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Wednesday, November 19, 2003

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Business Process Re-engineering (BPR)

Purpose:

The purpose of Business Process Re-engineering (BPR) is to help prepare the users for the new or modified automated system that is being developed. The focus is on understanding current processes and assisting users to modify or use new processes that incorporate the use of the automated system functionality. Training and measuring process effectiveness are important parts of the BPR/BPI effort. The goals of BPR are

- To simplify the existing processes
- To streamline the existing processes
- To ensure that the correct processes are being automated by the new system (i.e., some processes don't really need to be automated)
- To ensure that the automation is addressing the process needs (i.e., don't automate just for the sake of automating)

This does not necessarily meant the elimination of all manual processes. Some new processes may be a combination of manual and automated activities.
In some cases, an organizational change or re-design may be part of the effort or it may be a simultaneous effort.

Definitions:

- Business Process Re-engineering (BPR) - Analysis and re-design of business workflows and processes to improve performance. The true sense of BPR usually involves a radical or far-reaching approach (such as a "clean slate" approach). This type of BPR may also include an organizational re-design.
- Business Process Improvement (BPI) - A less-radical and sometimes incremental approach. Changes are made to existing processes and new processes are developed only as needed (instead of re-working all processes). Organizational changes are less likely to occur.

  TIP Usually, SID performs BPI, although it is often referred to as BPR, using the term in a more generic sense. This web site uses the term BPR for both BPR and BPI.

Process Relationships and Dependencies:

- To the SID Lifecycle Framework (the big picture)
- To the Primary Processes
- To the Supporting Processes

Process Details:

- General Approach to the Process
- Process Steps For New Systems Acquisitions

- **Process Steps For Maintenance and Operations**
- **Risks and Considerations**
- **Work Products and Deliverables**

Tools:

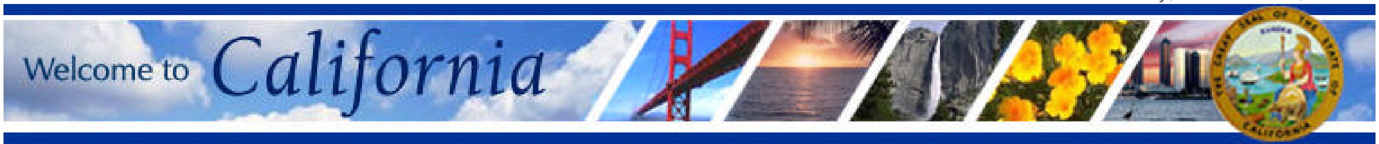
- None at this time

References:

- **BPR Responsibility Assignment Matrix** (MS Word)

Samples:

- None at this time



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BPR Process Steps

BPR Main

General Approaches to BPR:

There are the three approaches generally used by SID to implement BPR.

- **New Systems Development - Project Office Responsibility**
  For new systems development, the project office (or its consultants) should perform at least the Goals/Objectives and Current Systems Analysis steps. This allows the project and Sponsor to obtain a better understanding of the users' needs and to incorporate the appropriate items into the RFP (as staffing and funding permit). This also ensures that the project is more effective in subsequent deliverable reviews and testing, because they have a greater understanding of the users' needs and business (this does not mean the users should not participate in testing and reviews however). This is the preferred approach when funding permits.
  The project office then may choose to perform the BPR, or may have the Prime Contractor perform the BPR along with the new systems development.

- **New Systems Development - Prime Contractor Responsibility**
  Sometimes the Prime Contractor is responsible for performing all of the BPR efforts, including assisting to develop the goals and scope, and performing the current systems analysis. This method is generally used if the project cannot obtain sufficient staffing or funding to perform the analysis during the Planning/Procurement phases.

- **M&O - Project Office Responsibility**
  In an M&O environment, the project (or their consultants) is usually responsible for performing any BPR efforts. This generally consists of smaller efforts and BPR may not be needed for every release/change. This is truly more of a BPI effort. This effort also requires active sponsorship from the program area, particularly when coordinating policy changes.

Process Details:

- Process Steps For New Systems Acquisitions
- Process Steps For Maintenance and Operations

Common Risks and Considerations:

- **Schedule Considerations** - If the Prime Contractor will be performing all the BPR steps (including the goals/objectives and current systems analysis), it may impact the schedule for the requirements and design, depending on how stable the requirements in the RFP were. The Current Systems Analysis may uncover items that should have been included in the scope, but were overlooked at the time. Sometimes there is simply no funding and/or staffing available to perform the analysis prior to contract award, so the risk of possible scope creep must be accepted.

- **Schedule Coordination** - There is always a strong possibility of colliding schedules and staff availability. Don't forget that sometimes multiple projects are performing work simultaneously at a county/user site. Where possible, coordinate your work with other projects to minimize user inconvenience.

- **Priorities** - Remember that the county/user agenda and priorities are usually different from the State/project's. To the user, the project is just one item amongst the rest of their duties. Try to adjust or at least be aware of the impacts to the counties/users and minimize the impact where possible.

- **Organizational Culture** - The business processes and new system cannot solve organizational or cultural problems. Consider how to best address these issues and what impact the processes will have (i.e., will they exacerbate an existing problem, or help to alleviate it?). Often such problems will significantly delay or negatively impact the project's efforts.

- **Organizational Changes** - Organizational changes are very difficult to institute and often require knowledge of many state and union regulations. Be aware and sensitive to these issues and the users concerns. Primary issues in this area are reporting and managerial structure, and types of work performed (are the skills within a given job class?).

- **User Staffing** - If the project entails large scale changes, some users may choose to leave instead of learning to use the new systems/processes, particularly if they are close to retirement. This will affect morale and may impact process roles and responsibilities. There is little that can be done to address this risk.

- **Empowerment of Participants**. Sometimes stakeholder representatives that are assigned to participate in the BPR effort are not experienced, respected or empowered enough to truly be able to represent their organization. In many cases, representatives believe they are only meant to be observers instead of active participants. Be sure to set expectations at the start of the project, and confirm with participants their expected level of participation and decision-making.

- **Setting Expectations** - Acknowledge that the system will not always (and in many cases should not) eliminate all manual processes and sometimes, it creates additional work or shifts in workload (due to approvals and confirmations). Don't try to pass the system off as a silver bullet. Be careful not to promise any functionality or solutions without consulting the development team and scope/requirements documents.

- **Project Commitment** - If a BPR/BPI effort is started, be sure to follow through with it or have a REALLY good reason for stopping it. Otherwise, the staff and users will feel that no one is interested in them, or that their project/Sponsor isn't really committed to helping them. Once this support and buy-in is lost, it is extremely hard to recapture it.

- **Unpopular Findings** - Likewise, if the analysis finds something "bad", it must be elevated and addressed (even if it is unpopular to do so), or the project will lose credibility.

- **Issue Coordination** - Timely answers to legal and policy questions are important. Often there are federal, state and county regulations or policies that must be coordinated and understood to effectively redesign the processes or systems. Be sure to raise and coordinate these issues as soon as possible, particularly if they could impact the automated system.

- **Implementation Coordination** - Be sure to work closely with the (automation) Implementation Team (if they are not the same as the BPR team). Attend some of their meetings and county workshops to ensure a consistent message is being communicated and to ensure all concerns are heard and addressed. Participate in the site assessment at each county to ensure the physical location is conducive to the processes being developed.

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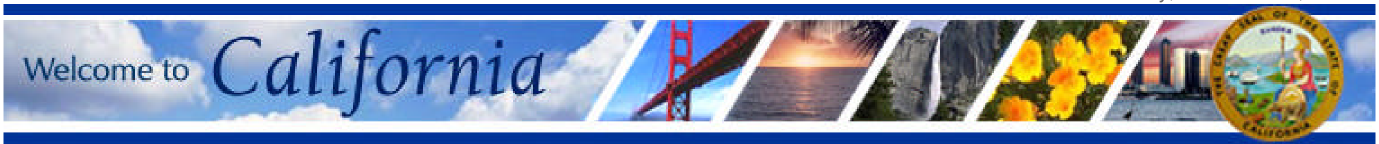

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BPR for New Systems

BPR Main

Basic Process Steps:

If the project is using a phased implementation approach, steps 2-6 may repeat, and incorporation of lessons learned by the previous iterations becomes an important part of step 8.

1. Develop the **Goals, Objectives and Approach** for the BPR effort.
2. Identify the **Current System Processes** ("As-Is Analysis").
3. Identify the **New Opportunities** ("visioning").
4. Develop the **Future System Approach** ("To-Be Analysis").
5. Develop a **Process Gap Analysis** to identify areas that must change.
6. Develop a **Policy Impact Analysis** to identify policy areas that impact or are impacted by the system/processes.
7. Develop the **Detailed Process Implementation Plan**.
8. **Implement the Plan** and Processes.

Work Products and Deliverables:

- **BPR Approach Plan/BPR Charter/BPR Project Plan**
- **Communications Strategy/Plan**
- **Issue Resolution Process**
- **Travel Plans/Budget**
- **Current Process Analysis**
- **Future System Approach**
- **Process Gap Analysis**
- **Policy Impact Analysis**
- **Detailed Process Implementation Plan**
- BPR **Lessons Learned**

BPR for M&O Systems

Basic Process Steps:

The following steps are not necessarily sequenced steps, but a general approach and considerations that should be followed for each release/system change.

Some of the later steps occur as needed or as requested. Depending on the size, scope and complexity of the change, it may be appropriate to initiate a more formal BPI analysis as described in the **Process for New Systems**.

1. Develop an **M&O Charter/Plan** (review annually once established), and include or update the **Communications Plan** and **Issue Resolution Process**. Review any contracts to determine whether any changes are necessary due to the new phase (different emphasis/scope, different reporting metrics needed, types of liquidated damages, etc.) and if the terms and conditions of the contract are still valid (e.g., payment by deliverable vs. time and materials vs. payment by system release).
   - These plans and processes are not specific to BPR, but should include a description and responsibilities for BPR in the overall approach to M&O.
   - Be sure the charter/plans describe how the M&O/project staff will assist with business process changes/improvements or re-design.
     - What is the scope of BPR in the context of M&O?
     - What are the project's responsibilities vs. the contractor vs. the users vs. the Sponsor?
     - What is the escalation process for issues?
2. Determine how the changes in the planned release will affect the user, documentation and system.
   - Determine the impact to the user interface (e.g., screens, reports, etc.) and business processes.
   - Determine the impact to the documentation, including design materials, user manuals, process descriptions and training materials.
   - Determine if there are legal or policy impacts that should be forwarded to a workgroup or the Issue Resolution Process for resolution.
3. Inform the users about the upcoming changes, impacts and the tentative schedules. This may be through a newsletter, e-mail, or website bulletins.
4. If appropriate, invite the user to review and "play with" the system and new changes.
   - Generally scheduled after system testing, or about 45-60 days prior to issuing the release to production.
   - May not be needed for small changes.
   - Sometimes referred to as County Test Workshops.
   - Some projects conduct these sessions as the final part of System Testing. Others consider it part of User Acceptance Testing.
5. Provide **Release Notes** to the users which describe the detailed changes, process impacts, and what to expect in the new release.

- Generally distributed 30 days prior to the release.
- If there are business process impacts or policy impacts, they should be explicitly described. On-line help, computer-based training and other updated system documentation is generally distributed at this time.

6. Perform **User Training** as appropriate.

    - Usually the project facilitates training, with the contractor responsible for updating the appropriate documentation and training materials.
    - Various types of training delivery methods and forums include
        - Regional
        - Individualized (by user group or location)
        - Computer/Web-based Training (on CD or via website)
        - Train-the-Trainer (project provides materials, but user trainers deliver the information)
        - Training through University/College (e.g., School of Social Work)
    - Trainers should collect and report their impressions of the system, the comments and/or problems received during trainers (particularly on usability), and suggestions for future enhancements to the system and to the training approach.

7. Upon request, perform or facilitate process assessments ("tune-ups") for the users to help them better utilize the system.

    - This may entail reviewing their existing processes and methods of doing business, or performing additional or specialized training.
    - Often these assessments are geared towards streamlining the use of the application.
    - Where possible, suggestions are made based on quantitative data from process or system usage reports.

8. If possible, collect and distribute **Business Process Models** to help users document and refine their process documentation.

    - By providing samples and/or templates, it helps the users to develop or tailor their own processes, and encourages documentation of the processes.
    - Allows different user groups to share ideas and tips.

9. If possible, encourage the various workgroups and user forums to continue into M&O. This provides communication forums for resolving problems and addressing specific issues. Sponsor participation and support is critical to ensure that decisions are made and acted upon. The Sponsor and users must take ownership of the workgroups for them to be effective.

Work Products and Deliverables:

- **M&O Charter/Plan**
- **Communication Plan** updates
- **Issue Resolution Process**
- System Documentation Updates
- Newsletters/Website Bulletins
- **System Release Notes**
- **Training Plan and Materials**

BPR Work Products and Deliverables

Work Products and Deliverables:

The following are the typical work products and deliverables when performing BPR. For M&O projects, not all of these items may need to be stand-alone formal documents. However, all the information and topics should be considered and the appropriate information should be documented.

- **BPR Approach Plan/Charter** - Describes the approach, methodology, roles and responsibilities and goals of the BPR effort.
- [Communications Strategy/Plan](#) - Describes the approach to communication for the BPR effort. May be part of the project Communications Plan, or a stand-alone document which is referenced by the project Communications Plan. The format should be generally the same as the project Communications Plan.
- [Issue Resolution Process](#) - Should follow the same types of steps as the project Issue Resolution, if it is not the same process.
- **Travel Plans/Travel Budget** - Should describe the procedures, forms, approvals and claiming instructions. May be part of the BPR Approach Plan/Charter or a set of separate procedures.
- **Current Process Analysis (As-Is Analysis)** - Describes the current state of business for the various user types.
- **Future System Approach (To-Be Analysis)** - Describes the proposed approach for new and modified processes.
- **Process Gap Analysis** - Describes the differences between what exists currently and what the proposed process/system will be.
- **Policy Impact Analysis** - Describes any changes in policy or policy decisions and issues.
- **Detailed Process Implementation Plan** - Describes the approach to implementing the new processes and how to monitor them for effectiveness.
- **Business Process Model/Process Descriptions** - Presents the detailed descriptions of the process. May be textual or graphical/flowcharts.
- **Process Training** - Training materials specifically geared towards the new processes and how the processes mesh with the new/modified automated system.
- **Newsletters or Website Bulletins** - Provides information to the users on upcoming changes to the system and processes, and the anticipated impacts.
- **Release Notes** (to coincide with system releases) - Describes the implemented changes to the system and processes. See samples below.

Samples:

- **Sample Cover Letter for Release Notes** (MS Word)
- **CWS/CMS Release Note Procedures** (MS Word)
- **CWS/CMS Release Notes - High Impact Summary** (MS Word)
- **Business Process Model/Process Description** (MS Word)
- **BPR Charter/Plan/Approach Plan Outline** (MS Word)
- **Current Systems Analysis (As-Is) Outline** (MS Word)
- **Detailed Process Implementation Plan Outline** (MS Word)
- **Future Systems Approach (To-Be) Outline** (MS Word)
- **Policy Impact Analysis Outline** (MS Word)
- **Process Gap Analysis Outline** (MS Word)
- **Travel Budget/Plan Outline** (MS Word)

BPR Responsibility Assignment Matrix (RAM)

	Goals	Current System Analysis	New Opportunities	Future System Analysis	Gap Analysis	Policy Impact Analysis	Detailed Impl Plan	Implementation
Prime Contractor[1]	P or S	P or S	P or S	P or S	P or S	P or S	P or S	P or S
Project Office – BPR Team[1 2]	P or S	P or S	P or S	P or S	P or S	P or S	P or S	P or S
Project Office – Implementation Team[2]	R	I	R	R	R	I	S	S
Project Office – QA Team	R	R	R	R	R	R	R	R
Project Office – Project Mgr[3]	A	A	A	A	A	A	A	S, R
Sponsor[3]	S,A	S,A	A	S,A	S,A	S, A	A	S, R
Users	S	S,A	S	S	S	S	I	S
IV&V	R	R	R	R	R	R	R	R
Stakeholders[4]	S	I	S	S	S	S	S	S

P – Primary responsibility
S – Support or participate in the effort
R – Review results and provide comments
A – Approve results or make decisions on approach
I – For information only

[1] The approach determines who has primary vs. support responsibility. If the Prime is the primary, then the project's BPR team will support them.

[2] Sometimes the BPR Team is the same as the Implementation Team; sometimes they are different. This matrix shows expectations based on separate teams.

[3] The approvals are dependent on project structure. In some cases, the Project Manager is authorized to approve the documents; in other cases, the Sponsor and/or Stakeholders must approve BPR/BPI documents.

[4] Stakeholders, in this matrix, refers to those stakeholders which are not discussed already in the matrix, such as control agencies, unions, and advocacy groups. Not all these parties will be participants in the BPR/BPI process, but where appropriate, this is generally the type of involvement to expect. (See also footnote 3.)