client against which progress can be measured
	Assess client's needs	Assesses client needs for services

Functions	Sub-Functions	Description
	Approve plan	Approves the plan to meet the client needs. This may require clearly defined responsibilities and authority for approval
Implement Plan		Planning, delivery and co-ordination of client service delivery and case administration
	Provide referrals and linkages	Directs client to services that they need by providing contact information and resources
	Directly deliver services	Delivers services to clients directly
	Coordinate services	Schedules and manages the workflow involved in delivering services to the client in a coordinated and logical fashion
Monitor / Evaluate Case		Reviews and evaluates progress of client in achieving plan objectives and updates plan accordingly
	Review case	Regularly reviews the progress of the case as the client receives services
	Evaluate case success	Evaluates client progress in achieving case objectives
	Update Case	Manages changes to the plan and objectives, manages changes to case status (including close case)
Manage Appeals		Adjudicates complaints between client, case manager and service provider and issues findings and rulings that direct future direction and action
	Track / process appeal	Involves accepting, processing and tracking appeals
	Escalate appeal	Involves determining the appropriate level of authority required to handle an appeal and elevating the appeal to the appropriate level
	Resolve appeal	Involves the processes required to get a ruling to resolve an appeal. Result on an appeal may involve changes to the case plan

Table 4 - Client Facing Function Descriptions

3.5.3 Business Support Functions

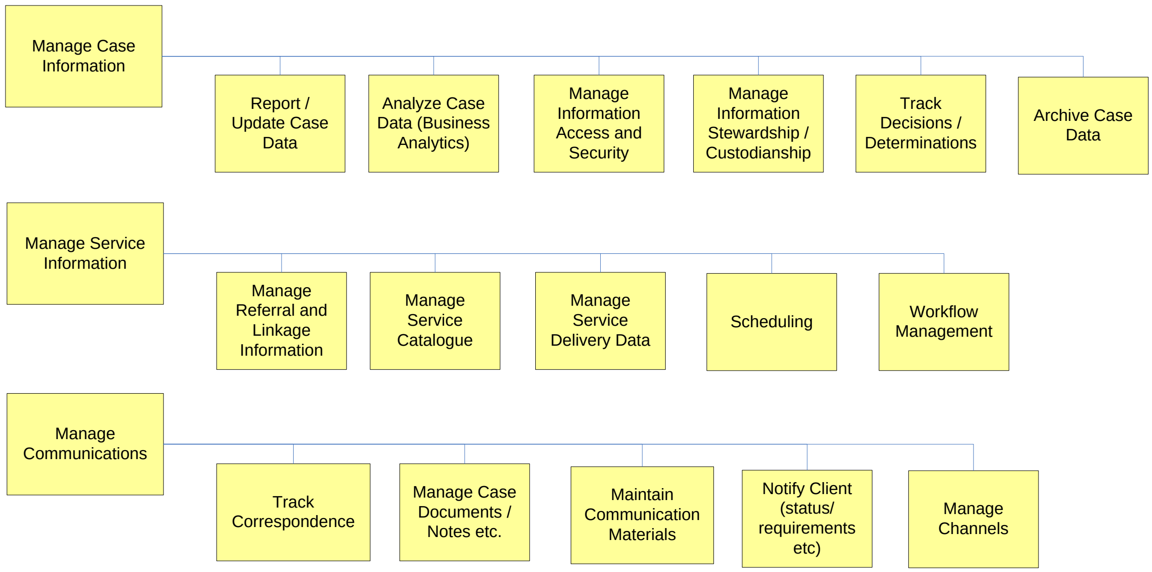

Figure 5 - Business Support Functions

3.5.4 Business Support Function

Case Management Functions	Case Management Sub-Functions	Description
Manage Case Information		Manages client case information, information sharing between partners and service providers, ensures privacy and provides access to information throughout the case lifecycle from creation or receipt to final disposition, i.e. secured destruction or transfer to the Archives.
	Report / update case data	Reports on client progress in achieving case objectives (i.e., to governors)
	Analyze case data (business analytics)	Analyzes case information to improve understanding
	Manage information access and security	Manages access to ensure security of confidential information
	Manage information stewardship and custodianship	Manages all types of records and documents related to a case
	Track decisions and determination	Keeps a record of key case milestones
	Archive case data	Archives records according to a record retention schedule policy.
Manage service information		Manages information about services, service providers, referral and linkage information and service delivery data

Case Management Functions	Case Management Sub-Functions	Description
	Manage referral and linkage information	Keeps log of case activity and contacts made
	Manage service catalogue	Maintains a catalogue of services and providers for use by case managers
	Manage service delivery data	Manages service delivery data that supports the case
	Scheduling	Manages scheduling of appointments, service delivery, resources etc.
	Workflow Management	Monitors and manages workflow throughout the service delivery lifecycle
Manage Communications		Manages communication channels and coordinates communication
	Track correspondence	Tracks the progress of correspondence with client, service providers
	Manage case documents and notes	Manages formal and informal documentation supporting the case
	Maintain communication materials	Manages client communications and publications (e.g., public internet site, news releases, signage, etc.)
	Notify client (status / requirements etc)	Notifies client and/or service providers of status changes, required action etc.
	Manage Channels	Manages communication channels and access (e.g., collaboration site, internet, mail, phone)

Table 5 - Business Support Function Descriptions

3.6 Information Model

The following describes the subject areas[5] that are encapsulated in the Case Management Information Model. These subject areas align with the client facing and business support functions of case management and must be used as a starting point. A diagrammatic view of these subject areas is provided in Section 3.6.2. The detailed definitions of subject areas, and entities can be found in Appendix A1.

1. The **CASE** subject area represents the information about the specific case being managed. It is a foundational subject area, and represents what is recorded during the lifecycle of managing a case.

2. The **CIRCUMSTANCE** subject area represents the information about the event that may trigger a case.

3. The **PARTY** subject area represents the information about the parties that could be involved in a case and the roles they play such as:

    - client
    - contravener
    - provider
    - case manager

4. The **LOCATION** subject area represents the information required to locate where parties live and where products and services are offered.

5. The **ASSESSMENT** subject area represents the information of findings primarily based on circumstances. Two major outcomes are possible:
    I. Granted provisions; or
    II. Sanctions.

    In both cases the beneficiary or the contravener may appeal for what has been determined.

6. The **PROGRAM GOVERNANCE** subject area represents the information required to:

    - define service outputs, both tangible and intangible, and specific adjustments required for different needs, or target groups.
    - define eligibility for the service outputs depending on criteria such as circumstance types, or need types.

[5] A Subject Area is a concept or term used to describe an area of major interest or importance to the business.

- define offence types depending on circumstance types and resulting sanction types.

7. The **GUIDELINES** subject area represents the information that corresponds to reusable knowledge to perform cases in a consistent and standard way.

8. The **OFFERING** subject area represents the information about the availability of products and services that may be required.

9. The **DELIVERY** subject area represents the information about the product or service that is being delivered. It includes the tracking of the delivery of the product or service.

10. The **COMMUNICATION** subject area represents the information about management and tracking of communication and correspondence documents related to cases. It includes communications with clients, service providers, and the channels of communication used.

3.6.1 Information Model Notation and Description

The Case Management Information Model is shown in an entity-relationship diagram (ERD). An ERD illustrates entities and their relationships. In an ERD, a box describes an entity. An **entity** is a thing, person, place, event or concept that is of interest to the business and which information is to be collected or known.

A line between two boxes describes a **relationship** between the two entities. Relationships represent business rules and set out significant associations between two entities. A line depicted as an arc implies that the two relationships involved are exclusive in nature. Several types of symbols are used to represent relationships.

The following symbols are used in the Case Management Information Model:

A crow's feet represents a many relationship
A circle represents optional participation in a relationship
A straight line represents a must have relationship
uses
Text above or below the relationship line represents the name of the relationship

Relationship symbols can be used in combinations:

must have one or many
may have zero, one or many

+ must have one and only
o may have one

Sometimes a relationship can form a parent and child relationship in which one entity is a special case (child) of a more general (parent) entity. They have similar characteristics but are different.

Colour conventions are also used on the Case Management Information Model as follows:

- **white** boxes are data entities that support the business and support functions of the OPS Case Management Reference Model;
- **grey** boxes are data entities that support business functions related to enforcement of standards and regulations;
- **magenta** boxes are data entities related to the order and delivery of service provision. These represent information that case management functions keep track of but are not directly accounted for.
- Regular relationships between entities are shown in blue.
- Parent and child relationships are shown in green.

3.6.2 Information Model Diagram

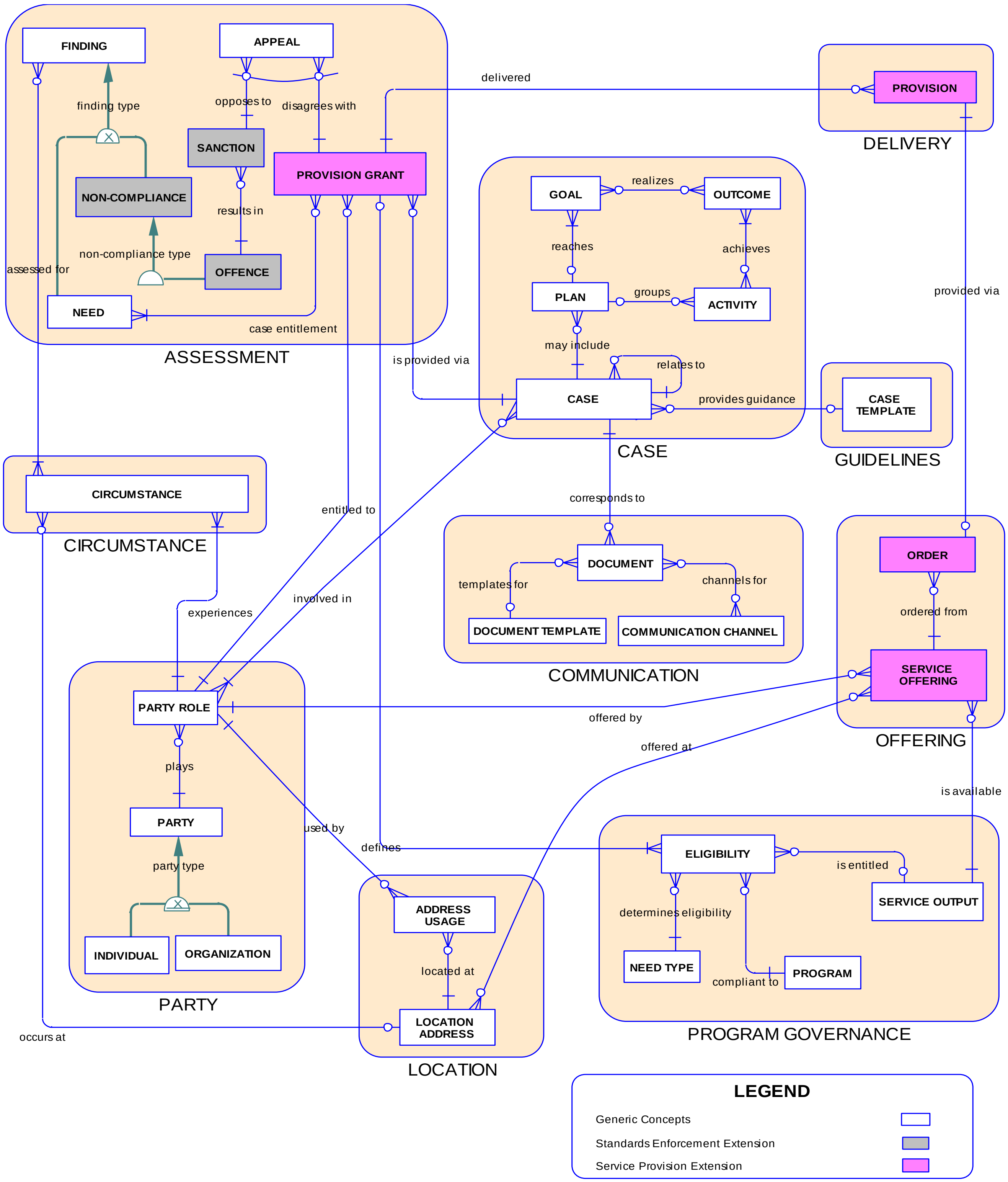

Figure 6 - Case Management Information Model

3.7 Information Support of Business Functions

The following illustrates how *the subject areas are used to support the client-facing and business support functions specified in Section 3.5 Business Functions.*

1. Client Facing Business Functions:

a. Create Case

- The CASE subject area covers case, agreements, plans, goals, activities, and outcomes. This information can be updated while a plan is developed, approved, and implemented, and the case is monitored and evaluated.
- The subject areas CIRCUMSTANCE, PARTY, and LOCATION cover the collection of intake information regarding the case.
- Eligibility determination is represented in the ASSESSMENT subject area. Eligibility is determined based on the governance rules represented in the PROGRAM GOVERNANCE subject area, and the circumstances represented in CIRCUMSTANCE subject area.

b. Develop Plan

- The information in the CASE subject area will be updated while a plan is being developed, and approved.

c. Implement Plan

- The GUIDELINES subject area provides reusable guidance as it can capture templates for different types of cases. This is a knowledge base that can be revised or updated.
- The OFFERING subject area covers information about the service offering (e.g. where and provided by whom). It also supports information to track the order for services.
- Eligibility determination is represented in the ASSESSMENT subject area. Eligibility determination includes enforcements that can result from an assessment.

d. Monitor / Evaluate Case

- The information in the CASE subject area can be updated while a plan is implemented, and the case is monitored and evaluated.

e. Manage Appeals

- The ASSESSMENT subject area covers information to capture an APPEAL in regard to either a SANCTION (appeal from a contravener) or a PROVISION of a product or service (appeal from a beneficiary).

2. Business Support Functions:

a. Manage Case Information

- All the subject areas in the model support information around a case and case members that can be reported.
- The GUIDELINES subject area allows capture templates and formats of specific reports (e.g. to monitor client progress).
- Auditing information is not represented, as this is a non-functional requirement that would be addressed at the Physical Data Model level.
- Archiving requirements are not represented at the conceptual level as these are non-functional requirements and would be addressed by implementing the appropriate archiving strategy.

b. Manage Service Information

- The subject areas PARTY and OFFERING support the management of information about service providers.
- The PROGRAM GOVERNANCE subject area supports the management and determination of entitled eligibilities that belong to the program.
- The DELIVERY subject area supports the capture of information about service delivery including delivering channels.

c. Manage Communications

- The COMMUNICATION subject area supports the management and tracking of communication and correspondence documents related to cases.

3.8 Case Management Implementation Strategies

Once an enterprise has determined that it has a need to implement a Case Management business model, the next decision is what form, or strategy, the implementation will take. The business implementation strategy that is chosen will dictate the definition of roles, accountabilities and business rules that need to be put in place.

The following table *outlines three strategies that must be used.* In instances where the Case Management business *is complex, a combination of these* strategies can occur.

Each strategy is differentiated based on the authority and responsibility of the case client, case manager and service provider for:

- Needs assessment;
- Case Management planning;
- Service delivery; and
- Monitoring and evaluation of achievement of the case plan objectives.

Generally, the three strategies can be described as follows:

- **Signpost Strategy** – the case manager directs clients to potential service providers based on a needs assessment and plan;
- **Negotiated/ Brokered Service Delivery Strategy**– case manager negotiates with service providers on behalf of the client;
- **Ordered Services Strategy**– case manager has the authority to determine eligibility for services and order them on behalf of the client.

Case Management Implementation Strategies			
Strategy	**Case Manager**	**Client**	**Service Provider**
Signpost Strategy (refer / direct client to required services)	• Responsible for preparing needs assessment / plan • Responsible for monitoring / evaluation of the achievement of case plan objectives	• Responsible for arranging service delivery and receiving service	• Authority to determine eligibility of client • Responsible for service delivery; authority to deploy resources • Responsible for monitoring / evaluating result of the service
Negotiated / Brokered Service Delivery Strategy (negotiate/broker delivery of required services)	• Responsible for preparing the needs assessment / plan • Responsible for negotiating service delivery including negotiating eligibility and service delivery plan • Responsible for	• Responsible for receiving service	• Responsible for negotiating eligibility of client for service with case manager • Authority to deploy resources once a negotiated agreement is reached

Case Management Implementation Strategies			
Strategy	**Case Manager**	**Client**	**Service Provider**
	monitoring / evaluation of the achievement of case plan objectives		• Responsible for service delivery and service delivery plan • Responsible for monitoring / evaluating result of the service
Ordered Services Strategy (order up services required)	• Responsible for preparing needs assessment / plan • Authority to determination client eligibility for bundle of services • Authority to order service delivery (deploy resources) • Responsible for monitoring / evaluation of the achievement of case plan objectives	• Responsible for receiving service	• Responsible for service delivery • Responsible for monitoring / evaluating result of the service

Table 6 - Case Management Implementation Strategies

Note: **Authority** is the ability or power to command; for example, the authority to deploy resources. **Responsibility** is the accountability for results from some action or decision.

These implementation strategies can be depicted as Service Integration and Accountability Models as shown in the following Figures 7, 8 and 9.

3.8.1 Signpost Strategy

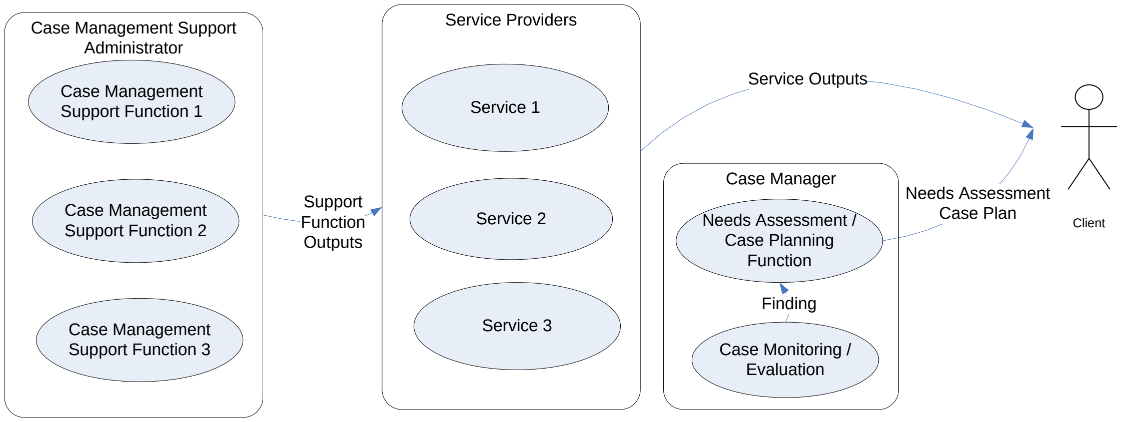

Figure 7 - Signpost Strategy

Strategy description:

- Case manager performs the needs assessment and develops a case plan;
- Case client arranges for service delivery;
- Service providers deliver service outputs to clients after determining eligibility;
- Case manager monitors and evaluates the achievement of case objects in consultation with the client; and
- Case manager may amend the plan based on the evaluation of results.

3.8.2 Negotiated / Brokered Service Delivery Strategy

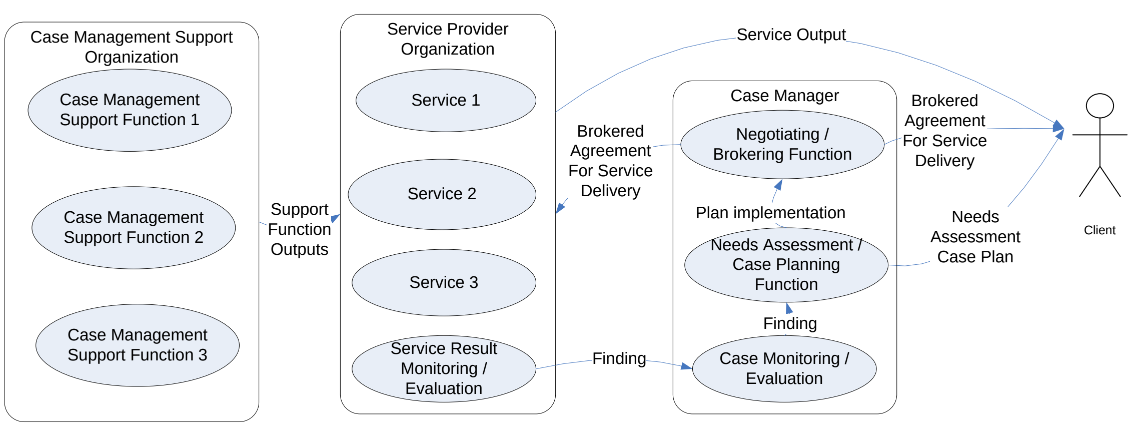

Figure 8 - Negotiated / Brokered Service Delivery Strategy

Strategy Description:

- Case manager performs the needs assessment and develops a case plan;

- Case manager negotiates service delivery with service providers;
- Service providers deliver service outputs to clients after determining eligibility;
- Service provider evaluates the outcomes of the service and reports findings to case manger;
- Case manager evaluates of the achievement of case objectives based on input from the service providers and client; and
- Case manager may amend the plan based on the evaluation of results, leading to another round of negotiating service delivery.

3.8.3 Ordered Service Strategy

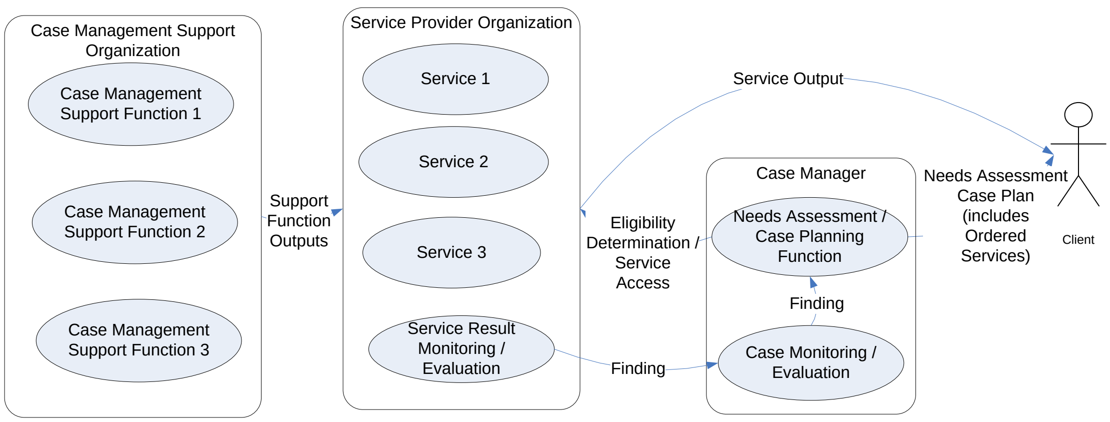

Figure 9 - Ordered Service Strategy

Strategy Description:

- Case manager performs the needs assessment and develops a case plan;
- The needs assessment and case plan serve to determine the eligibility of the client for access to a service. The case manager is "ordering up" the service for the client with the approval of the case plan;
- Service providers deliver service outputs to clients; and
- Service provider evaluates the outcomes of the service and reports findings to case manager;
- Case manager evaluates of the achievement of case objectives based on input from the service providers and client; and
- Case manager may amend the plan based on the evaluation of results, including additional service delivery.

3.9 Business Rule Types

When an enterprise moves to a Case Management business model, business rules are inherited from the programs and services that are involved. In addition, new business rules may be required to implement Case Management. The new business rules are implemented in a number of instruments such as contracts, policy, regulation, memorandum of understanding, etc. The business implementation strategy that is chosen is one, but not the only, determinant of the business rules that are required.

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Next Review Date: 2009-07

The following table highlights areas where new *business rules may need to be established* specific to Case Management. These new rules may affect some of the existing program rules.

Rule Type	Explanation
Client eligibility for multiple services	Rules may need to specify who determines client eligibility across multiple services. For example, agreements between service providers may specify that a determination of eligibility for one service may mean or imply eligibility for another service.
Case manager appointment	Normally, a case manager would be formally named and granted some level of authority. Business rules would define the level of authority.
Case accountability	There should be clear lines of accountability (i.e., a case governance model) for performance management and reporting. Where Case Management crosses jurisdictional/organizational boundaries, agreements should be in place. The agreements would be translated into a set of business rules.
Needs assessment and case planning	The plan for meeting the needs should be documented explicitly and agreed upon by all parties involved. Rules governing acceptance by client and approval of the plan by accountable manager(s) may be necessary.
Client progress monitoring and plan adjustment	Regular monitoring of progress by the case manager (from service provider reports) results in adjustments to the plan for the client. Regular meetings of a case team may be appropriate. Business rules for approving plan adjustments may be required.
Service provider handoffs	Concurrent needs would be those that must be met at the same time; sequential needs being met may occur over an extended time period. Just because there is a formal handoff from one service provider to another (i.e., sequentially meeting needs) does not mean the case is closed for one party. Rules may be required for the handoff.
Information sharing	Sharing information among the case service providers increases the chance of a successful outcome. One of the case manager's roles is to facilitate information sharing – that is, ensure there is the proper authority in place. Data/information sharing agreements need to be translated into business rules for copyright, information use, sensitivity, etc.
Client information privacy	While information sharing is important, a client has a right to confidentiality of personal information by the case team.

Table 7 - Business Rule Types

4 Summary

It is important to note that a Case Management model is defined by the business, and not by the tool that is acquired to support the business. Transformation initiatives that involve moving to a Case Management approach will need to restructure the business first (e.g., define new roles, adopt new business rules, etc.). Tools are acquired and configured to support the new business model only after the business redesign for Case Management has been completed.

The ‘to be’ business architecture for a transformation initiative to implement Case Management should address the following:

- A role called case manager and accountable party;
- Client needs (usually a set of complex needs);
- Goals related to meeting the desired outcomes for the client;
- Business functions (i.e., services or management processes) for case planning, monitoring and assessment;
- Business rules for the selected Case Management strategy (e.g., rules for eligibility assessment, integrated service delivery, scheduling etc.).

Once the client-facing front end of the Case Management business model is complete, the support services can be defined to support the business. For example, business rules relating to information management would be developed and the various accountabilities of parties would be the basis of contractual agreements between support service organizations and public service providers.

Appendix A1 – Information Model Subject Area and Entity Definitions

This appendix provides the subject area and entity definitions to enable reuse and consistency in Case Management data model designs.

Subject Area	Entity Name	Description
ASSESSMENT		Represents the information of findings based on circumstances. Depending on the circumstances, two major outcomes are possible: • Granted provisions or • Sanctions. In both cases the beneficiary or the contravener may appeal against what has been determined.
	APPEAL	An application or a request that an Individual makes to have a decision made on a certain event changed. An appeal may happen in two major situations: 1. When a beneficiary disagrees with the provision granted; 2. When a contravener disagrees with a sanction.
	FINDING	The assessment outcome determined based on rules being applied to other information (e.g. circumstances). A finding can be categorized as: 1. Need for a certain service or things that are either tangible (goods) or intangible (improved knowledge and skills set), or; 2. Non-compliance according to some regulations, policies, or rules.
	NEED	A type of findings that identifies a requirement an Individual has. Need is determined based on circumstances. For example: • Need for glasses can be a finding based on a medical condition; • Risk of becoming homeless based on financial situation. For long-term cases, circumstances may be periodically recorded and verified, new needs may be assessed and eligibility may be reviewed.
	NON-COMPLIANCE	A type of finding that identifies the situations where there is a failure to meet standards, rules, and/or legislation.

Subject Area	Entity Name	Description
	OFFENCE	An act of not complying with certain rules which may result in a sanction being applied.
	PROVISION GRANT	The provision of a grant for which an applicant has been deemed to be eligible. A grant can be provided to all participants (e.g. all members of a family) in some cases, or to a specific case member.
	SANCTION	An act that represents enforcement of standards and legislation. For example: • License Suspension • Fine • Order to stop usage of unsafe equipment.
CASE		Represents the information about the specific case being managed. It is the foundation subject area for the case management. It, along with other subject areas, represents the information that is recorded during the management lifecycle of a case.
	ACTIVITY	An activity performed in the context of a case.
	CASE	The object of investigation or consideration. A CASE supports an outcome driven process. It can be used to: • Support an individual or a group of individuals (e.g. a family) involved in a request for / receiving assistance. This could include an applicant, spouse, or dependents; • Investigate an accident at a workplace; • Inspect a workplace for compliance to health and safety standards; • Inspect a "natural" site (e.g. a lake) to ensure protection of the environment. A case can be related to other case(s). A case can include multiple sub-cases involving specific members in a specific context: • Two members involved in a review (this would be a review sub-case) • A member involved in an appeal (this would be a sub-case to manage the appeal) A case can be assigned to one or more individuals and/or organizations (e.g. for employment support).
	GOAL	The intended states or result planned to be achieved in meeting the target group need.
	OUTCOME	The actual state achieved as a result or consequence of the service output being provided or service being delivered.

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Subject Area	Entity Name	Description
	PLAN	A series of activities (or steps) to be arranged and carried out for accomplishing goals and achieving a targeted result. A plan is set for achieving the program goals and the outcomes required in meeting these goals. A plan usually regroups activities a member is involved with to obtain that desired outcome.
CIRCUMSTANCE		Represents the information about the situation, condition or event that may trigger a case. It represents different types of circumstances that can be declared by an applicant, found via investigation, reported, and the corresponding event (an investigation, an application, a report, etc.). Circumstances are usually identified through case activities, using templates containing sets of questions. A circumstance could be used to establish needs and gaps, as well as to establish eligibility directly (e.g. assets). A circumstance may also establish an offence. Examples could be: • Lack of respect for environment standards • Lack of respect for health & safety standards at workplaces • Unfair labour relationship reported by an employee against the employer • Violence reported against a spouse • Failure of a payer to meet family responsibility reported by the payee

<table>
<tr><th>Subject Area</th><th>Entity Name</th><th>Description</th></tr>
<tr><td></td><td>CIRCUMSTANCE</td><td>A circumstance (income, asset, expense, employment barrier, medical condition, etc.) is a condition of fact that is used to assess needs and determine eligibility. For example circumstances can be:
A person is disable (requiring social adapted assistance)
A person living in the North is eligible for Northern Allowance, etc.
In some situations, a circumstance may be determined by another circumstance (e.g. a person experiencing an employability barrier may be determined by the level of education and skill, the resulting assessed need may be training).

Usually circumstances are verified and the verification result is captured in a verification code. That result may influence the status and status reason.</td></tr>
<tr><td>COMMUNICATION</td><td></td><td>Represents the information about management and tracking of communication and correspondence documents related to cases including communications with clients, service providers, and the channels of communication used.</td></tr>
<tr><td></td><td>COMMUNICATION CHANNEL</td><td>Communication channel used for a specific communication instance.</td></tr>
<tr><td></td><td>DOCUMENT</td><td>A document used for or produced by the case management process. For example, a document can be a form, a statement, an agreement, a manual, etc.</td></tr>
<tr><td></td><td>DOCUMENT TEMPLATE</td><td>A template / sample for a specific type of documents related to case.</td></tr>
<tr><td>DELIVERY</td><td></td><td>Represents the information about the product or service that is being delivered. It also includes the tracking of the delivery of the product or service.</td></tr>
<tr><td></td><td>PROVISION</td><td>The representation of the actual provision (delivery) of a service output (which can be service, goods, or any combination of both). The provision can be:
On an ad hoc (impromptu) need (e.g. finance for furnace repair, finance for eye glasses, etc.) based.
In a series delivered periodically (e.g. ongoing financial assistance, resume writing skill, etc.).
A provision is always determined by eligibility (changes in observations determine eligibility). This includes eligibility to the product provision, at a certain rate or amount.</td></tr>
</table>

Subject Area	Entity Name	Description
GUIDELINES		Represents the information of reusable knowledge to perform case management in a consistent and standard way.
	CASE TEMPLATE	A guidance or standard that is applied when supporting a specific type of case. For example: • A case template for a workplace inspection would group activities to be performed and supplementary information. • A case template for a case performed to address an individual's needs (e.g. to improve his/her social skill, or any other specific need). Furthermore, a template is configured based on expertise, and is updated based on lessons learned to improve effectiveness.
LOCATION		Represents the information required to locate where parties reside and where Service output are offered.
	ADDRESS USAGE	An association of a Party Role to a location for a specified time period and purpose. For example, it may define many possible Addresses for a Case Client.
	LOCATION ADDRESS	An address description that identifies, describes or helps find a location anywhere in the world for the purpose of physically getting there, delivering mails or parcels, sending e-mail, contacting via telephone, or access via web site.
OFFERING		Represents the information about the availability of products and services that may be required.
	ORDER	To track the order and delivery of service output a provider is involved.

Subject Area	Entity Name	Description
	SERVICE OFFERING	The offer of a single service output, or a bundle of output in a package. Service Offering has been made flexible to handle: • Offering variation for geographical areas, and providers (can support offerings from different competitors); • The basic offering for a product which can vary across regions, and providers (for example, a keyboard is $9.00 for provider A in region A, $10.00 for provider B in region A, $12.00 for provider A in region B); • Characteristics may have properties within the context of a product (e.g. colour blue cost an additional dollar). Examples of usage of Service Offering: • Ability to search for the list (menu) of "job search" product offers in Spanish. • Ability to obtain the list of "resume writing" product offers with wheel chair facility.
PARTY		Represents the information about the parties that could be involved in a CASE and the roles they play: • Case Manager • Client • Contravener • Provider
	INDIVIDUAL	An individual person. May be alive, unborn or deceased. May be acting in a personal, or professional capacity. NOTE: Do not collect personal information that is not required by legislation, regulation, policy or business rules.
	ORGANIZATION	A person or a group of persons who have established an association or have created a corporate entity to conduct business or public service. NOTE: A person operating as sole proprietor is registered as an organization.
	PARTY	A Party represents a real-world person or group of people as described by a program or service.

Subject Area	Entity Name	Description
	PARTY ROLE	An instance of Role Type played by a single Individual or Organization, for a period of time. One Individual or Organization may play multiple Roles. In the context of case management, some roles may require specific attributes (e.g. case member, staff member, service provider).
PROGRAM GOVERNANCE		This subject area includes business concepts to provide a framework for Program Governance: • Define the configuration of Service output via actual service or product features adjusted for different needs, target groups, etc. Service output can be bundled to deliver a specific outcome. • Define eligibility for these service output depending on criteria such as circumstance types, need types, etc. • Define offence types depending on circumstance types, and resulting sanction types.
	ELIGIBILITY	The determining factor that represents the following: • Which service output with what characteristic and value. • For which need and target group in the context of a specific program.
	NEED TYPE	Represents a type of need. Examples are: • Child Welfare • Adoption • Financial Assistance (payment) • Employment support • Child protection • Family violence prevention
	PROGRAM	A program is a mandate conferred from the governors of the enterprise to achieve goals, expressed as outcomes, and impacts that address the identified needs of a target group within a jurisdiction. Programs are delivered through a collection of services that contribute to the program goals and comply with the program strategy. Programs receive allocated funding, or a mechanism established for program funding and resource by the governors. For example: • Healthy Babies Healthy Children Program • Youth Justice Program • Social Assistance Program • Ontario Disability Support • Road User Safety

Subject Area	Entity Name	Description
	SERVICE OUTPUT	A service output that addresses specific needs of a target group (e.g. the client) and contribute to the achievement of the program goals. A service output can be either tangible or intangible. For example, • Financial Assistance (tangible) • Employment Support Service (intangible)

Table 8 – Subject Areas and Entities