IBM Cúram Social Program Management
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Cúram Issue Management Guide

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Note

Before using this information and the product it supports, read the information in "Notices" on page 9

Contents

Tables

Chapter 1. Cúram Issue Management Guide

An issue can be raised about evidence that is provided by a client. A snapshot of the evidence at the time the issue was created is kept. Issues can be resolved with workflows. Issue resolutions can be appealed.

Introduction

Purpose

The purpose of this guide is to define issue management functionality provided by the application. After reading this guide, the reader should have a basic understanding of how issues are created on cases to manage and resolve issues that are identified during eligibility determination.

Audience

This guide is intended for business analysts employed by your organization.

Prerequisites

It is assumed that the reader is familiar with the basic concepts of Social Enterprise Management. In addition, readers should be familiar with the application, specifically with the processes related to case management.

Background

During case processing, certain information provided by a client may need to be examined in more detail. Potential differences can arise between evidence received by a claimant and the verification of this evidence received from a third party. For example, if the reason given by a client for leaving a job is different to the reason provided by his or her employer, the organization may wish to investigate this further. Similarly, if the reason a client left a job is due to misconduct, further investigation may be needed.

When such circumstances occur, a process must be put in place to resolve any conflict and to effectively manage the case on which the discrepancy has been identified. For example, the organization may want to suspend payments on a case until an issue has been resolved. Solutions to manage such discrepancies and related processes is provided by the application.

Cúram Issue Management enables an organization to:

- Automatically or manually create issues on a case
- View a snapshot of the evidence at the time the issue was created as well as the most recent evidence
- Track the progress of issues
- Prioritize issues
- Notify and assign appropriate users to issues
- Manage issue resolutions using built in workflows
- Appeal issue resolutions

Chapters in this Guide

The following list describes the chapters within this guide:

Issue Administration
> This chapter provides an overview of the aspects of issues set up as part of application administration. This includes information on configuring issue types, issue resolutions, and resolution approval checks.

Issue Management
> This chapter provides information on managing issues at the case level. This includes creating issues on a case, entering the issue resolution, approving the issue resolution, and viewing the list of resolution approval requests. This chapter also lists the workflow events that are raised during issue processing.

Additional Features
> This chapter provides information on the additional features available in issue management.

Issue Administration

Introduction

Issues can be created on cases when issue information has been configured as part of system administration. When an issue is created on a case, it inherits this pre-configured information.

This chapter provides an overview of issue information that must be configured in order to create issues on cases. The following information is covered in this chapter:

- Issue type configuration

- Resolution administration

- Issue resolution approval checks

Issue Type Configuration

Issue types are the templates on which issues created on cases are based. Generic information is set up for each issue type during system administration. This information is then inherited by the issues that are set up on individual cases.

A unique issue type is specified for each issue. For example, the name of the issue type may describe the evidence type to which the issue relates. For example, "earned income".

The system administrator then specifies date settings. Date settings define the period during which the issue details are effective. The date settings include a start date and an end date. These settings are important because an issue cannot be created for a case if that issue's effective period has not commenced or has already ended.

The priority of the issue type can be configured. The priority indicates the level of importance of issues that are created for this type of issue.

An issue home page can be specified for a issue. The issue home page setting defines the name of the page that is used when viewing issue details for cases that are related to this issue.

A workflow event can be associated with each issue type that is configured. A user can specify the workflow event class and type to be raised when an issue of this type is created. For example, a suspend payment event may be triggered when a issue based on this type is created.

Configuring Issue Ownership

An Issue Ownership Strategy setting is provided that allows an administrator to define an ownership strategy for issues based on a particular type using workflow. Issue ownership is functionally similar to case ownership. If an ownership strategy is specified for an issue type, this setting is used to define how the initial case owner for the issue should be determined. An organization can override the default issue ownership strategy depending on its requirements to assign ownership to any user, organization unit, position, or work queue.

Resolution Administration

Resolutions for issues are configured during system administration. These resolutions can then be entered on an issue by a case worker. Any number of resolutions can be configured. Examples of resolutions include "agree with client", "agree with employer".

Each resolution is configured as a selectable code table value and may also have an associated workflow event which is raised when the resolution is entered on an issue. Workflow events are used to trigger a specific case processing function. For example, a workflow event that unsuspends a payment on the related case may be triggered when a resolution of "agree with client" is entered on an issue.

Issue Resolution Approval Checks

The issue resolution approval check is used to determine whether an issue resolution is manually or automatically approved.

Issue resolution approval checks can be defined for an issue type, an organization unit, or a user. Setting approval checks at the user level governs the resolution on issues assigned to users. Setting approval checks at the organization unit level governs the resolution on issues for all users assigned to positions in that organization unit. Setting approval checks at the issue configuration level governs resolutions on all issues based on that issue configuration (across all users).

When setting up resolution approval checks at the organization unit and user levels, a user must specify whether the approval check should apply to a resolution on a single issue or to all issues.

When a resolution on an issue is submitted for approval by a user, the system first checks the user's issue resolution approval check information. If no issue resolution approval checks exist at the user level, the system then looks for any issue resolution approval checks for the organization unit that the user belongs to. If there are no issue resolution approval checks for the organization unit, then the system checks the issue resolution approval checks at the issue configuration level.

Issue Management

Introduction

Issues are managed on a case-by-case basis. Issues managed at the case level are instances of issue types that apply to a particular case. One or more issues can be set up on an individual case as required. This chapter describes how issues are created and managed at the case level. This chapter also outlines the issue processes that cause workflow events to be raised.

Creating an Issue

Issues are created to manage case-related problems or questions identified by caseworkers during the course of their work. Issues can also be created to manage evidence discrepancies identified during rules processing. An issue can be created manually by a user or automatically by the system.

Automatic Creation

Issues are normally created during case processing when a discrepancy is identified between two pieces of evidence. Based on the circumstances identified by the organization that give rise to it, the application provides the facility to automatically create an issue.

Manual Creation

An issue can be created manually. Issue creation establishes the evidence type that the issue relates to, for example "employment evidence" and the issue type that is related to the evidence, for example, "earned income".

During issue creation, the user indicates the evidence that gave rise to the issue. The system automatically stores a snapshot of this evidence and associates it with the issue. The snapshot provides a

definite reflection of the original evidence at the time it was created and cannot be modified. The system links the snapshot and the current evidence to the issue. The current evidence is the evidence on the case in it's current state, i.e., the evidence that has changed.

The user also specifies the start and end date for the issue as well as its priority. The start date indicates the date the issue was identified. The issue priority is inherited from the issue type that is associated with the issue. A user can change the priority on an issue-by-issue basis.

Assigning Issue Ownership

The application provides a sample issue ownership strategy which can be overridden by agencies as required. When an issue is created, the system automatically sets the user who is the case owner of the case in which the issue was created as the initial owner. Issue ownership can be transferred. The owner of an issue can be a user or an organization group such as an organization unit, position, or work queue. If the issue owner is set to an organization unit, work queue or position, any users who are members of the organization group can work on the issue. The agency's own issue ownership strategy can be configured depending on its requirements. For more information on configuring issue ownership consult "Configuring Issue Ownership" on page 2.

Entering an Issue Resolution

An issue cannot be resolved until a resolution is entered on it. When the issue has been reviewed by a caseworker, the caseworker enters a resolution. The resolution reflects the caseworker's adjudication on the evidence to be used when determining the client's eligibility. For example, an "agree with client" resolution indicates that the evidence given by the client is to be used instead of the evidence provided by a third party.

The resolutions that can be entered are inherited from those configured for the issue type during system administration. Any workflow event associated with the resolution configuration will also be raised when that resolution is entered on an issue. For example, an unsuspend payment workflow event will be triggered automatically if a resolution that is associated with this event is entered on the issue.

Approving an Issue Resolution

An issue resolution must be approved. The purpose of this stage is to verify that the resolution entered for the issue is correct. During this stage, an issue resolution is submitted for approval and either approved or rejected. A workflow is triggered that requires the case supervisor to either approve or reject the issue resolution. For more information, see "Issue Resolution Workflow" on page 6.

The case worker submits an issue resolution for approval. The issue resolution is then approved or rejected by the case supervisor. If the case worker has resolution approval rights as part of his or her security profile, or if the case supervisor submits the issue resolution, the resolution is automatically approved.

Issue resolutions submitted for approval have a status of submitted; approved issue resolutions have a status of approved.

If the issue resolution is rejected, it must be resubmitted in order to progress.

Once the issue resolution is approved, the issue is automatically closed by the system.

Closing an Issue

A issue is closed automatically by the system when its resolution is approved. An issue can also be manually closed at any stage. For example, a user can close an issue if the evidence that gave rise to the issue has been corrected since the issue was opened.

When an issue is manually closed, the reason for closing the issue is specified. If the user who closes the issue is not the case owner of the related case, a notification is sent to the relevant case owner to inform him or her that the issue has been closed.

After an issue is closed, the closure details can be changed by a system user.

Issue Statuses

Each issue that is created on a case has a status which describes its progress. There are three issue statuses: open, closed, and canceled. Each status changes during issue processing.

The following table describes each issue status:

Status	Description
Table 1. Issue Processing Statuses. This table describes the processing statuses an issue can have.	
Status	Description
Open	An issue status is "open" when the issue is first created on the system.
Closed	An issue is "closed" when normal business is complete for that issue. An issue can be manually closed by a system user if a resolution has not been added for the issue. The system will automatically close the issue when the issue resolution has been approved.
Canceled	An issue is "canceled" if the issue is deleted from the system.

Issue Resolution Statuses

Each resolution that is created on a issue has a status which describes its progress. There are four resolution statuses: in-edit, submitted, approved, and rejected. Each status changes during issue processing.

The following table describes each resolution status:

Status	Description
Table 2. Resolution Processing Statuses. This table describes the processing statuses a resolution can have.	
Status	Description
In-edit	A resolution status is "in-edit" when the resolution is first entered for an issue.
Submitted	An resolution status is "submitted" when it is submitted for approval.
Approved	A resolution status is "approved" when the resolution is approved by an authorized user, e.g., a case supervisor.
Rejected	A resolution status is "rejected" when the resolution is rejected by an authorized user, e.g., a case supervisor.

Resolution Status History

A resolution status history is automatically maintained for all issue resolutions. The resolution status history records details of each resolution status change that the issue has undergone during its lifetime. The resolution status history is automatically updated when a user enters a resolution for an issue, submits a resolution for approval, or approves or rejects a resolution.

Every time the system detects an instance of processing for a resolution, the resolution is added to the history. The history displays a record of the resolution, the resolution status, and its effective date. The effective date allows the user to determine the duration of each status.

The resolution status history allows a user to track the progress of a resolution from the time it is created to the time it is approved.

Viewing the List of Resolution Approval Requests

Each time a resolution is submitted by a caseworker for approval, the resolution approval request is automatically recorded on the list of resolution approval requests. The list displays the name of the user who requested the resolution approval and the date the request was made. If the system determines that the resolution is to be automatically approved, an approval decision date is set to the current date and the resolution status is displayed. If the resolution is to be manually approved, the approval decision date is set to the current date and the name of the current logged in user is displayed. If the user decides to reject the approval request, the rejection reason and rejection comments are also displayed.

Issue Resolution Workflow

When an issue resolution is submitted for approval by a case worker, the system automatically creates a task requesting that the case supervisor approve the resolution. When the resolution is approved, a notification is sent to the case worker notifying him or her of the outcome of the approval request.

Events

An events calendar is provided for all events. Each calendar displays the name of the event and the date on which the event occurs in the appropriate date entry. A number of events are automatically created for each issue. These events appear on the issue calendar.

A number of events are automatically created by the system during specific issue processing. These events are as follows:

Issue Opened
An issue opened event is recorded when an issue is created.

Resolution Submitted
A resolution submitted event is recorded when a resolution is submitted for approval.

Resolution Approved
A resolution approved event is recorded when a resolution is approved.

Resolution Rejected
A resolution rejected event is recorded on the date a resolution is rejected.

Issue Closed
An issue closed event is recorded on the date an issue is closed.

Additional Features

Introduction

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

My Issues

A list of issues is automatically maintained by the system. The issues list page allows users to view a list of all issues on a case.

Attachments

An attachment is a supplemental file, such as a text document, that is attached to an issue. The organization can attach scanned documents such as birth certificates and employment records to provide information about an issue. A range of file types are supported including MicrosoftWord, Microsoft Excel, and PDF. Once the file is attached to the issue, 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 within an issue automatically relates to that issue. 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 case member whose evidence gave rise to the issue. For further information, see the `Cúram Communications Guide`.

Notes

Notes are used to provide additional information about an issue. 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. A note cannot be overwritten once it is created on the system. When a note is modified, 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. A note is automatically created when an issue is closed.

Tasks

User Roles

A user role specifies a user who is assigned responsibility for an issue. There are two types of user roles: the case owner role and the case supervisor role. The case owner role specifies the user who is assigned responsibility for an issue. The supervisor role specifies the user who supervises the management of an issue.

Conclusion

Summary

The following is a summary of the main concepts covered in this guide:

- Issues are created to manage and resolve issues identified on cases during eligibility determination.
- Issue types are set up as part of system administration and can be associated with evidence types and workflow events. These issue types are used to create customized issues on a person's cases within the Cúram Case Manager.
- The progress of the issue type is tracked from issue creation, through entering a resolution for the issue, approving the resolution, and closing the issue.

Additional Information

This guide is a supplement to the information covered in the core business guides. They are as follows:

`Cúram Integrated Case Management Guide`
    This guide covers the basic concepts of case processing.

`Cúram Participant Guide`
    This guide covers the basic concepts of participant functionality.

`Cúram Nominees Guide`
    This guide covers the basic concepts of nominee functionality.

`Cúram Financials Guide`
    This guide covers the basic concepts of financial processing.

`Cúram Communications Guide`
    This guide covers the basic concepts of communication management.

`Cúram Workflow Overview Guide`
    This guide provides an overview of workflow.

Cúram Service Planning Guide
This guide provides an overview of Cúram Service Planning.

Cúram Verification Engine Guide
This guide provides an overview of the Cúram Verification Engine.

Cúram Evidence Guide
This guide covers the basic concepts of evidence functionality.

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