6 Case management systems

The features and functionality of the five systems that Infoxchange reviewed in detail:

1. FileVision Health
2. Kiistone
3. Paua
4. Penelope
5. Recordbase

are covered below.

Further information about other systems which met the criteria for inclusion in the report -

- Exess (who completed a self-review)
- Consult ONE
- Whānau Tahi Navigator
- Benecura

is also included below, together with some other systems we became aware of through this process.

6.1 FileVision Health

FileVision Health is a purpose-built set of modules that offers a broad range of functionality such as e-forms, content management, electronic signature, relationship management, process design translating into workflows. These modules can be switched on or off, depending on how the user organisation wishes users to interact with the system. Additional functionality is available through the "Custom Library", a repository of all customised functions that have been created for user organisations. Modules in the library can be used at no or minimal cost.

FileVision Health utilises an HTML5 web based interface which is technology “agnostic” and compliments the thin client interface available in previous versions of the product.

Workflow is strong and straightforward to set up. It includes who should do which task, when, how and with what. FileVision Health integrates seamlessly with Microsoft Office products, and documents such as emails, letters and reports generated within Microsoft Office are automatically logged to a client’s record.

Average expertise is required to manage the system, although someone with higher skills will be needed if the organisation wants sophisticated reporting as this has to be done through a report writer interface.

The system starts at about $3500–$5000 per year for a minimum of five users.

Client information: A client is an individual person with a unique identifier that is automatically generated by the system.

The system lets you record and configure basic demographic information such as DOB, gender, nationality, Iwi, residence status; contact information such as phone, email, address; social information such as occupation, income, benefits, living arrangements; and health information such as medical conditions, medications, substance usage through user-defined dropdown lists.

The system lets multiple addresses be assigned to a single client, for example a physical address and a postal address or multiple legal guardian addresses. Historic addresses can be stored with dates against them. All previous addresses can be searched. Name changes overwrite current information. Point in time information would generally be lost, however if this

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is functionality that would be required, then this can be readily customised but at additional cost.

The client can have multiple roles (husband, father, brother) and can be linked to anyone recorded in the system as well as individuals added specifically to the client's record as a contact. The system lists everyone with whom a client has a relationship, making identification of relationships easy.

Although the system allows the recording of Maori Iwi, the accommodation of the specific needs of culturally and linguistically diverse groups would be facilitated by creating specific business rules.

Referrers: Detailed information can be captured on referrers including identity of the referrer, referrer organisation and the type of referrer as well as the contact details of the referrer. This does not occur on the "entry form" but can be added to the referrer separately.

Funders: The system lets you capture funders' details such as contact person, contact addresses, telephone numbers, email addresses, contract managers and their line managers. The system lets you capture funder contract details like the number of contract hours, numbers of clients, contract value as well as a breakdown of cost / activity (i.e. fee for service).

Location, type and funding of services: The system is set up in a tiered way as multiple contracts that can be delivered at multiple locations. It is however flexible as to how the elements are reflected and linked e.g. it could be Special needs services with multiple funders beneath that and specific services for each funder or it could be a Funder with multiple services below the funder. This is determined by what functionality and reporting the user organisation requires.

Clients are linked to services and funders by referral into a particular contract and a service from a dropdown of services being selected.

A client may access multiple services simultaneously or sequentially.

Workflows: Workflows are created through the workflow editor. Simplistically, workflow process charts are created for all workflows in the user organisation and linked to people, documents, time and resources. These are configured and deployed by the vendor to meet the requirements of the service. Different workflows can be created for different services. If required, staff can be trained (this would be at an extra cost) to perform this task and therefore additional workflows, or changes in a particular workflow, can be changed by the user organisation as and when required.

The workflow can be interrupted at critical touch points by configurable validation rules and criteria with associated notifications and alerts. The system also lets you define criteria for automatic reminders for staff and clients for scheduled activities. Once set up, the processes can be easily managed by user organisation staff.

Capacity and workload management: The system lets you accept a referral onto a waitlist, add notes and activities against the client while on the wait list, change the priority and the service that the client has been referred to.

Workflow configuration will allow automatic alerts to be triggered in the event of a new vacancy arising.

The system lets you maintain a list of active and non-active case workers and you are able to assign more than one case worker to a client.

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There is the functionality within the system for capacity to be tracked in real time. However, an alert in real time when capacity is reached in numbers, attendance hours or contract value is not standard and would require customisation (at a cost).

Search and identify: The system lets you perform the initial search by first and last name, or previous case number, if known. This is however configurable to the client's needs and any combination of first name, last name, DOB, NHI number etc. can be used to ensure that the client is unique. Duplicate files can be merged.

Enquiry / referral: The system does not have specific functionality with respect to capturing the time and effort related to an enquiry, however an e-form can be created for this specific function. e-forms can be created by the user organisation or the vendor with the latter option coming at an additional cost.

The referral capture is a single page intake process. The system allows multiple individuals to be linked to a single referral incident without needing to re-enter information

Online referral is possible, capturing data directly into the system. An automated response (acknowledgement, transaction ID) for referrals received electronically can be generated. This functionality is not standard and would come at an additional cost.

A referral has a status indicating whether it has been assigned or actioned. Re-referrals are not specifically noted; however, this can be immediately seen when looking up a client as all previous cases are visible.

The configurable workflow process allows a referral to be assessed and prioritised and for an alert to be sent to a team leader / case worker when a new case has been received / assigned.

The system allows you to update the consent status of the client during the case (with date-time stamp) although a note indicating this can be made. All notes and case notes are searchable.

The system allows you to record a user-defined response to the referral e.g. provide information, advocacy, donations etc.

Assessment tools: The system does not have any standard assessment tools but is currently developing the ability to will integrate with a range of industry psychometric tools, where an exact copy of the tool will be available as a working screen within FileVision Healthcare. It will look and feel exactly like the current form but with the ability to calculate numeric scores and pre-define certain fields (i.e. Client Name and Date). A configurable summary screen will indicate scores attained for previously completed tests. This functionality will be available in the latter part of 2016.

Other assessment tools could be developed by the client using the the e-form builder which, allows the user organisation to design and create their own assessment tools. These forms can then auto-populate information like personal details or other pertinent information that has already been captured in the system. Sequential assessments can take place at user-defined intervals with internal alerts.

Case notes / notes: How notes are captured is entirely dependent on the user organisation's preference and how the workflow has been configured. It can be as simple as completing a free text area on the client notes page or as complicated as completing a "timesheet" that tracks subjective / objective information, action / care plans, deadline dates, service codes, the amount of time spent, with it calculating (based on preconfigured information) the hours remaining on a time limited contract or the funding remaining for that particular service.

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Notes are date and time stamped and all notes and activities are easily searchable.

Any type of formatted document can be attached to the file and these attachments are indexed.

Care / safety plans: Like case notes, the functionality is extensive and how it is used will be determined by the user organisation. Again this can be a simple form that outlines a care plan to a sophisticated breakdown of each element of the plan with associated resources, time, and costs associated with the plan. The system lets you link actions and activities and assign dates to these actions / activities.

Alerts can be placed on the system with different colours indicating different types of risks. Alerts show up as a coloured box on the case note page as well as a colour highlighted line in the list of activities.

Individual progress notes can be completed against a goal, task or care plan. These notes are date stamped, indicating the case worker completed the form / note. One is able to track the number of hours left in a plan, the amount of funding remaining and if a task has been completed. Notes can be reported on.

Groups / group management: The system lets you create a group from active clients and clients on a waitlist. The system lets you assign a group facilitator and other case workers to the group. It lets you record notes against a group, however you need to exit the group to add notes against an individual. You can create a group register.

Document and email creation: The system integrates seamlessly with Microsoft Office with a tab appearing in all the Microsoft Office products facilitating easy upload to the system. This applies to emails as well as documents. You are able to create standard documents / email from templates without re-entry of data and the system keeps a record against a specific client file.

Scheduling / calendar: The system does not include scheduling or resource planning functionality, however it does interface seamlessly with Microsoft Office (in the standard deployment) and therefore Microsoft Outlook can be easily used for this purpose.

Currently being developed is a scheduler, still within Microsoft Outlook, for users to plan their day and use as a simple way to update actual time spent against activities. This will be available in the latter part of 2016.

Service exit: The system supports internal referrals by simply adding another service to the client. Once again, configurable workflows can trigger the required alerts for the appropriate people receiving referrals.

A client may exit a service at any time and exit planning can be supported through e-forms and configurable workflow that provides notifications, reminders and alerts for all record management purposes. Custom letters can be generated for referrals out of the system in the form of documents saved to the file and emailed.

The process of delayed assessments (in support of RBA ©) can be done through configurable workflows with calendar alerts to remind a case worker that a client needs to perform another assessment.

Closed files cannot be changed or annotated and viewing of content once a file is closed is permissions-based.

Service evaluation can be performed in one of two ways – either through using a Word document or through a custom e-form. This is a moment in time and the information is stored as an attachment to the file. Content of the Word document cannot be reported on. e-forms

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are dynamic and with the limited client view portal can be accessed online. Information collected in this manner is collected and collated. Analysis would need to be performed separately through exporting the data to Microsoft Excel.

Unique / special services: The system has highly configurable workflows, and this combined with e-forms and the relationship management module means that most service requirements could be met. The system has been successfully deployed for a number of different services. The customisation library has many service specific customisations that can be made available at a nominal cost. Otherwise this type of customisation would come at full development cost.

Incident and complaint management: e-forms are used for capturing incident and complaints information and the reporting functionality can track and manage the information.

Invoice generation: The system has a comprehensive, complicated accounts receivable component which is part of standard deployment. This component can be turned on or off.

The system integrates with a number of accounting systems including Xero. Other integrations can be set up at a cost.

Standard reports: There are a number of standard reports in the system which report on a variety of activities within services at multiple levels. Any data that has been captured in the system can be reported on and presented in a number of ways i.e. with graphics, tables, etc. These reports can be edited and customised to your specific requirements and saved as a favourite. Report scheduling is managed as part of a workflow configuration.

Report viewing is based on the same hierarchical permissions that allow data visibility within an organisation, i.e. within a business / service unit, however specific permission can be provided to individuals.

Queries and ad hoc reporting: There is extensive queries functionality. Any document or field can be searched and these can be exported to pre-defined templates as necessary. Criteria and output can be saved. If additional functionality is required, then open database connectivity (ODBC) and a separately purchased report writer of choice can provide this functionality.

Statistical reports: The system has no standard statistical reports, however the open database connectivity (ODBC) and a separately purchased report writer of choice can provide this functionality.

Individual view and dashboards: Users see an individual view of the tasks and data that apply to them in the HTML version of FileVision

Dashboards are available for any set of data that the user organisation requires. An initial set of dashboards will be configured by the vendor, and thereafter individuals can personalise, configure and manage their own dashboard, adding reports and saving favourites. Information displayed on a dashboard can be shared individually or made public, however viewing public information is based on role permissions.

This functionality is only available in the HTML version of FileVision.

Data extraction: Lets you export unlimited number of reports to .xlxs, .docx, PDF or .txt format. It also allows you to export information to preconfigured formats for batch file transfers.

Access: The system can be deployed as a SaaS or onto a client's server. If deployed as a SaaS, the system is accessed through a web browser. The system is browser agnostic.

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The system is written in HTML 5 and is device agnostic ranging from desktop through to tablets and phones. The system is also written in a thin-client deliverable.

Off-line functionality is supported through the use of e-forms. This allows data to be collected and synced when connectivity is available. This functionality would need to be specifically requested and depending on the complexity of the needs, may involve additional costs.

Permissions: The system lets you grant individuals access to edit or delete data for a wide variety of system functions and data on a field-by-field basis. It lets you create and enforce access to different types of clients for different users, including one-to-one access if necessary. Users can be locked out if a process requires it.

Audit logs: Audit log access is permission-based and configured by the user organisation. Audit logs are available on all activities (including viewing).

Configuration / customisation: The system is built around five core functionality groups which have a variety of core functions that are sophisticated and complex. This functionality can be turned off / on depending on the requirements of the user organisation. Initial configuration is completed by the vendor, thereafter allowing the user organisation to maintain the configuration of specific fields e.g. dropdown lists and user roles with permissions, funder contracts etc.

The vendor will create customised additional functionality which, if appropriate, may be added to the system and distributed to other users. In general, if the customisation would have a wider application and could be included in the base product (and the user organisation is prepared for the intellectual property to be shared) the cost of customisation is significantly reduced. Customisations that can be shared, which are not included on the base product, become part of a comprehensive library of customised functionality that user organisations have access to when considering customisation. The cost for adding these customisations is less than it would be for unique customisations.

Additional custom functionality unique to the user organisation will be at full development cost.

Integration: The system integrates seamlessly with Microsoft Office with a tab appearing in all the Microsoft Office products facilitating easy upload to the system. It can be interfaced with Xero; however, this does come at an additional cost.

Data migration can be performed at additional cost from specifically formatted .csv or .xls documents.

Hosting: This system is a hosted service in New Zealand. The system can also be purchased and installed on your own servers.

Ease of use: The system is powerful with a lot of different options and features, but since the vendor will configure it on setup to better match your terminology and workflow, the learning curve should be decreased a bit.

The organisation of the system relies on many different screens, each with lots of information, making it sometimes difficult to find features or fields. Less technically savvy users may feel initially overwhelmed and it may take some time for novices to learn.

More advanced IT users can tailor their dashboard to their own preferences, create and use templates creating a number of quick data entry options, share data with colleagues and automate functions. The query building tool provides a lot of control once you’ve learned how to use it.

Product background: The vendor has been in business since 2004 and reports 26 clients in New Zealand and Australia.

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