



Government of Ontario IT Standard (GO-ITS)

Number 56.2

OPS Case Management Reference Model

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Prepared for the Information Technology Standards Council (ITSC) under the delegated authority of the Management Board of Cabinet

Foreword

Government of Ontario Information Technology Standards (GO-ITS) are the official publications on the guidelines, preferred practices, standards and technical reports adopted by the Information Technology Standards Council (ITSC) under delegated authority of the Management Board of Cabinet (MBC). These publications support the responsibilities of the Ministry of Government Services (MGS) for coordinating standardization of Information & Information Technology (I&IT) in the Government of Ontario. Publications that set new or revised standards provide enterprise architecture guidance, policy guidance and administrative information for their implementation. In particular, GO-ITS describe where the application of a standard is mandatory and specify any qualifications governing the implementation of standards.

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1. Introduction

1.1 Background

In 2007, the Business Architecture Domain Working Group (BADWG) recognized that although case management is a widespread business need in the OPS there was no common understanding of its meaning. The Corporate Architecture Core Team directed BADWG to establish a common understanding of the meaning of case management following our approach for defining programs and services within the Ontario Government. This culminated in a Case Management Reference model.

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. It is also intended to help Business Planners, Policy Analysts, Business Analysts, Program Managers, Service Providers and Business Architects gain a common understanding of what case management is along with the generic business functions involved when a case management approach is applied.

In July of 2008, the Architecture Review Board (ARB) approved the Case Management Reference Model and recommended the reference model be established as a GO-ITS-Standard.

1.2 Scope

The Case Management Reference Model must be followed by all OPS I&IT projects considering the adoption of a case management approach.

1.3 Applicability Statements

Government of Ontario IT Standards and Enterprise Solutions and Services apply (are mandatory) for use by all ministries/clusters and to all former Schedule I and IV provincial government agencies under their present classification (Advisory, Regulatory, Adjudicative, Operational Service, Operational Enterprise, Trust or Crown Foundation) according to the current agency classification system.

Additionally, this applies to any other new or existing agencies designated by Management Board of Cabinet as being subject to such publications, i.e. the GO-ITS publications and enterprise solutions and services - and particularly applies to Advisory, Regulatory, and Adjudicative Agencies (see also procurement link, OPS paragraph). Further included is any agency which, under the terms of its Memorandum of Understanding with its responsible Minister, is required to satisfy the mandatory requirements set out in any of the Management Board of Cabinet Directives (*cf.* Operational Service, Operational Enterprise, Trust, or Crown Foundation Agencies).

As new GO-IT standards are approved, they are deemed mandatory on a go-forward basis (Go-forward basis means at the next available project development or procurement opportunity).

When implementing or adopting any Government of Ontario IT standards or IT standards updates, ministries and I&IT Clusters must follow their organization's pre-approved policies and practices for ensuring that adequate change control, change management and risk mitigation mechanisms are in place and employed.

For the purposes of this document, any reference to ministries or the Government includes applicable agencies.

1.4 Requirements Levels

Within this document, certain wording conventions are followed. There are precise requirements and obligations associated with the following terms:

Must	This word, or the terms "REQUIRED" or "SHALL", means that the statement is an absolute requirement.
Should	This word, or the adjective "RECOMMENDED", means that there may exist valid reasons in particular circumstances to ignore the recommendation, but the full implications (e.g., business functionality, security, cost) must be understood and carefully weighed before

2. Contact Information

2.1 Roles and Responsibilities

Accountable Role Definition

The individual ultimately accountable for the process of developing this standard. There must be exactly one accountable role identified. The accountable person also signs off as the initial approver of the proposed standard before it is submitted for formal approval to ITSC and ARB. (Note: in the OPS this role is at a CIO/Chief or other senior executive level).

Accountable Role:

Head, Corporate Architecture Branch (CAB), Office of the Corporate Chief Technology Officer (OCCTO), Ministry of Government Services (MGS)

Responsible Role Definition

The organization responsible for the development of this standard. There may be more than one responsible organization identified if it is a partnership/joint effort. (Note: the responsible organization provides the resource(s) to develop the standard).

Responsible Organization:

The organization responsible for the development of this standard is the Corporate Architecture Branch, OCCTO, MGS.

Support Role Definition

The support role is the resource(s) to whom the responsibility for actually completing the work and developing the standard has been assigned. If there is more than one support role, the first role identified should be that of the editor – the resource responsible for coordinating the overall effort.

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Organization Consulted (Ministry/Cluster)	Division	Branch	Date
MGS	OCCTO	AAB	2008
MGS	OCCTO	CAB - Methodology	2008-11
MGS	OCCTO	TAB	2008-12

Committee/Working Group Consulted	Date
Business Architecture Domain Working Group (BADWG)	2008
Information Architecture Domain Working Group (IADWG)	2008

Informed

Committee/Working Group Informed	Date
Enterprise Architecture Methodology Working Group (EAMWG)	2008

2.2 Recommended Versioning and/or Change Management

Changes (i.e. all revisions, updates, versioning) to the standard require authorization from the “responsible” organization.

Once a determination has been made by the responsible organization to proceed with changes, the Standards Section, Technology Adoption Branch, OCCTO, will coordinate and provide assistance with respect to the approvals process.

The approval process for changes to standards will be determined based on the degree and impact of the change. The degree and impact of changes fall into one of two categories:

1) Minor changes - requiring communication to stakeholders. No presentations required. No ITSC or ARB approvals required. Changes are noted in the “Document History” section of the standard;

2) Major changes - requiring a presentation to ITSC for endorsement and ARB for approval (Note: ARB reserves the right to delegate their approval to ITSC)

Below are guidelines for differentiating between minor and major changes:

Major:

- represents a major version change to one or more specifications
- impacts procurement
- requires configuration changes to current solutions
- impacts other standards
- responds to legislative, policy or procurement changes

Minor:

- represents incremental version changes to one or more specifications
- does not impact procurement (other than informational)
- does not require configuration changes to current solutions
- does not impact other standards
- is not related to legislative, policy, or procurement changes

2.3 Publication Details

All approved Government of Ontario IT Standards (GO-ITS) are published on the ITSC Intranet web site. Please indicate with a checkmark below if this standard is also to be published on the public, GO-ITS Internet Site.

Standard to be published on both the OPS Intranet and the GO-ITS Internet web site (available to the public, vendors etc.)	<input checked="" type="checkbox"/>
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3. Technical Standards and Specifications

3.1 Purpose of OPS Case Management Reference Model (see Appendix A)

This standard provides a common understanding of what case management is and what common functions contribute to the development of a business model using a case management strategy. This reference model supports business improvement, architecture improvement and provides the foundation for I&IT solution decisions.

3.2 Focus

This reference model is intended to be a higher-level generic model from which more detailed modeling can be developed based on specific business needs. The functions described in this document are business driven, not technology driven.

Mandatory Sections of the Standard

What is covered?

- Formal definition and characteristics
- Key roles and parties
- Client and service provider needs to be satisfied
- Key functions performed by case managers
- Generic information / data requirements to support case management
- Key business implementation strategies
- Types of business rules to consider

What is not covered?

- Identification of business functions that support the delivery of a program using a case management approach but are not specific to case management (e.g. financial management);
- Identification of business functions that are part of case management in one sector but not in others (e.g. client advocacy);
- Business rule source instances or business rule statement instances (i.e., business specific).

4. Acknowledgements

This document was created by the Business Architecture Domain Working Group. The Information Model related sections, namely Sections 3.6 and 3.7, and Appendix A1, were contributed by the Information Architecture Domain Working Group. Organizations are listed according to the organization being represented at the time the document was created.

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5. Document History

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- Contact Information with roles & responsibilities. Draft Version set to 1.01

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- Modified section 3.1 and 3.2

Endorsed: 2009-01-21

- Endorsed by IT Standards Council for posting as a GO-ITS publication
- Final version number set to 1.02

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- Appendix A: Added Section 3.6 Information Model and Section 3.7 Information Support of Business Functions
- Added Appendix A1: Information Model Subject Area and Entity Definitions

Endorsed: 2009-04-15

- Endorsed by IT Standards Council for posting as a GO-ITS publication versioned 1.03.

6. Copyright Information

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