



# **Merative Social Program Management 8.1**

**Service Planning Guide**



## Note

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Before using this information and the product it supports, read the information in [Notices on page 41](#)



# Edition

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This edition applies to Merative™ Social Program Management 8.0.0, 8.0.1, 8.0.2, 8.0.3, and 8.1.

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# 1 Cúram Service Planning Guide

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Services plans are roadmaps for individuals that detail benefits or services that an organization delivers to meet their needs. Service plan goals are divided into manageable steps that allow the client to achieve the overall plan goal.

## 1.1 Introduction

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### Purpose

The purpose of this guide is to provide an overview of Cúram Service Planning. After reading this guide, the reader should have a clear understanding of the Cúram Service Planning model.

In order to best understand these concepts, the guide should be read in full.

### Audience

This guide is intended for business analysts employed by the organization. It is assumed that this audience has a strong knowledge of the organization's business requirements.

### Prerequisites

It is assumed that the reader is familiar with the basic concepts of Social Enterprise Management. In particular, it is assumed that the reader is familiar with the delivery of benefits and services to clients.

To better understand the topics in this guide, the reader should first read the *Integrated Case Management Guide* and the *Participant Guide*.

### Chapters in this Guide

The following list describes the chapters within this guide:

- **Overview of Service Planning**  
This chapter outlines the service planning requirements of Social Enterprise agencies by identifying the key components and processes that fulfill the objectives of a service plan. The main elements of the Cúram Service Planning model are described in line with these objectives.
- **A Structured Approach to Service Planning**  
This chapter highlights the structured approach adopted by the Cúram Service Planning model. It describes each of the main elements that make up this model and how these elements are developed as part of the Service Planning Administration component.
- **Service Plan Management**  
This chapter describes the principal features in the management of a service plan. These features enable Social Enterprise agencies to track the progress of the service plan, thus

ensuring the activities of the service plan are undertaken as part of a joint agreement between an agency and their client.

- **Service and Custom Service Plan Items**

This chapter describes the configuration options and general features provided in support of service plan items and custom service plan items. These plan item types are only available if the Provider Management™ enterprise solution module is implemented.

## 1.2 Overview of Service Planning

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### Introduction

One of the key priorities for Social Enterprise agencies is the well-being and self-sufficiency of their clients. To deliver the optimum services, an organization needs to be assured that their clients are receiving the correct benefits and services to meet their individual requirements.

Many organizations create road maps or plans for individuals which detail the benefits and services that an organization can deliver in order to meet their needs. Due to the variety of services provided by different social enterprises, the name given to this type of plan varies greatly across social enterprises, states and countries, e.g. Individual Responsibility Plan, Independence Plan, and Self Sufficiency Plan. The most commonly used term is 'Service Plan'.

The purpose of this chapter is to describe the service plan requirements of Social Enterprise agencies by outlining the key components and processes that form part of these requirements. This chapter also provides an introduction to Cúram Service Planning which has been designed to uniquely fulfill the service plan requirements of Social Enterprise agencies.

### Background

There are many different types of service plans. The type of service plan created by an organization depends upon the specific goal that the plan is intended to achieve. The common types of plans include - Return to Work, Child Protection, and Permanency Plans. In the US, following the 1996 Personal Responsibility and Work Opportunity Reconciliation Act (PRWOR), also known as the 1996 Welfare Reform Act, states were required to engage all Temporary Assistance for Needy Families (TANF) families in self-sufficiency activities. The main purpose of these activities was to maximize self-sufficiency through employment.

A common method across many organizations of ensuring that an individual achieved the goal of self-sufficiency is the creation of a Return to Work plan. This plan details all of the activities necessary in assisting participants to become independent from assistance through employment. Throughout this guide, a sample Return to Work service plan is used to illustrate the features of Cúram Service Planning.

### Service Plan Requirements for Social Enterprise Agencies

The primary reason for the creation of any service plan is to enable a client to achieve a specific goal. In most cases, this goal must be divided into steps that need to be attained in order to achieve the overall plan goal. A Return to Work service plan, for example, may consist of the following steps to achieve the overall service plan goal:

- Find a Job, to achieve the overall objective of gaining sustainable employment
- Transportation, to overcome the transport barrier preventing the client from attaining employment
- Childcare, to meet a client's requirement for dependent care

Building these steps in isolation provides a more manageable way of achieving the overall service plan goal. The following sections outline processes used to support the creation and management of service plans.

### ***Provide a Structured Approach***

A service plan, like all planning models, should adopt a structured approach. As a service plan is developed jointly between a case worker and a client, a structured approach ensures both parties can clearly identify the roles and responsibilities outlined in the plan.

### ***Promote Best Practice***

A standard approach is often adhered to within agencies with varying types of service plans, e.g., the Return to Work service plan. This promotes best practice and reduces the training effort required across the organization.

### ***Service Plan Management***

Clients should be actively involved in defining and developing their service plans, thus ensuring the client is satisfied with the details of the service plan. Service Planning adopts a collaborative approach between the organization and the participant to undertake the details of the service plan.

A case worker should have the ability to track all client participation, identifying any failure on behalf of the client to meet the required objectives.

The plan should clearly outline the person(s) responsible for undertaking the programs or activities within the service plan.

Above all, the case worker should have a clear view of when an activity starts and ends and how this compares to the estimated start and end dates. In this way, the organization can measure the efficiency of both the client and the overall service plan.

## **Cúram Service Planning**

A service plan is a mechanism by which a Social Enterprise organization can plan, in an integrated manner, the delivery of services and activities to help a client achieve a specific goal.

Cúram Service Planning can be applied to any of the industry segments within the Social Enterprise Management (SEM) model. Social Enterprise agencies within these segments provide a diverse array of benefits and services to their clients from insurance/contribution-based products to child support and medical assistance. To accommodate this diversity, Cúram Service Planning includes a framework that allows the organization to incorporate their specific requirements seamlessly within a service plan.

Cúram Service Planning delivers service plans based on a comprehensive outcome-based model.

This approach helps agencies to focus on achieving a desired outcome for the client, providing the tools necessary to construct the plan and then track and monitor progress. Case workers can make decisions based on both qualitative and quantitative data derived from the tools provided.

The core elements of a service plan includes one goal for the overall service plan, one or more sub-goals, and one or more plan items for each sub-goal. Milestones can also be set up for service plans to track significant events that are to be completed during the service plan life cycle. The following subsection describes each of these elements in detail.

### ***Goal***

The goal is the primary objective or desired outcome of the service plan. It is the objective the service plan client is working towards to become independent of the organization. Each service plan must have one overall goal.

### ***Sub-Goal***

A service plan goal can be further divided into more manageable components called sub-goals.

Due to the often-varied nature of service plans across organizations, it is possible to further group service plan sub-goals into plan groups. Plan groups allow a grouping of related sub-goals.

### ***Plan Groups***

Plans groups can be created by the user as a means of logically grouping related plan items and existing plan groups in the service plan. They can be viewed by selecting the relevant plan group from within the Service Plan Tree Structure. Plan groups can be added to existing plan groups.

### ***Plan Item***

Plan items are the fundamental building blocks of a service plan. They are the benefits, services, and activities that are added to a plan in order to achieve the plan goal.

Plan items form the basis of a successful service plan. Each plan item has a desired outcome such as the gaining of full time employment or the completion of a training course. Achieving these desired outcomes is essential to achieving the service plan goal.

Service units divide a plan item into more manageable tasks. Each unit of measure is a requisite that the client must accomplish to complete their plan item which is based upon a recommended number of units.

Social Enterprise agencies can differ greatly in their requirements. Cúram Service Planning provides the ability to customize plan items and to easily incorporate them into the service plan model.

### ***Milestones***

In Service Planning, milestone functionality is used to track the completion of significant events or tasks during the life cycle of a service plan. For example, a milestone can be created to track the progress of a plan item. Each milestone has an expected start and end date during which the important event is scheduled to start and complete and an actual start and end date. It is also possible to assign a user other than the service plan owner to take ownership of a milestone.

Support is provided to add custom functionality to track whether or not milestones are meeting their scheduled time frames. For example, if the actual start date of the milestone occurs after the expected start date, a workflow can be enacted to email the milestone and service plan owners to review the milestone progress. When a milestone goes beyond the expected end date, a workflow can also be enacted to check on the delayed milestone completion.

Service Planning supports the ability to manually create milestones. It also supports the automatic creation of milestones in-line with events that occur within a service plan. For example,

milestones can be automatically created by the system on the date a plan item starts in order to track the progress of that plan item. Both manually and automatically created milestones are based on milestone configurations set up as part of service planning administration (see [Milestone Configurations on page 19](#)).

**Important:** By default, Service Planning provides functionality to set up the automatic creation of milestones. Note, however, some development is required to enact the automatic creation of milestones. for more information, see the *Milestone Developer Guide*.

## ***Integrated Service Plans***

In addition to creating service plans individually within a case, an agency may also wish to view and manage the services being delivered to its clients in an integrated manner across the case. An integrated service plan view is provided for this purpose.

An integrated service plan is a summarized view of all service plan groups and service plans created within the case and provides a rolled up view of milestones, costs, goals and progress of all service plan groups and service plans.

## ***Service Plan Ownership***

There is a sample service plan ownership strategy which can be overridden by agencies as required. When a service plan is created, the system automatically sets the user who is the case owner of the case in which the service plan was created as the initial owner. Service plan ownership can be transferred. The owner of a service plan can be a user or an organization group such as an organization unit, position, or work queue. If the service plan owner is set to an organization unit, work queue or position, any users who are members of the organization group can work on the service plan. The agency's own service plan ownership strategy can be configured depending on its requirements. For more information about configuring service plan ownership, see [Configuring Service Plan Ownership on page 21](#).

## ***Additional Features***

Cúram Service Planning provides a number of key features which promote best practice and further enhance the management of the service plan.

### **Service Plan Template**

Service plan templates are predefined service plans. They contain a goal, sub-goals, plan items, and milestones that are designed to maximize the effectiveness of the service plan objective. When delivering a service plan to a client, a case worker can choose to define a new service plan or create one from a predefined template. The template approach promotes best practice and reduces the training requirements for novice case workers. An organization can develop its own collection of service plan templates to ensure consistency of service. Note, however, a service plan created from a template can still be customized to meet the individual requirements of a specific client, thus providing even greater flexibility.

### **Service Plan Contract**

The Service Plan Contract formalizes the commitment on behalf of both the organization and the client to undertake the activities outlined in the service plan. Once the agency and service plan participant are satisfied that the structure of the service plan adequately reflects the needs and objectives of the client, a contract is issued for the service plan. A contract may be viewed and

printed, and contains information on each of the service plan artifacts. Note that milestones are not displayed in a printed contract.

### Service Plan Gantt Chart

The Tracking Gantt chart enables the case worker to get a complete overview of the service plan elements on a single page. Each of the service plan artifacts (goal, sub-goal(s), plan group(s), plan item(s), and milestones) are displayed in an expandable tree structure.

### Service Plan Security

Cúram Service Planning includes security which protects a service plan from unauthorized users. Users can be restricted from accessing one or more elements of a service plan. They can also be restricted from maintaining service plan elements, approving the service plan or individual plan items, or from cloning a service plan.

The following describes the levels of security which governs service plans:

- Function security governs user access to all server functions accessible from the client application. At the service plan level, function security governs a user's ability to perform operations such as approving the service plan, creating the service plan, cloning the service plan, approving plan items, and viewing the service plan. When a user attempts to perform a function in the application, the system checks his or her security role for the appropriate function identifier. Field security governs user access to information in specific fields. For example, it might be necessary to protect the display of the actual cost expended on plan items from general user access.
- Location based security is used to authorize a user's ability to access service plan and client information based on his or her location. A user can only access service plans in his or her location or sub-locations where the user's location is the same as the primary client's location. In general, there are four security options which can be set for an organization; On, Off, Restricted View, and Read Only. When 'Off' is specified, users can view and maintain all service plans and client details irrespective of their location in the organization. When 'On' is specified, users can view and maintain all service plans and clients in their own location and/or sub locations. They cannot view or maintain any service plans or clients which exist in other locations. When 'Restricted View' is specified, users can view and maintain all service plans and all clients in their own location and sub-locations. They can also see that service plans and clients exist in other locations but cannot view the details of the service plans or clients. When 'Read Only' is specified, users can view and maintain service plans and client information in their own location and can view service plans and clients in all other locations. Exceptions to the above four scenarios can be dealt with by giving the appropriate read and maintain rights to additional locations. For more information about location based security, see the *Location Administration Guide*.
- Sensitivity is used to govern whether users should have access to individual plan elements. Contracts, plan participants, sub-goals, and plan items can each be assigned a sensitivity level and when a user selects to view the plan element, the system checks the sensitivity of the user against that of the plan element to determine access.
- Notes are assigned a sensitivity level whereby only users with a sensitivity equal to or higher than the sensitivity level for the note can view the note details.

**Important:** A user's security access is set up as part of security administration. For more information, see the *Organization Administration Guide*.

## Plan Participants

A plan participant is a participant who plays a role on a service plan. The types of plan participants for a service plan include primary plan participant, plan participant, nominated representative and correspondent. The plan participants list displays information regarding participants which includes name of the participant, plan participant type, start date, end date and status.

The primary plan participant for a service plan is created during the creation of a service plan by selecting a participant from a list of case members from the parent case. A caseworker can also add additional plan participants or remove an existing plan participant (excluding the primary plan participant) at any time as required. When a caseworker removes a plan participant the participant is no longer displayed in the plan participant list, therefore end date and status are not relevant to this type of plan participant.

Nominated Representatives and Correspondents are added to the plan participants list when a caseworker creates a nominated representative and a correspondent for a service plan respectively. A caseworker may end date or delete a Nominated Representative. When this occurs the end date and status change are reflected in the plan participants list. Correspondents may not be end dated or deleted; however, therefore this information is not relevant to this type of plan participant.

## 1.3 A Structured Approach to Service Planning

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### Introduction

A structured platform is provided on which to build a service plan, enabling organizations to easily integrate a wide range of programs. Cúram Service Planning consists of two components which provide an organization with comprehensive support for developing and managing effective service plans; the Service Planning Administration component and the Service Planning Application.

This chapter outlines how the Service Planning Administration component enables organizations to configure service plans. This chapter also gives an overview of how these plans are delivered to a client.

### Administering a Service Plan

The Cúram Service Planning Administration component allows administrators or other authorized users to configure different types of service plans and their associated elements: goals, sub-goals, plan items, milestones and expected outcomes. Additional features such as good cause and contract text can be maintained within the Service Planning Administration component. In addition, the administration component provides an organization with the ability to create service plan templates.

#### ***Service Plan Type***

The first step for an organization in creating a service plan is to define an organization's service plan types, for example Return to Work or Child Welfare.



Creating multiple service plan types allows an organization to differentiate between varying programs across the organization. The following information can be defined for each service plan type:

- **Service Plan Approval Checks**  
Approval checks can be set up for each service plan type. This further enhances the reliability of the service plan approval process.
- **Single or Multiple Contracts**  
The administration component allows either single or multiple contract generation for each service plan type. For example, a Return to Work service plan might allow multiple contracts to be issued for an individual service plan; however, a Child Welfare Plan will generally only allow a single contract.
- **Integrated Case Links**  
To ensure that only suitable types of service plans are available when delivering benefits to a client, an administrator can create a link between a service plan type and the appropriate Integrated Case type.
- **Milestones**  
Service plan milestones can be defined for each service plan to ensure that progress is being made to achieve the service plan goal. Only milestones that have been defined in administration can be added to a service plan to further promote best practice.

## **Goal**

A service plan is created to assist the client in achieving a goal. Consider a Return to Work service plan where the goal may be to gain sustainable employment. The goal is the primary objective that a client is working towards to become independent of the organization. An administrator can link one or many goals to a type of service plan, ensuring that each of these goals are available for selection when creating a service plan for a client.

## **Sub-Goal**

A goal can be broken down into a series of more manageable steps, the aim of which are to assist the client in achieving the overall goal. These steps are known as sub-goals. An administrator can link one or many sub-goals to a service plan goal. Sub-goals are categorized into sub-goal 'types'.

The Sustainable Employment goal, may have related sub-goals; Transportation, Childcare and Find a Job. Once these sub-goals have been linked to the goal, they can be selected by a case worker when a Return to Work service plan is created for a client whose goal is to gain sustainable employment.

## **Goal and Sub-Goal Contract Text**

The administration component provides an organization with the option to enter contract text for the service plan goal and each individual sub-goal. When the service plan contract is created, the contract text for the goal and sub-goal(s) is displayed in the preferred language of the participant or nominated representative.

## **Plan Item**

A sub-goal will typically consist of one or more scheduled activities or plan items. The successful completion of some or all plan items is required to successfully attain a sub-goal.

An administrator can link one or more plan items to each sub-goal. Each of these plan items will then be available to a case worker when creating a service plan which contains these sub-goal(s).



As discussed earlier, Cúram Service Planning allows organizations to meet diverse plan item requirements by enabling them to define their own plan items. In addition to customizing plan items, the following information can be configured for each individual plan item: the concerning participant, the responsible participant or user, the plan item cost, plan item approval options, the expected outcome of the plan item, whether the name of the plan item may be modified once the plan item has been added to a service plan, and any good causes for not meeting the expected outcome. Individual plan items can also have attachments maintained.

When adding a custom basic plan item to a sub-goal, the case worker can also choose to modify the plan item name. This enables the case worker to more easily see what the individual plan item addresses.

### **Concerning Participant**

The concerning participant is the participant for whom the plan item addresses a need. Case workers can select a concerning participant from the list of plan participants. A concerning participant must be selected for a plan item before a plan item can be saved. A service plan must have a concerning participant associated with every plan item before it can be approved.

### **Responsible Participant**

The responsible participant is the participant or user charged with ensuring that the plan item is successfully completed. A case worker can assign responsibility for each plan item of the service plan. The responsibility for undertaking a plan item is determined by a case worker upon creation of the plan item.

### **Diverse Plan Item Requirements**

The Cúram Service Planning Administration component provides an organization with the ability to distinguish between different types of plan items. An organization can integrate a plan item with an application object, for example, a Product Delivery. The Cúram Service Planning framework also allows organizations to design their own pages specific to the behavior of their individual plan items. When a case worker delivers a plan item to a client, the screens associated with this type of plan item will be used as a mechanism for the delivery of this plan item to the client. For more information about defining plan items, see *Customizing Plan Items*.

### **Service Units**

Plan item service units are measurable elements of the plan item delivery to a client, e.g., physiotherapy visits, computer training skill sessions. Each plan item has a service unit type associated with it that can be used to determine whether a plan item is based upon a particular number of units or the duration of the plan. An authorized user records the recommended number of units which can be defined for the plan item. These units can be modified up to the defined maximum number of units when the service or activity is being delivered to the client. For example, a case worker creates a Return to Work service plan based on a pre-defined Return to Work template for participant James Smith. James Smith is required to attend 6 computer skills training sessions as part of his Return to Work program. Throughout the course of his treatment, the trainer communicates the requirement for James to attend a further 2 sessions. A supervisor modifies the authorized training sessions from 6 to 8 in order to allow an additional 2 training sessions.

### **Plan Item Cost**

An estimated and actual cost can be maintained for a plan item. The estimated cost is the cost an organization expects to pay for the delivery of a service associated with a specific type of service plan item. The actual cost of a plan item is the amount paid by an organization to deliver the service associated with the plan item.

## **Plan Item Approval**

The Cúram Service Planning Administration component allows organizations to configure approval options for a plan item. This includes whether or not a planned item requires approval, as well as the approval criteria that must be satisfied for a plan item if approval is required.

Pre-approval criteria can be created and associated to a plan item to define the events that must be completed before the planned item can be considered approved, and post-approval criteria can be created and associated to a plan item to define the events that will occur after the planned item is approved. Multiple approval criteria can be defined for a plan item and a priority is used to specify in what order each criteria must be satisfied. If a priority is specified that already exists then the priority of all approval criteria records with a priority greater than or equal to the priority entered will be automatically adjusted.

A workflow process must be defined for each approval criteria and is used to define what business processing will occur, for example, it may be necessary to check that the cost of all plan items completed to date of a particular type have not exceeded a particular amount before the plan item may be approved. An agency may define its own workflow processes in order to meet agency specific processing requirements.

The service plan approval process will be explained in more detail later.

## **Plan Item Task Configuration**

The Cúram Service Planning Administration component also allows organizations to configure the tasks that can be associated to a plan item. As part of configuring a task, the name, subject, and priority of the task may be defined. The task can be configured to either be reserved to the owner of the planned item or an allocation target can be specified, such as a particular user or organization unit. The action to be taken as part of addressing the task can also be configured.

## **Expected Outcome**

An expected outcome is the desired result of a plan item activity. For example the expected result of a Full Time Job Search could be to Gain Full Time Employment. As part of the outcome-based approach to Cúram Service Planning, at least one expected outcome must be configured for each plan item.

## **Good Cause**

Good cause is an acceptable reason why a plan participant did not achieve the expected outcome of a plan item, e.g., Certified Illness. This may be important if sanctions are applied when a plan item is not completed satisfactorily.

Note that good cause is not mandatory for plan item configuration.

## **Attachments**

Case workers can maintain attachments for a plan item. For more information on attachments, please refer to the Merative SPM Integrated Case Management Guide.

## **Guidance URL**

A Guidance URL provides the ability to access any necessary supporting guidance in respect of a plan item. This is configured in the Cúram Service Planning Administration component by specifying a web address for the Guidance URL for a plan item.

## Milestone Configurations

All service plan milestones are based on an associated milestone configuration. The following table describes the available milestone configuration settings (both optional and mandatory):

Table 1: Milestone Configuration Settings

This table describes how the milestone configuration settings are used.

Configuration Settings	How Used	Optional or Mandatory
Name and Type	The name and type are used to distinguish the milestone configuration. When creating a manual milestone, a user must select the milestone configuration to be applied using the milestone configuration name.	Mandatory
Earliest Start Day (days)	This setting is used to determine the expected start date for automatically created milestones. The expected start date is set to the current date on which the milestone is created plus the number of days defined here. This setting is used to validate the expected start date entered by a user. The system uses the start date of the case to validate the expected start date entered by the user when manually creating a milestone. A milestone cannot have an expected start date earlier than this number of days after the start date of the service plan. For example, if the milestone is created on April 1 and this setting is 3, then the expected start date of the milestone is set to April 4.	Mandatory
Duration (days)	This setting is used to determine the expected end date for all milestones. For manually created milestones, the expected end date is set to the user-entered expected start date plus this duration minus one. For example if the expected start date is April 1 and the duration is 7 days, the expected end date is set to April 6. For automatically created milestones, the same calculation is applied to the expected start date defined by the date on which the milestone was created and the Earliest Start Day (days).	Mandatory
Start Date	The start date determines the active, and thus availability, period of the milestone configuration.	Mandatory
End Date	The end date determines when the milestone configuration is no longer active. This date is not mandatory as milestone configurations can remain active for an indefinite time period.	Optional
Expected Date Extension Allowed	This indicates whether or not the expected start and end dates for an automatically created milestone can be redefined. If this indicator is not set, then the expected start and expected end date calculated upon creation of a milestone are unchangeable.	Optional

Configuration Settings	How Used	Optional or Mandatory
Waiver Required	This indicates whether or not a waiver is required in order to change the expected start and expected end date for an automatically created milestone. This can only be set for milestone configurations which allow the expected dates to be extended (as described in the setting above). Milestone waivers are described in <a href="#">Milestone Waiver Request Approval on page 26</a> .	Optional
Milestone Added	Any existing workflow event can be associated with the creation of a milestone. This event can be used to extend the OOTB milestone creation processing. For example, when a milestone is added, a workflow can be enacted to notify the service plan owner.	Optional
Milestone Complete	Any existing workflow event can be associated with the completion of a milestone. This event can be used to extend the OOTB milestone completion processing. For example, when a milestone is completed, a workflow can be enacted to notify the service plan owner.	Optional
Expected Start Date Not Achieved	Any existing workflow event can be associated with the expected start date in order to track the timeliness of the milestone. For example, if no actual start date is entered for the milestone and the expected start date passes, a workflow can be enacted to notify the service plan owner that the milestone has not yet started.	Optional
Expected End Date Not Achieved	Any existing workflow event can be associated with the expected end date in order to track the timeliness of the milestone. For example, if no actual end date is entered for the milestone and the expected end date passes, a workflow can be enacted to notify the service plan owner that the milestone has not been completed in a timely fashion.	Optional

### ***Associating Milestones with Service Plans***

To support the manual and automatic creation of milestones within a service plan, it is necessary to set up an association between a milestone configuration and the service plan type. There are two options for setting up these associations: either a new milestone configuration can be recorded at the same time it is associated with the service plan or an existing milestone configuration can be selected.

When recording a new milestone configuration as part of the association process, the milestone configuration information (as described in [Milestone Configurations on page 19](#)) must be defined. Additional association information can also be defined if the milestone is to be created automatically. The two main configuration settings for automatically created milestones are the creation event and the completion event. These events are used by the application to automatically create and complete an instance of the milestone.

For example, a milestone can be set up to track the life cycle of a service plan from approval through closure. To set up the automatic creation of this milestone, the Approve Plan event can be selected as the creation event and the Close Plan event can be selected as the completion event. When a service plan is approved in the application, the Approve Plan event will trigger an

instance of the milestone. Later when the service plan is closed, the Close Plan event will close the milestone instance.

The matching process for creating milestones within a service plan can be further specified using the component type and component category settings. A clear distinction can be made between creation and completion events at the service plan level and at the service plan component level. For example, the service plan component, Plan Item, can be set, with a creation event of Approve Plan Item and a completion event of Close Plan Item.

When a plan item is approved within a service plan, the Approve Plan Item event will trigger an instance of the milestone and the application will associate both the Plan Item ID and the Service Plan ID with it. Later when the plan item is closed, the Close Plan Item event will use both of these IDs to find and close the correct milestone instance.

### ***Service Plan Template***

A template is a predefined set of sub-goals, plan items and milestones which are designed to achieve a specific goal.

Service plan templates give case workers instant access to best practices for a particular type of plan. They ensure a fair, consistent approach to service delivery.

The service plan template provides a flexible platform to help deal with legislative changes that may result in modifications to an agency's service plans. A template can be administered to contain new plan elements or modifications to existing plan elements. A tree structure is provided to create the template which allows an administrator to expand or collapse the service plan template to view higher or lower levels of the service plan template hierarchy.

Additional flexibility is also provided within a service plan template for plan items. The plan items included within a template can be configured to be mandatory indicating that they may not be removed from within a service plan. Whether or not approval is required for a plan item may also be overridden within a template. Approval criteria that have been defined for a plan item that is included in a template may be selected for use within the template and also modified as required, e.g. the use of an approval criterion within one template may have a lower priority than it does within another template.

In order for a template to be available to a case worker when creating a service plan, an organization must relate appropriate service plan templates with related service plan types. This ensures that only suitable templates are available when a service plan is created.

### ***Service Plan Group***

The service plan groups that may be created within an integrated service plan within a case are configured within the Cúram Service Planning Administration component. The service plan types that have been defined for the organization may then be added to a service plan group. A new service plan type may also be created and associated to a service plan group. The service plan types that are associated to a service plan group determine what service plans can be added to a service plan group within an integrated service plan.

### ***Configuring Service Plan Ownership***

A Service Plan Ownership Strategy setting is provided that allows an administrator to define an ownership strategy for service plans based on a particular type using workflow. Service plan ownership is functionally similar to case ownership. If an ownership strategy is specified for a service plan, this setting is used to define how the initial case owner for the service plan should be determined. Using this setting, an organization can override the default service plan

ownership strategy depending on its requirements to assign ownership to any user, organization unit, position, or work queue using workflow.

## Creating a Service Plan

A case worker has two options for creating a service plan. A new service plan can be created or the service plan can be based on a predefined template.

A service plan(s) can be created for multiple case members of an integrated case except for prospect persons. The prospect persons must first be registered as a person in order to be included in a service plan. When creating a service plan a case worker can specify which case member is to serve as the primary plan participant, and which case members are to serve as additional plan participants.

### ***A New Service Plan***

When defining a new service plan, a goal, sub-goal(s) and plan item(s) must be identified according to the particular needs of the client. Milestones may also be recorded when creating the service plan. Sub-goals may be further grouped into plan groups.

Cúram Service Planning provides a flexible framework on which an organization can build custom plan items to suit their specific needs. This framework includes a Basic Plan Item structure and a Service Unit Delivery structure. The Basic Plan Item allows a case worker to track standard information about an activity such as the expected start and end date, the actual start and end dates, the expected and actual outcome, and the plan item cost. While the name and purpose of Basic Plan Items are pre-defined administratively, Cúram Service Planning also includes a Custom Basic Plan Item to provide the case worker with more flexibility in selecting plan items that will best address client needs at the point of adding plan items to a sub-goal within a service plan. The name and purpose of the plan item can be defined at the point of creation of the plan item.

The Service Unit Delivery allows a case worker to track the delivery of units of a plan item as well as standard information. These details provide a benchmark for the overall service plan progress. Service plan progress and tracking will be explained in more detail later in the guide.

Very often, the best way to achieve the goal of a service plan is to involve the family members or other individuals associated with the client in the execution of the service plan. To enable this, when creating a service plan for a case, a case worker can choose the primary plan participant whose need the service plan is primarily to address from a list of case participants. The case worker can then choose to associate additional plan participants with the service plan as well. These participants can then be enlisted as required in order to achieve individual plan items as part of the service plan. This allows the case worker greater flexibility in helping the client. When creating a service plan, the primary client of the case must be a plan member; however, the primary client of the case doesn't necessarily have to be the primary plan participant on the service plan.

A case worker may assume ownership of each plan item of the service plan or can assign ownership of these plan items to users across the organization or to a plan participant of the service plan. The responsibility for undertaking a plan item is determined by a case worker on creation of the plan item.

### **Service Plan Cost**

The cost of delivering benefits and services to a client is derived from a sum of the individual costs of the service plan items. The cost of a plan item can be derived in a number of ways. If the



plan item cost is not fixed and is dependent on the delivery of that plan item, the user can enter an estimation for this cost once it has been added to a service plan. If the plan item is not associated with another application object, for example, a product delivery, the actual cost of the plan item can be entered upon completion of the plan item.

Alternatively, certain types of plan items result in the creation of a product delivery to manage the provision of the service to the client. The product delivery will use the standard financial processing to issue payments to the client or the service provider. The total amount of the payments made on the case at any point in time is equivalent to the actual cost to the organization at that time.

At any stage of the service plan life cycle, a user can view the overall cost of the service plan. The cost statement provides a view of the service plan costs and is described in more detail later in this guide.

### ***Service Plan Template***

When a service plan is based on a template, a case worker will decide on the appropriate service plan template following an assessment of the needs of the plan participant. Once the case worker has chosen the appropriate template, the service plan is created. The service plan will use the service plan elements configured as part of the administration of the template within the administration component.

The expected duration of each plan item is pre-configured during the administration of the service plan template, hence each plan item will be created with pre-defined expected start and end dates and an expected outcome. Authorized units will also be pre-defined if a service unit delivery plan item has been added to the template. The expected duration of each milestone is also pre-configured during administration, hence each milestone will be created with predefined start and end dates. Any approval criteria pre-configured during the administration of the service plan template will be associated with the respective plan item. The case worker can adapt the service plan to meet the specific needs of the client by adding or removing any of the predefined sub-goals, plan items, or milestone if required. If a particular plan item has been pre-configured during the administration of the service plan template to be mandatory, then the plan item may not be removed.

## **Integrated Service Plans**

An integrated service plan is a summarized view of all service plan groups and service plans created within the case and provides a rolled up view of milestones, costs, goals and progress of all service plan groups and service plans. Integrated service plans can consist of one or many service plan groups which in turn can have one or many service plans. Service plans may also exist independently, as it is not mandatory for a service plan to belong to a service plan group within an integrated service plan.

The following functionality is available at the integrated service plan level:

- Costs - Displays a rolled up view of the costs of all service plan groups and service plans within the integrated service plan
- Tracking Gant - Displays the goals, sub-goals, plan items, and progress of all service plan groups and service plans within the integrated service plan
- Milestones - Displays a list of the milestones created for all service plan groups and service plans within the integrated service plan

## ***Service Plan Groups***

A service plan group may be created within an integrated service plan to provide a rolled up view of the costs, goals, milestones, and progress of a related groups of service plans. For example, an agency may wish to monitor the costs and progress of Health Care related services being delivered to its clients to help ensure that the costs don't exceed a particular financial threshold.

Service plans may be added to a service plan group or directly to an integrated service plan. The types of service plans that may be added to a service plan group are configured as part of the Cúram Service Planning Administration component. A user may also choose to close all service plans at once within a service plan group.

The following functionality is available at the service plan group level:

- **Costs** - Displays a rolled up view of the costs of all service plans within the service plan group
- **Tracking Gant** - Displays the goals, sub-goals, plan items, and progress of all service plans within the service plan group
- **Attachments** - Allows a user to upload an attachment related to the group of service plans, rather than to an individual service plan
- **Notes** - Allows a user the ability to make notes related to the group of service plans, rather than to an individual service plan
- **Milestones** - Displays a list of milestones created for all service plans within the service plan group

## ***1.4 Service Plan Management***

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### **Introduction**

Service Plan management plays an essential role in assisting a client to achieve their ultimate goal. The identification and scheduling of plan items within a service plan is only the first step in this process. Once the service plan has been defined, it must then be monitored and maintained to ensure the objectives of the plan are achieved.

This chapter outlines the principal features of Service Plan Management.

### **Approval Process**

The approval process is the submission of the service plan for approval once the case worker and client are satisfied that the plan addresses the client's specific needs. This ensures that the services and activities defined within the service plan are both appropriate to the client and cost effective for the organization.

Cúram Service Planning provides the ability to approve the service plan and all of its components. Alternatively, plan items can be approved individually. Cúram Service Planning also provides the ability to approve submitted milestone waiver requests.

### ***Service Plan Approval***

Typically the service plan is submitted for approval by the case worker once the details of the plan have been defined. Service plans which are submitted by users with approval privileges will be automatically approved; otherwise, the service plan will require manual approval by a user



with the appropriate privileges. A task is assigned to a user with the required approval privileges. This task includes a link to the service plan.

When the service plan is submitted and subsequently approved or rejected, approval request information is recorded. The approval request details include the name of the user submitting the plan, the date of submission, the name of the user who approves or rejects the plan, and the date of approval or rejection.

A baseline can be created in order to capture a snapshot of the plan at the time of submission. If the plan is automatically approved, this baseline is a snapshot of the plan at the time of approval. If the plan requires manual approval, two baselines will be created, one for submission and one for approval.

The service plan approval process automatically approves all unapproved plan items on service plan approval. Plan items with a status of submitted will not be approved as part of the service plan approval process. This ensures that any plan items already being reviewed for approval can be completed without duplication of effort.

### ***Plan Item Approval***

Plan items can be approved on an individual basis. This is particularly important for handling plan items which are added to a service plan after the service plan has been approved.

If a plan item is configured to not require approval then the plan item will be automatically approved when it is created. Plan items that require approval are automatically approved if they are submitted by users with approval privileges. Otherwise, the plan item will require manual approval by a user with appropriate privileges.

If pre-approval criteria have been specified for a plan item, the pre-approval criteria must be satisfied before the plan item becomes approved. Pre-approval criteria require user or system interaction before approval processing can continue, for example, for a particular type of plan item it might be necessary to have a particular individual review and indicate that the plan item is appropriate and so the workflow process associated with this approval criteria might create a task for this user indicating that review is required. The workflow processes that are initiated can be defined by an organization as required in order to meet specific approval criteria processing requirements.

For plan items that are automatically approved, the workflow processes associated with each pre-approval criteria are initiated in order of priority upon submission of the plan item for approval, and once all are successfully completed, the plan item is approved. For plan items that must be manually approved by a user with appropriate privileges, the workflow processes are initiated when the user with appropriate privileges selects to approve the plan item. If any of the pre-approval criteria are not satisfied during workflow processing, the plan item will return to its original unapproved state.

If post-approval criteria have been specified for a plan item, the workflow processes associated with the post-approval criteria are initiated in order of priority after a plan item has been approved. Post-approval criteria would not normally require user action and are used to initiate business processing required post approval, e.g. the creation of a communication for the client receiving the service being delivered through the plan item.

If the plan item being approved has been created through the use of a service plan template, then the approval criteria administratively associated with the service plan template plan item will be used. If the plan item is created manually then the approval criteria associated with the plan item will be used.

If a task has been configured for the plan item in the Cúram Service Planning Administration component, then upon approval of the plan item a task will be created.

As with the service plan approval process, when a plan item is submitted for approval, approval request information is recorded. The approval request details include the name of the user submitting the plan item, the date of submission, the name of the user who approves the plan item, and the date of approval.

### ***Milestone Waiver Request Approval***

Given that milestones are used to track important service planning events over time, a milestone waiver request may be required in order for the milestone expected start and end dates to be changed for an automatically created milestone. Expected start and end dates for manually created milestones can be changed without a waiver request. The milestone waiver request approval process is used to confirm that the changes in dates to the milestone are valid. Once a submitted request has been approved, the new expected start and/or end dates will take effect.

Milestone waiver requests can only be submitted (i.e., the expected dates for a milestone can only be changed) if the Expected Date Extension Allowed setting has been configured. The approval process (i.e. the need to submit a waiver request for approval) for these requests will only be necessary if the Waiver Required setting has also been configured. If the Waiver Required setting has not been configured, a user will be able to change the expected start and/or end dates directly. See [Milestone Configurations on page 19](#) for a description of these settings.

Milestone waiver request approval check settings for a milestone determine the percentage of submitted waiver requests for a milestone of a particular type that need to be reviewed by a case supervisor. For example, an approval check can be set up on a milestone that requires 60% of all submitted requests to be approved; 40% will not require approval. Setting approval checks at the milestone level governs all milestones of a particular type.

Milestone waiver request approval checks can also be set up at the organization and user level, with user configuration settings taking precedence over organization unit and milestone settings, and organization unit settings taking precedence over milestone settings. Consequently, the approval check settings for a particular type of milestone are the "last step" in the system's evaluation of whether or not a waiver request requires approval. In other words, when a waiver request is submitted for approval by a user, the system first checks the user's milestone waiver request approval check settings, then checks the milestone waiver request approval check settings for the organization unit that the user belongs to. After checking these settings, the system checks the approval settings at the milestone level. The system may determine at any point in this process that the milestone waiver request requires approval.

The approval process is initiated when a user submits a milestone waiver request. If the waiver does not require approval, the waiver is automatically approved and the milestone date changes take effect. If the waiver requires approval, the status is submitted. Note that only one waiver for a milestone can be in a submitted state.

A notification is sent to the appropriate user or group of users to approve or reject the waiver request. Once the user approves the waiver request, the waiver request status changes to approved and the date changes take effect. Alternatively, the user can reject the waiver request and the status is set to rejected.

## Contracts

A contract is a formal agreement between the client(s) and the organization and is seen as a commitment to fully participate in the activities set out in a service plan. The contract is developed through collaboration between the case worker and the participant(s).

Contracts can be issued to a plan participant or a nominated representative. A nominated representative is a person who can act on behalf of the service plan participant, e.g., the parent or guardian of a child. The service plan contract outlines the goal, sub-goals and plan items within a service plan. The contract, and all associated contract text, is created in the preferred language of the participant or nominated representative. Multiple signatories can be selected from the plan participants of the service plan.

Once a contract is issued and is awaiting acceptance from the client(s), this signifies that the activities set out in the contract are pending acceptance by the client and therefore no new plan groups, sub-goals or plan items may be added to or removed from the service plan. If an issued contract is rejected, plan groups, sub-goals, and plan items can once again be added or removed as necessary and the contract can be updated and reissued. Once a client(s) is in agreement with the activities set out in the contract, it is signed and the contract is deemed to be accepted. This will automatically activate the approved service plan.

Even after a service plan contract has been issued and accepted, changes can be made to the service plan details which are used to track the progress of the service plan and which may change during the lifecycle of the service plan. This includes the ability to change the details of the plan groups, sub-goals and plan items, the ability to create, modify and delete Milestones, the ability to create Baselines, the ability to update Client Participation information, the ability to add Plan Participants and Nominated Representatives, and the ability to document other activities such as recording communications, events, and notes.

Case workers may choose to preview and print out the details of a Contract before or after a Contract has been issued and accepted by the client(s). The details displayed in the generated Contract represent the most current information about the sub-goals and plan items included in the Contract.

Where contracts are not considered binding, Cúram Service Planning provides the ability to add new plan groups, sub-goals, and plan items to a service plan and issue a new contract even after a contract has been accepted by a client by allowing a service plan type to be configured to allow multiple contracts. If a client's needs or circumstances change, the existing contract can then be updated to include new sub-goals and plan items. If a client's needs change and the service plan type is not configured to allow multiple contracts, a new service plan must be created or the original service plan can be cloned to create a new version of the service plan.

## Cloning Service Plans

Cloning functionality provides a level of flexibility by allowing a case worker to create a new version of an active service plan. The new version of the service plan can then be modified to meet a client's changing requirements and a new contract can be issued.

Case workers can also choose to clone a closed service plan. Cloning a closed service plan will result in exactly the same cloned plan as if it were an active service plan being cloned. The cloned service plan will have a status of Open and will retain the same plan groups, sub-goals, plan items, and milestones that were present in the original plan. Any attachments that were on the original service plan will also be copied to the newly cloned service plan. Plan item details

will also be copied to the cloned record. All previous versions of a service plan are listed and accessible from within a cloned service plan.

It can be administratively configured at the agency level whether an active service plan is automatically closed or whether it remains open when it is cloned. This means that an agency can choose to allow case workers to clone service plans without closing the existing service plan. If the service plan is closed, the goal, sub-goals and plan items of the cloned service plan will be copied to the new version of the service plan as they existed in the previous version of the service plan. If the service plan is not closed, however, then the goal, sub-goals, and plan items of the existing service plan will be copied to the new version of the service plan but will be reset to start from the initial stages of the service plan life cycle such that they do not include any of the details entered into the existing service plan. That is, the goal, sub goals and plan items in the new service plan created will have the details and statuses available as they would have if they were automatically added to a service plan with the use of a template.

## Tracking Service Plan Progress

A feature of Cúram Service Planning is the ability to track the progress of a service plan. This includes monitoring a participant's involvement and reviewing the impact of changes made to the plan. Cúram Service Planning provides several features for tracking service plan progress. This section provides an overview of these features:

- Tracking Gantt Chart - tracks the progress of a service plan.
- Baseline(s) - captures an image of the service plan at a particular time.
- Cost Statement - compares actual and estimated service plan costs.
- Client Participation - records the amount of time a client spends on the service plan activities.
- Milestones - tracks the progress of important case events.
- Events - captures significant events during the lifetime of a service plan.

### ***Tracking Gantt Chart***

Cúram Service Planning provides a Gantt chart which dynamically tracks the progress of a service plan against what was expected. A Gantt chart is a horizontal bar chart, frequently used in project management that helps to plan, coordinate, and track specific activities in a project. The length of these horizontal bars reflects the actual and expected duration of the service plan artifact associated with the bar.

- An expandable tree structure which is used to display the goal and all plan group(s), sub-goal(s), plan item(s), and milestones in a service plan. This enables the case worker to get a complete view of the service plan in a single view or to focus his or her attention on a specific aspect of the plan.
- Hyperlinks which link to the service plan elements' respective detail pages.
- Display options for viewing the time periods for the service plan elements - a case worker can view the expected duration of an element, the actual duration, or a combination of both.
- Summary information for each element of the service plan including the actual and expected start and end dates as well as its duration measured in days.
- For each plan item in the service plan, the name of the participant for whom the plan item is addressing a need or the participant who is responsible for the plan item will be displayed. The participant name that is displayed can be administratively configured.

The Return to Work Tracking Gantt Chart in Figure 4.1 displays a Return to Work service plan. The left-hand side of the chart displays the service plan elements as an expandable tree structure.

The service plan goal of Gain Sustainable Employment is at the top level of the tree. Each of the sub-goals are listed below the goal, e.g., Childcare and Find a Job. The plan items for the sub-goals are also displayed, e.g., Childcare Provision is the only plan item in the Childcare sub-goal. A One Week Review Milestone has been added to the service plan and is represented by a diamond. Hyperlinks provide more detail to each page of the service plan element.

There are two ways to view the time periods for service plan elements. The case worker can alternate the views by selecting one of the two options: Actual or Expected. The current view displays both the actual and expected views of the service plan items.

By showing both the actual and expected durations, for example, a case worker can compare actual progression with original estimations. The activity to repair the clients vehicle started and finished earlier than expected. The plan items Child Care Provision, Full-time Job Search and Mileage Reimbursement have yet to start.

The Show All option expands the service plan elements into the tree structure, if they have been collapsed.

Summary information for a service plan element can be displayed in a tool tip by hovering the mouse over that element's bar on the right-hand pane.

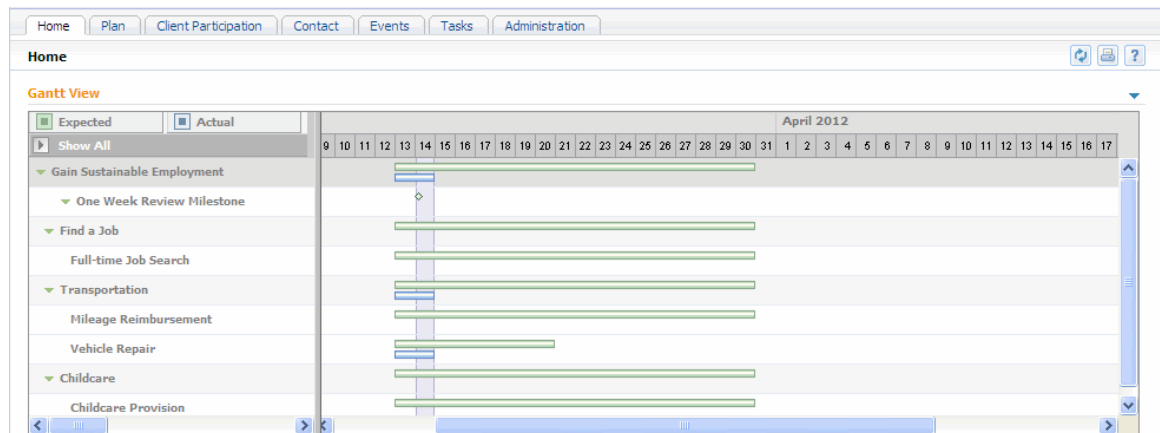


Figure 1: Return to Work Tracking Gantt Chart

## ***Baselines***

The elements of a service plan may change over the life time of its delivery and it may be helpful for a case worker to monitor these changes. Cúram Service Planning provides a baseline feature that enables a case worker to take a snapshot of a service plan at a specific point in time, including any information related to plan item delivery. Once baseline information is captured, it can be viewed in list format or in Gantt chart format.

Support is provided to allow for the automatic creation of baselines when service plans are submitted and approved. Baselines can also be manually created at any time.

## ***Cost***

Tracking the cost of a product or service is an essential part of service plan management. Cúram Service Planning puts particular emphasis on monitoring plan item cost within service plans.

The plan item cost can be derived from a fixed cost that is configured when creating plan items in the administration component. Plan item cost can also be derived from the actual cost of delivering a plan item as entered by a case worker, or it can be calculated based on a running total of the cost of an associated product delivery.

A cost statement can be generated at any stage of the service plan delivery. It displays all estimated and actual costs involved in the delivery of a service plan at the time the statement is created. The expandable tree structured featured in the Tracking Gantt is also featured in the cost statement. For each element, the statement provides an estimated and actual cost, which allows for the comparison of these costs. The costs of the sub-goals, plan groups, and the overall plan are derived from the accumulated cost of the individual plan items.

## ***Client Participation***

Cúram Service Planning allows a case worker to track client participation by recording the daily attendance, partial attendance, or non-attendance of a client related to a specific plan item. The time participated and the time absent in a plan item can also be recorded. Attendance can be recorded for plan items that are in progress and for plan items which the client is responsible for. This allows the case worker to measure whether or not the client is meeting his or her responsibilities and progressing towards the achievement of the plan item objectives.

Daily attendance information allows a case worker to track the client's level of commitment to the service plan. This information can be used to sanction the client for failing to achieve the expected outcome for a plan item if a good cause has not been recorded. If a client did not participate in a plan item, case workers can also record the time absent and the reason why.

Similarly, case workers can also record whether or not a client is making progress for a plan item. The progress reason can also be recorded.

Weekly client participation is also calculated and displayed so that a case worker can see the total amount of time for a given week that a client has spent participating in activity related to a particular plan item.

## ***Milestone Tracking***

While this guide has described the tracking features of milestones in various sections throughout, this section brings those features together under one heading. The main purpose of milestones is to assist agencies in tracking important events in the life cycle of a service plan. They allow expected time frames to be associated with the life events. Should delays occur in achieving the milestones, additional processing can be called to get things back on track.

When created, each milestone has an expected start and an expected end date. Each milestone also has a placeholder for recording the actual start and end dates. The application can be set up to look out for a lapse between the expected start date and actual start date, as well as between the expected end date and actual end date. Additional processing can be triggered to handle these lapses. For example, a plan item may be scheduled to start on a particular date. Should that plan item go past its scheduled start date, a workflow can be enacted to handle the delay.

## Events

Cúram Service Planning records important events that occur during the lifetime of a service plan. These events can be viewed in a calendar or accessed from a list. A case worker can track the following major events:

- **Plan Opened**  
A Plan Opened event is recorded when a service plan is created.
- **Plan Submitted**  
A Plan Submitted event is created when a service plan is submitted for approval, even if the plan is automatically approved.
- **Plan Approved**  
A Plan Approved event is created when a service plan is approved.
- **Plan Rejected**  
A Plan Rejected event is created when a service plan approval request is rejected.
- **Plan Cloned**  
A Plan Cloned event is created when a service plan is cloned.
- **Contract Printed**  
A Contract Printed event is created each time a service plan contract is printed.
- **Milestone Added**  
A Milestone Added event is created each time a milestone instance is created on the service plan.
- **Plan Closed**  
A Plan Closed event is created when a service plan is closed.

**Note:** Events have been modeled on core application functionality and as such also provides the ability to create activities, referrals, and reviews. For more information about these features, see the *Integrated Case Management Guide*.

## Plan Status

There are three types of service plan statuses: service plan status, contract status, and plan item status. Service plan and contract status are used to measure the status of the plan and the level of agreement between the organization and the client. Plan item status, on the other hand, is used to track the actual progress of activities within the plan. All three of the statuses change throughout the delivery of a service plan.

### **Contract and Service Plan Status**

A contract has a status of 'Issued' when first created. A contract with this status is pending agreement between the relevant parties. The outcome of this agreement will change the contract status, and potentially the service plan status. A contract can either be 'Accepted', 'Rejected', or 'Canceled'. If rejected or canceled, the service plan status is unaffected. If accepted, however, the service plan status becomes 'Active'.



The following is a description of each service plan status:

- **Open**  
The status is 'Open' when a service plan is created.
- **Submitted**  
The status is 'Submitted' when the service plan is submitted for approval and is not automatically approved.
- **Approved**  
The status is 'Approved' when it is approved automatically or by an authorized user. If the service plan is rejected, the status returns to Open.
- **Active**  
The status is 'Active' when a contract has been issued in respect of the service plan and accepted by the plan participant.
- **Closed**  
The status is 'Closed' when the service plan is manually Closed by an authorized user.

### ***Plan Item Status***

A plan item's status changes as the plan item progresses. Plan items which have been configured to require approval will pass through additional stages as part of this approval process. The following is a description of each plan item status:

- **Unapproved**  
The status is 'Unapproved' when plan items requiring approval are added to a service plan.
- **Submitted**  
The status is 'Submitted' when an Unapproved plan item is submitted for approval.
- **Not Started**  
The status is 'Not Started' before a plan item is activated. Plan items which do not require approval will have a status of 'Not Started' when first created. Plan items requiring approval will have this status after they have been approved.
- **In Progress**  
The status is 'In Progress' when an actual start date is recorded. Once in progress, the plan item is considered activated.
- **Completed**  
The status is 'Completed' when an actual end date is recorded.

## **Service Plan Outcomes**

Cúram Service Planning allows organizations to assign outcomes to service plans and service plan elements. The process of assigning outcomes starts with the recording of an expected outcome for each plan item. On completion of that plan item, an actual outcome of 'Attained', 'Not Attained' or 'Canceled' is recorded. Once an actual outcome has been recorded for each plan item, the outcome for the related sub-goal(s) can then be entered.

The service plan outcome is recorded when the outcomes for all sub-goals have been entered. This outcome defines whether or not the desired outcome of the service plan has been attained. It is up to the organization to define the requirements for attaining the overall goal.



## Service Plan Closure

A service plan is usually closed once all activities have been completed, but it can be closed at any time during its delivery. A closed service plan can still be accessed from the integrated case to which it was added.

On closure, a communication can be created for the plan participants informing them of the outcome of the service plan. The organization can customize this communication to include information such as the individual outcomes for each plan item and any outstanding issues.

## Additional Features

The following additional features will also be available within service plans. These features are modeled on core application functionality.

### **Attachments**

An attachment is a supplemental file, such as a text document, that is attached to a service plan. The organization can attach scanned documents such as birth certificates and employment records to provide information about a service plan. The signed service plan contract can also be saved as an attachment. A range of file types are supported including Microsoft® Word, Microsoft® Excel, and PDF. Once the file is attached to the service plan, it may be accessed by other system users with appropriate security privileges.

### **Communications**

A communication is a correspondence to or from the organization. Any communication created from a communication list page within a service plan automatically relates to that service plan. Communications can be paper, telephone, or email based. Communication functionality can be integrated with Microsoft Word templates, XSL templates, or email servers. A communication can be recorded for the plan participant or a nominated representative. For more information, see the *Communications overview* guide.

### **Notes**

Notes are used to provide additional information about a service plan. A note is entered as free text and can be prioritized and given a sensitivity rating so that it can only be accessed by certain users.

**8.0.3.0** Users can modify a note to update its priority, sensitivity, and append additional note text. If configured, they can also edit their original note text for a specific time period. For more information about appending to notes and editing notes, see the *Integrated Case Management Guide*.

When a note is added or appended, the system maintains a note history which includes each version of a note, the time and date the note was entered on the system, and the user who made the modifications.

For more information about configuring notes, see the *System Administration Guide*.

### **Tasks**

## **User Roles**

A user role specifies a user who is assigned responsibility for a service plan. There are two types of user roles: the owner role and the supervisor role. The owner role specifies the user who is assigned responsibility for a service plan. The supervisor role specifies the user who supervises the management of a service plan. Cúram Service Planning provides the ability to view or maintain the plan owner and plan supervisor at any point in time.

# **1.5 Service and Custom Service Plan Items**

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## **Introduction**

If the Provider Management (CPM) application module is implemented, there are a number of service plan features that can be used in the provision of services to participants. Providers that are registered with the organization as part of CPM can offer their services as part of a service plan. When a case worker creates a service plan, service and custom service plan items can be added to it. Case workers can also record and measure client participation in these service plan items.

The association between a service plan item or a custom service plan item and a service offering is made in the CPM module Services Registry. For a service plan item, this is done at the point of configuration of the service plan item by an administrator. For a custom service plan item, this is done at the point at which the plan item is added to a service plan by a case worker. This chapter describes the principal features of service and custom service plan items.

## **Configuring Service and Custom Service Plan Items**

There are two types of service plan items that can be added to a service plan: the service plan item and the custom service plan item.

Service plan items and custom service plan items must be associated with a service. By associating these service plan item types with a service, the administrator indicates that the actual schedule, actual cost, status and units delivered of the plan item are derived based on CPM invoice processing and attendance tracking.

When a service plan item is configured, the administrator must search for and select a specific service to associate with the service plan item. The list of available services is maintained in CPM.

When a custom service plan item is configured, a specific service is not selected and associated with the service plan item. Instead, the service is selected when the plan item is added to a service plan by a case worker. This provides a case worker with the flexibility to select services as required within a service plan.

## **Adding Service and Custom Service Plan Items to a Sub-goal**

When adding a service plan item or a custom service plan item to a sub-goal, the case worker may optionally specify either a provider type or a provider for the plan item to indicate either a specific provider or type of provider from which the participant is authorized to receive the service.

The case worker must specify the number of units authorized for the plan item, and may also optionally specify an authorized rate for the plan item, as well as the frequency at which delivery of the service offering associated with the plan item must occur. The case worker can also choose to rename the plan item.

When creating the plan item, the case worker can also record referral details, along with a referral attachment, if it exists. The case worker can also choose to add a nominee for the plan item, which will be used to specify the designated payee for any payments made resulting from the delivery of the service to the participant.

When a service plan contains service plan items or custom service plan items, the following information, if it is available, will be contained in the service plan contract: provider or provider type, units authorized, total units authorized, rate authorized, and frequency.

### ***Setting the Rate and Units Authorized***

When adding a service plan item or custom service plan item to a sub-goal, the case worker must specify the number of units authorized for the plan item and may optionally specify a rate authorized. The units authorized represents the number of units of the service that the participant is authorized to receive. The rate authorized is the amount of money that will be paid for each unit of the service associated to the plan item when it is delivered.

The total number of units to be delivered per plan item is also calculated and displayed. Each time a unit of the service associated with the plan item is delivered in CPM through invoice processing or attendance tracking, the number of units delivered is automatically updated on the plan item. This information cannot be updated by the case worker.

The number of units delivered, unit of measure of the service, and date of service delivery for each service or custom service plan item are displayed on the Tracking Gantt chart.

### ***Setting the Frequency***

When adding a service plan item or custom service plan item to a sub-goal, the case worker can specify the frequency at which the service offering associated with the plan item is to be delivered, for example, recurring every week on Tuesday and Thursday. If specified, the frequency pattern, along with the expected start date and expected end date of the plan item will be used to determine the specific service dates on which the participant is authorized to receive the service.

If a plan item requires approval, the frequency can be modified up until the plan item is approved. The expected start date and expected end date cannot be modified after this point if a frequency has been specified for the plan item. If a plan item does not require approval, then the case worker can set the frequency only when the plan item is initially created. This is because once the plan item is saved, it is considered approved.

The frequency of the plan item is displayed on the Tracking Gantt chart for the service plan item.

### ***Renaming Service and Custom Service Plan Items***

When a case worker chooses to include a service or custom service plan item as part of a service plan, the case worker can choose to rename the plan item. This allows the service or custom service plan item to be easily differentiated from other similar plan items by allowing a case worker to tailor the plan items to suit the specific needs of a participant. For example, when viewing a service plan Tracking Gantt chart, the case worker can more easily see what the individual service or custom service plan item addresses.

## Service and Custom Service Plan Item Delivery

When a service or custom service plan item is approved, a service authorization and one or more service authorization line items are created. Each service authorization line item represents a specific date or date range within which the participant is authorized to receive the service, as well as the number of units that are authorized, a rate at which payment is to be made, and a specific provider or provider type from which the participant is authorized to receive the service.

If a service plan item does not require approval, a service authorization and service authorization line item(s) are created when the plan item is first saved. This applies for plan items created manually by a user within a service plan as well as for plan items added to a service plan item as the result of the use of a service plan template.

### ***Approving a Service Plan Item that does not have a Frequency Specified***

When a service or custom service plan item is approved and no frequency has been specified, one service authorization line item will be created. The date range within which the participant is authorized to receive the service is determined from the expected start date and expected end date specified for the plan item. An example is below:

If a user enters an expected start date of January 1, 2008; an expected end date of January 11, 2008; a total units authorized of 2, and an authorized rate of \$200, a service authorization line item will be created for the service authorization with the following details:

From Date: January 1, 2008 (Tuesday)  
To Date: January 11, 2008 (Friday)  
Units Authorized: 2  
Unit Amount: 200

### ***Approving a Plan Item that has a Frequency Specified***

When a frequency has been specified for the plan item, one service authorization and one or more service authorization line items are created. The number of service authorization line items to be created is determined based on the frequency, expected start date, and expected end date specified for the plan item. Each service authorization line item represents one day on which the participant is authorized to receive the number of units authorized as specified on the plan item. The total number of units authorized for the plan item is then determined based on the number of units authorized and the number of service authorization line items created. An example is below:

If a user enters an expected start date of January 1, 2008; an expected end date of January 11, 2008, a frequency of weekly on Tuesday and Wednesday; a units authorized of 2, and a rate authorized of \$200, 4 service authorization line items will be created, and a total units authorized of 8 will be calculated.

From Date: January 1, 2008 (Tuesday)  
To Date: January 1, 2008 (Tuesday)  
Units Authorized: 2  
Unit Amount: 200

From Date: January 2, 2008 (Wednesday)  
To Date: January 2, 2008 (Wednesday)  
Units Authorized: 2  
Unit Amount: 200

From Date: January 8, 2008 (Tuesday)  
To Date: January 8, 2008 (Tuesday)  
Units Authorized: 2

Unit Amount: 200

From Date: January 9, 2008 (Wednesday)

To Date: January 9, 2008 (Wednesday)

Units Authorized: 2

Unit Amount: 200

### ***Making Changes after Approval***

If a case worker needs to subsequently change a plan item after it has been approved due to a change in the circumstances of the participant, these changes will then be reflected in the service authorization line items associated with the plan item.

For a plan item for which a frequency has not been specified, a change to the expected start date, expected end date, units authorized, or rate authorized will result in an update to the service authorization line item.

For a plan item for which frequency has been specified, a change to the units authorized or rate authorized will result in an update to each service authorization line item associated with the plan item. The expected start date and expected end date cannot be modified on an approved plan item for which a frequency has been specified.

If a case worker needs to cancel a plan item due to a situation in which the participant no longer needs to avail of the service, the outcome of the plan can be set to canceled or the plan item can be deleted. The cancellation of the service plan item will result in the automatic cancellation of all related service authorization line items.

### ***Recording Service and Custom Service Plan Item Details***

The delivery of units of a service associated with a plan item are processed and approved either through a service invoice line item of a service invoice or through a roster line item of an attendance roster. When notification is received from CPM that a provider has delivered one or more units of the service associated with the plan item, the service plan item is automatically updated and can be viewed by the case worker.

The following information for the plan item is updated as appropriate:

- Actual Start Date
- Actual End Date
- Status
- Units Delivered
- Actual Cost

The actual start date of the plan item is set to the date of delivery of the first authorized unit of service in CPM. The status of the plan item is then set to 'In Progress'. The actual end date of the plan item is set to the date of delivery of the last authorized unit of service. Once this occurs, the status of the plan item is set to 'Complete'. Each time a unit is delivered, the actual cost is updated with the actual amount paid to a provider or designated payee for a particular service invoice line item or roster line item.

Each time a unit or units of the service associated with the plan item is delivered, the plan item is updated to display the total number of units delivered to date. The units delivered on a particular date are displayed next to the plan item on the Tracking Gantt chart.

The actual cost of the plan item is also updated each time units of the service are delivered and is updated with the actual amount paid to a provider or designated payee as part of a particular

service invoice line item or roster line item. In this manner, after all units of the service have been delivered, the actual cost displayed on the plan item will represent the total actual cost to the agency for the delivery of the service to the client.

Because this information is updated automatically by the system as a result of integration with the CPM module, case workers cannot manually update this information. The exception to this is the actual end date of the plan item that can be manually entered by a case worker if it has not already been automatically populated by the system. In the event that all authorized units for a plan item will not be delivered to a client, this allows the case workers to specify an actual end date for the plan item, so that the status of the plan item can then be set to 'Complete'.

If an actual end date is entered by a case worker and no frequency has been specified for the plan item, the related service authorization line item will be closed as of the end date entered. If a frequency has been specified for a plan item, all service authorization line items with an authorized service date after the end date specified will be automatically canceled.

## **Client Participation**

The information captured for client participation for service and custom service plan items is the same as that for other types of plan items, but also includes information on units attended and units not attended by the participant.

Client participation can be recorded for service and custom service plan items, both manually by the case worker as well as automatically based upon roster line items processed and approved as part of attendance tracking functionality in CPM. When notification is received from CPM that a service associated to a plan item has been delivered via a roster line item and includes daily attendance information, client participation is automatically recorded for the plan item for each day of attendance or non-attendance reported.

If daily attendance reporting is not being used for the service being delivered, client participation will automatically be recorded for the plan item when notification is received from CPM that a service has been delivered via a service invoice line item.

### ***Updating Client Progress for a Plan Item***

Case workers can manually create client participation for a plan item, but cannot modify client participation information that has been automatically created. The exception to this is when a case worker makes updates to the progress that a participant is making for the plan item as related to each day of participation. When updating the progress for a plan item the case worker can record whether or not the client is making progress and also the details of the clients progress.

### ***Client Absence Information***

If daily attendance is not being reported by CPM for a plan item, notifications can be received from CPM that the roster line item includes absence information for a period of time. Absence information is then automatically recorded for the plan item for each period of absence captured in CPM.

Case workers can also manually add absence information while recording the Client Participation to the plan item, but cannot modify absences that have been automatically created.

## **1.6 Conclusion**

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## Summary

The following list summarizes the main concepts covered in this guide:

- The Cúram Service Planning design has been developed to meet the requirements of Social Enterprise agencies and provides additional features for the ongoing management of service plans.
- Cúram Service Planning provides a structured approach to service planning which enables organizations to administer and deliver effective plans to a client. Service Plans will typically contain one goal and one or more sub-goals, and plan items.
- Once created, Service Plans can be managed and monitored using tools such as the Tracking Gantt, Baselines, Cost Statement and Client Participation. This ensures that service plan objectives are achieved.
- Service and custom service plan items can be configured and added to sub-goals. Case workers can also record and measure client participation in these service plan items.

## Additional Information

Additional information on the topics covered in this guide are covered in several related documents:

- ***Cúram Participant Guide***  
This guide covers the basic concepts of participant functionality.
- ***Merative SPM Integrated Case Management Guide***  
This guide covers the basic concepts of case processing.
- ***Cúram Issue Management Guide***  
This guide covers the basic concepts of issue management.
- ***Cúram Evidence Guide***  
This guide covers the basic concepts of evidence.
- ***Cúram Financials Guide***  
This guide covers the basic concepts of financial processing.
- ***Cúram Workflow Overview***  
This guide provides an overview of workflow functionality.
- ***Cúram Communications Guide***  
This guide provides an overview of communications functionality.
- ***Customizing Plan Items***  
This guide provides an overview on how to develop and implement customized plan items.





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