SAS® Enterprise Case Management 3.1

User's Guide

SAS® Documentation

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SAS® Enterprise Case Management 3.1: User's Guide

SAS Institute Inc., SAS Campus Drive, Cary, North Carolina 27513.

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Contents

About this Book

Audience

This book is intended for case investigators, auditors, and those responsible for financial reporting and fraud prevention.

About the Displays in this Book

Because SAS Enterprise Case Management is a highly configurable case management system, the displays shown in this book might differ from those in the application at your site. For example, selection lists (drop-down lists, radio buttons, and check boxes) within the application are configured through user-defined reference tables. Therefore, the displays shown in this user's guide are for demonstration purposes only. For more information about configuring and customizing SAS Enterprise Case Management, see the *SAS Enterprise Case Management: Administrator's Guide*.

What's New in SAS Enterprise Case Management 3.1

Overview

SAS Enterprise Case Management has a number of new features and enhancements.

New Features

SAS Enterprise Case Management has the following new features:

- You can create and manage regulatory reports using the Report Console.
- You can create, manage, track, and submit e-files through the UI.

Enhancements

The following features are enhanced for SAS Enterprise Case Management:

- A locking mechanism across all entities prevents files from being worked on by concurrent users.
- You can terminate and then reopen the workflow of a case.
- You can select the type of event that you would like to be notified about for a case, incident, subject, report, and e-file.
- The Web services now enable updating records, as well as adding reports, e-files, comments, and attachments.

Chapter 1

Introduction

What is Enterprise Case Management?

SAS Enterprise Case Management enables you to investigate incidents, attach documentation, and record exposure and losses for any type of financial crime that might pose a risk to your organization. You can use it to provide information for financial reporting, such as fraud losses, and as the primary resource for filing regulatory reports to government agencies. With the SAS Enterprise Case Management Web application, you can perform the following tasks:

- search, create, and view subjects, incidents, cases, reports, and e-files
- create and manage case-specific task lists with reminders
- receive a notification when updates are made to specific cases, incidents, subjects, reports, or e-files
- view the audit trail of any object
- manage regulatory reporting to government agencies (e-filing)
- perform sophisticated case network analysis on a subject

Accessibility Features of SAS Enterprise Case Management 3.1

About the Accessibility Features

SAS Enterprise Case Management 3.1 includes accessibility and compatibility features that improve product usability for users with disabilities, with exceptions noted here. These features are related to accessibility standards for electronic information technology that were adopted by the U.S. Government under Section 508 of the U.S. Rehabilitation Act of 1973, as amended, and recommended by the Worldwide Web Consortium (W3C) Web Accessibility Initiative (WAI).

Accessibility Features of the Supported Browser

The supported Web browser for SAS Enterprise Case Management is Microsoft Internet Explorer. For more information about the accessibility features of Internet Explorer, use the Index in the Internet Explorer Help to locate topics about accessibility.

Known Accessibility Issues

SAS Enterprise Case Management 3.1 contains the following additional known accessibility issues:

- Visual focus is maintained except in the following location:
  - Keyboard navigation is supported within the application except that it is possible to change highlight focus of the main tabs without actually navigating to the tabs.
- Spell check cannot be initiated through the keyboard.
- When you return to the standard view after using the full-page magnification option in your Internet browser, a blank space appears at the bottom of the screen. Refresh the browser to remove the blank space.
- High-contrast themes must be manually created.
- The software requires that style sheets are enabled.

Using SAS Enterprise Case Management 3.1 with JAWS

The expand and collapse arrows for panels are labeled incorrectly and are read as “Unlabeled zero button” by JAWS.

Documentation on the Web

Documentation for SAS Enterprise Case Management is available at **`http://support.sas.com/documentation/solutions/ecm/`**.

User ID: **sas**

Password: **ECMuser123**

Chapter 2
Working with Cases

Creating New Cases

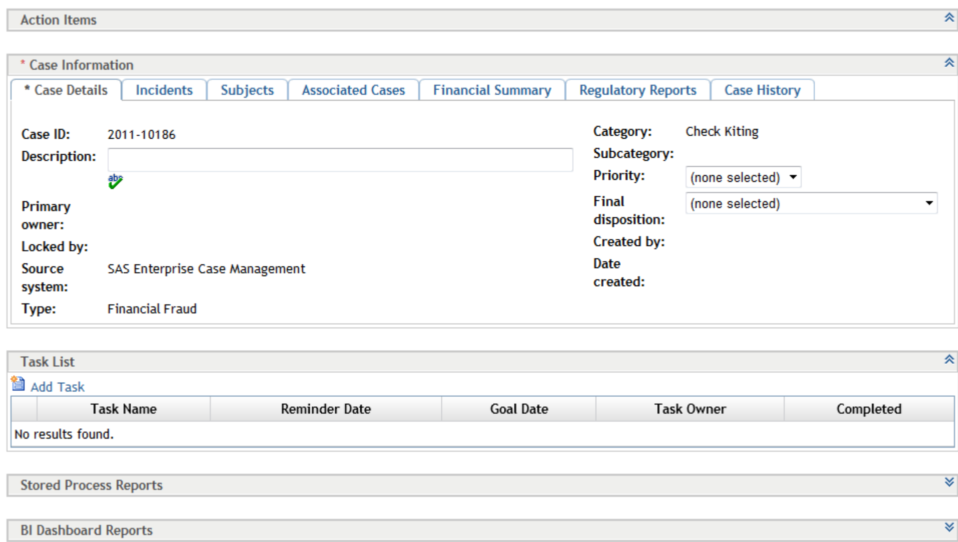
You can create new cases by selecting **New Case** () in SAS Enterprise Case Management. You can access this button from the **Cases** tab or when you edit an incident.

To create a new case:

1. Select the **New Case** button. The New Case dialog box appears.

2. Select the necessary information for the case and click **OK** to create the case.

The case is then opened for editing. You can continue to add information about this case.



3. When you are finished, select **Save** to create and save the case. The new case is then displayed in the list of available cases on the **Results** panel on the **Cases** tab.

4. Select **Return to List** to close the dialog box without saving the case.

Note: If you did not save the case before selecting **Return to List**, the Save Changes dialog box appears. Select **Yes** to save the case. Select **No** to not save the case and return to the **Cases** tab, or select **Cancel** to continue entering information about the case.

Searching Cases

Search Cases

The **Search Cases** panel enables you to search for and quickly filter existing cases in SAS Enterprise Case Management. The search results are then shown in the **Results** panel.

Note: This search functionality can also be applied to incidents, subjects, reports, and e-files from their respective tabs.

The **Cases** tab is opened by default when you log on to SAS Enterprise Case Management. The **Search Cases** panel is closed by default when you first log on to SAS Enterprise Case Management. You can access and open the **Search Cases** panel by clicking the Expand button ( ).

After you have opened the **Search Cases** panel, you can then enter information about the case that you are searching for. To search for a case:

1. Enter information in the text fields and select available case information from the drop-down boxes. For example, you can select **Case Status**, which is the current status based on where the case is in the workflow, or the case **Type**.

   Note: By default, **My Subscriptions** is unselected. Select it to include only cases that you are subscribed to receive notifications on in your search results.

2. Click **Search**. Any available cases that meet the search criteria that you entered are displayed in the **Results** panel.
3. You can also clear the search fields by clicking **Reset** to set the search fields to the values that were last used.
4. Click **Clear** to clear all search fields.
5. After you have searched for the cases that you need, you can reduce the **Search Cases** panel by selecting the Collapse button ( ).

Results

The **Results** panel displays a list of cases for investigation. By default, the **Results** panel shows the cases that are available to you. You can use the search functionality to modify the list of available cases that are displayed here. You can also filter the list of cases by selecting criteria from the available drop-down boxes on the **Results** panel. For example, you can select a variable from the **Case Status** (the current status based on where the case is in the workflow) or the case **Type** drop-down boxes. You can also sort on a column in the **Results** panel by selecting the heading label for a column.

Note: This results functionality can also be applied to incidents, subjects, reports, and e-files from their respective tabs.

If you have permission to edit cases, you can open a case by selecting it from the **Results** panel. You can then edit information about the case. In addition to selecting a case to open, you can perform tasks for a case by selecting Actions ( ). This opens the Actions menu, which contains the following options for a case.

View
: enables you to view the selected case. The case is opened and you can view the **Action Items** and **Case Information** for the case.

Edit
: enables you to edit the selected case. The case is opened and you can edit items in the **Action Items** and **Case Information** panels for the case.

Lock and **Unlock**
: enable you to control editing access to the case. When you select **Lock**, your name then appears in the Locked By column in the **Results** panel, and you have exclusive editing access to the case. Selecting **Unlock** enables others to have editing access to the case.

Note: A case is locked every time it is edited, to prevent the case from being worked on concurrently by another user. To unlock a case from the case edit page, click **Return to List**. If you log off from Enterprise Case Management (or your session times out) while you are in a case, the lock will not be removed until you manually unlock it.

Set Primary Owner
if available for selection, enables you to reassign the selected case to another user.

Manage Subscriptions
enables you to sign up to receive notifications when events occur matching the subscription options that you select.

Comments
enables you add comments to the selected case.

Attachments
enables you to add attachments to the selected case.

Preview Case Report
displays the entire case, including related incidents and subjects, comments, and a list of attachments, in a printable format. For more information, see “Case Reports” on page 16.

Generate Case Report
generates a case report to view or print later and sends you a message when the report is complete. Click **Preferences** and access the **General** panel to edit your notification preferences. To view or print the generated report, click **Generated Reports**. For more information, see “Case Reports” on page 16.

Viewing Cases

Viewing Case Information

In SAS Enterprise Case Management, you can review cases in display-only mode by selecting **View** from the Actions menu ( ) on the **Results** panel for cases. When you select **View**, the selected case opens in display-only mode. You cannot make changes to the case while you are viewing the case. The case and the current status for the case are displayed. On this page, you can view the related action items and case information for the case. The **Action Items** panel displays the activity status information for the case. The **Case Information** panel might display the following information for a case:

Case Details
displays the details for a case.

Incidents
displays the incidents related to the case.

Subjects
displays the subjects related to the case.

Associated Cases
displays a list of any other cases that are related to this case.

Financial Summary
displays the list of financial items associated with this case and a summary of the financial amounts.

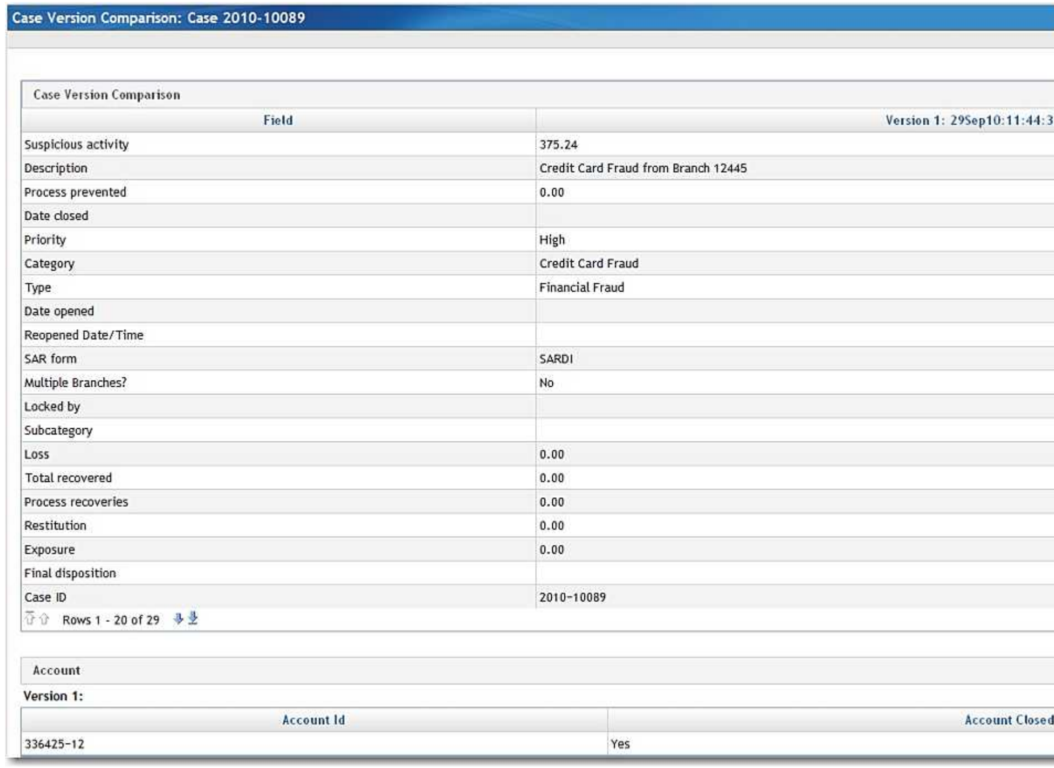
Regulatory Reports

displays a list of regulatory reports associated with this case.

Case History

displays the activity history for the case. The Type column includes the actions that were taken on the case. **Save** indicates that the case was saved after an action.

The Description column provides details about the action. **Version N** refers to the version number that is assigned after a save. When a case is created, it is Version 1. Click **Version 1** to see the original fields entered for the case.



Case Version Comparison: Case 2010-10089

Case Version Comparison

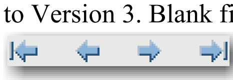
Field	Version 1: 29Sep10:11:44:36
Suspicious activity	375.24
Description	Credit Card Fraud from Branch 12445
Process prevented	0.00
Date closed	
Priority	High
Category	Credit Card Fraud
Type	Financial Fraud
Date opened	
Reopened Date/Time	
SAR form	SARDI
Multiple Branches?	No
Locked by	
Subcategory	
Loss	0.00
Total recovered	0.00
Process recoveries	0.00
Restitution	0.00
Exposure	0.00
Final disposition	
Case ID	2010-10089

Rows 1 - 20 of 29

Account

Version 1:

Account Id	Account Closed
336425-12	Yes

Click **Version N** to open the Case Version Comparison dialog box. All subsequent changes are compared to the previous version. For example, Version 4 is compared to Version 3. Blank fields indicate no changes. Click the arrows  in the top right corner of the dialog box to scroll to older or newer versions. Close the view by clicking the **X**.

Custom fields appear as standard fields in the version history, with the field in a one-to-one relationship between the current and previous version. However, custom tables display the full table view from version to version. Any changes from Version 3 to Version 4 show the Version 3 table above the Version 4 table.

Note: When a case's history is viewed, only the subjects of comments are displayed.

Adding Comments and Attachments to a Case

Although you cannot make changes to the case while you are viewing it, you can add comments and attachments to the case by clicking one of the following options:

Comments

opens the Comments dialog box, enabling you to add and view comments.

Attachments
opens the Attachments dialog box, enabling you to add and view attachments.

Editing Cases

Editing the Case Activity Status

In SAS Enterprise Case Management, you can edit a case by selecting **Edit Case** from the Actions menu ( ) on the **Results** panel for cases. When you select **Edit Case**, the selected case opens. You can then make any needed changes to the case. The case and the case status for the case are displayed. On this page, you can update the case status on the **Action Items** panel. The **Action Items** panel displays the activity status information for the case. To update the status for an activity, select a status option from the **Activity Status** drop-down box.

From the **Action Items** panel, you can also select the following actions:

Save Entity and Action Items
commits updates to the activity status of the case, as well as any other case edits made.

Note: Clicking **Save** ( ) saves only the case edits. It does not commit any updates to the activity status of the case.

Terminate Workflow
terminates the workflow of a case.

Activate Workflow
reactivates a case’s workflow when an available workflow option is selected.

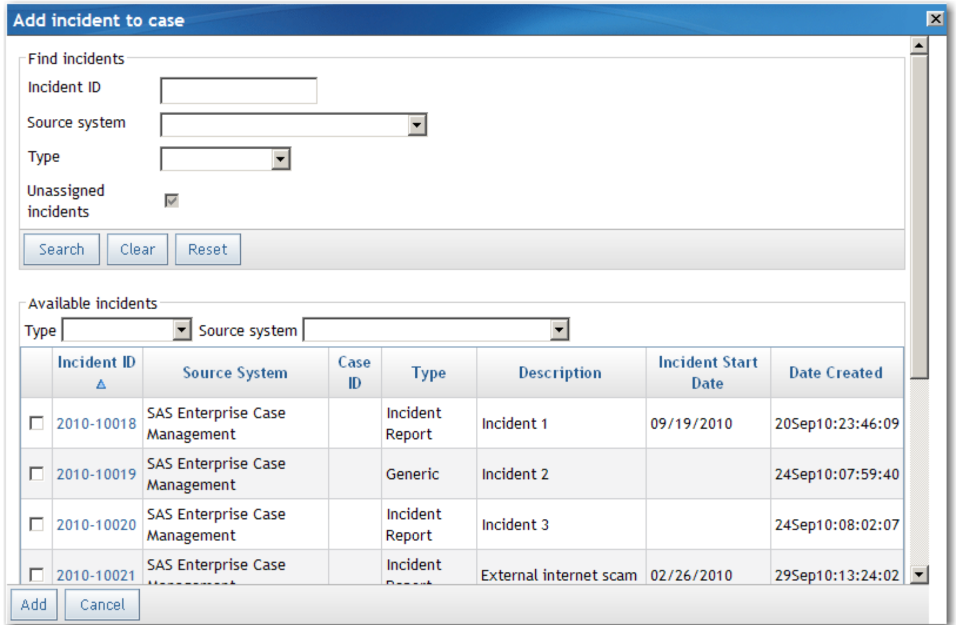
Editing Case Information

You can update information for a case on the **Case Information** panel. The **Case Information** panel contains various items that you can modify. Click to find and correct spelling errors in a field. You can check spelling anywhere the spell check icon appears. The following information can be edited for a case:

Case Details
enables you to edit the details for a case.

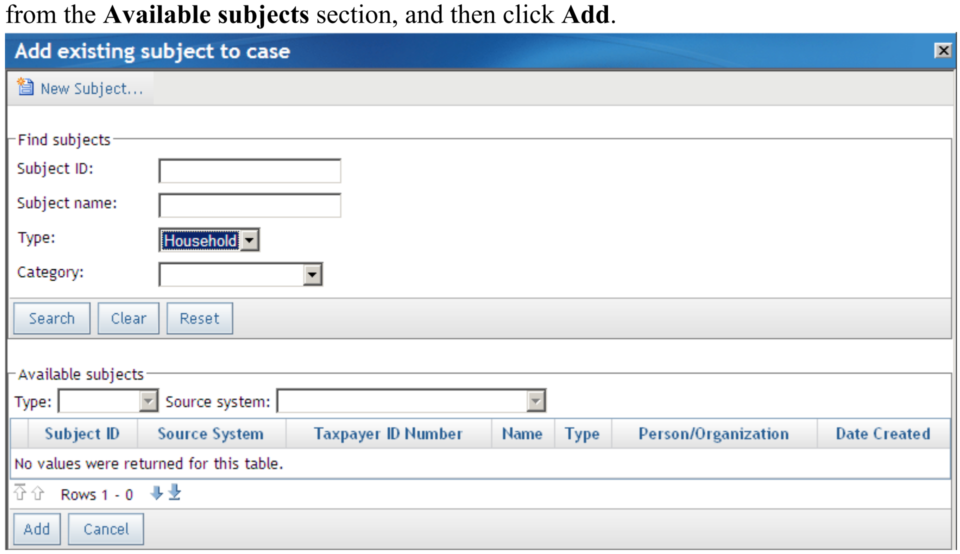
Incidents
displays the incidents related to the case. You can also add an existing incident to the case by clicking **Add incident to case**. This opens the Add incident to case dialog box. Enter the search criteria, and then click **Search**. Select an incident from the **Available incidents** section, and then click **Add**. There are options that automatically link all the subjects or financial items from the incident that you have selected to the case. If you clear the boxes, you can link subjects or financial items to

the case individually.



Subjects

displays the subjects related to the case. You can also add an existing subject to the case by clicking **Add existing subject to case** ( ). This opens the Add subject to case dialog box. Enter the search criteria, and then click **Search**. Select a subject from the **Available subjects** section, and then click **Add**.

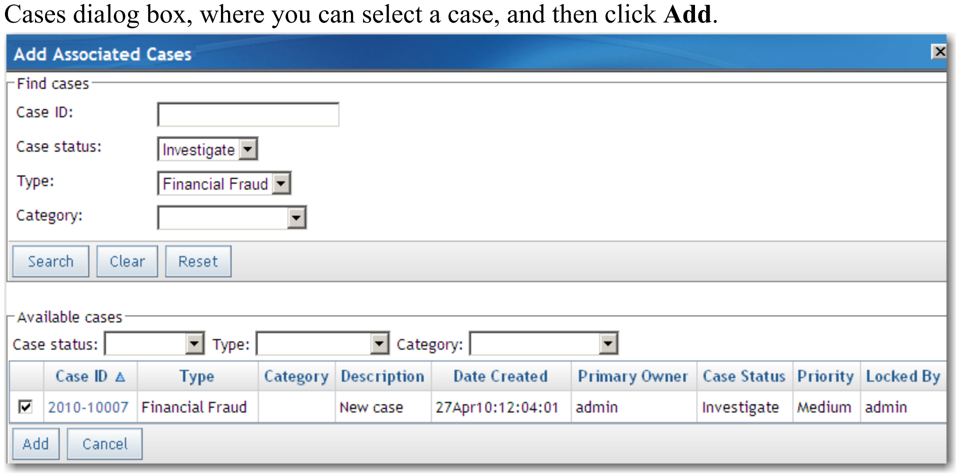


Define the subject's relationship to the case.

To add a new subject and information associated with it, click **Add new subject to case** ( ). This opens the New Subject dialog box. The subject that you add is automatically associated with this case.

Associated Cases

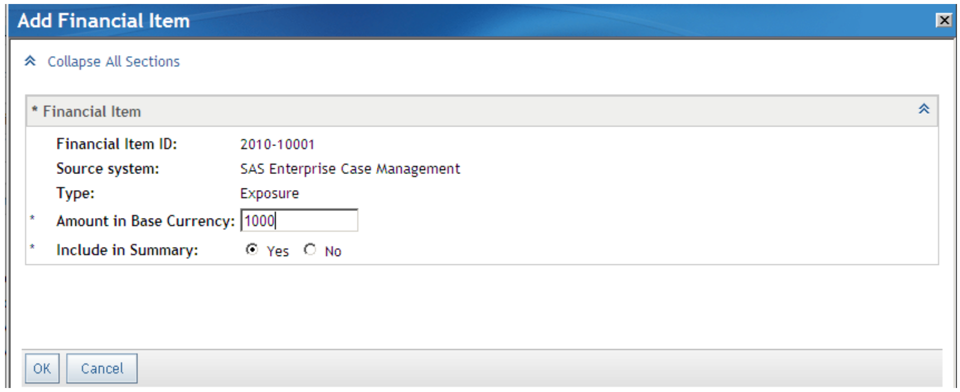
displays a list of other cases that are related to this case. You can also associate another case by clicking **Add Associated Cases**. This opens the Add Associated Cases dialog box, where you can select a case, and then click **Add**.



Financial Summary

displays the list of financial items associated with this case and a summary of the financial amounts. When financial items are added, edited, or deleted from the Financial Items table, the summary information is automatically recomputed.

To add a financial item, click **Add Financial Item** ( ). Identify the type of financial item, the amount and any other required information. Indicate whether this financial item should be included in the financial summary.



The item is now listed in the financial summary. Delete financial items by clicking **Delete** ( ).

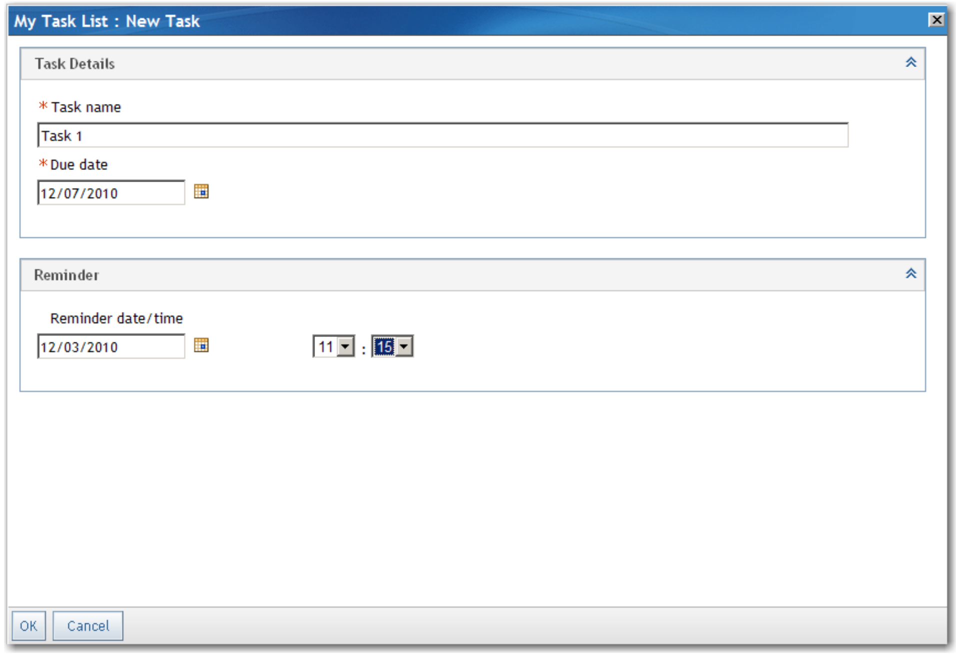
Note: Financial items that are added or edited at the incident level after the incident is added to a case are not displayed or summarized at the case level. If an incident is removed from a case, the financial items that were added to the case from that incident will remain.

Regulatory Reports
displays the reports related to the case. You can also add a report to the case by selecting **Add report** ( ). For more information on adding a report to a case, see "Creating New Reports" on page 33.

Case History
displays the activity history for the case.

Adding a Task to the Task List

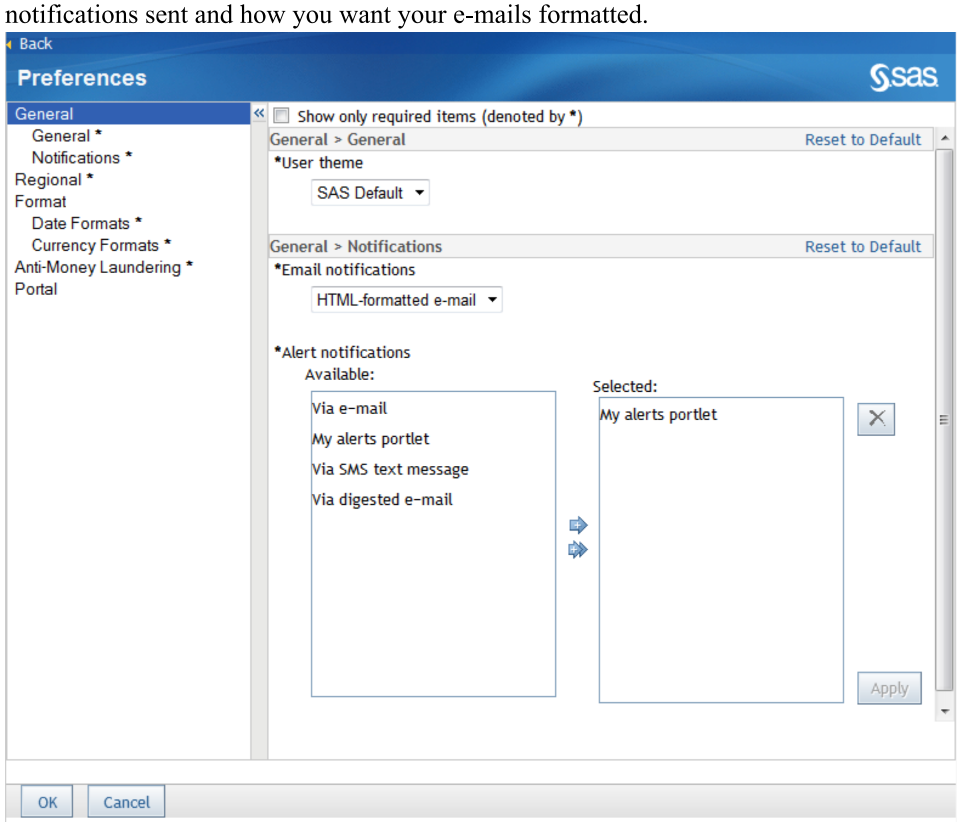
You can create a list of tasks for a case. To create a task, click **Add Task** ( ) and fill in **Task Name**, **Due date**, and **Reminder date/time** (optional), where you can specify the date and time that you would like to receive a reminder notification. The person who is logged in is the task owner and receives a system-generated notification on the reminder date.



Click **Delete** ( ) to delete completed tasks.

Note: Each time you click on a URL in an e-mail alert notification, a new tab is opened in a browser window. Make sure that you close the tabs after you log off from SAS Enterprise Case Management.

To set your preferences for notifications, click **Preferences** at the top right corner of the application window. Options on the **General** panel enable you to set how you want notifications sent and how you want your e-mails formatted.



Managing Subscriptions

You can sign up to receive notifications when specific events occur to this case by selecting **Manage Subscriptions** from the Actions menu ( ). If you are already in a case, click **Manage Subscriptions** at the top of the window.

From the Event Subscriptions dialog box, you can add events that you would like to receive notifications on by selecting the event categories from the list of available events and clicking **Add** ( ), or click **Add All** ( ) to subscribe to all notifications. To remove events, select the events from your list of subscribed events and click **Remove** ( ), or click **Remove All** ( ) to unsubscribe to all of your current subscriptions.

Note: If you want to use the subscription feature, you must have that capability as part of your user or group privileges.

The following are the options for event subscriptions:

Attachments
specifies a notification when attachments are added or deleted.

Comments
specifies a notification when a comment is added, edited, or deleted.

Link
specifies a notification when a case, incident, subject, report, or financial item is added to or removed from a case.

Save
specifies a notification when the entity is saved, regardless of the action performed.

Primary Owner
specifies a notification when a primary owner of a case is set or changed.

Unlock
specifies a notification when a case is unlocked.

Workflow
specifies a notification when a case workflow is activated or terminated, and the status of a workflow has changed.

Adding Comments and Attachments to a Case

In addition to editing the case, you can add comments and attachments to the case by clicking one of the following options:

Comments
opens the Comments dialog box, enabling you to add and view comments. For more information, see "Adding, Editing, and Printing Comments" on page 41.

Attachments
opens the Attachments dialog box, enabling you to add and view attachments. For more information, see "Adding Attachments" on page 41.

Searching the Web for Related Information

When you are editing a case, you can access your Web browser by selecting **Web Search**. This opens your Web browser, where you can search for information that is related to the case.

Saving the Edited Case

When you are finished editing the case, click **Save** to save the changes that you have made (excluding the items in the **Action Items** panel). The case is updated with the message **Case saved successfully**. To save the items in the **Action Items** panel, click **Save Case and Action Items**.

Click **Return to List** to go back to the list of available cases.

Case Reports

Preview Case Reports

You can preview a case report before you print it. In the **Results** panel, select **Preview Case Report** ( ) from the Actions menu ( ) next to a case. To preview a case report from an opened case, click **Print** ⇨ **Preview Case Report** ( ).

A case report includes these items, in order:

1. general case information, including **Action Items**, **Case Information** (split out by tab), and **Task List** panels.
2. case financial items.
3. case comments.
4. case list of attachments.
5. each case incident, including incident details (split out by tab), financial items, comments, and list of attachments.
6. each related subject, including subjects that are linked through an incident. Printed information includes subject details (split out by tab), comments, and list of attachments.

Print Case Reports

If you have already previewed a report, print it by clicking **File** ⇨ **Print** from inside the report. Use your browser's print features to complete the print process.

If you used **Generate Case Report** to print the report, see the following section.

Generated Case Reports

Generated reports are case reports that you can view or print later. You are sent a message when the report is complete. To generate a report, select **Generate Case**

Report () from the Actions menu () next to a case. To generate a case report from an opened case, click **Print** ⇨ **Generate Case Report** ().

To access the case reports, click **Generated Reports** from the **Cases** tab. You can perform the following actions:

- Sort the columns in the report table by clicking the column headings.
- View a report by selecting a Report Name.
- Print a generated report by clicking **File** ⇨ **Print** while viewing the report. User your browser's print features to complete the print process.
- Delete a report by clicking the ✕ next to the report.

To edit your notification preferences, click **Preferences**. In the **General** panel, change your notification preferences.

Chapter 3

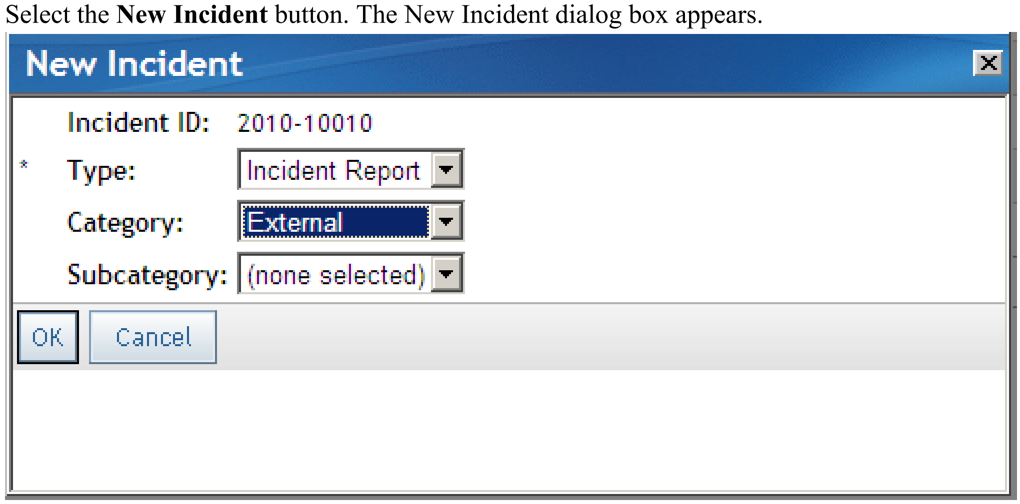
Working with Incidents

Creating New Incidents

You can create new incidents by selecting **New Incident** () from the **Incidents** tab in SAS Enterprise Case Management.

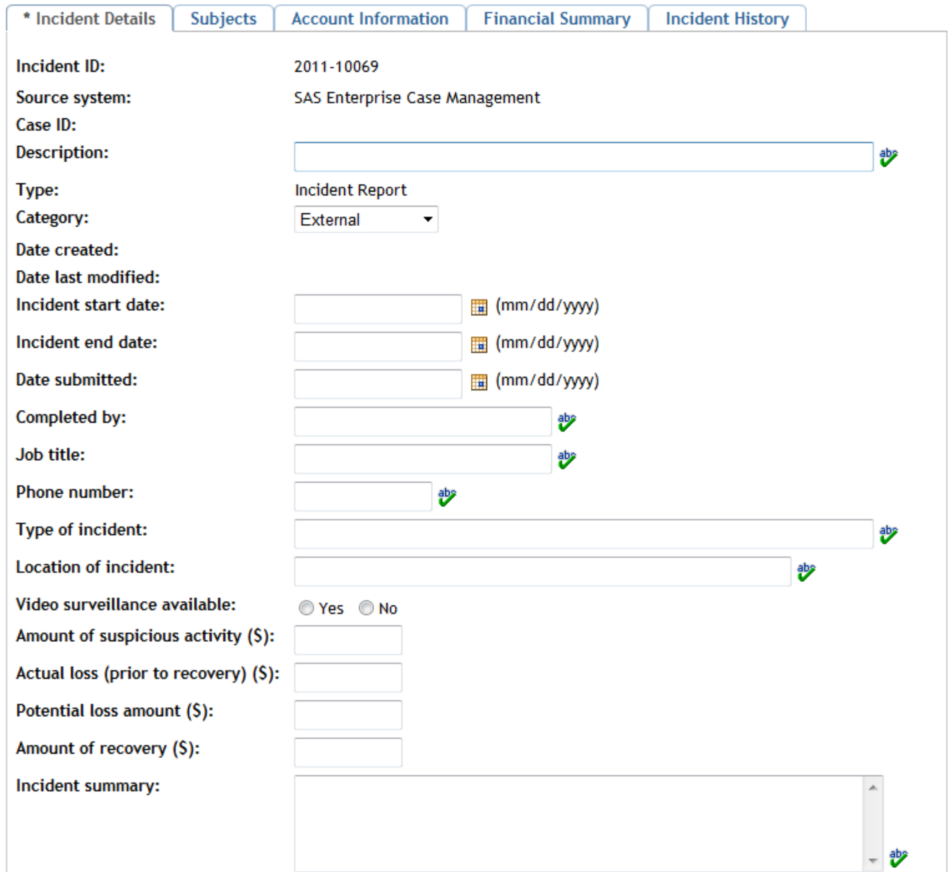
To create a new incident:

1. Select the **New Incident** button. The New Incident dialog box appears.



2. Select the necessary information for the incident.

3. Select **OK** to create the incident. The incident is then opened for you to edit. You can continue to add information about this incident.



4. When you are finished, select **Save** to create and save the incident. The new incident is then displayed in the list of available incidents on the **Results** panel on the **Incidents** tab.

5. Select **Return to List** to close the dialog box without saving the incident.

Note: If you did not save the incident before selecting **Return to List**, the Save Changes dialog box appears. Click **Yes** to save the incident. Select **No** to not save the incident and return to the **Incidents** page, or select **Cancel** to continue entering information about the incident.

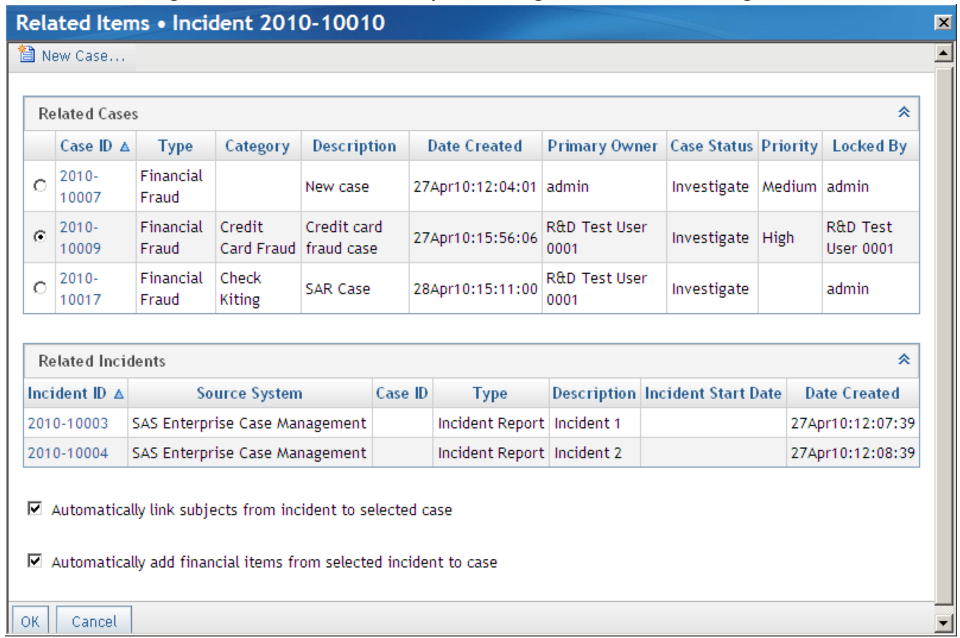
Finding Items Related to Unassigned Incidents

You can find cases and other incidents that are related to unassigned incidents. The cases and incidents might be related to the unassigned incident by a subject's national ID number or other criteria that were established at your site. You can then link the unassigned incident to an existing case. If there are no related cases that you want to link to, you can open a new case and link related incidents to it. To link an unassigned incident to an existing case from the **Incidents** tab:

1. Select **Related Items** (+) from the Actions menu () on the **Results** panel. You can also select **Related Items** (+) while viewing an individual incident. The Related Items dialog box appears.

2. View related cases by clicking **Case IDs**. Sort information for related cases by clicking on the respective column names.

3. Link the unassigned incident to a case by selecting a case and clicking **OK**.



Note: The options **Automatically link subjects from incident to selected case** and **Automatically add financial items from selected incident to case** are selected by default. Clear the boxes if you want to link the subjects and financial items from the unassigned incident individually.

To view related incidents, open a new case in the Related Items dialog box and link related incidents to it:

1. View related incidents by clicking **Incident IDs**. Sort information for related incidents in the dialog box by clicking on the respective column names. Record the incident IDs of the related incidents that you want to link to a new case.

2. Click **New Case** () in the Related Items dialog box and create a case. Save the case.

3. Return to the list of unassigned incidents on the **Results** panel. Select an incident that you recorded earlier in the **Related Items** dialog box.

4. Follow the previous instructions for linking an unassigned incident to a case. The case that you entered earlier now appears as a selection in the **Related Items** dialog box.

5. Repeat the process until you have linked all of the unassigned incidents that you recorded earlier in the **Related Items** dialog box.

Editing Incidents

Editing Incident Information

Click to find and correct spelling errors in a field. You can check spelling anywhere the spell check icon appears.

The following information can be edited for an incident:

Note: An incident is locked every time it is edited, to prevent the incident from being worked on concurrently by another user. To unlock an incident from the incident edit window, click **Return to List**. If you log off from SAS Enterprise Case Management (or your session times out) while you are in an incident, the lock will not be removed until you manually unlock it.

Incident Details
enables you to edit the details for an incident.

Subjects
displays the subjects related to the incident. You can also add an existing subject to the incident by clicking **Add existing subject to incident** ( ). This opens the Add subject to incident dialog box.

To add a new subject and information associated with it, click **Add new subject to incident** ( ). This opens the New Subject dialog box. The subject that you add is automatically associated with this incident.

Account Information
enables you to enter account details and transaction information for the incident. On the **Account Details** panel, enter account information. The **Transactions** panel displays all existing transactions for the incident. Click **Add Transaction** to open the Add Transaction dialog box and create a new transaction. On the **Transactions** panel, the Actions menu ( ) enables you to view, edit, or delete a transaction.

Financial Summary
displays the list of financial items associated with this incident and a summary of the financial amounts. When financial items are added, edited, or deleted from the Financial Items table, the summary information is automatically recomputed.

To add a financial item to an incident, Click **Add Financial Item** ( ). Identify the type of financial item, the amount, and any other required information. Indicate whether this financial item should be included in the financial summary. When you assign the incident to a case, you have the option to include its financial items.

Delete financial items by clicking **Delete** ( ).

Regulatory Reports
displays the reports related to the incident. You can also add a report to the incident by clicking **Add Report** ( ). For more information on adding a report to an incident, see "Creating New Reports" on page 33.

Incident History

displays the activity history for the incident. The Type column includes the actions that were taken on the incident. **Save** indicates that the incident was saved after an action.

The Description column provides details about the action. **Version N** refers to the version number that is assigned after a save. When an incident is created, it is Version 1. Click **Version 1** to see the original fields entered for the incident.

Click **Version N** to open the Incident Version Comparison dialog box. All subsequent changes are compared to the previous version. For example, Version 4 is compared to Version 3. Blank fields indicate no changes. Click the arrows in the top right corner of the dialog box to scroll to older or newer versions. Close the view by clicking the **X**.

Custom fields appear as standard fields in the version history, with the field in a one-to-one relationship between the current and previous version. However, custom tables display the full table view from version to version. Any changes from Version 3 to Version 4 show the Version 3 table above the Version 4 table.

Note: When an incident's history is viewed, only the subjects of comments are displayed.

Finding Items Related to Unrelated Unassigned Incidents

You can find cases and other incidents that are related to unassigned incidents by clicking **Related Items** (+). For more information, see "Finding Items Related to Unassigned Incidents" on page 20.

Creating a New Case

Create a new case by clicking **New Case**. For more information, see "Creating New Cases" on page 5.

Managing Subscriptions

You can sign up to receive notifications when specific events occur to this case by selecting **Manage Subscriptions** from the Actions menu ( ). If you are already in a case, click **Manage Subscriptions** at the top of the window.

From the Event Subscriptions dialog box, you can add events you would like to receive notifications on by selecting the event categories from the list of available events and clicking **Add** ( ), or click **Add All** ( ) to subscribe to all notifications. To remove events, select the events from your list of subscribed events and click **Remove** ( ), or click **Remove All** ( ) to unsubscribe to all of your current subscriptions.

Note: If you want to use the subscription feature, you must have that capability as part of your user or group privileges.

The following are the options for event subscriptions:

Attachments

specifies a notification when attachments are added or deleted.

Comments

specifies a notification when a comment is added, edited, or deleted.

Link
specifies a notification when a case, incident, subject, report, or financial item is added to or removed from an incident.

Save
specifies a notification when the entity is saved, regardless of the action performed.

Unlock
specifies a notification when an incident is unlocked.

Adding Comments and Attachments to an Incident

In addition to editing the incident, you can add comments and attachments to the incident by clicking one of the following options:

Comments
opens the Comments dialog box, enabling you to add and view comments. For more information, see "Adding, Editing, and Printing Comments" on page 41.

Attachments
opens the Attachments dialog box, enabling you to add and view attachments. For more information, see "Adding Attachments" on page 41.

Searching for Web Related Information

When you are editing an incident, you can access your Web browser by clicking **Web Search**. This opens your Web browser, where you can search for information that is related to the incident.

Saving the Edited Incident

When you are finished editing the incident, click **Save** to save the changes that you have made. The incident is updated with the message **Incident saved successfully**. Click **Return to List** before you save to close the dialog box without saving the incident.

Chapter 4

Working with Subjects

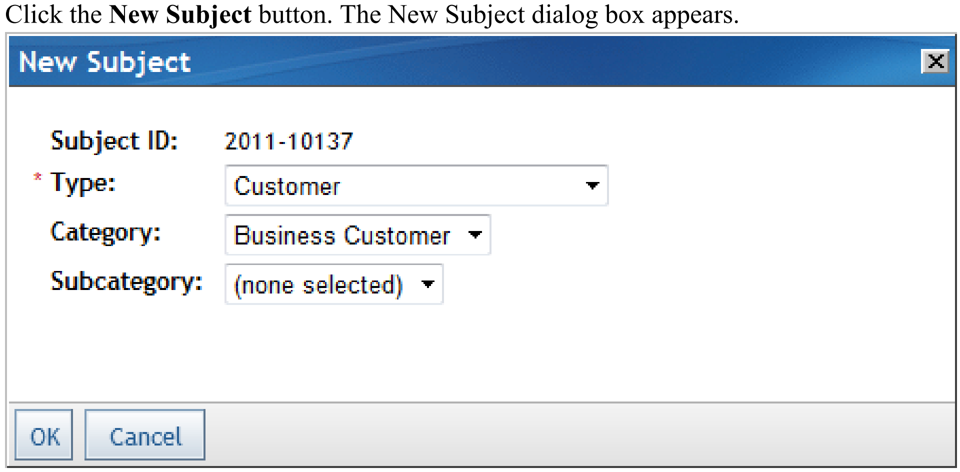
New Subjects

Creating New Subjects

You can create new subjects by selecting **New Subject** ( ) from the **Subjects** tab in SAS Enterprise Case Management.

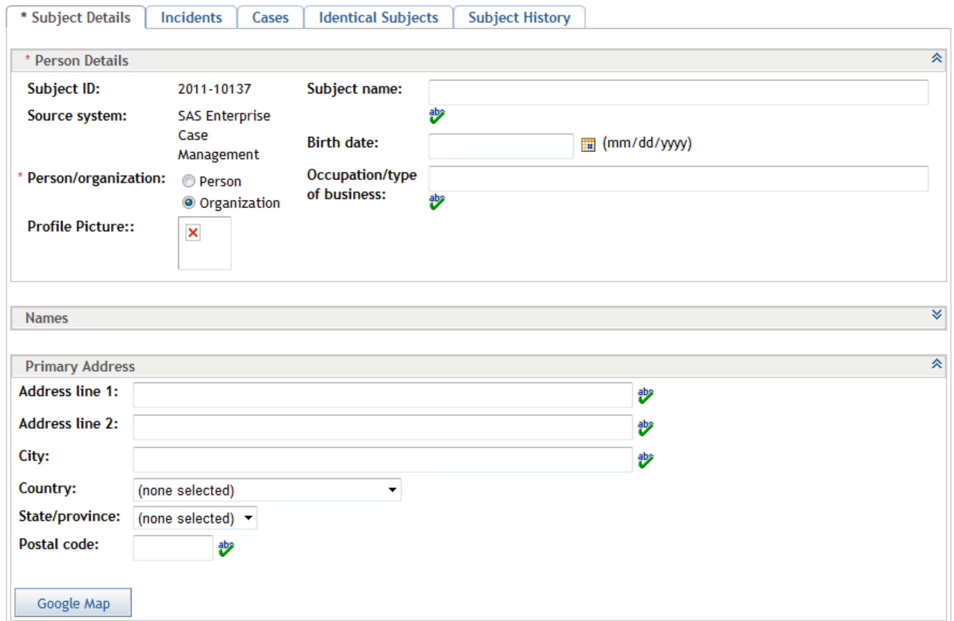
To create a new subject:

1. Click the **New Subject** button. The New Subject dialog box appears.



2. Select the necessary information for the subject.

3. Select **OK** to create the subject. The subject is then opened for you to edit. You can continue to add information about this subject.



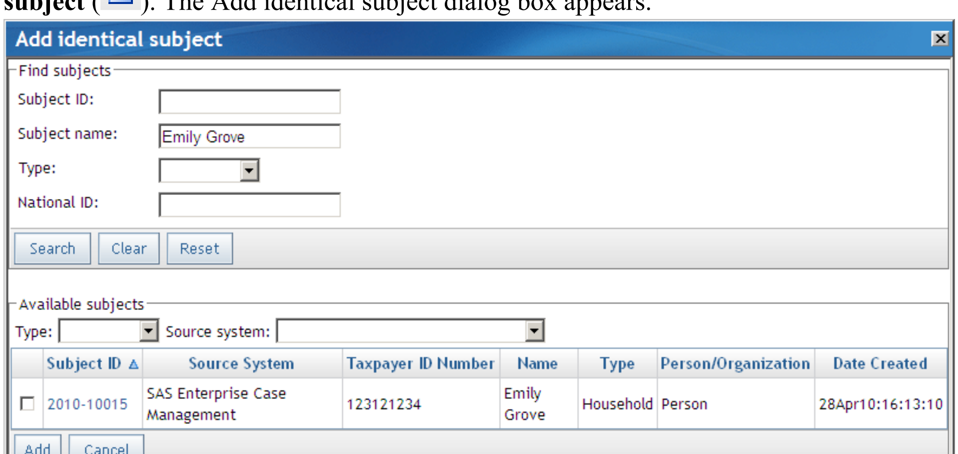
4. When you are finished, select **Save** to create and save the subject.
5. Click **Return to List** to close the dialog box without saving the subject.

Note: If you did not save the subject before selecting **Return to List**, the Save Changes dialog box appears. Select **Yes** to save the subject. Select **No** to not save the subject and return to the Subjects page, or select **Cancel** to continue entering information about the subject.

Linking Identical Subjects

When you enter a subject, you can link other subjects to it, indicating that they identify the same person. For example, if you are entering subject Mary Jane Moyers and you know she is already in the system as M. J. Moyers, you can enter M. J. Moyers as an identical subject.

1. In the Subject window, select the **Identical Subjects** tab. Click **Add identical subject** ( ). The Add identical subject dialog box appears.



2. Search for subjects in the top portion of the dialog box. The results appear at the bottom of the dialog box.

3. Select the desired subjects and click **Add** to add them as identical subjects. You are returned to the Subject window.

4. Save your changes. The identical subjects are added to this subject's history files.

Editing Subjects

Editing Subject Information

Click to find and correct spelling errors in a field. You can check spelling anywhere the spell check icon appears.

The following information can be edited for a subject:

Note: A subject is locked every time it is edited, to prevent the subject from being worked on concurrently by another user. To unlock a subject from the subject edit window, click **Return to List**. If you log off from SAS Enterprise Case Management (or your session times out) while you are in a subject, the lock will not be removed until you manually unlock it.

Subject Details
enables you to edit the details for a subject.

Incidents
displays the incidents related to the subject.

Cases
displays the cases related to the subject.

Identical Subjects
enables you to link other subjects to this one, indicating that they identify the same person. For example, if you are entering subject Mary Jane Moyers and you know she is already in the system as M. J. Moyers, you can enter M. J. Moyers as an identical subject. For more information, see "Linking Identical Subjects" on page 26.

Subject History
displays the activity history for the subject. The Type column includes the actions that were taken on the subject. **Save** indicates that the subject was saved after an action.

The Description column provides details about the action. **Version N** refers to the version number that is assigned after a save. When a subject is created, it is Version 1. Click **Version 1** to see the original fields entered for the subject.

Click **Version N** to open the Subject Version Comparison dialog box. All subsequent changes are compared to the previous version. For example, Version 4 is compared to Version 3. Blank fields indicate no changes. Click the arrows in the top right corner of the dialog box to scroll to older or newer versions. Close the view by clicking the **X**.

Custom fields appear as standard fields in the version history, with the field in a one-to-one relationship between the current and previous version. However, custom tables display the full table view from version to version. Any changes from Version 3 to Version 4 show the Version 3 table above the Version 4 table.

Note: When a subject's history is viewed, only the subjects of comments are displayed.

Managing Subscriptions

You can sign up to receive notifications when specific events occur to this case by selecting **Manage Subscriptions** from the Actions menu ( ). If you are already in a case, click **Manage Subscriptions** at the top of the window.

From the Event Subscriptions dialog box, you can add events you would like to receive notifications on by selecting the event categories from the list of available events and clicking **Add** ( ), or click **Add All** ( ) to subscribe to all notifications. To remove events, select the events from your list of subscribed events and click **Remove** ( ), or click **Remove All** ( ) to unsubscribe to all of your current subscriptions.

Note: If you want to use the subscription feature, you must have that capability as part of your user or group privileges.

The following are the options for event subscriptions:

Attachments
specifies a notification when attachments are added or deleted.

Comments
specifies a notification when a comment is added, edited, or deleted.

Link
specifies a notification when a subject is added to or removed from a case, incident, or another subject.

Save
specifies a notification when the entity is saved, regardless of the action performed.

Unlock
specifies a notification when a subject is unlocked.

Adding Comments and Attachments to a Subject

In addition to editing the subject, you can add comments and attachments to the subject by clicking one of the following options:

Comments
opens the Comments dialog box, enabling you to add and view comments. For more information, see "Adding, Editing, and Printing Comments" on page 41

Attachments
opens the Attachments dialog box, enabling you to add and view attachments. For more information, see "Adding Attachments" on page 41.

Performing Case Network Analysis

You can investigate a subject by viewing a network of cases, subjects, and incidents that are related to that subject by clicking **Case Network Analysis** ( ). For more information, see "Case Network Analysis" on page 29.

Searching for Web Related Information

When you are editing a subject, you can access your Web browser by clicking **Web Search**. This opens your Web browser, where you can search for information that is related to the subject.

Saving the Edited Subject

When you are finished editing the subject, click **Save** to save the changes that you have made. The subject is updated with the message **Subject saved successfully**. Click **Return to List** to go back to the list of available subjects.

Case Network Analysis

Accessing Case Network Analysis

You can investigate a subject by viewing a network of cases, subjects, incidents, and reports that are related to that subject. The subjects can be associated by national ID number or other criteria that were established at your site. To perform case network analysis, go to the **Subjects** tab. Select **Case Network Analysis** ( ) from the Actions menu ( ) on the **Results** pane, or from the Subject window. The Enterprise Case Management – Case Network Analysis window appears and the network loads. The subject that you are analyzing is the Graph Origin node and appears in red. The network first draws connectors from the root node to related cases, incidents, or subjects. Connections are then made from that related subject, case, or incident to all of the subjects, cases, or incidents associated with it, to widen the network. If the subject has no related cases, related incidents, or linked subjects, only the Graph Origin node will appear.

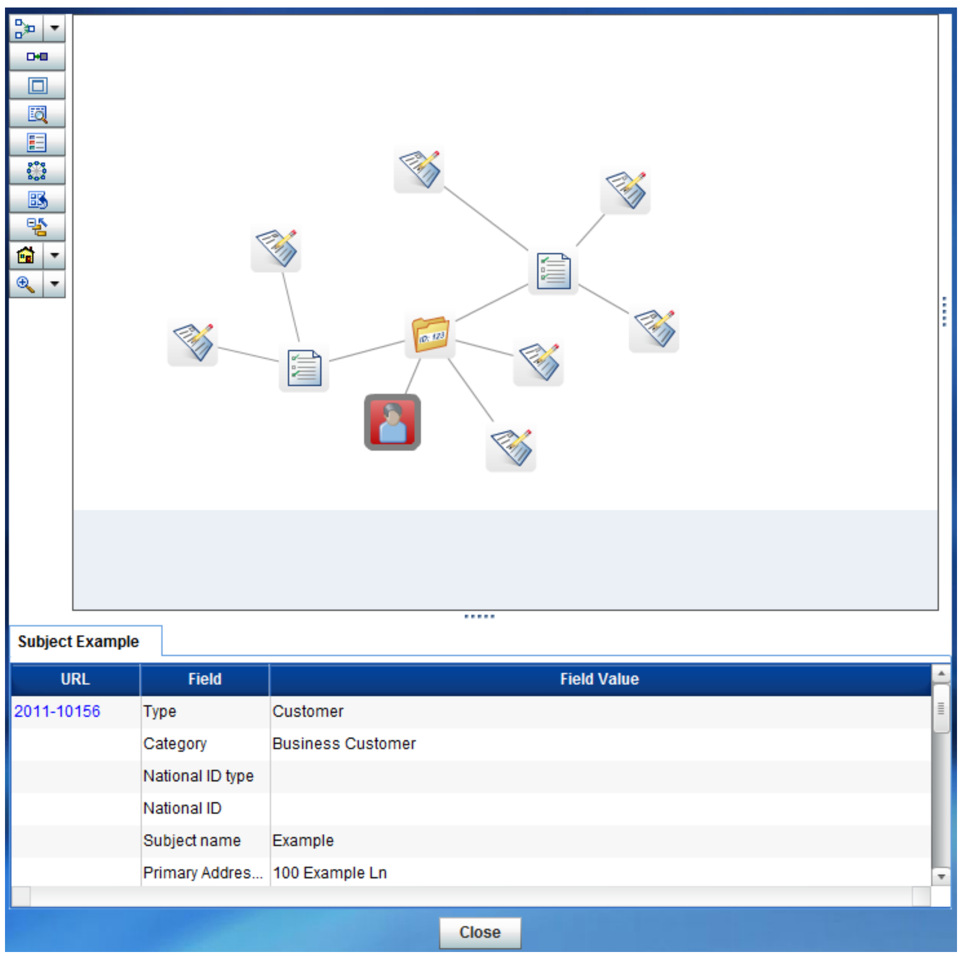
Exploring the Network

Use the following techniques to navigate within the Case Network Analysis display:

- Expand — To expand a node or group of nodes, click the plus sign under the node ( ). That node becomes the new reference point for relationships and can retrieve other items from the system. You can expand only subject nodes.
- Zoom — To zoom in and out on the network itself, move the mouse wheel forward and backward.
- Move network — To move the entire network within the display, left-click in the white space around a network and then drag the network to a new location.
- Rotate network — To rotate the entire network within the display, hold down the CTRL key, left-click in the white space around a network, and move the cursor in a circular direction.
- Rearrange nodes — Select a node (single or grouped) to drag the node to a new location. Links are automatically rearranged when nodes are moved. You can drag nodes to see relationships more clearly.
- Hide/unhide and close tabs — Double-click in the white space around the network to hide any tabs that appear on the bottom of the Case Network Analysis display. This

also maximizes the display area. Double-click again to make the tabs appear. Click the **X** on a tab to close it.

- Move tabs — Move a tab by selecting, dragging, and dropping it into a new position within the grouping of existing tabs.
- Resize Sections — Adjust the area at the bottom of the display that is devoted to tabs by clicking the separator bar and dragging it up or down.
- Node Description — To see a description of a node, hover your cursor over a node. To see how nodes are related, hover your cursor over a link.
- View details — To view node details, click the chevron button ( ) that appears when your cursor hovers over a node , and then select **Show Details**, or double-click the node. A detail tab is displayed. You can sort any column in the tab alphabetically by clicking the column name. Collapse the detail tab by clicking the **X** in the tab title.



- Annotate — To view or make annotations about a node, click **Annotate** when your cursor hovers over a node.

  Note: If you do not want to see the HTML tags along with the annotations, do not include any HTML tags with the incoming string value.

- Open a new SAS Enterprise Case Management window — Click a URL in a detail tab to view additional information in a new SAS Enterprise Case Management window. You might have multiple windows open at the same time. Note that you can only see the details for cases, incidents, or subjects linked to the origin subject based on your permission.

- Add nodes — To add a node, place your cursor on a node to click the chevron button (), and then select **Add Node**.

  Note: Unless the details are included in the associated SAS file, clicking **Show Details** returns no results for any added node.

- Hide nodes — To hide a node and its connector, click the chevron button (), and then select **Hide**. To delete a node and its connector, select **Delete**.

  Note: A node cannot be hidden if the action leaves a node unlinked from other nodes in the network. In these instances, the Hide option does not perform any action.

Using the Toolbar

The toolbar buttons enable you to change the views of the network.

Group Nodes ()
: enables you to organize nodes by grouping them together. Click **Group**. Hold down the CTRL key and click the left mouse button to define a rectangle around the nodes that you want to group, and then release the mouse button. The selected nodes and their links are highlighted in black. Click **Group** again to collapse the nodes into a single icon. To expand, click .

Add Link ()
: enables you to establish a link between nodes. Hold down the CTRL key and select two nodes, and then click . A line appears that connects the nodes.

Maximize Region ()
: maximizes the network viewing pane by hiding the node detail sections of the display. Select the button again to restore the node detail sections to the display.

Node ID ()
: toggles to make node IDs appear and disappear.

Legend ()
: toggles to make the toolbar legend appear and disappear.

Graph Options ()
: enables you to choose from three layout options: Advanced, Fast, and Hierarchy.

Re-Group Nodes ()
: enables you to regroup sets of nodes that you previously grouped and then expanded. Clicking it additional times regroups node sets in reverse sequential order.

Collapse Expanded Nodes ()
: collapses any subject nodes that have been expanded.

Center Network ()
: centers the network in the display area. Click the arrow () to see options for moving or rotating the network.

Zoom ()

enables you to get a closer look at portions of the network. Click the arrow () to see other zoom options.

Printing and Exiting

To print, right-click anywhere in the network and then select **Print**. You might need to move the network to the upper left corner and resize it for best results. To exit the network, close the window by clicking **OK**.

Chapter 5

Working with Reports

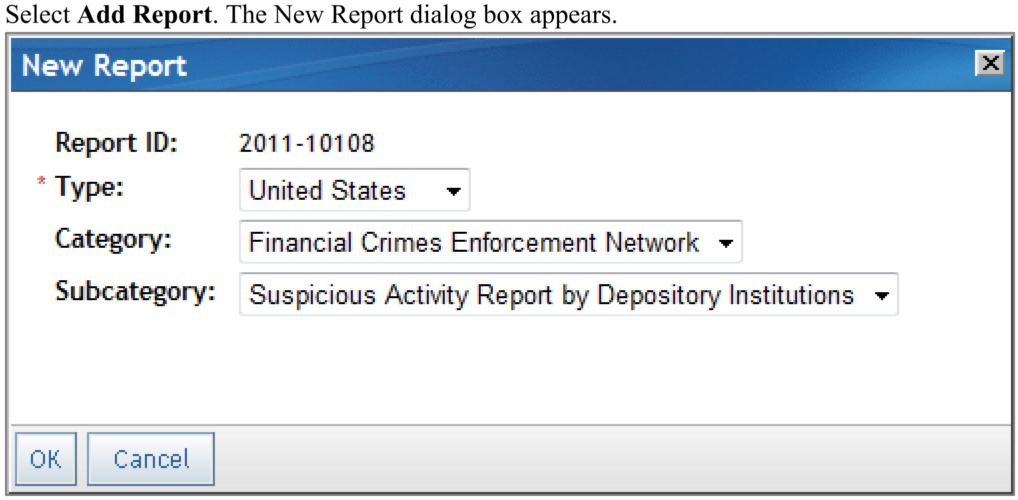
Creating New Reports

You can create new reports by selecting **Add Report** ( ) from the list of reports associated with a case or incident in SAS Enterprise Case Management.

Note: **Add Report** is available depending on your workflow configuration as well as case or incident type.

To create a new report:

1. Select **Add Report**. The New Report dialog box appears.



2. Select the necessary information for the report. Click **OK** to create the report. The report is opened for editing. You can continue to add information regarding this report.

3. When you are finished, click **Save** or **Save Draft** to create and save the report. The new report is then displayed in the list of available reports on the case or incident and also on the **Results** panel on the **Reports** tab.

   Note: **Save** requires you to enter all of the required information before the report is saved and you are allowed to leave the screen. **Save Draft** allows you to save the report and leave the screen, but shows warnings for information that you need to provide before the report can be moved to the next step in the process.

4. Click **Return to Case** or **Return to Incident** to close the dialog box without saving the report.

Note: If you did not save the report before clicking **Return to Case** or **Return to Incident**, the Save Changes dialog box appears. Click **Yes** to save the report. Click **No** to not save the report and return to the **Reports** tab, or click **Cancel** to continue entering information about the report.

Editing Reports

Editing the Report Activity Status

In SAS Enterprise Case Management, you can edit a report by selecting **Edit Report** from the Actions menu ( ) on the **Results** panel for reports. When you select **Edit Report**, the selected report opens. You can then make any needed changes to the report. The report and the report status for the report are displayed. On this page, you can update the report status on the **Action Items** panel. The **Action Items** panel displays the activity status information for the report. To update the status for an activity, select a status option from the **Activity Status** drop-down box.

From the **Action Items** panel, you can also select the following actions:

Save Entity and Action Items
commits updates to the activity status of the report, as well as any other report edits made.

Note: Clicking **Save** ( ) saves only the report edits. It does not commit any updates to the activity status of the report.

Terminate Workflow
terminates the workflow of a report.

Activate Workflow
reactivates a report's workflow when an available workflow option is selected.

Note: A report is locked every time it is edited, to prevent the report from being worked on concurrently by another user. To unlock a report from the report edit window, click **Return to List**. If you log off from SAS Enterprise Case Management (or your session times out) while you are in a report, the lock will not be removed until you manually unlock it.

Editing Report Information

You can update information for a report on the **Report Information** panel. The **Report Information** panel contains various items that you can modify. Click to find and correct spelling errors in a field. You can check spelling anywhere the spell check icon appears. The following information can be edited for a report:

Report Details
enables you to edit the details for a report.

Report History
displays the activity history for the report. The Type column includes the actions that were taken on the report. **Save** indicates that the report was saved after an action.

The Description column provides details about the action. **Version N** refers to the version number that is assigned after a save. When a report is created, it is Version 1. Click **Version 1** to see the original fields entered for the report.

Click **Version N** to open the Report Version Comparison dialog box. All subsequent changes are compared to the previous version. For example, Version 4 is compared to Version 3. Blank fields indicate no changes. Click the arrows in the top right corner of the dialog box to scroll to older or newer versions. Close the view by clicking the **X**.

Note: When a report's history is viewed, only the subjects of comments are displayed.

Managing Subscriptions

You can sign up to receive notifications when specific events occur to this report by selecting **Manage Subscriptions** from the Actions menu ( ). If you are already in a report, click **Manage Subscriptions** at the top of the window.

From the Event Subscriptions dialog box, you can add events that you would like to receive notifications on by selecting the event categories from the list of available events and clicking **Add** ( ), or click **Add All** ( ) to subscribe to all notifications. To remove events, select the events from your list of subscribed events and click **Remove** ( ), or click **Remove All** ( ) to unsubscribe to all of your current subscriptions.

Note: If you want to use the subscription feature, you must have that capability as part of your user or group privileges.

The following are the options for event subscriptions:

Attachments
specifies a notification when attachments are added or deleted.

Comments
specifies a notification when a comment is added, edited, or deleted.

Link
specifies a notification when a report is added to or removed from an e-file.

Save
specifies a notification when the entity is saved, regardless of the action performed.

Unlock
specifies a notification when a report is unlocked.

Workflow
specifies a notification when a report workflow is activated or terminated, and the status of a workflow has changed.

Adding Comments and Attachments to a Report

In addition to editing, you can also add comments and attachments to the report by clicking one of the following options:

Comments
opens the Comments dialog box, enabling you to add and view comments. For more information, see "Adding, Editing, and Printing Comments" on page 41.

Attachments
opens the Attachments dialog box, enabling you to add and view attachments. For more information, see "Adding Attachments" on page 41.

Saving the Edited Report

When you are finished editing the report, click **Save** to save the changes that you have made (excluding the items in the **Actions Items** panel). The report is updated with the message **Report saved successfully**. To save the items in the **Action Items** panel, click **Save Report and Action Items**.

Preview Reports

You can preview a report before you print it. In the **Results** panel, select **Preview Report** from the menu. This displays the report in a style that has been associated with the report type. This can be in PDF, HTML, or RTF format, for example.

Print Reports

If you have already previewed a report, you can print the report by using the embedded print functionality of the technology being used to view the report (for example, printing from Adobe Reader).

Chapter 6

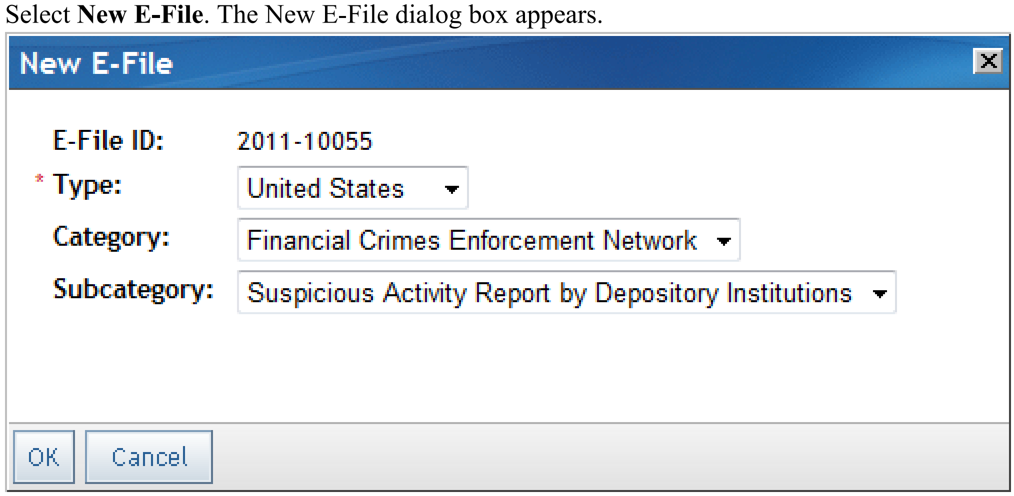
Working with E-Files

Creating New E-Files

You can create new e-files by selecting **New E-File** ( ) from the **E-File** tab in SAS Enterprise Case Management.

To create a new e-file:

1. Select **New E-File**. The New E-File dialog box appears.



2. Select the necessary information for the e-file and click **OK** to create the e-file.

   The e-file is then opened for editing. You can continue to add information about this e-file.

3. When you are finished, click **Save E-File** to create and save the e-file. The new e-file is then displayed in the list of available e-files on the **E-File** panel on the **E-File** tab.

4. Select **Return to List** to close the dialog box without saving the e-file.

Note: If you did not save the e-file before clicking **Return to List**, the Save Changes dialog box appears. Click **Yes** to save the e-file. Click **No** to not save the e-file and return to the **E-File** tab, or click **Cancel** to continue entering information about the e-file.

Editing E-Files

Editing E-File Information

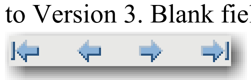
You can update information for an e-file on the **E-File Information** panel. The **E-File Information** panel contains various items that you can modify. Click  to find and correct spelling errors in a field. You can check spelling anywhere the spell check icon appears. The following information can be edited for an e-file:

Note: An e-file is locked every time it is edited, to prevent the e-file from being worked on concurrently by another user. To unlock an e-file from the e-file edit window, click **Return to List**. If you log off from SAS Enterprise Case Management (or your session times out) while you are in an e-file, the lock will not be removed until you manually unlock it.

E-File Details
enables you to edit the details for an e-file.

E-File History
displays the activity history for the e-file. The Type column includes the actions that were taken on the e-file. **Save** indicates that the e-file was saved after an action.

The Description column provides details about the action. **Version N** refers to the version number that is assigned after a save. When an e-file is created, it is Version 1. Click **Version 1** to see the original fields entered for the e-file.

Click **Version N** to open the E-File Version Comparison dialog box. All subsequent changes are compared to the previous version. For example, Version 4 is compared to Version 3. Blank fields indicate no changes. Click the arrows  in the top right corner of the dialog box to scroll to older or newer versions. Close the view by clicking the **X**.

Note: When an e-file's history is viewed, only the subjects of comments are displayed.

E-File Reports
enables you to update and link reports to an e-file.

Click **Add E-File Report** to open the Add Report to E-File dialog box. This dialog box enables you to link reports to an e-file that is ready to be generated. You can choose multiple reports from this dialog box. See "Adding Reports to an E-File" on page 39, for more information.

Click **Update report status** to open the Update Report Status dialog box. This dialog box enables you to change the status of many reports at the same time. Select the check boxes to update some or all of the reports.

Generate E-File
click this to generate an e-file for all the reports that are linked to this e-file.

Post-filing Details
provides information on the generated e-file. You can enter the confirmation ID that comes back from the regulatory agency.

After **Generate E-File** has been clicked, the following fields are populated:

Coverage Start Date
is the earliest activity date from all the reports that are e-filed.

Output Filename
is the name of the DAT file that is sent to the government and that is produced by the generation process.

Output Path Name
is the name of the directory where the output file is stored.

Output Report Count
is the count of all the reports that are generated in this e-file.

Output Line Count
is the number of lines in the file from the **Output Filename** field.

Output File Size (Bytes)
is the size of the output file.

Output Creation Date
is the date that the file in the **Output Filename** field was generated.

Coverage End Date
is the latest activity date from all the reports that are e-filed.

Note: When you have received the confirmation information after submitting the e-file to the financial center government site, you can paste the information into the **Transmission Date** and **Output Creation Date** fields.

Adding Reports to an E-File

Reports can be added to an e-file only before the e-file's submission file is generated. After you click **Generate E-File**, the status of the e-file changes and information about the generated submission file is populated to the e-file. When you save the e-file at this point, the **Add E-File Reports** and **Generate E-File** options are hidden or disabled. If the e-file needs to be generated again, you must change the e-file status back to **Ready to Generate** and save the e-file. This makes the **Add E-File Reports** and **Generate E-File** options available again.

Note: To add a report to an e-file, the report type, category, and subcategory must match that of the e-file.

After an e-file is marked as **Accepted**, it is no longer editable. The only option available is **Update Report Status**.

Managing Subscriptions

You can sign up to receive notifications when specific events occur to this e-file by selecting **Manage Subscriptions** from the Actions menu ( ). If you are already in an e-file, click **Manage Subscriptions** at the top of the window.

From the Event Subscriptions dialog box, you can add events that you would like to receive notifications on by selecting the event categories from the list of available events and clicking **Add** ( ), or click **Add All** ( ) to subscribe to all notifications. To remove events, select the events from your list of subscribed events and click **Remove** ( ), or click **Remove All** ( ) to unsubscribe to all of your current subscriptions.

Note: If you want to use the subscription feature, you must have that capability as part of your user or group privileges.

The following are the options for event subscriptions:

Attachments
: specifies a notification when attachments are added or deleted.

Comments
: specifies a notification when a comment is added, edited, or deleted.

Link
: specifies a notification when a report is added to or removed from an e-file.

Save
: specifies a notification when the entity is saved, regardless of the action performed.

Unlock
: specifies a notification when an e-file is unlocked.

Adding Comments and Attachments to an E-File

In addition to editing the e-file, you can add comments and attachments to the e-file by clicking one of the following options:

Comments
: opens the Comments dialog box, enabling you to add and view comments. For more information, see “Adding, Editing, and Printing Comments” on page 41.

Attachments
: opens the Attachments dialog box, enabling you to add and view attachments. For more information, see “Adding Attachments” on page 41.

Saving the Edited E-File

When you have finished editing the e-file, select **Save E-File** to save the changes that you have made. The e-file will be updated with the message **E-File saved successfully**.

Chapter 7

Attachments and Comments

Adding Attachments

When you are working in SAS Enterprise Case Management, it might be necessary to add supporting documents to an entity (case, incident, subject, report, or e-file). You can add file attachments by clicking **Attachments** when you are editing an entity. You can also select **Attachments** from the Actions menu ( ) on the **Results** panel for an entity. Follow these steps to add an attachment:

1. Select **Attachments**. The Attachments dialog box appears.
2. On the **Add Attachments** panel, enter the location and name of the file that you are attaching. You can also select the **Browse** button to locate the file.
3. If needed, enter a text description of the file that you are attaching in the **Description** box.
4. Click the **Commit Attachments** button. This saves the attachment to the selected item. The following message then appears:

   ```
   File "xxx" was successfully uploaded
   ```

   The attachment is then listed in the **Attachments** panel.
5. The **Attachments** panel lists all attachments that are added to the item. If you select an attachment from the **Attachments** panel, the attachment opens in a new dialog box. If needed, you can delete an attachment by selecting the **Delete Attachment** button ( ) that appears beside the attachment.
6. When you are finished adding or deleting attachments, select **Close** to exit the Attachments dialog box.

Adding, Editing, and Printing Comments

When you are working in SAS Enterprise Case Management, it might be necessary to add supporting comments to an entity (case, incident, subject, report, or e-file). You can add, view, edit, or print comments by clicking **Comments** when you are editing an entity. You can also select **Comments** from the Actions menu ( ) on the **Results** panel for an entity.

To add a comment:

1. Select **Comments**. The Comments dialog box appears.
2. In the **Subject** box, enter a description of the comment that you are adding.
3. Enter your comment text in the **Comment** box.
4. Click **Add Comment**. This saves the comment to the selected item. The comment is then listed in the Comments dialog box.

   Note: When adding a comment to an e-file, you can also have the comment added to all reports in the e-file. To do this, select the **Add comments to all reports in the e-file** check box.

To view, edit, and print comments:

1. The Comments dialog box lists all comments that are added to the item. You can view a comment by selecting **View Comment** ( ) from the Actions menu ( ). If you select **View Comment** ( ), the comment opens in the Comments dialog box. After viewing the comment, click **Return to Comments** to close the view and return to the Comments dialog box.
2. To edit your comment text or subject, select **Edit** ( ) from the Actions menu ( ). Click **Save** ( ) to save your edits.
3. To print all comments for a case, incident, or subject, click **Print all Comments** ( ). Another window appears with the comments. From the **File** menu, select **Print**. Use your browser's print features to complete the print process.

If needed, you can delete a comment by selecting **Delete Comment** ( ) from the Actions menu ( ) by the comment.

When you are finished, exit the Comments dialog box.