WorkGroup Designs Inc.

Case, business process, risk and compliance management

SuitCASE– the value proposition

WGD
exceeding by design
Suitcase

Introduction:

The Value Proposition

Organizations that are case, file, application, claim, process or registration driven are traditionally faced with paper intensive processes and increasing demands on services that result in an ongoing need to review, adjust and re-align processes and people. A strengthened case /business process management approach can reduce costs, reduce processing time, improve client service and increase capacity to plan and strategize for more effective service delivery systems. Case management is a collaborative process that assesses, plans, implements, coordinates, monitors, and evaluates the options and services required to meet an organization's service needs. It is characterized by communication and resource management and promotes quality and cost-effective interventions and outcomes. Case management facilitates the achievement of service objectives through assessment, planning, communication, education, resource management, and service facilitation. Along with a strengthened case/business management approach, a case management system solution to support business processing is needed to optimize an organization's potential.

Need for case management, risk & compliance management solution

In addition to have strong policies, procedures, by-laws, and rules etc. in place to meet an organization's mandate, there is a growing need for monitoring and tracking activities, enforcing standards and consistency of services and decisions, as well as having easy access to statistical reporting to highlight performance against standards. This is best served by implementing business process management solutions that provide case management, risk and compliance management capabilities. WorkGroup Designs Inc.'s (WGD) SuitCASE solution meets these needs.

SuitCASE

What It Is?– web-based case/business process management application which is a powerful tool that allows business users to configure the application to their unique business rules and processes that can suit the specific needs of a wide range of organizations.

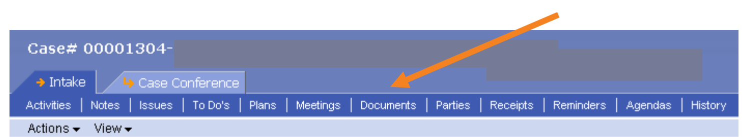
What It Does? –document management, workflow automation, business rules configuration, collaboration, risk and performance reporting all bundled together in a business administration engine to provide an unprecedented and flexible solution.

Differentiation from other solutions - The distinction of SuitCASE as a business process management software solution is that, unlike the competition, it provides business with the ability to configure their business processes and implement immediately within the application to affect business rule changes. It is a powerful tool which addresses both common and unique business automation needs without the risk and expense of an IT development effort. It provides unprecedented flexibility – every word, field, screen is configurable by an advanced business user to address existing and changing business rules. And lastly, SuitCASE is multi-lingual, accommodating up to five languages.

SuitCASE features

Standard file management – Introduce standard file management across all business processes with SuitCASE. The user interface within SuitCASE organizes a case/file by process tabs that are relevant to the case. In the screen shot below the case has been through Intake and Case Conference. Upon clicking on the process tab, each case has the following folders:

• Activities	• Notes	• Issues
• ToDo's	• Plans	• Meetings
• Documents	• Parties	• Receipts
• Reminders	• Agendas	• History



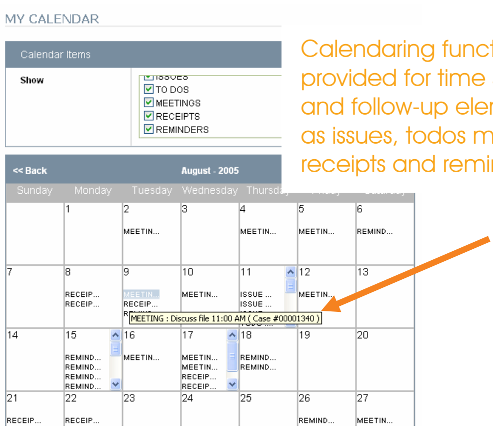
Activities are created through business administration and can be utilized to create system forms or transactions that allow for the input of data, information and to seek approval of certain actions required within a process. System defined data fields (case or process level), case or process attributes, custom fields, text, dates, memo or numerical fields) can be placed on an activity form for input and approval, if required. Activities are completely configurable and can be fully customized to meet the needs of the business process. Events can trigger the requirement for an activity to be completed or the completion of an activity can trigger other system actions.

Notes are available in each process to record relevant notations. The notes feature allows for the entry of free text or the uploading of files. There is no practical limitation to the length of a note. The end user can title the note, set a status as to whether a note should be shared, the category which can be set in business administration, a file description and the facility to upload another document relating to the note.

Issues allow users to post specific issues relating to a file/case, set follow-up dates, send reminders relating to an issue, describe the issue, set a status and a level of severity. An organization can define specific issues they wish to track against the entire workload.

ToDos allow users to set ToDos relating to a case, set timeframes and set reminders relating to a ToDo.

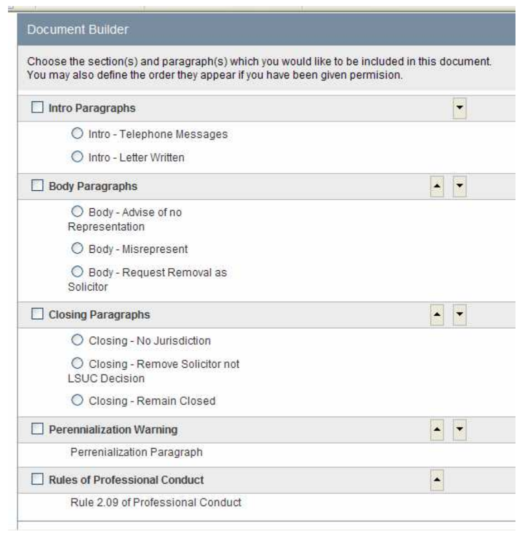
Meetings allow users to set meetings relating to a case, set timeframes and set reminders relating to a meeting. Scheduling meetings allow the user to name the meeting, determine the chair, location, date, time, status, invitees, notes, guests, load documents and send reminders. Also within a case, a user can view a calendar specific to ToDos, Meetings, Issues etc., but also a calendar that sets out all dates scheduled within a case.



Calendaring functions are provided for time sensitive and follow-up elements such as issues, todos meetings, receipts and reminders.

Receipts stores all the information about expected receipts which can represent the expectation of receiving a response, or more formal legal submissions for matters before the courts. Receipts can be set by the Business Administrator within SuitCASE or by the end user. A receipt can be set to remind the user of the expected receipt, and to update the case and/or process status upon receiving the expected information/document.

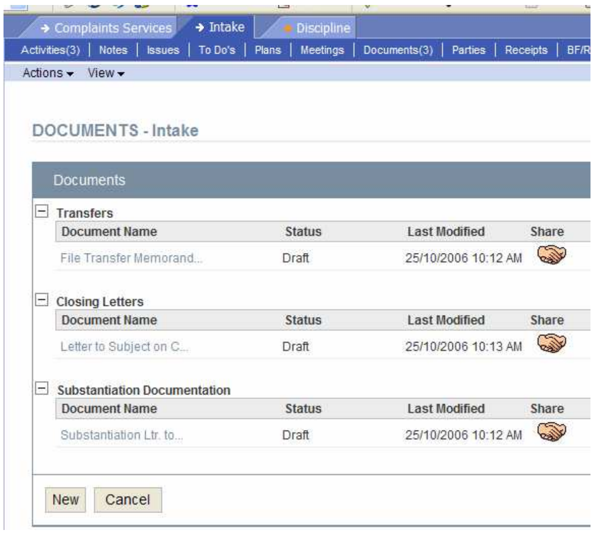
Document Management - Document management capabilities will allow regulatory bodies to define and standardize all documentation requirements including letter templates, reports, court/legal documents, and to apply statuses, document categories and approval cycles where necessary to documents. The document management capability extends to a "document builder" that allows document set-up such that users can select from a number of standardized paragraphs within a document to reduce the need for "reinventing" standard text and analyses that are models for reuse. SuitCASE also allows for the upload and storage of any digitally formatted document or file (e.g. PDF, GIF).



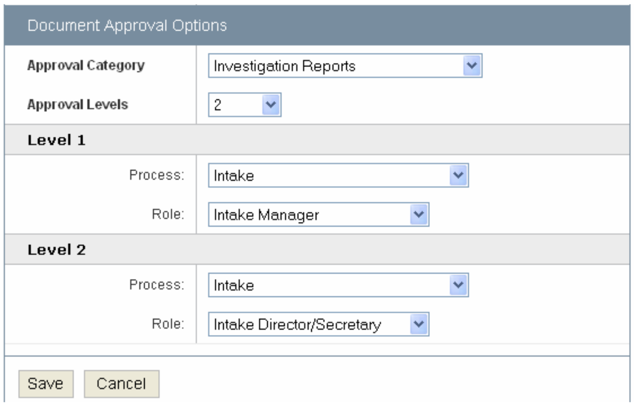
Documents can be set up and available either through selection by the end user or through automated system procedures. SuitCASE is fully integrated with MS Word. System field tags dynamically created based on an organization's configuration, and made available in a data dictionary for placement in templates so as to minimize or completely eliminate input of data already captured within the system. For instance, client identifying information (name, address etc.) and case level information (case number, case type, dates of case activities) can be placed as tags within document templates, and upon creation, the data will be pulled/merged and displayed within the document for the end user. SuitCASE maintains document versioning and will retain, if desired, all versions of a document within its life cycle.

In creating a document, the user can check it out, edit it and then check it back in. When a document has been edited and it is saved, the system will create another version of the document so that history of document versions is maintained. When a document status is "final", which means all defined approvals have been given, or when no approvals are required, and the user has saved the document as final, it is "locked", and no user has the option of editing it.

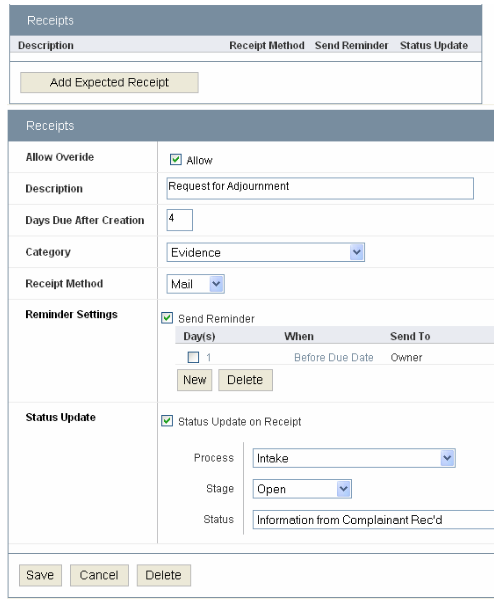
Documents are maintained in a document folder within the case/file and within the process the document is applicable to, and are organized by document categories defined by the organization.



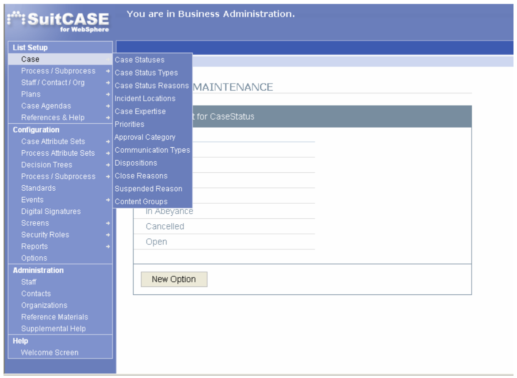
In addition, approval cycles relating to documents can be set up in the document template administration. Up to six levels of approval for a document can be set and the roles specified for approval will be automatically notified of the need for approval when the end user selects "Request Approval" and when the first or second level approver "Approves".



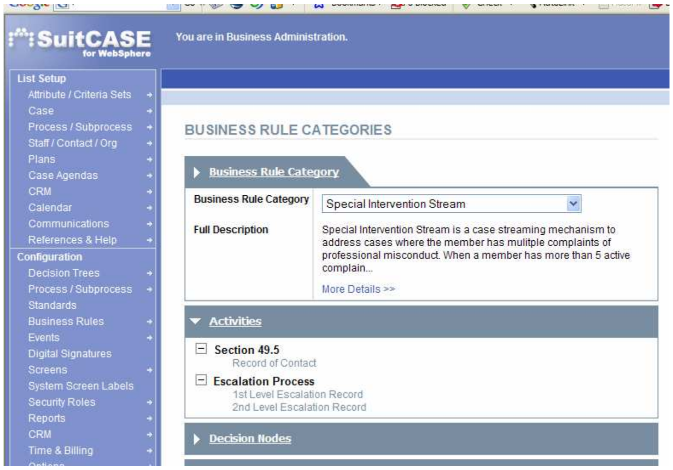
Document template administration also allows for setting expected receipts resulting from documents. If the creation of a document inherently results in an expected receipt of another document/submission/response, the system will allow a receipt to be created. For instance, if a court proceeding document template, perhaps, a notice of hearing, results in the need for a submission by the opposing party, say a request for adjournment, a receipt can be attached to the Notice of Hearing setting out the deadline for submission by the opposing party, and consequently setting reminders to the staff assigned, and updating system fields, as necessary when the expected receipt is received.



Flexible/Configurable - The built in configuration engine within the product's Business Administration allows for ease of defining all information to be captured and stored, defining the various processes, stages and statuses, case activities, document templates, screens, plans, business rules, transfer rules, assignment rules, standards, decision trees, attribute sets, roles, security, approval cycles for documents or activities, and events that allow for ease in automating business rules. This can all easily managed and maintained by the business owners, and provides ease and flexibility in managing change.



Workflow through Rule/Event Management - One of the most powerful features of the SuitCASE solution is the configuration of events based on business rules. Within business administration, the business administrator can both organize and automate business rules through the creation of events. Events allow for the automation of a number of system actions by identifying triggers, conditions and actions required to satisfy a business rule. Most solutions require system coding to deal with the unique business rules of an organization.



With the SuitCASE business rule and event model, an advanced business user can automate business rules/processes and make these available immediately without the expense and time of an IT project. Once conditions are set, automated system actions can be set to fire off of the trigger and conditions. Actions that can fire off an event can include:

- Sending an e-mail
- Preventing an action
- Creating a Reminder
- Creating a Process
- Send a Message
- Updating a field
- Displaying a message
- Running a Report
- Transferring to a screen
- Creating a document

Events can be set by a business lead/administrator without the need for code changes or programming. An advanced business/systems analyst can set events to automate a number of system actions to facilitate the workflow. The system allows for up to ten actions in any one event. By way of example within less than a minute, an event can be created when a document is received to:

- Update a number of system fields
- Assign a task or file
- Send a message to the staff assigned that the document was received
- Create a reminder to the staff and manager assigned that a deadline exists
- Display a message to the person receiving the document
- Create another document template
- Initiate another process automating the creation of the process tab
- Transfer to an activity screen to input information on the document received.

Events are powerful and core to the value proposition of SuitCASE, as most business rules can be configured with ease and with flexibility. The configuration can have an unlimited number of events to automate business rules and reduce human effort in administrative tasks.

Search Capability - SuitCASE has a powerful built-in search engine that allows for search of a case or a case participant based on a number of parameters. As an option, SuitCASE also is integrated with a third party search engine that allows for full text search – COVEO Search Engine.

Searches for existing cases can be completed using a number of search parameters including:

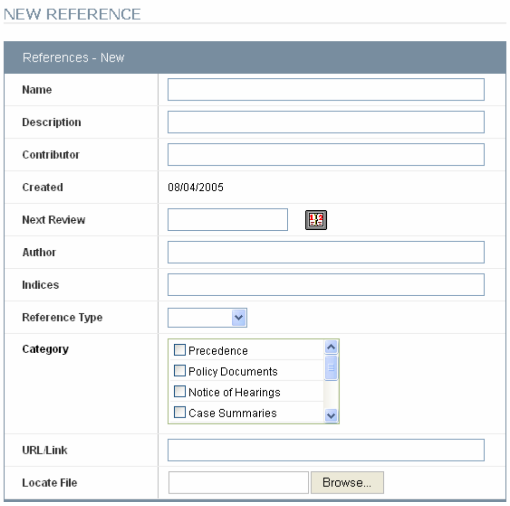
- Case Number (full or partial)
- By status of the case
- By the staff assigned
- By custom fields
- By other participant in cases.
- Case Name (full or partial)
- By process
- By date
- By client names

There is also the facility to search case content information with search options including:

- Case Activities
- Case Issues
- By the staff assigned
- Case Profiles
- Case Documents
- Case Notes
- By date

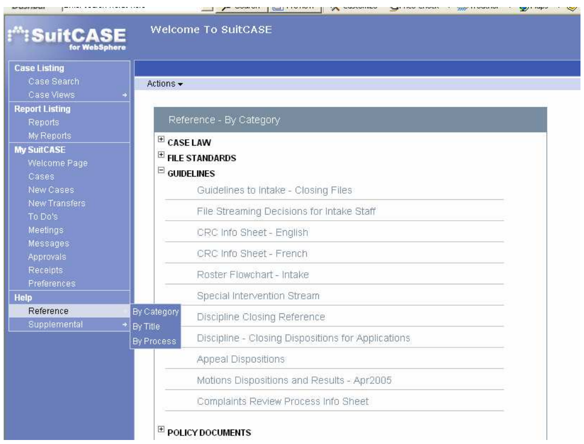
When a user enters the parameters of a search, they will receive a listing of all qualifying cases or information that meet the search parameters selected.

Reference Material Retrieval – Regulatory bodies can make available to all staff within the working application all policies, procedures, case law, legislation etc. Within the Business Administration module, reference material can be uploaded for ease of access by the end user. In uploading resource or reference material, one can associate it with other system components such as a specific process, case or process attribute set, or activity.

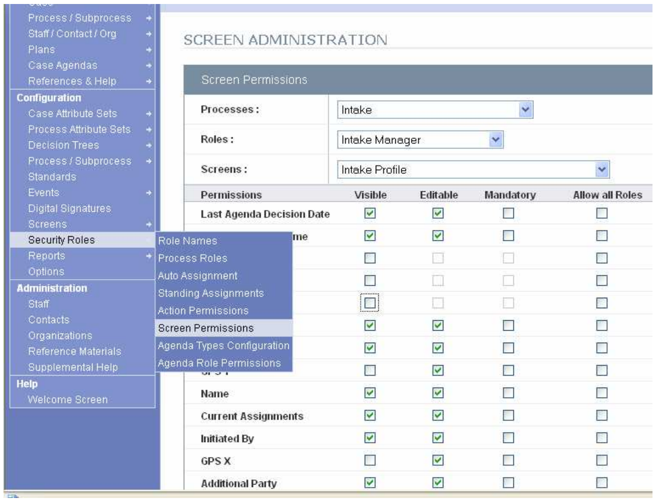


The user interface is very intuitive with ease in locating a specific reference or resource. By selecting Reference on the left hand navigation, users can have reference material listed by category, title, or process. If required the list of resources can be sorted or filtered with additional parameters.

Upon selection of one of the resources, the file will be launched whether it be in MS Word, PDF, Excel etc. Reference/resource material can also be retrieved through the search engine which allows for full text search of all system documents.



Security Access to Sensitive/Private Information - SuitCASE is exceptionally suited to manage the input, preservation, access control, and sharing options relating to information. Business rules relating to the exchange of information can be automated through pre-defined messaging, comprehensive security that allows organizations to define action permissions, screen permissions and access to documentation (view, edit, create). Exchange of information between business units or users can be managed through roles that will allow and/or limit access as defined by the rules. In assigning screen permissions, access to information at a system field level can also be managed through Business Administration.

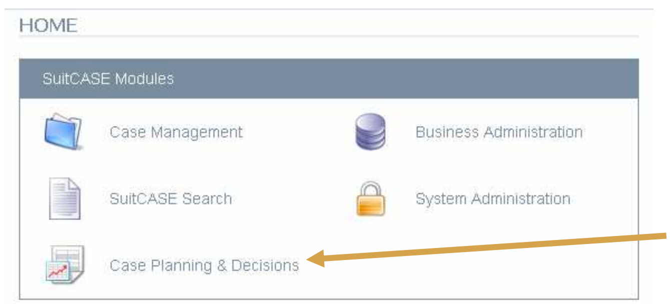


In setting up screen permissions, access to fields are defined which sets the rules around whether a role in the system can view or edit a particular field. Screen permissions are set for every system screen in each process. As one means of exchanging information between business units or users, roles can be used to allow for definition of their access to information.

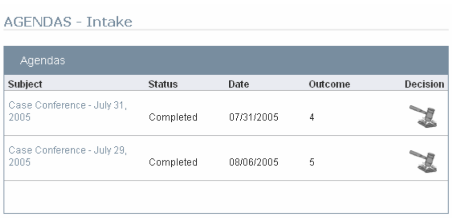
Managing Contacts/Parties/Organizations - **Parties** is a tab that allows the users to view all participants in a case and their identifying information. Information relating to a party can be marked private, and only those users granted access will be able to view the information. As well, SuitCASE allows for rules to be applied to whether party information can be disclosed in letters or other documentation. In business administration, party /participant types are set up, and cases can have a multitude of different types of parties (witnesses, representatives etc.). Within the parties tab, the user can add new parties or alter party information if they have the permissions to do so. Contacts can be organized by type as defined by the business with ease in the configuration engine.

Scheduling, Bring Forward, Reminders - Scheduling, bring forward and reminders are handled in multiple ways through the SuitCASE solution. The system can be configured through business administration to set standard dates, timelines, standards, reminders etc., and the user in handling cases can set their own ToDo's, Issues, Meetings, Reminders all of which can be managed in their SuitCASE calendar. **Reminders** can be set through business administration to enforce or facilitate deadlines being met, or can be individually set by the end user to set reminders for themselves. When set by the business administrator, the reminder can be automatically set by the status of a case, upon transfer of a case or based on specific rules that create the reminder through an event. In setting up a reminder, it is named, the process it is relevant to is entered, the identification of who should be reminded is set as well as the reminder date, the message in the reminder, how the reminder will be sent (system message or e-mail) and repeat reminder settings. Repeat reminders can be set until a certain date or until a certain stage and status is reached in a case.

Case Planning and Decision Processes - Agendas are specific to meetings/events within the organization that bring forward a number of cases for review, decision, planning etc. Agendas are accomplished through the Case Planning and Decision module in SuitCASE.

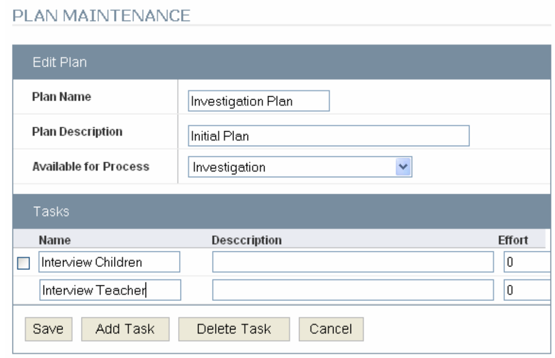


The Meeting Assistant in SuitCASE for Agendas allows cases to quality for a specific agenda. Different types of meetings can be set to operate within the Meeting Assistant where agenda and minute generation are automated based on input from a user. At the meeting or following the meeting, an end user can input the decision or outcome of the meeting for a given case. The outcome of the agenda is stored in the case under the Agendas tab. When the user clicks on "Decision", a view of the agenda outcome will be displayed.

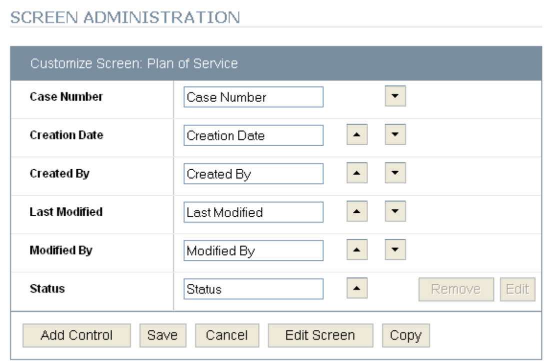


The Meeting Assistant allows organizations to set up for fully automated meetings.

SuitCASE also has a built in planning facility that allows organizations to set plan templates at a corporate level setting out standard investigative steps and standard timeframes, but also allows users to set plans that establish specific case tasks, level of effort and set timelines.



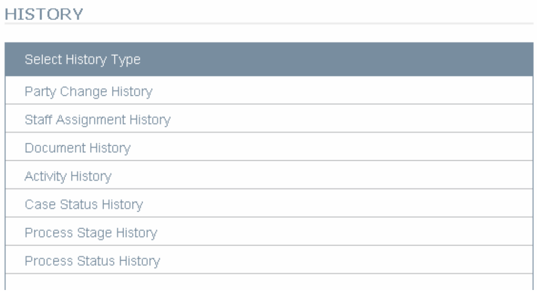
Custom screens and system forms – SuitCASE allows regulators to define and create any number of custom screens as needed to support their business processes.



In adding controls on a form, the user can add the following:

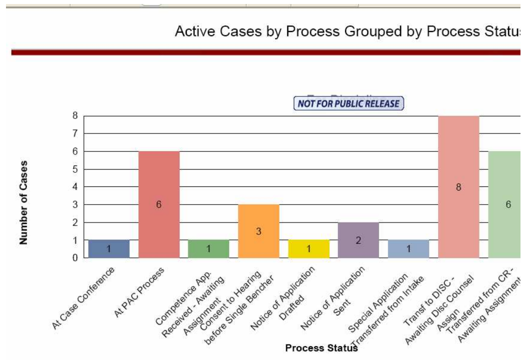
- A text field
- A numeric field
- A keyword list
- A date field
- A memo field
- A label
- A checkbox
- A button
- A file attachment
- A process profile system field
- A case profile system field

Historical Information Retrieval - SuitCASE handles historical information retrieval through a number of means. System screens are available within each case/online client file that tracks history including history of people or organizations that have or have had a relationship to the case, history of staff assignment, document history, activity history, case status history, process stage history, and process status history.



Reporting – SuitCASE provides comprehensive operational and management reporting through integration with Crystal Reports. In addition to existing view/lists standard within the SuitCASE interface, history is provided through reporting. There are a number of reports that come with the installation of SuitCASE and additional reports can be designed within the embedded business intelligence tool – Crystal Reporting. Reports are available to users based on their permissions through the left hand navigation with the application. Reports all provide real time data and many require the user to set report parameters such as process or ask them to select how they wish the report to be sorted.

Reports can be formatted using PDF, MS Word, or MS Excel based on user preference.



SuitCASE value proposition

- Reduce risk; enhance regulatory processes for increased transparency and effective handling by introducing technology that supports your regulatory mandate.
- Manage risk, and enforce compliance with standards through the powerful configuration engine of SuitCASE.
- Have real time and ready access to reporting that assists in understanding the current caseload statistics and facilitates planning to meet service demands.
- Manage ongoing change with the power and flexibility of the solution's business administration capabilities.
- Benefit from WGD's research and development investment in excess of $2 million dollars to design and develop a state of the art solution.
- Benefit from the advice and services of case/process/risk/compliance management experts who have proven track records in optimizing business processes, tools and implementing best practices.
- SuitCASE can address greater than 80% of the requirements of any business process with little to no customization given the power of its case and process configuration engine.
- SuitCASE encompasses a complete business process or case management solution including workflow, document management and comprehensive reporting through a business intelligence tool.

For a free demonstration of SuitCASE or more information, please contact:

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