Registration Working Group – *Engagement of an Individual* Common Business Process Patterns

*Version 1.0*

Prepared by the Department of Human Services

*in collaboration with Centrelink and the Australian Government Information Management Office*

*September 2010*
Background
Many agencies deploy engagement processes as the first step in providing services to individuals. A survey undertaken in 2007 identified at least ten agencies with documented engagement business processes.

Engagement is also a common business process in State and Territory governments, and in the private sector.

Engagement was chosen as a candidate for business process transformation as:
- It was a relatively common business process across agencies;
- It was reasonably modular;
- There were existing and robust agency business process models; and
- There appeared to be sufficient, yet unnecessary, variation in practice to benefit from standardisation of terms, components and methods.

In early 2008 the BPTC tasked the RWG to undertake a series of workshops using Centrelink’s processes as the basis for developing common business process patterns for the way agencies engage with an individual to provide services or comply with an obligation.

Following a hiatus from the effects of the Review of the Australian Government’s Use of Information and Communication Technology, the RWG reformed in January 2010 to complete and agree the common business process patterns.

Purpose
The purpose of common business process patterns for the way Individuals engage with government for services or to comply with an obligation is to achieve the following benefits:

Individual
- A reduction in the time and effort to participate in a registration event;
- Greater confidence in the quality of the registration record; and
- An improved individual’s experience through a more consistent look and feel of the process across agencies.

Administrative
- Efficiencies and savings through the re-use of common business processes and the underlying services;
- Improved policy agility and innovation, as it becomes easier to develop service delivery policy from an individual’s perspective across agency boundaries;
- Reduced risk of service delivery disruption and greater administrative flexibility;
- Providing a common understanding of ways of working to all employees; and
- Improving compliance with new policy, best practice and regulation.
The development of a single ‘registration’ service for individuals interacting with government was not included in the intent of this initiative.

**Implementation**
The use of the common business process patterns for *Engagement of an Individual* by government agencies is subject to the SIGB opt-out process.

- FMA Act agencies are required to use the common business process patterns for *Engagement of an Individual*.
- FMA Act agencies that are not able to implement the patterns due to technical barriers may postpone implementation until their next system upgrade or replacement.
- From time to time, Finance may contact agencies to determine compliance and/or seek feedback on the common business process patterns for *Engagement of an Individual*.

**Maintenance**
The common business process patterns for *Engagement of an Individual* are:

- owned by the Department of Human Services (lead agency);
- are maintained by the Department of Human Services;
- are stored in the GovDex repository; and
- can be accessed by agencies from the GovDex repository.

**Pattern Index**
1. Linking context diagram
2. High level process pattern & scope
3. Registration - ID03
4. Validation – ID04
5. Validate identity – ID04.2
6. Determination – ID05
7. Provisioning – ID06
Engagement Pattern for Individuals

- Candidate for WoAG capability

**Channels**

- Registration
  - Creating/Updating a customer record to manage an interaction.

**Validation**

- Verifying that information provided is true and correct.

**Determination**

- Applying Agency policy to "Determine" eligibility/obligation for Service.

**Provisioning**

- Providing an individual with the means to access a Service.

**Services**

- Collect Data
- Confirm
- Authentication
- Update Record
- Identity Confirmation
- Data Verification
- Sight EOI / POI
- Identity Confirmation
- DVS
- ESF/GSEF
- Face-to-Face

**External Information Sources**

- The customer has presented "Identity" documents issued by a Trusted record holder.
- The information/documents presented by the customer match records held by a Trusted record holder.
- The customer successfully presented secure credentials issued by a Trusted Identity Broker.
- Developing capability
  - Registration Authorities?
  - Government Agencies?
  - Financial Institutions?
  - SDR?

**Channels**

- NEAF/AGAF
- AGOSP
- SSO Hub
- Gatekeeper
- NIS
- IVR
- Mail
- On Call
- Online
- SDR

**Developing capability**

- Registration Authorities?
- Government Agencies?
- Financial Institutions?
- SDR?
## Engagement of an Individual

**High-Level Business Process Pattern & Scope**

<table>
<thead>
<tr>
<th>ID01</th>
<th>ID02</th>
<th>ID03</th>
<th>ID04</th>
<th>ID05</th>
<th>ID06</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiate &quot;Obligation&quot; Activity</td>
<td>Receive Application for Service</td>
<td>Register an Activity</td>
<td>Validation</td>
<td>Determination</td>
<td>Provisioning</td>
</tr>
</tbody>
</table>

### Procedures for Initiating an "Obligation" Activity
- Varies from Agency to Agency subject to Legislation and Agency policies

### Procedures for Receiving an Application or Intent to Apply
- Common to most Agencies

### Procedures for Creating or Updating a Record to Manage the Commencement and Determination of an Activity
- Common to most Agencies

### Procedures for Validating the Information Provided in Support of an Activity
- E.g. Identity and qualifying circumstances
- Varies from Agency to Agency subject to Legislation and Agency policies

### Procedures for Determining an Individual's Eligibility/Obligation Based on Validated Information
- Varies from Agency to Agency subject to Legislation and Agency policies

### Procedures for Notifying the Activity Outcome and Providing the Individual with Access to a Service Entitlement or Obligation
- Varies from Agency to Agency subject to Legislation, policies and channel capability

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**NOTE**
- Intent to Apply managed as an "incomplete" Application.
- Intent to Apply is managed as an "incomplete" Application.

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**ID02**
- Submit Intent to Apply for Service
- Submit Application for Service

**ID03**
- Receive Application for Service
- Register an Activity
- Receive Intent/Application for Service
- Index Search for existing record
- Create/Update Record with Activity details

**ID04**
- Validate Activity Details
- Request Additional Information
- Identity and qualifying circumstances

**ID05**
- Determine Activity Outcome
- Identify the Activity outcome

**ID06**
- Provision Access
- Notify Outcome, Terms and conditions, Access options, Credentials, etc.
Engagement of an Individual
Mid-Level Business Process Pattern: ID03 [REGISTRATION]

ID03 Registration

IDI01 Initiate Obligation Activity
IDI02 Receive Application for Service

IDI03.0 Register an Activity
IDI03.1 Index (valid for existing record)
IDI03.2 Create new Agency record
IDI03.3 Update Agency record with details of the Activity
IDI03.4 Receipt the Activity
IDI03.5 Notify Individual and/or 3rd Party of commencement of the Activity

Subject to Individual Agency policies

Procedures for creating or updating a record to manage the commencement and determination of an Activity.

Individual Agency processes may vary e.g. policies may require a new record to be created if a previous record has been inactive beyond a set period of time.
Engagement of an Individual
Mid-Level Business Process Pattern: ID04 [VALIDATION]

ID04 Validation

Authorised

Submit Additional Information

Individual

Submit Additional Information

Includes submitting a formal Application following judgment of intent to Apply.

Agency

Request for additional information or supporting documents e.g. EOI.

ID04.1 Request additional Information

Information received within specified timeframe?

Yes

No

All supporting information received?

Yes

No

ID04.2 Validate Identity

Valid Identity?

No

Invalid Identity

Valid Circumstances?

No

Invalid Circumstances

Yes

ID04.3 Validate qualifying Circumstances

ID04.4 Update Record with Validation Outcomes.

Individual Agency policies vary as to the circumstances which determine service eligibility and the evidence required to support them.

ID04.0 Validate Activity Details

Information received?

Yes

No

Valid Identity?

No

Valid Circumstances?

No

Incomplete Submission

Yes

Indicates submitting a formal Application following lodgement of Intent to Apply.

ID04.5 Update Record with Validation Outcomes.

ID05 Determination

Subject to Individual Agency policies

Individual Agency policies vary as to what evidence is required to support an asserted identity and how the identity is validated.

The individual’s asserted identity could not be validated to the standard required for this Activity.

The Applicant’s asserted circumstances could not be validated to the standard required for this Activity.

Validation could not be completed because key information was not provided.

Procedures for validating the information provided in support of an Activity e.g. identity and qualifying circumstances.

E.g. Identity Level Validation could not be completed because key information was not provided.

The Applicant’s asserted circumstances could not be validated to the standard required for this Activity.

The individual’s asserted identity could not be validated to the standard required for this Activity.

ID03 Registration

Includes submitting a formal Application following judgment of intent to Apply.
ID04.2 Validate Identity

Identity Evaluation

In operation, the process is not necessarily sequential, the level of EOI requested of an Individual by an Agency may vary in accordance with the relative risk of the activity that the EOI is required to support.

The Group formed the view that despite Agency variations, there would be no significant barriers to adopting a common approach to validating an Individual’s Identity.

The Group reviewed the Enrolment Standards Framework which is currently under development by the AGD. The framework advocates the evaluation of Evidence of Identity (EOI) against a number of defined categories and appears to be a suitable candidate for WoG use.

Bypass Identity Evaluation if the Individual is an existing Agency customer whose identity has been previously validated to a sufficient level.

Identity Evaluation

Has the individual been authenticated to the level required for this Activity?

Yes

Yes

No

No

Invalid Identity

ID04.2.5 Update Record with Identity Validation Outcome.

E.g. Relative Strength of Identity Assurance

* This process has the potential for significant enhancement through investment in WoG capabilities such as DVS to enable Agencies to verify Identity records at source.
Procedures for Determining an Individual’s eligibility/obligation based on validated information.

Engagement of an Individual
Mid-Level Business Process Pattern: ID05 [DETERMINATION]

- Individual
  - ID05.0 Determine Activity Outcome
    - Complete Information Submitted?
      - Yes
      - No
        - Valid Identity?
          - Yes
          - No
            - Valid Circumstances?
              - Yes
              - No
                - Individual not eligible because the information provided in support of the Activity was either incomplete or not submitted by an authorised person.
              - Individual not eligible because their asserted identity could not be validated to the required Agency standard for this Activity.
              - Individual not eligible because their asserted circumstances could not be validated to the required Agency standard for this Activity.
        - Individual not eligible because the information provided in support of the Activity was either incomplete or not submitted by an authorised person.
    - Individual not eligible because their asserted identity could not be validated to the required Agency standard for this Activity.
    - Individual not eligible because their asserted circumstances could not be validated to the required Agency standard for this Activity.
  - ID05.2 Assess Entitlement or Obligation for eligible Individual
    - Yes
    - No
      - Individual is eligible for a Service.
  - ID05.3 Update Record with Decision

- Agency
  - ID05.1 Individual not eligible
    - Decision is made within the Agency’s Legislative and Policy framework by an appropriately delegated officer.
Subject to Individual Agency policies

In some instances it may be appropriate to refer an Individual who is not eligible for service to another Agency for assistance or other action.

Examples may include:
- Referral to a welfare agency for emergency accommodation.
- Referral of a fraudulent application to a Law Enforcement Agency

Agency policies vary as to when such a referral is appropriate.

End of Flow

Procedures for notifying the Activity outcome and providing the individual with access to a service entitlement or obligation.
<table>
<thead>
<tr>
<th>ID Number</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID01</td>
<td>An Agency identifies an Individual who has an Obligation to comply with an Agency requirement. The Obligation may have been identified internally or referred from an external third party.</td>
</tr>
<tr>
<td>ID02</td>
<td>An Agency receives an Application for Service or Notice of Intent to apply from or on behalf of an Individual.</td>
</tr>
<tr>
<td>ID03</td>
<td>An Agency having either received an Application from an Individual or identified an individual with an Obligation, Registers an Activity against the individual by making an entry in a business information system. While the form of the Business information system will vary across agencies, the intent is to provide assurance that processing of the activity is managed in an efficient and accountable manner.</td>
</tr>
<tr>
<td>ID03.1</td>
<td>The Agency carries out checks to determine if the Activity can be associated with an existing record for the Individual.</td>
</tr>
<tr>
<td>ID03.2</td>
<td>If no existing record of the Individual is identified, a new record is created. Depending on Agency practice, this record may be provisional in nature, subject to final determination of the Activity.</td>
</tr>
<tr>
<td>ID03.3</td>
<td>The Agency records relevant details of the Activity in the Individual’s record.</td>
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<tr>
<td>ID03.4</td>
<td>The Agency assigns a unique identifier to the Activity.</td>
</tr>
<tr>
<td>ID03.5</td>
<td>The Agency notifies the individual of commencement of the Activity.</td>
</tr>
<tr>
<td>ID04</td>
<td>An Agency may be required by legislation or policy to independently Validate the information provided in support of an Activity, in order to accurately determine the extent of an individual’s Service Entitlement or Obligation.</td>
</tr>
<tr>
<td>ID04.1</td>
<td>The Agency requests additional information, confirmation or supporting evidence from the appropriate parties as required.</td>
</tr>
<tr>
<td>ID04.2</td>
<td>The Agency validates the identity of the Individual in accordance with the relevant Agency policies.</td>
</tr>
<tr>
<td>ID04.2.1</td>
<td>The Agency evaluates evidence of the Commencement of the Identity of the Individual.</td>
</tr>
<tr>
<td>ID04.2.2</td>
<td>The Agency evaluates evidence of the individual’s identity Operating in the Community.</td>
</tr>
<tr>
<td>ID04.2.3</td>
<td>The Agency evaluates evidence of the Links between the Individual and the Identity.</td>
</tr>
<tr>
<td>ID04.2.4</td>
<td>The Agency evaluates the overall strength of Identity Assurance achieved.</td>
</tr>
<tr>
<td>ID04.2.5</td>
<td>The Agency records the Identity Validation outcome in the Individual’s record.</td>
</tr>
<tr>
<td>ID04.3</td>
<td>The Agency Validates the Qualifying Circumstances of the Individual in accordance with the relevant Agency policies.</td>
</tr>
<tr>
<td>ID04.4</td>
<td>The Agency records the Validation outcomes in the Individual’s record.</td>
</tr>
<tr>
<td>ID05</td>
<td>An Agency determines an individual’s Service Entitlement or Obligation based on an assessment of the information provided and where appropriate, validated in accordance with agency policy.</td>
</tr>
<tr>
<td>ID05.1</td>
<td>The Agency determines if the Individual is eligible for a Service or is required to comply with an obligation.</td>
</tr>
<tr>
<td>ID05.2</td>
<td>The Agency assesses the extent of the Service Entitlement or Obligation for an eligible Individual.</td>
</tr>
<tr>
<td>ID05.3</td>
<td>The Agency records the outcome of the Determination in the Individual’s record.</td>
</tr>
<tr>
<td>ID06</td>
<td>An Agency provides an eligible Individual with the means to access their entitlement or obligation.</td>
</tr>
<tr>
<td>ID06.1</td>
<td>The Agency updates their Business Information System to enable delivery of the Determination outcome via the appropriate delivery channel/s.</td>
</tr>
<tr>
<td>ID06.2</td>
<td>The Agency provides the individual with the information, identifiers and credentials they will need when conducting ongoing business with the Agency.</td>
</tr>
<tr>
<td>ID06.3</td>
<td>The Agency notifies the Individual of the outcome of the Activity and informs them of their Rights and Obligations with respect to the Determination.</td>
</tr>
<tr>
<td>ID06.4</td>
<td>An Agency may determine that an ineligible individual should be referred to another Agency for further action.</td>
</tr>
</tbody>
</table>