

Working With Business Processes – *Process Change in Agile Timeframes*

Presented for Booking.com by
Adept Events & Clariteq Systems Consulting Ltd.

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Includes a case study
starting on page 163

Developer/instructor background...



Alec Sharp, Clariteq Systems Consulting – asharp@clariteq.com

- 40+ years experience as an independent consultant:
 - *Business Process Change* – discover, model, analyse, and design/redesign processes
 - Concept Modelling (Business-friendly Data Modelling)
 - Application Requirements Specification
 - +
 - Facilitation & Organisational Change
 - Project Recovery

Process Business Process Modelling

Application

Use Case Modelling

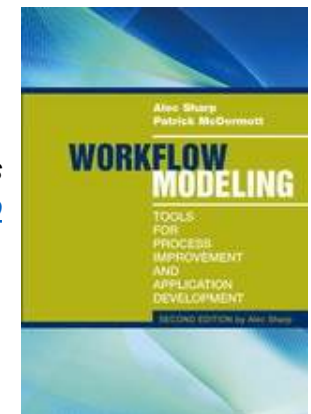
Service Specification

Data

Concept Modelling

- Consulting, teaching, speaking globally
- Awarded DAMA's global Professional Achievement Award for contributions to "human-friendly" data modelling
- Author of "Workflow Modeling"
 - best-selling book on process modelling & improvement
 - second edition – 2009 (sole author, complete re-write)

Check out the nice reviews
on Amazon - <http://amzn.to/dHun1o>



Overview and logistics

Section 1 – Fundamentals

- Five things you need to know about *business processes*
- How *Business Process* fits into a framework for *Business Analysis*:
Process – Application – Data
- A three-phase methodology for *Business Process Change*

Sections 2 to 5 – Techniques

2. Identify true, end-to-end, cross-functional *Business Processes*
3. Clarify *as-is* issues & *to-be* goals
4. Model the *as-is* process in a *relevant* way
5. Assess the *as-is* process plus tips to design the *to-be* process, including a *feature-based* approach

Schedule (CET)

- 09:00 - start
- 09:00 - 10:30 class
- 10:30 - 10:40 break
- 10:40 - 11:55 class
- 11:55 - 13:00 lunch
- 13:00 - 15:00 class
- 14:50 - 15:00 break
- 15:00 - 17:00 class
- 17:00 end

Finally...**you**:

- Name (how should I address you?)
- Brief description of your work
- Is there a topic you are especially interested in?
- *Please try to keep your introduction to one minute or less*

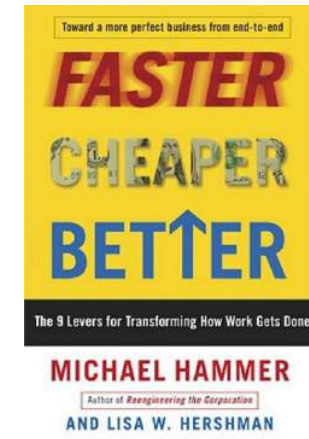
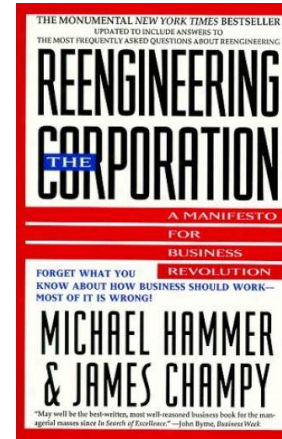
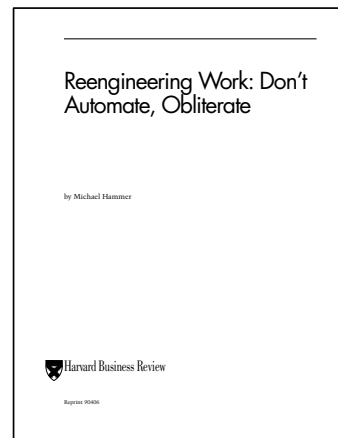
Five things you need to know about Business Processes

1. It's essential to have clarity on what a *business process* really is
2. Existing performance measures are often *functionally aligned* and work *against* business processes
3. Enterprise system implementations *must* include a *business process* perspective
4. Success with business processes depends on taking a *holistic view* in which six *enablers* are considered
5. Business processes can't be great at everything – a single *differentiator* or *strategic discipline* should be chosen

1. Confusion – what *is* a “business process?”

1. It is essential to have clarity on what a *business process* really is
2. Performance measures may be *functionally aligned* - work *against* business processes
3. Enterprise system implementations must include a business process perspective
4. Success with business processes requires a *holistic view* in which *six enablers* are considered
5. A business process can't be great at everything – a single *differentiator* must be chosen

In the early 1990s, Michael Hammer popularised the focus on *business process*



Introduced core terminology:

- end-to-end, cross-functional, functional silo, ...
- even *business process*

Still, people and organisations miss the point...

Lesson #1 – Never assume everyone agrees what a "process" is

We need some help with our *Product Lifecycle Management* process.

Not a single process –
it's a *family* of multiple
business processes
(a *process area* or
process domain)



I spend all day writing business
processes, like the process to
Revise Product Brochure Image.

Not an entire process –
it's a *procedure* providing
instructions for a single task
(SWI – standard work
instructions)

A whole *spectrum* of interpretations of *process*.

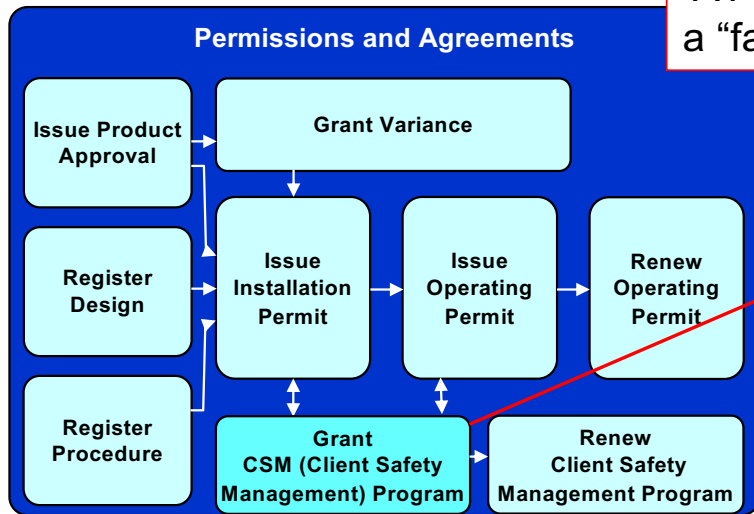
Seek balance –
a “business process”
lies between the extremes

Most people hear *process*
and think *procedure*!

The key issues – granularity and orientation

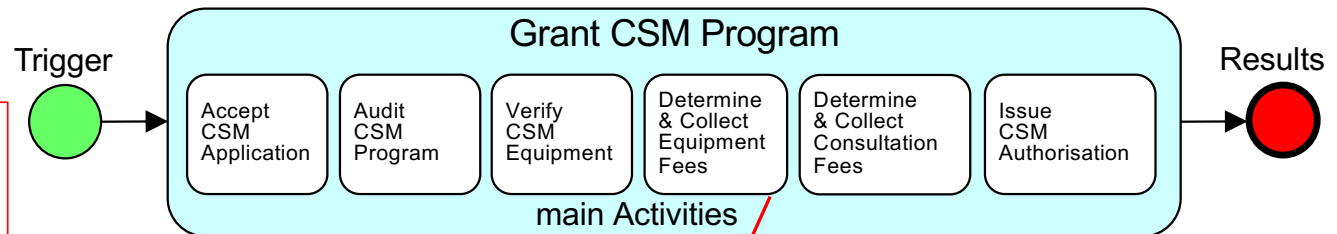
Taxonomy: a collection of processes vs. a process vs. a procedure

A Process Area or Process Domain –
a “family” of related Business Processes:



An end-to-end process – “Grant CSM Program,”
from *application* to *authorisation*,
involving many departments, external organisations,
participants, and procedures.

Business Process Scope Model (TRAC) – pure “what”...



Business Process:
A sequence or set of *activities*
that delivers significant *results*
for the process’ customer
and other *stakeholders*

Procedure:
A set of step-by-step work instructions
(a job aid) for a specific task or activity
that will yield identical results every time

Procedure – Calculate Unit Registration Fees:
For each Unit:

- Determine Unit Type and Unit Risk Factor;
- Apply Registration Fee from Reg. Fee Table;
- Identify additional Inspection fees from...

For reference – Process vs. Procedure

Process:

(or “end to end, cross-functional, Business Process”)

A sequence or set of *activities* that delivers significant *results* for the process’ customer and other *stakeholders*

- involves multiple participants (actors or roles) and multiple organisation units / functions
- may or may not have a defined workflow
- initially break a *process* into five to seven *major activities* (*subprocesses, phases, or milestones*)
each made up of more granular *activities* or *tasks*
each of which might contain one or more documented *procedures*

**Business Process –
a concept that is better demonstrated than defined.**

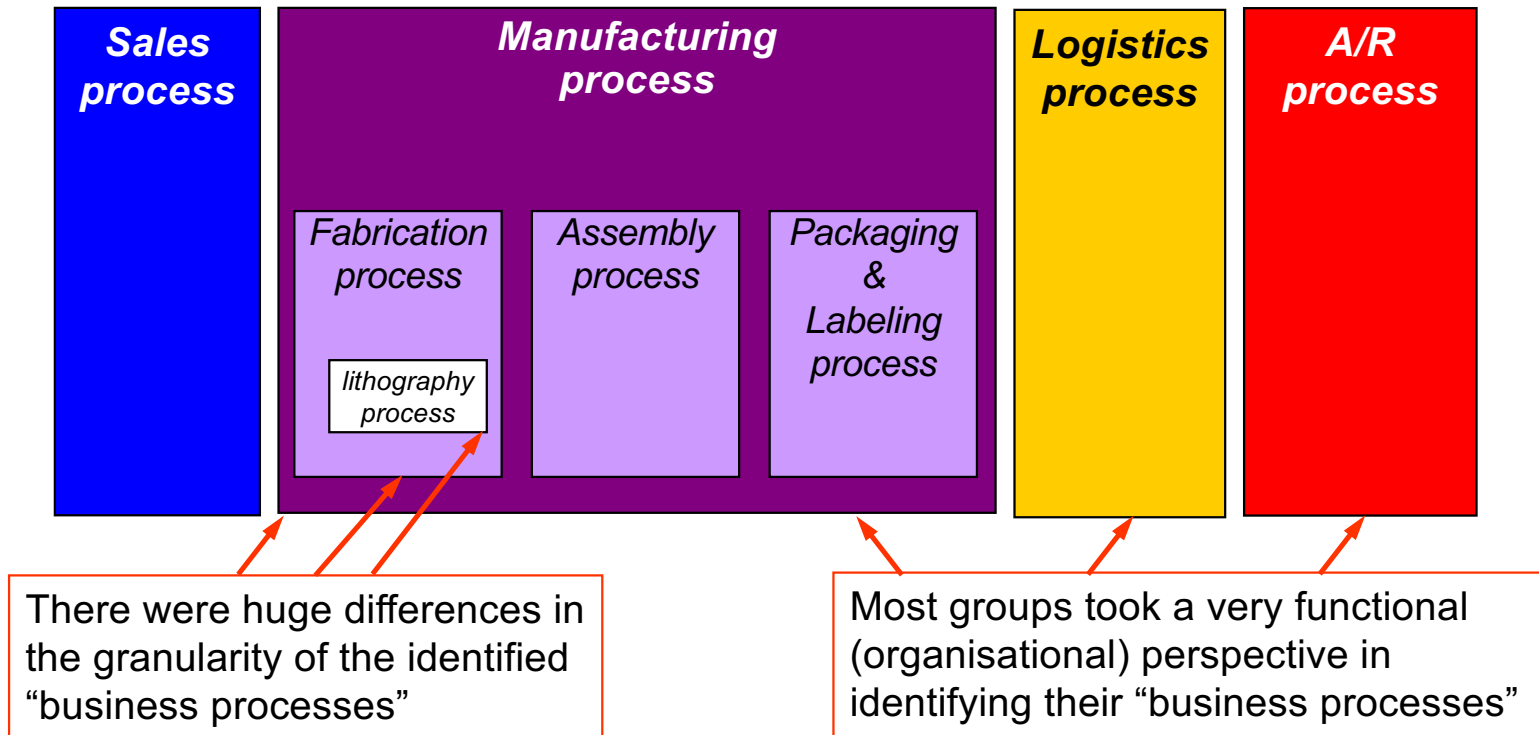
Procedure:

A set of work instructions – a *job aid* – for a specific task or activity that will yield identical results every time.

- Usually, one person or a small number of persons;
- Usually within a single function or organisational unit;
- a.k.a. Standard Work Instructions (SWI) or Standard Operating Procedure (SOP)

A real life (and expensive!) example

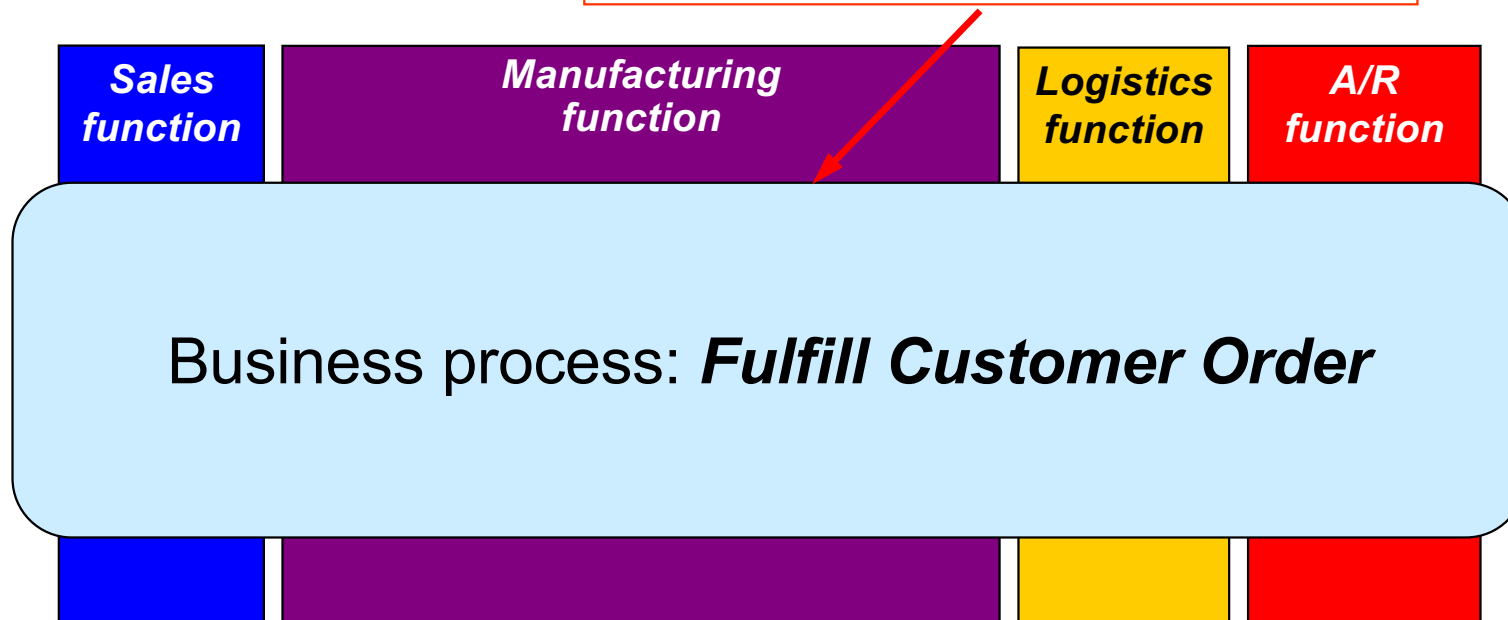
As part of a massive system implementation, a global manufacturer identified the *business processes* that were expected to improve:



The problem? *These aren't processes – they're functions!*

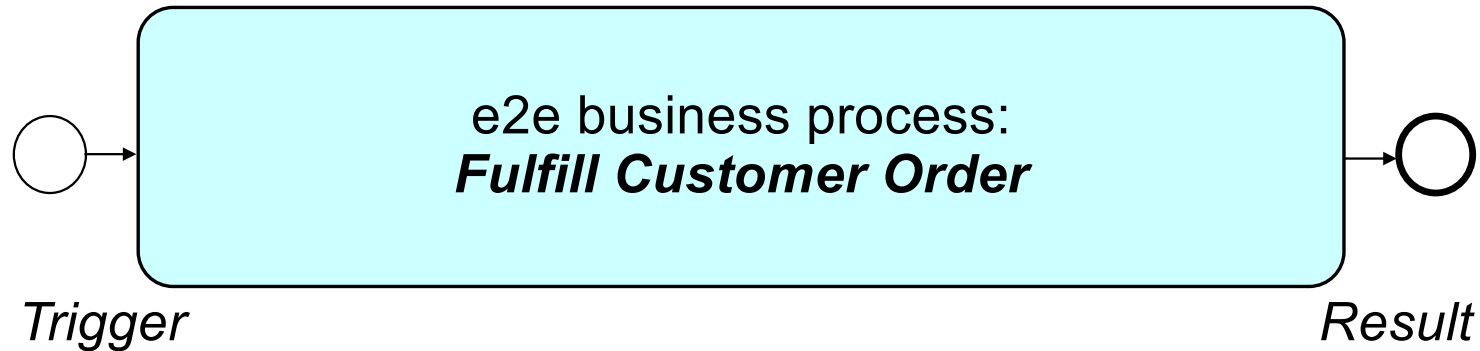
The “real” business processes were missed

Everyone confused “process” and “function.”
None of the actual end-to-end processes
were correctly identified.

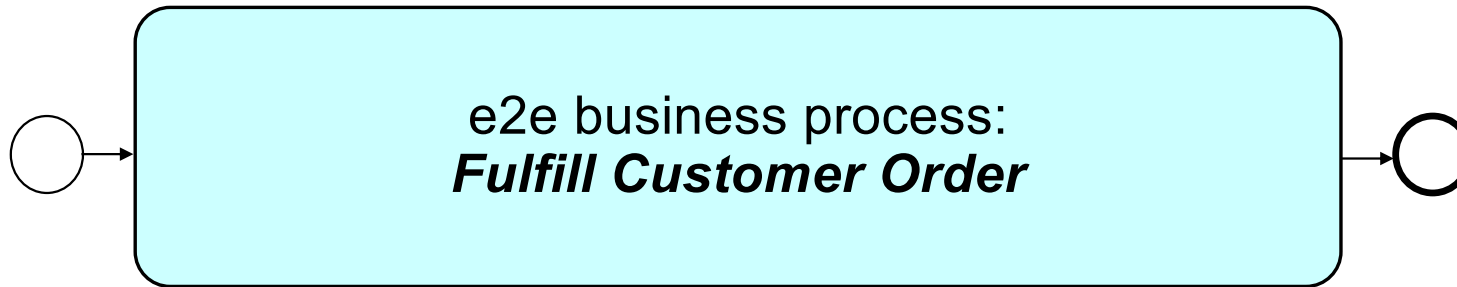


“Business Process” =
end-to-end, cross-functional, business process.
“Larger” than people think – from *initial* trigger to *final* results.

Discuss - what are the boundaries of the process?



What are the boundaries of the process?



Trigger

Order received? *No.*

Before that...

- Contract is Finalised
- Price & Schedule are Negotiated
- Specifications are Confirmed

And before that...

- Demand is Signalled. *Yes.*

Result

Order is Shipped? *No.*

Order is Received? *No.*

Order is Received, Tested,
and Accepted? *Yes.*

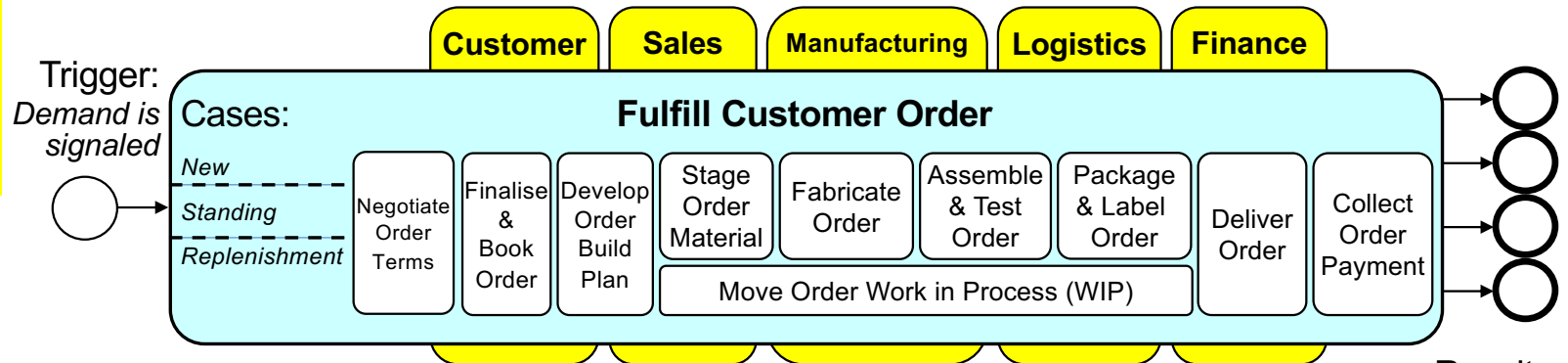
Any other results?

Yes, for other stakeholders.

*Always trace to the earliest trigger,
and to the final results for each stakeholder.*

Process Scope Model – “what” first, “who and how” later

I build a
Process Scope Model & a
Process Summary Chart on
~100% of Project Recovery
assignments -



“TRAC” –

1 – **Triggering event or events**

2 – **Results: final outputs**

- result(s) received by the process' primary customer
- result(s) for other stakeholders (performers, owner, supplier, regulator, ...)

3 – **Activities: 7 +/- 2 phases, milestones, or sub-processes**

- a phase achieves a significant intermediate result
- simply ask the participants for ~5 to 7 milestones within the process

4 – **Cases**

- main variations, e.g. “new order” vs. “standing order”
- verb – *qualifier* – noun

5 – **Functions or Organisation Units**

6 – **Actors and responsibilities**

7 – **Systems, data sources, other mechanisms**

↑ **essence of the process (“what”)**

↓ **as-is elements of the process, for clarification (“who and how”) (6 and 7 not shown)**

Results:

Customer:

Goods received, tested, & accepted

Owner:

Payment received

Performer:

Commission credited

Industry Association:

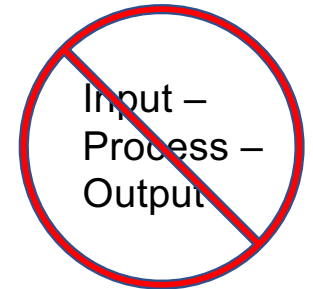
Order stats reported

Always construct a
Process Scope Model & a
Process Summary Chart before
diving into Workflow Modelling /
Swimlane Diagramming

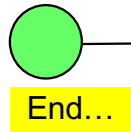
The essential framework

Business Process:

- a sequence (or set) of **activities** (steps and decisions,)
- initiated in response to a **triggering event**,
- that achieves a defined **result** for each process stakeholder

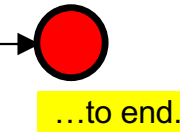


Triggering Event



A business process –
a sequence (or set) of activities
(steps and decisions)

Final Results



- Three types of events:
 - Decision-based (action)
 - Time-based (temporal)
 - Data-based (conditional)
- The *earliest* triggering event

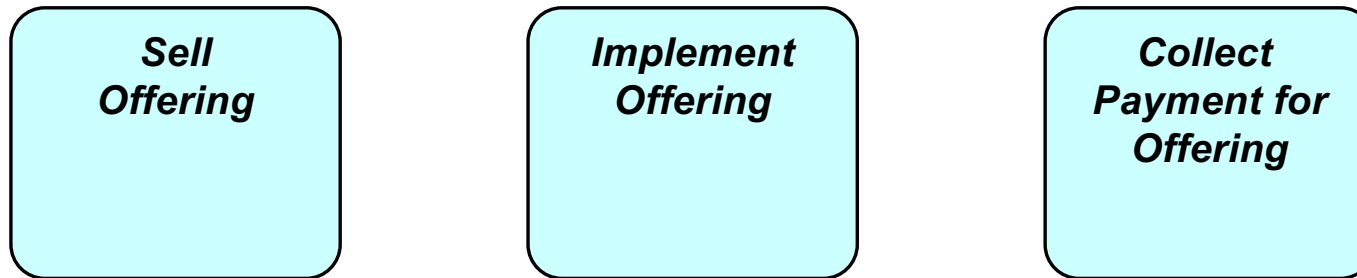
- Important processes are virtually always cross-functional and involve multiple actors / roles
- May be a defined *sequence*, or a more ad hoc *set* of activities
- First, identify “*what*” it includes – Trigger, Results, Activities, Cases (“TRAC”)
- Later, we add “*who and how*,” then map the process flow, if there is one

- Three types of results:
 - A service
 - A good
 - Information
- The *final* result

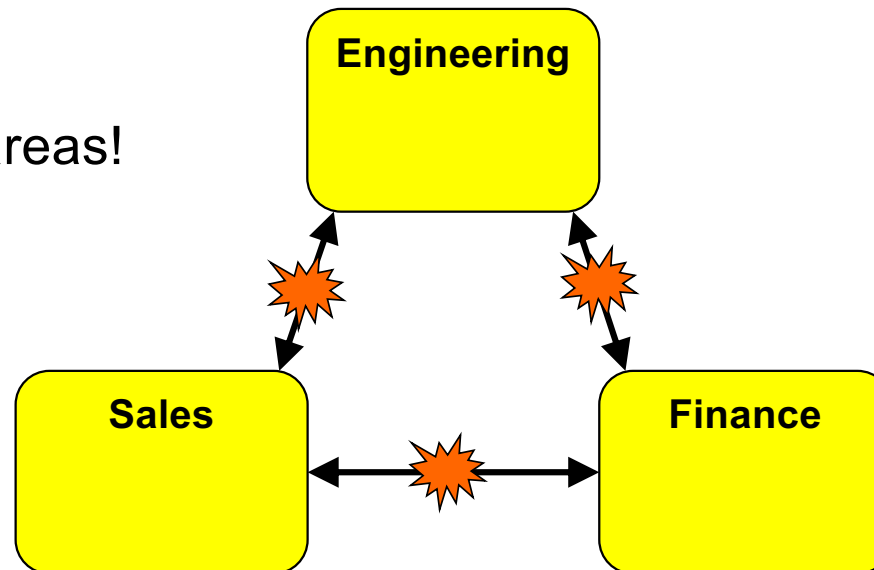
“What” before diving into the “who and how”

Another Business Process example

A regional telecommunications provider (the "Telco") thought they had three main Business Processes, and efforts to improve them were failing:

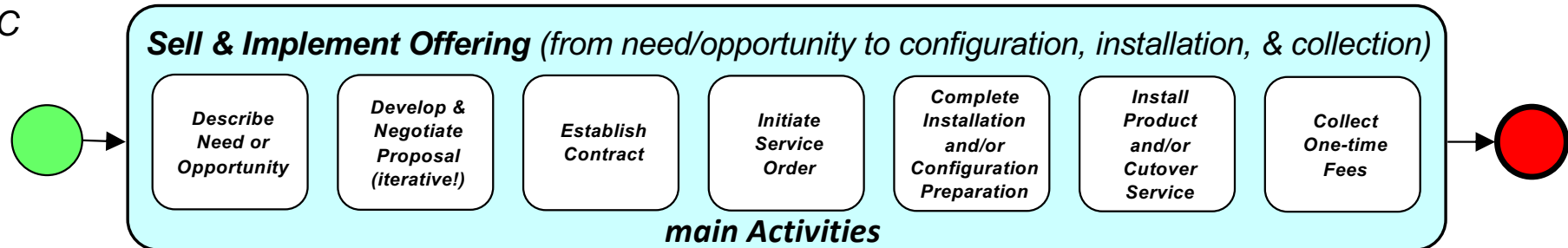


The outcome...
conflict between functional areas!



Process Scope Model showed ONE process not THREE

TRAC



Triggering Event:

- Prospect / Customer expresses need
- Telco (Inside Sales, Marketing, Sales Rep, ...) recognizes opportunity

Cases:

- BU with or without Telco Internet, no cabling (*our focus*)
- initial installation
- service only
- product only
- mixed

Other factors:

- TBD

Results:

Customer:

Product / Service is *installed and operational* per original or amended contract terms

Telco:

- Ongoing source of *revenue* in place
- One-time *fees* collected

Employee:

- *Commission* or *referral credit*

Agent:

- *Commission*

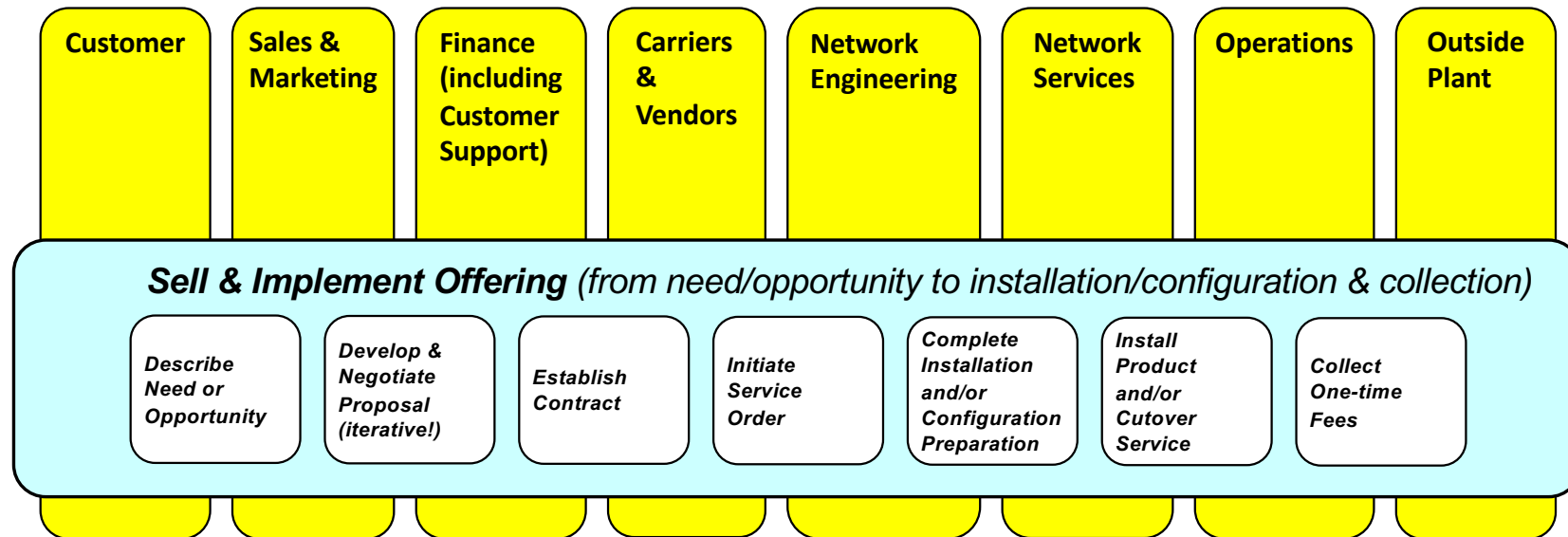
The "token," a Service Order, is changing state from *need/opportunity* to *configured, installed, & collected*.

The Business Process could be named "Fulfill Service Order" but the client wanted to name it "Sell & Implement Offering."



- President reports *culture change*. "We're all in this together!"
- An end-to-end, cross-functional Business Process is a great lens to view *organisation conflict and disfunction!*

Process Summary Chart – my favourite diagram!



Process Summary Chart (a.k.a. "Process vs. Function Chart") adds "who" at the organisational unit or functional level.

Nothing else clarifies "Process" vs. "Function/Organisation" as well.

Great for putting details of Activities or Functions in context, e.g. ...

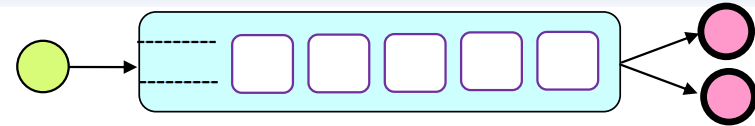
Multiple roles by organisation for “Sell & Implement Offering”

Customer	Sales & Marketing	Finance (including Customer Support)	Carriers & Vendors	Network Engineering	Network Services	Operations	Outside Plant
<p>Roles:</p> <ul style="list-style-type: none"> • Office manager or Owner (Smaller) • IT (Larger) • C-level (CIO, COO, CFO...) • Third party IT vendor or agent • Customer Project Coord. 	<p>Roles:</p> <ul style="list-style-type: none"> • Senior. Account Execs • Strategic Rel'nship Managers • Account Rep 1 • Inside Sales Rep 	<p>Roles:</p> <ul style="list-style-type: none"> • Sales Admin • Order Writer • Billing Rep. • Customer Support Rep. • Director of Customer Support • Receiving and Posting Payments (what role does this?) 	<p>Roles:</p> <ul style="list-style-type: none"> • Port Out Specialist (for CS Record) CSR/LSR • IT Person • Local government • “Call before you dig” • Customer Project Co-ord (int/ext consultants or phone vendors) 	<p>Roles:</p> <ul style="list-style-type: none"> • System Admins (assign IP) 	<p>Roles:</p> <ul style="list-style-type: none"> • BU Tech (survey) • Switching Specialist (NS Spec) • Network Services Coord / Provisioner 	<p>Roles:</p> <ul style="list-style-type: none"> • Sales Engineer • CLEC Technician • Material Manager • Materials Specialist • Project Manager • Customer Training & Support • Install Supervisor 	<p>Roles:</p> <ul style="list-style-type: none"> • Drop Crew • Lineman (not usually) • Engineering Supervisor • Outside Records Specialist

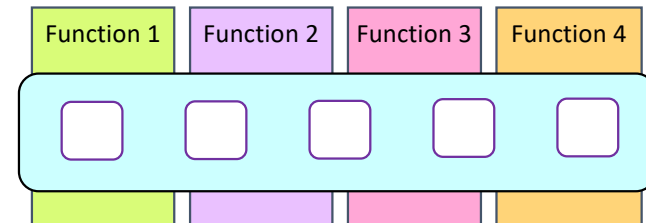
It was a shock to senior leadership to see how many roles were involved, often overlapping or unnecessarily

Many benefits to starting with a *Process Scope Model*

Why start with a *Process Scope Model*?



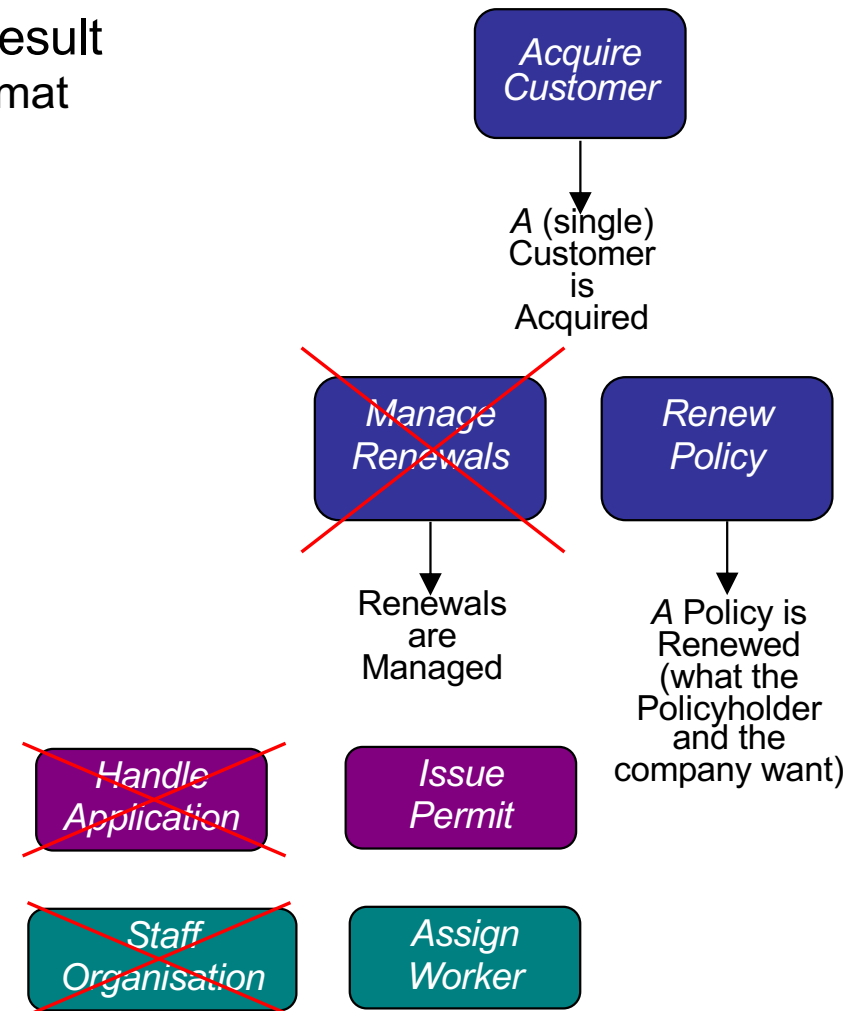
Then a *Process Summary Chart*?



- People see themselves as part of something larger and more important than their own job, department, systems, ...
- Without this, issues and objectives will be seen in functional (organisational) terms
- Actual client comments – The focus on *what*...
 - adds clarity and critical thinking.
 - highlights how far removed the “as-is” is from “what” we’re trying to do.
 - avoids the tension that comes with “who and how,” which is personal (it depersonalises in a good way)

Naming conventions will make life easier

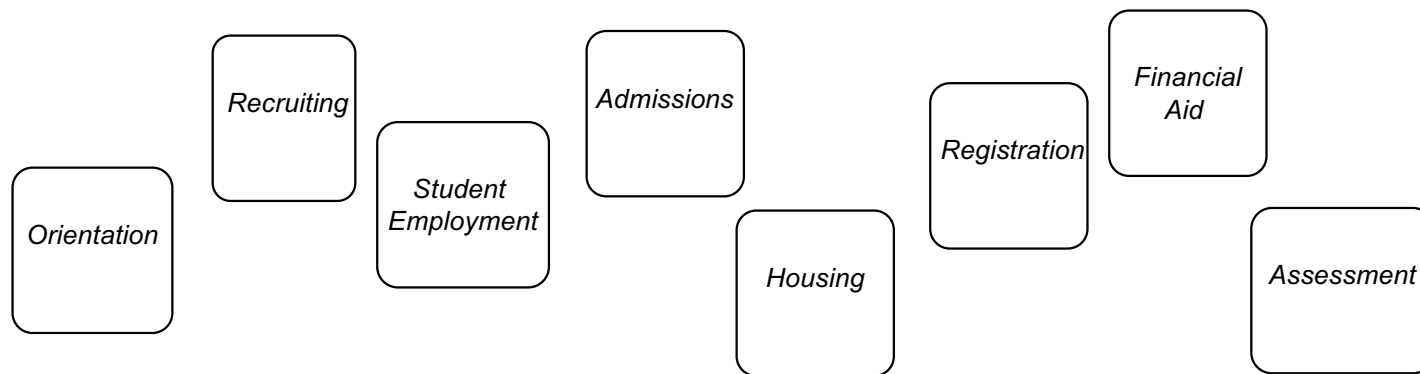
1. The process name **must** indicate the expected result
 - Name potential process in “active verb – noun” format
 - Restate that name as a result (“noun is verbed”)
 - Ensure this is the intended result of the process: *discrete*, so results are *identifiable & countable*
 - **No mushy verbs:** manage, monitor, administer, handle, track, support, maintain, etc.
 - **Active verbs only:** *Evaluate Prospect, Acquire Customer, Fill Customer Order, Resolve Customer Issue, ...*
 - Applies to business processes, phases (subprocesses,) activities, steps, ...
2. Name process from customer's perspective (what do they want from the process?)
3. Name process in the singular



An example from higher education

As part of a strategic initiative to address falling graduation rates, a university took a process-based approach to determine why they were failing to admit the most promising candidates...

The “processes” that were initially identified...

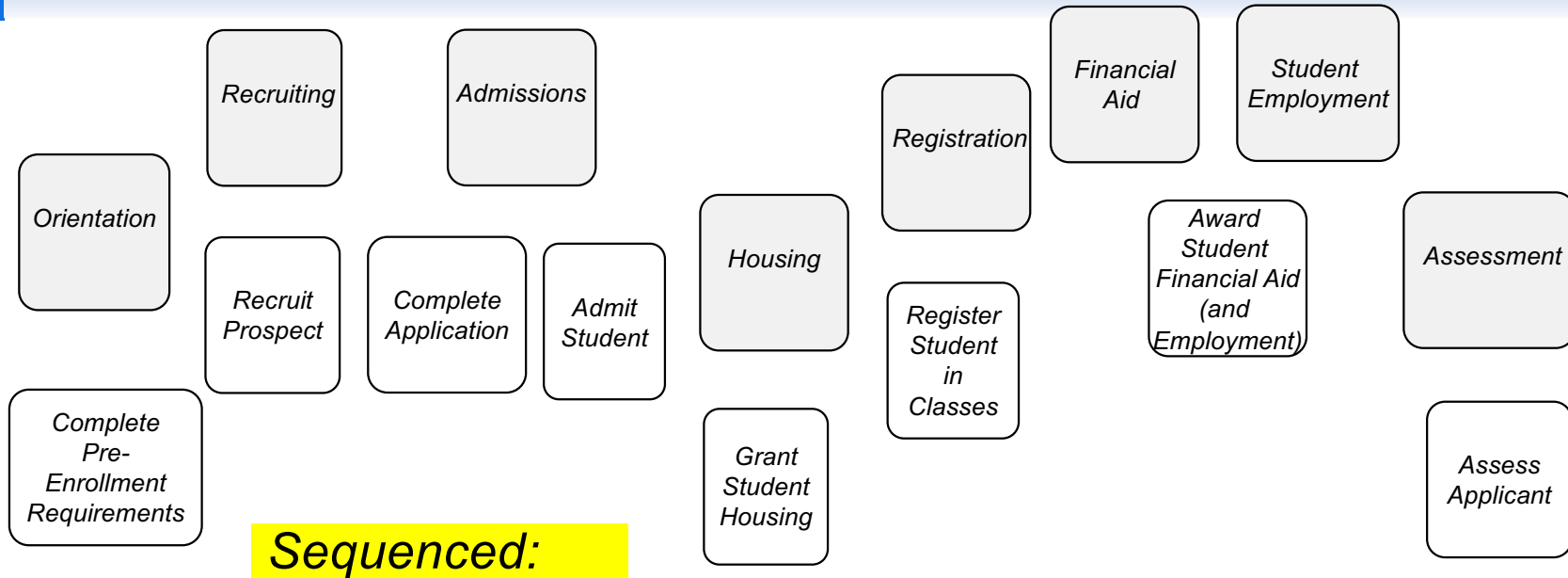


Are these good business processes?

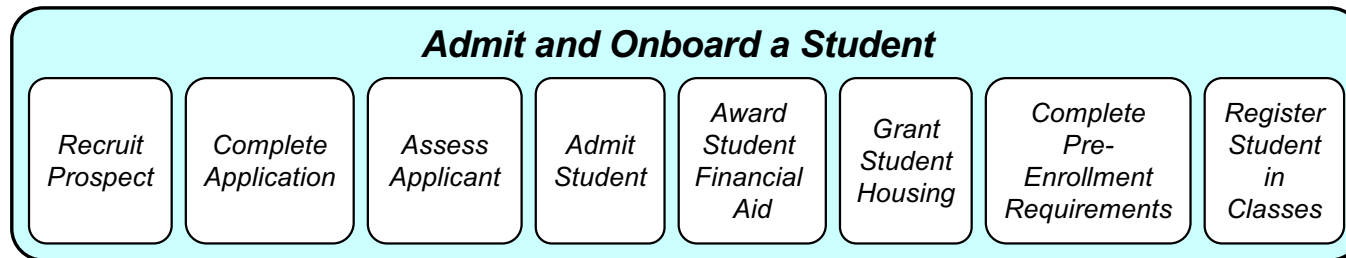
NO! Each of these is a department or function.

We convened a facilitated session to determine the "real" process

Rename, reduce, refine, and sequence



Sequenced:

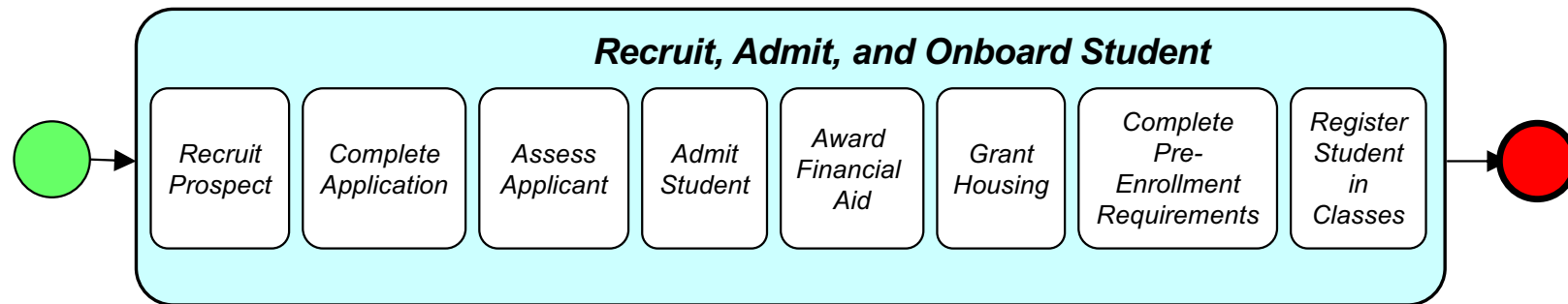


Token: A student,
from prospect to registered



Focus is on “what, not who or how.”
Note the high-tech tools.
Very iterative, but only 90 minutes!

The cleaned-up “Process Scope Model”



Triggering Events:

- Dept. targets prospect
- Suspect is identified or purchased
- Prospect self-identifies
- ACT scores come in
- Prospect applies
- ...

Cases:

- In-state undergrad
- Out-of-state undergrad
- ...

Final Results:

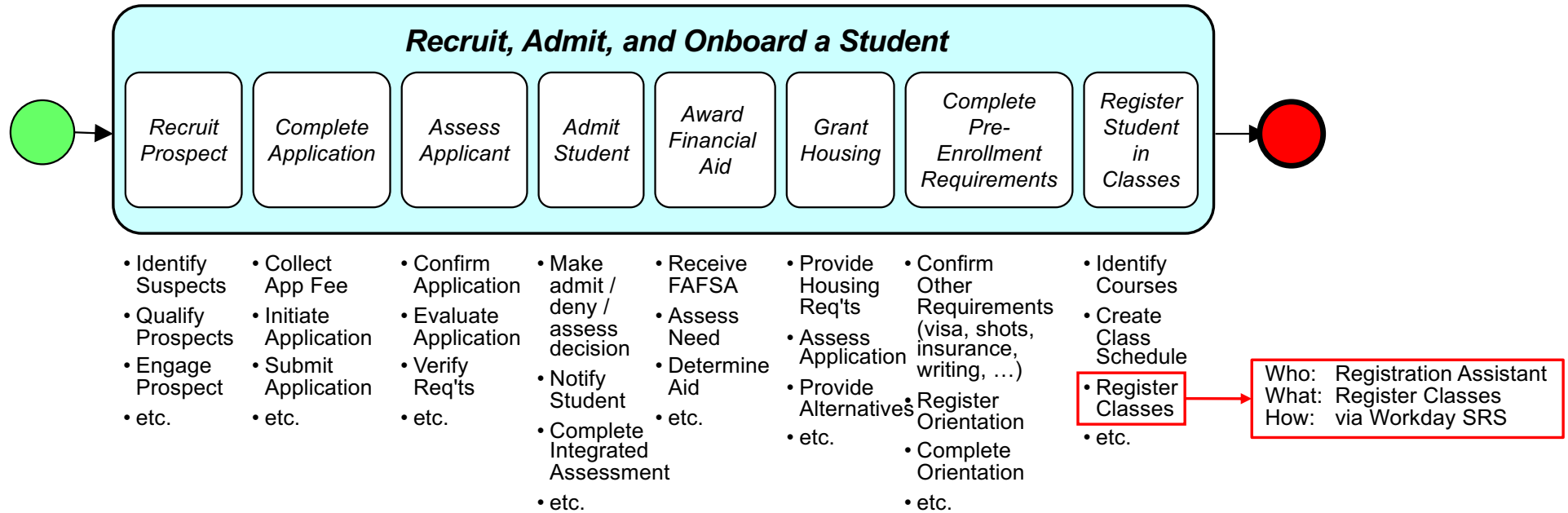
“Up and running,”
ready to attend classes:

- Student is:
 - admitted
 - oriented
 - registered
- Tuition is collected
- Student accommodation is arranged
- Financial aid is granted
- Employment is arranged
- ...

TRAC –

- Trigger
- Results
- Activities (~5-7 phases or milestones)
- Cases (major Variants)

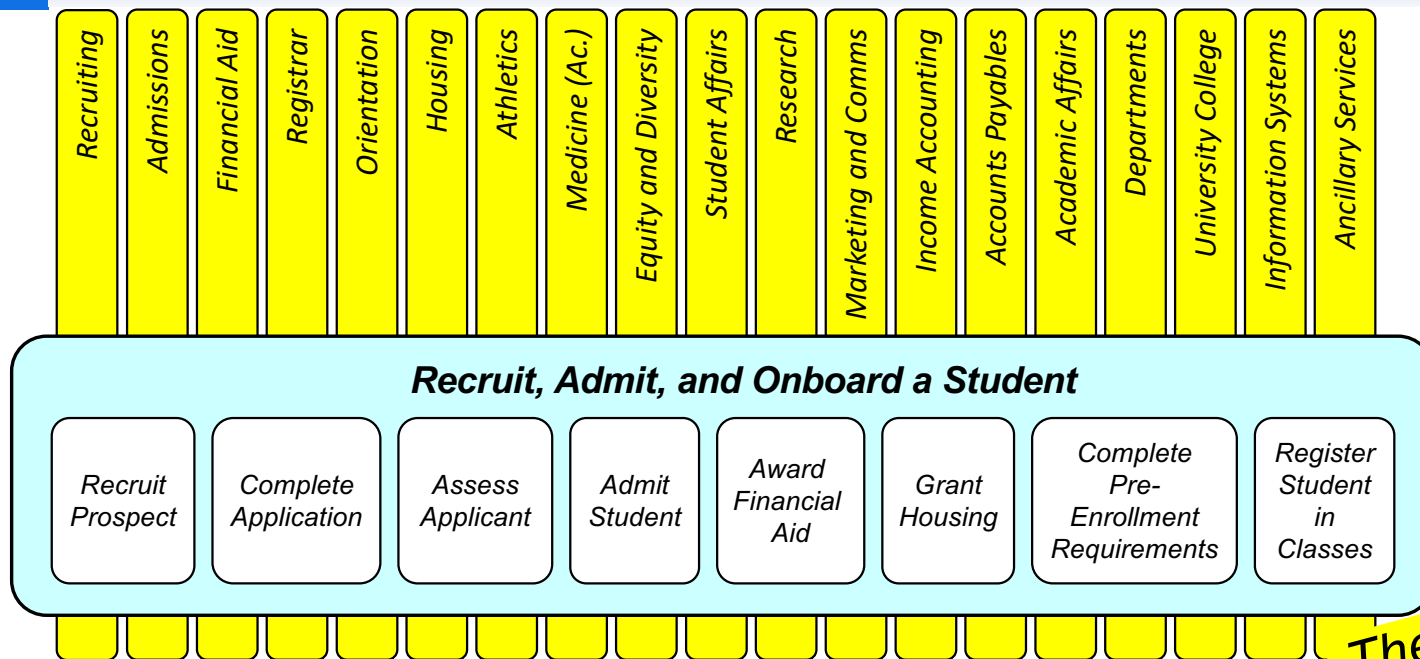
The cleaned-up “Augmented Scope Model”



Typically, 5 – 7 activities identified within each major activity.
Initially just “what” (verb – noun) – later, add “who and how,”
e.g., Registration Assistant (who) Register Classes (what) via Workday SRS (how)

Identifying the functional area responsible for each activity revealed the process was massively cross-functional...

Process Summary Chart shows an astonishingly cross-functional process



Without explicitly addressing the end-to-end process:

- almost no chance the student experience is positive
- very frustrating for the people doing the work
- almost no chance the university is going to meet its goals

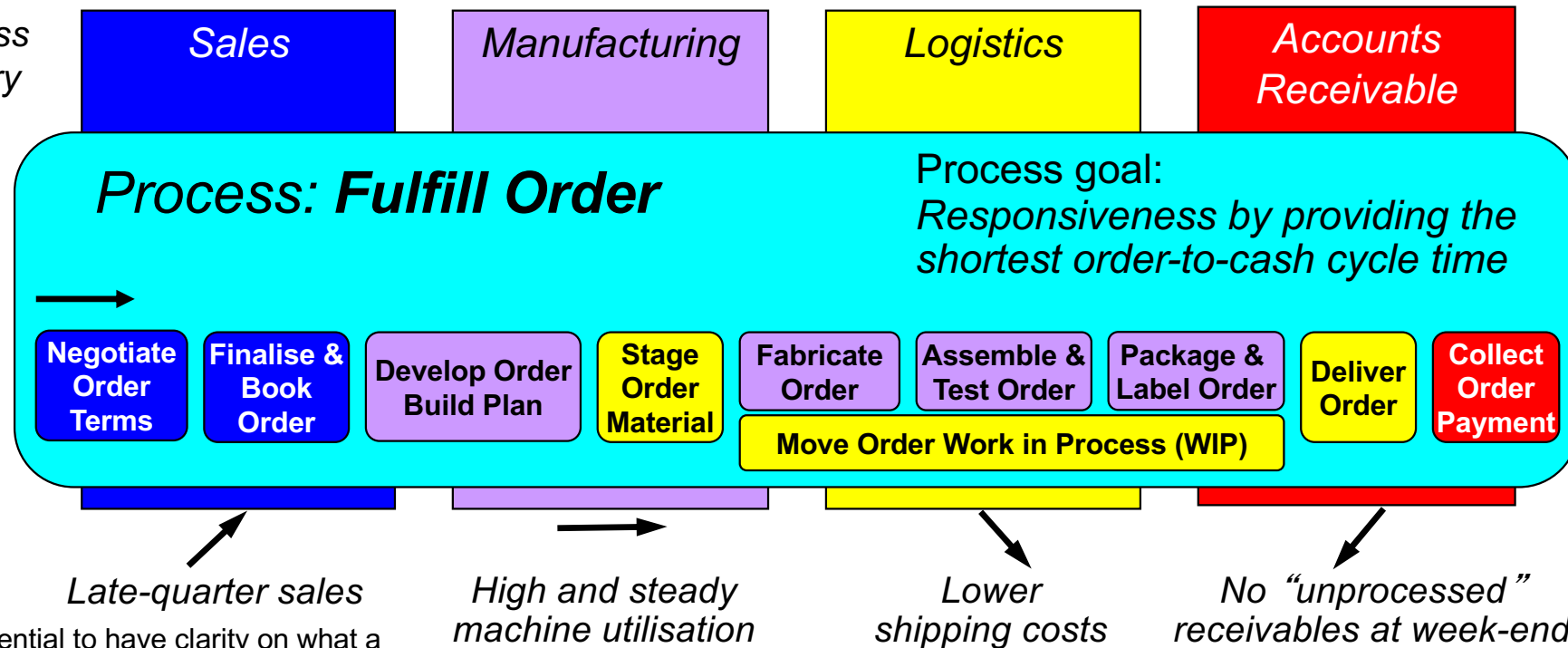
Two key points:

1. Functions are doing their best to optimise their activities
2. A multitude of dis-integrated systems and data sources are being used

The point – the execs said
"Get on with it! There's no
need to burn up \$50,000
on a business case."

2. A common obstacle – misaligned performance measures

A Process
Summary
Chart



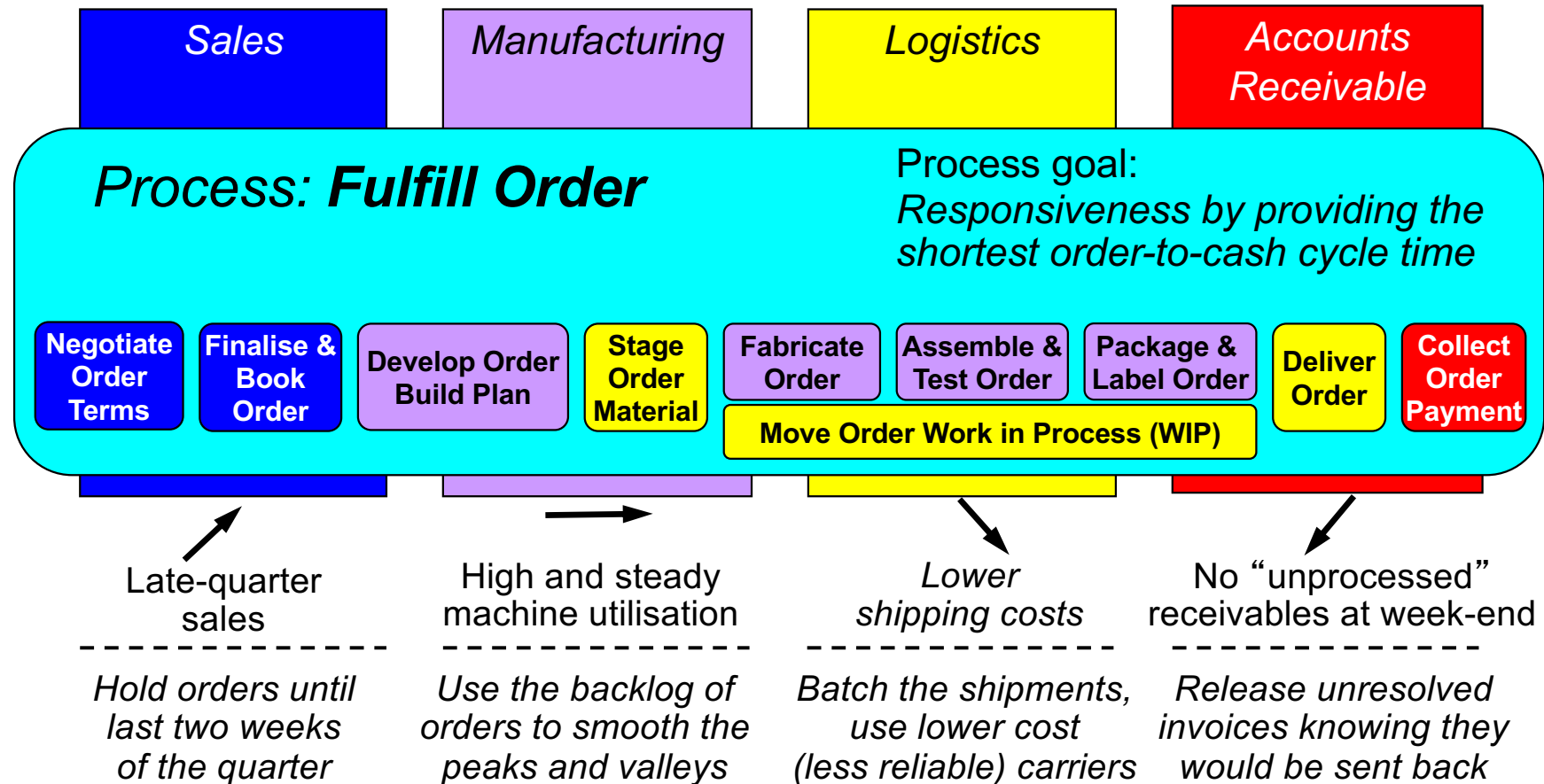
1. It is essential to have clarity on what a business process really is
2. Performance measures may be *functionally aligned* and work *against* business processes
3. Enterprise system implementations must include a business process perspective
4. Success with business processes requires a *holistic view* in which six *enablers* are considered
5. A business process can't be great at everything – a single *differentiator* must be chosen

But... performance measures were established *functionally*, before awareness of the *end-to-end process*

Discuss –

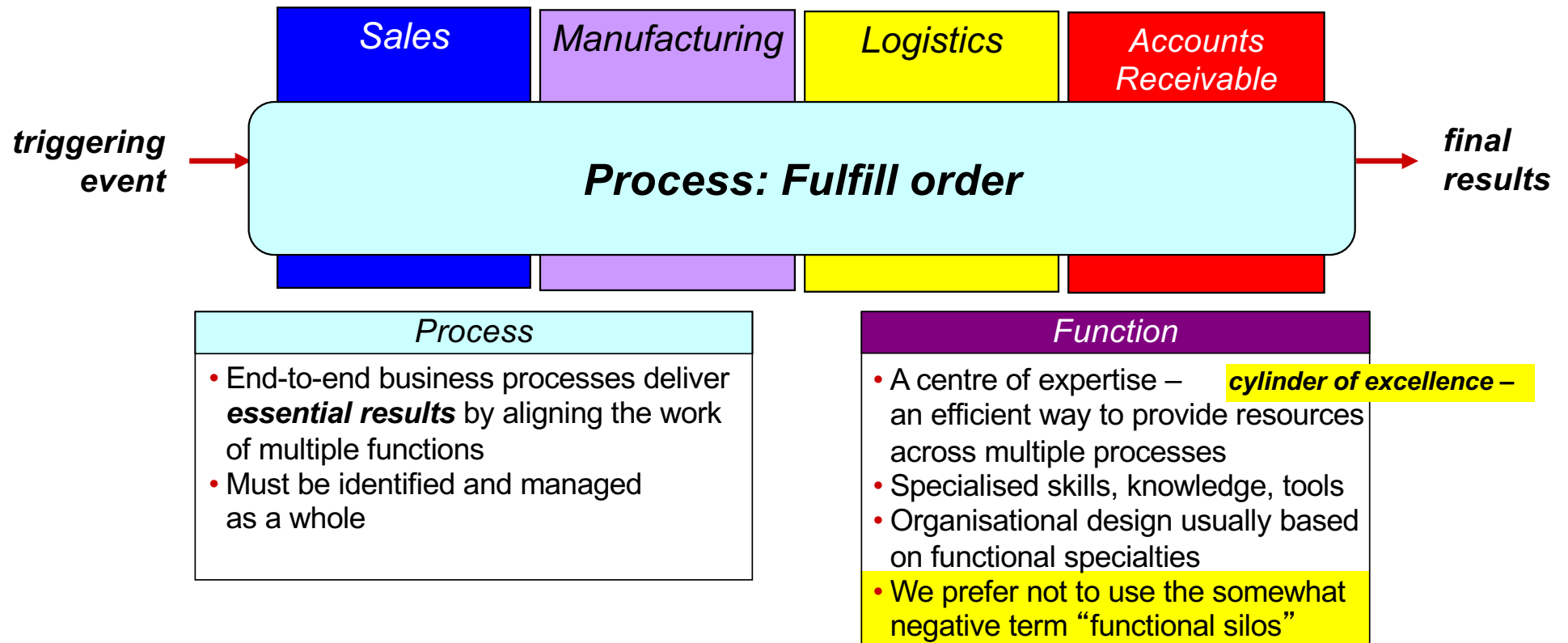
What are the likely impacts of these performance goals?
What will the different functions do to meet the targets?

Misaligned performance measures



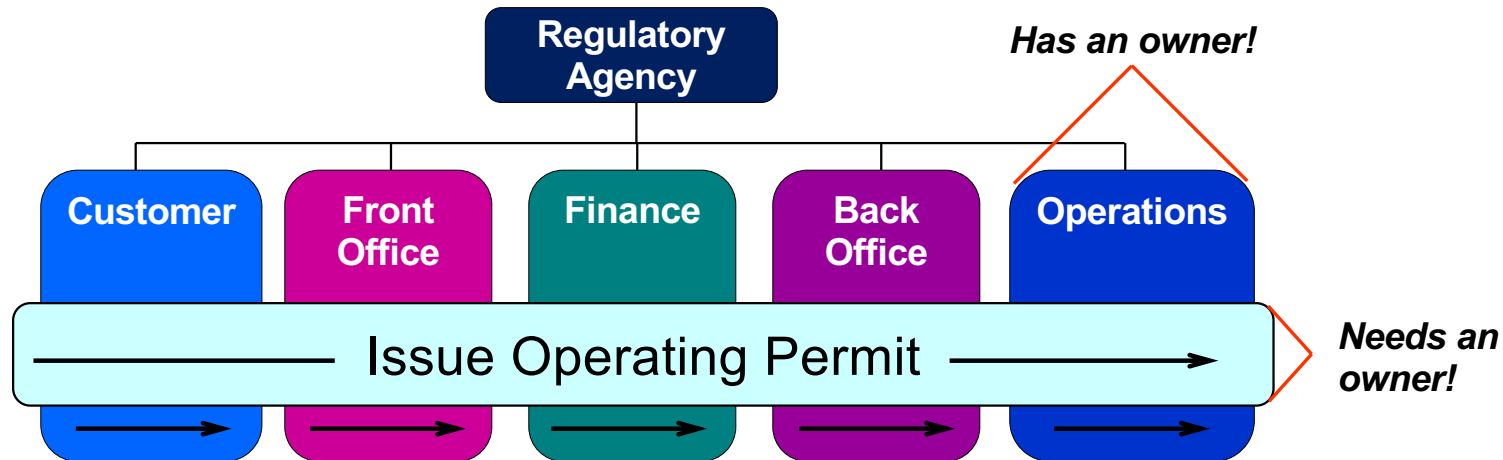
Poor performance because each function was working hard to meet uncoordinated, functional targets

This doesn't mean functions are bad!



Ultimately, business processes are all about alignment

Processes and functions – three key points



- The first step in managing processes is to *determine what they are* – they don't identify themselves
- Performance goals for the functions must *align with* (or be *balanced against*) the performance goals of the process
- Processes need an *owner / steward* to set direction, ensure alignment, and resolve conflict

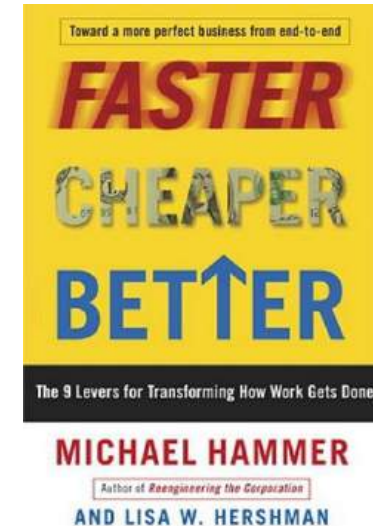
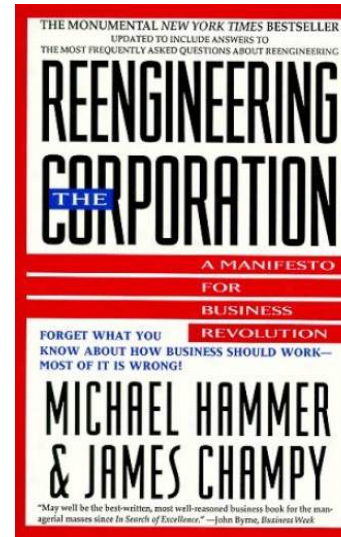
It takes concerted effort – nothing happens by accident

3 – Processes and information systems

1. It is essential to have clarity on what a *business process* really is
2. Performance measures may be *functionally aligned* - work *against* business processes
3. Enterprise system implementations must include a business process perspective
4. Success with business processes requires a *holistic view* in which *six enablers* are considered
5. A business process can't be great at everything – a single *differentiator* must be chosen

“Success with SAP Implementation”

Study by the late Michael Hammer, “godfather of BPR”

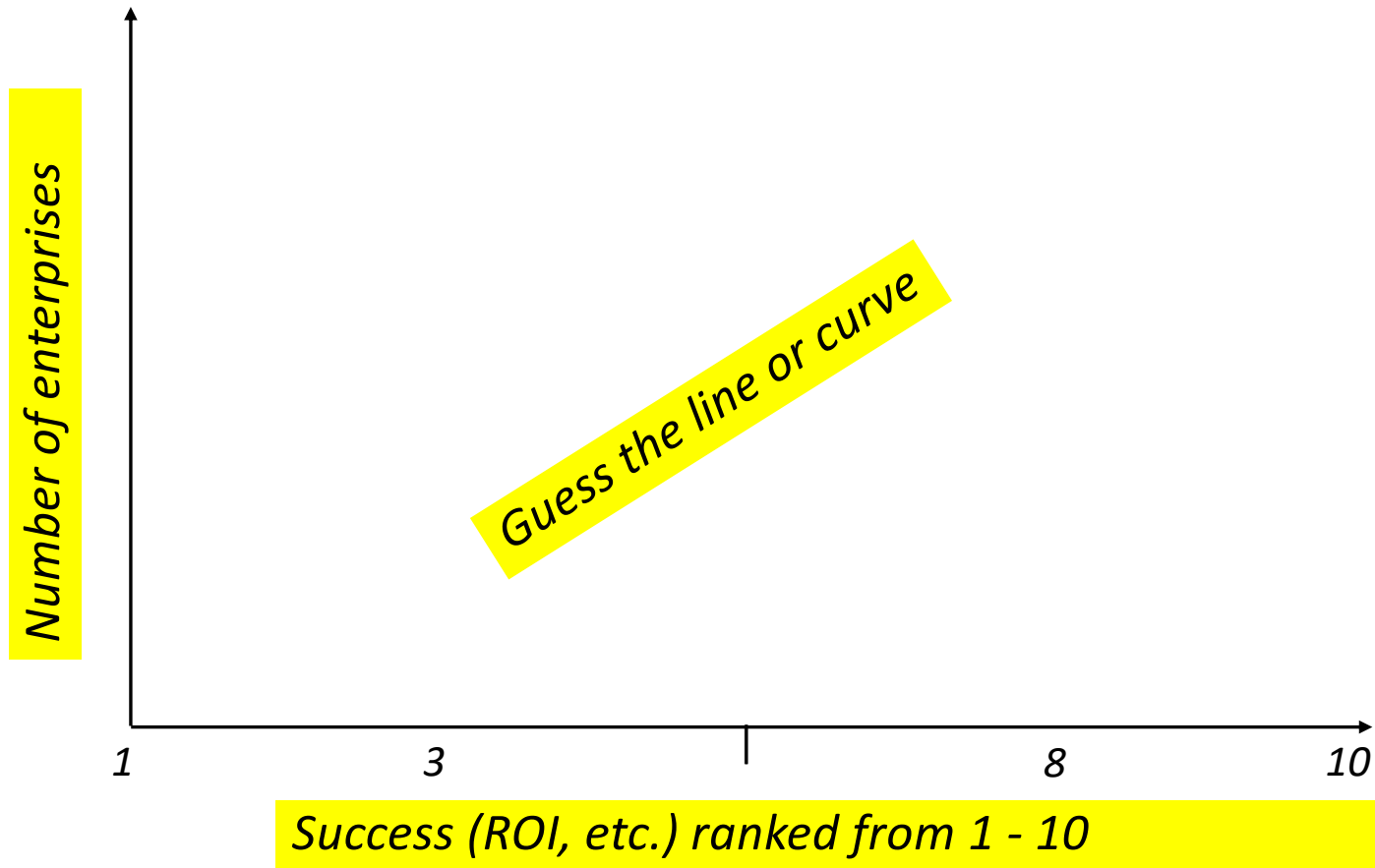


Observed that success of SAP implementations varied *wildly*

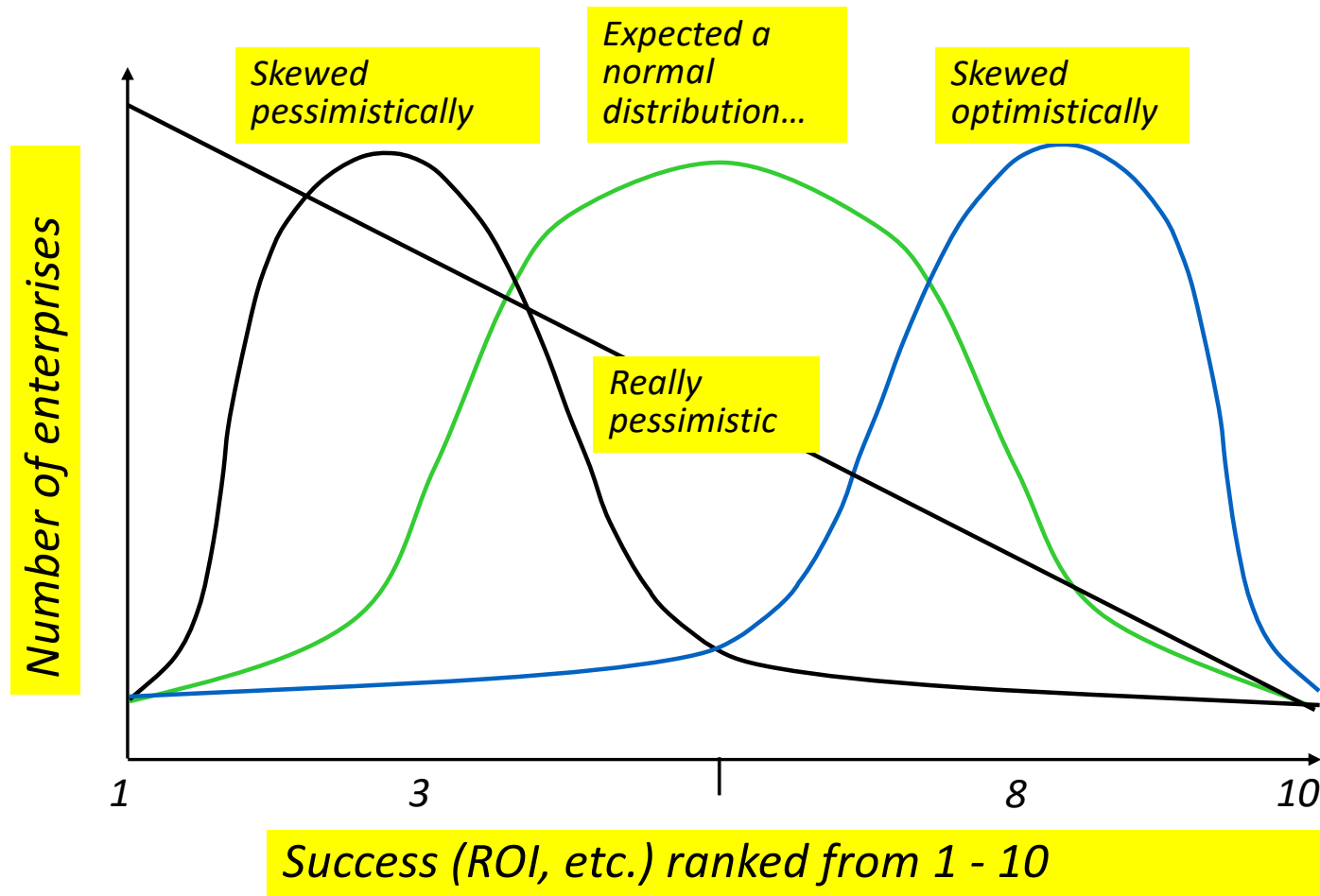
Worked with ~80 companies to assess their degree of success with SAP implementation

Success with SAP implementation

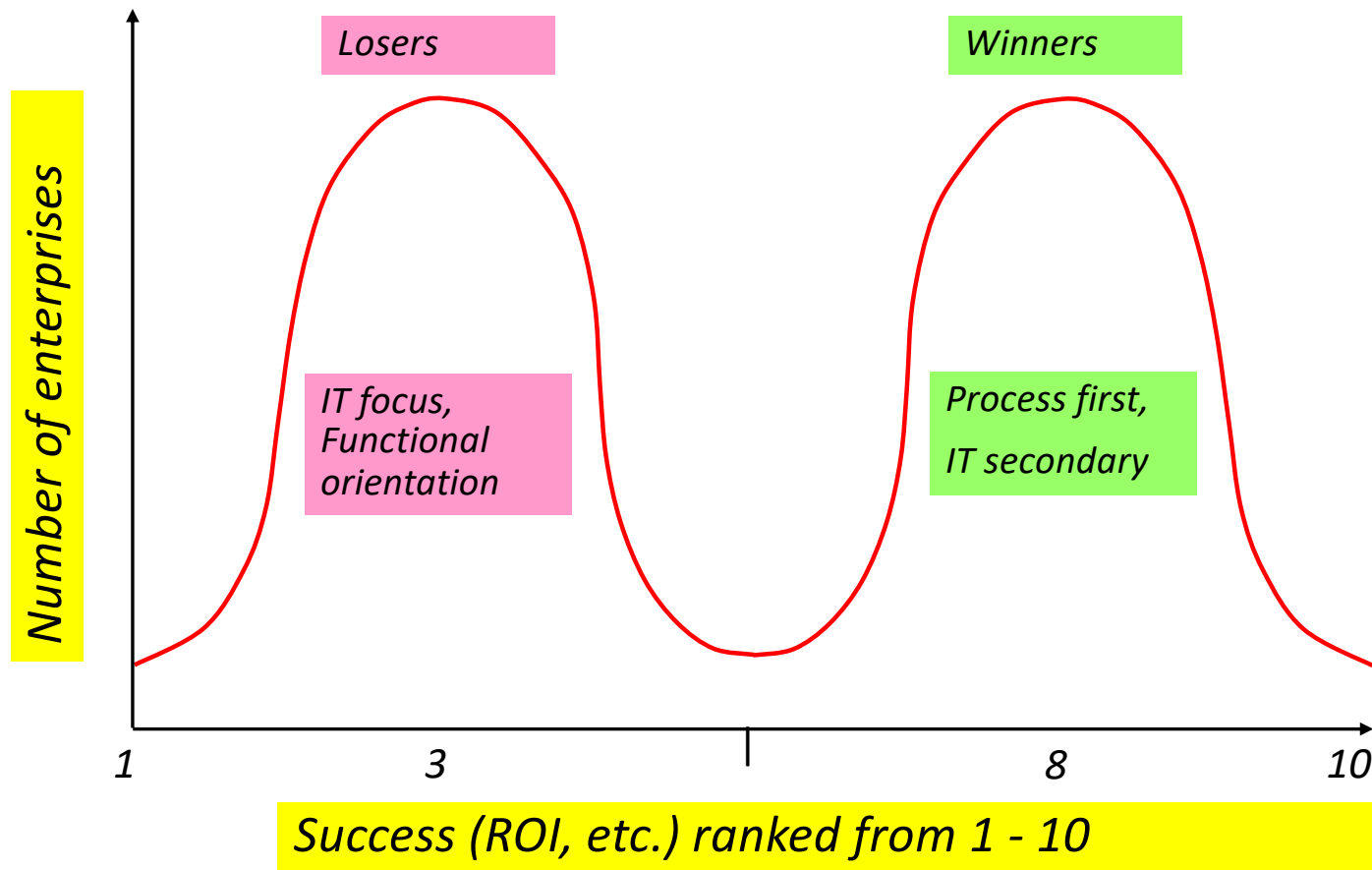
Hammer plotted the number of companies for each “success” ranking



Hammer not sure what the outcome would be



The surprising result



Returning to an earlier example

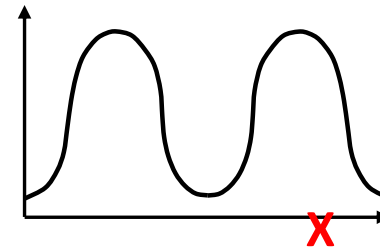
Global manufacturer implementing SAP

Four primary modules:

- *Sales*
- *Manufacturing*
- *Logistics*
- *Finance*

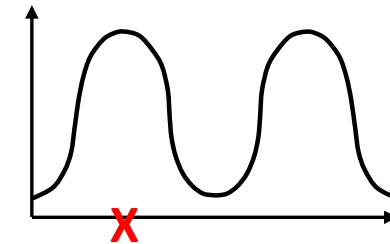
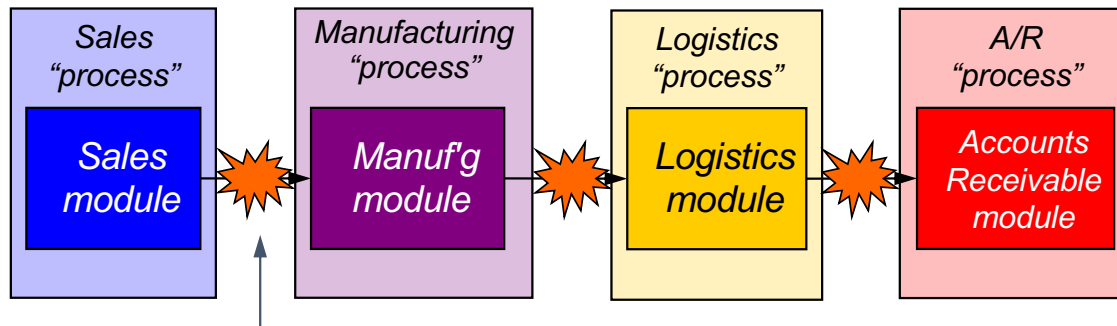
Determined to *do it right*:

“This will be a *process-oriented* implementation!”



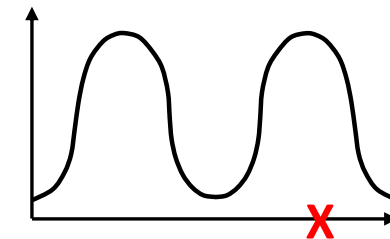
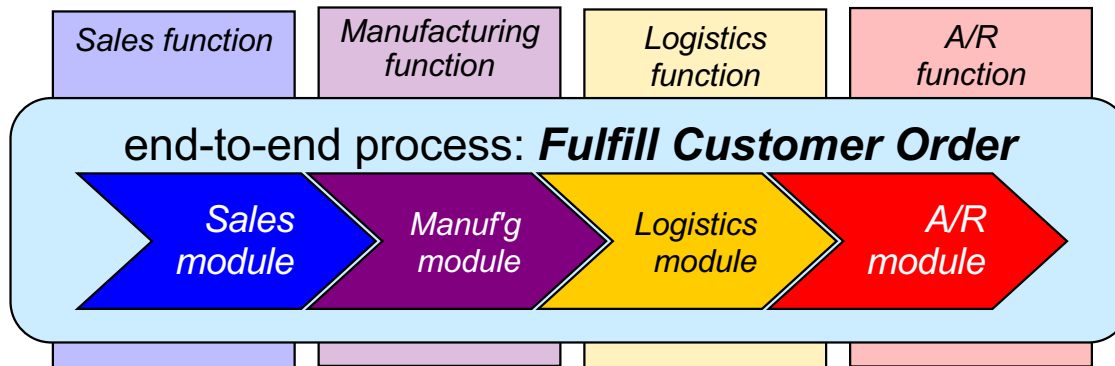
Impact of confusing function and process

Implementing SAP without clarity on “process”:



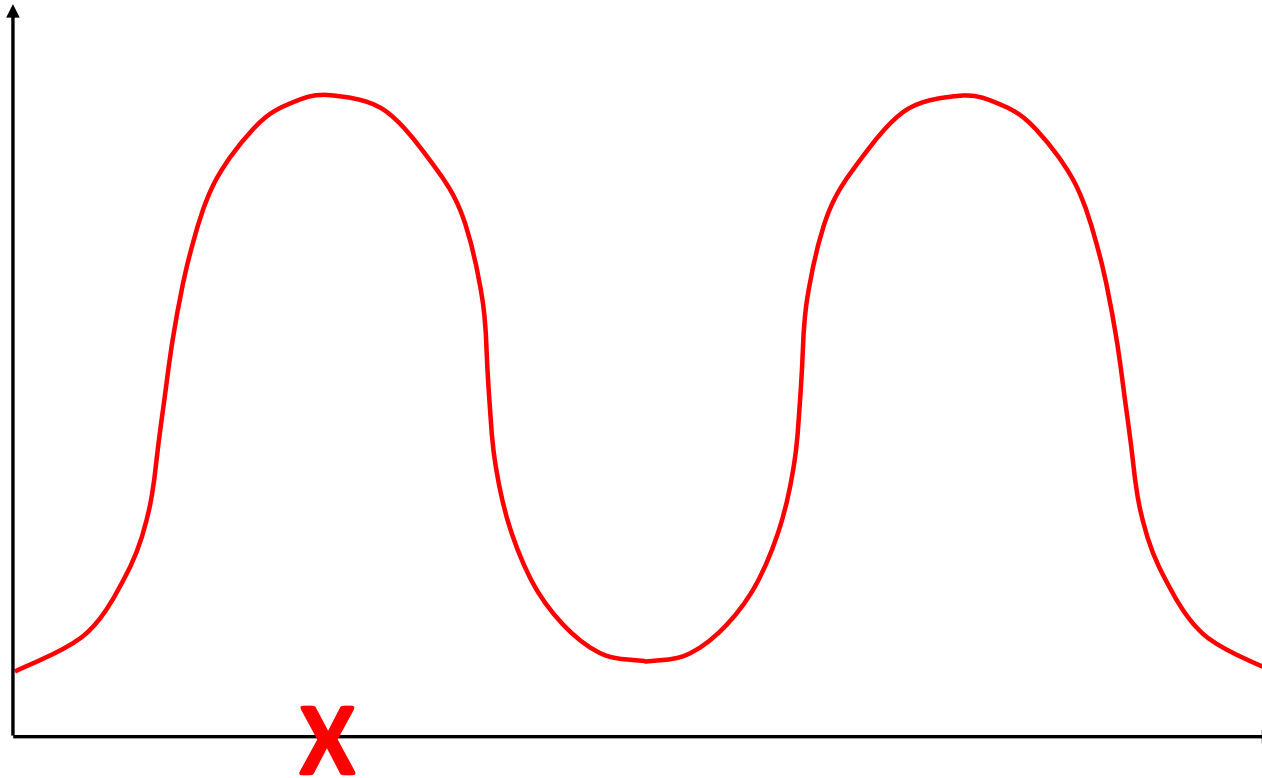
Conflicts: timing, coding, terminology, data formats, performance targets, ...

SAP re-implemented in a process-driven configuration:



Same software, radically different outcomes

Staying “right” in an “entropic” environment

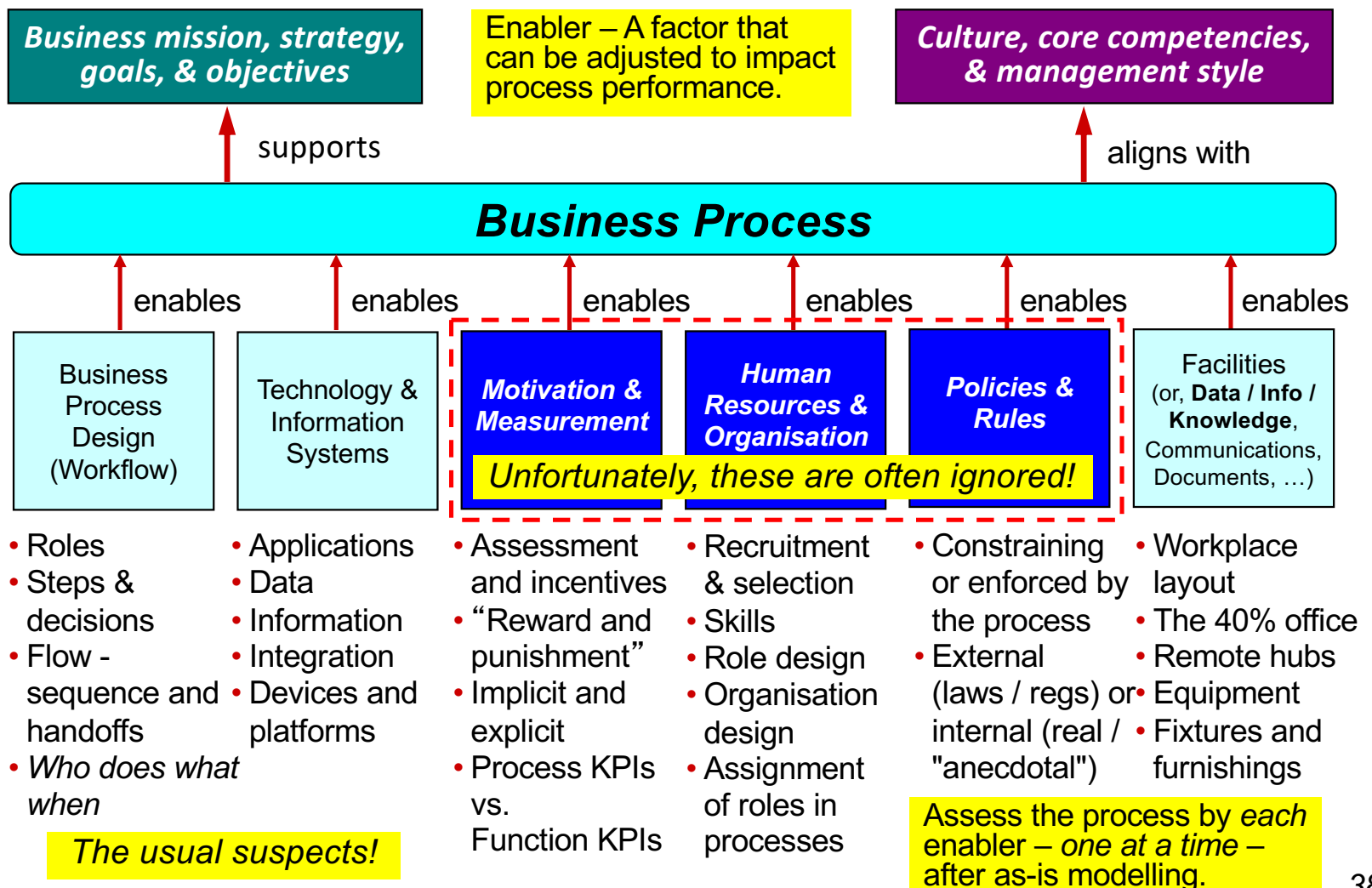


There will always be a pull back towards functional comfort

- *ongoing management of the process is critical!*
- *all enablers must be addressed for a sustainable process*

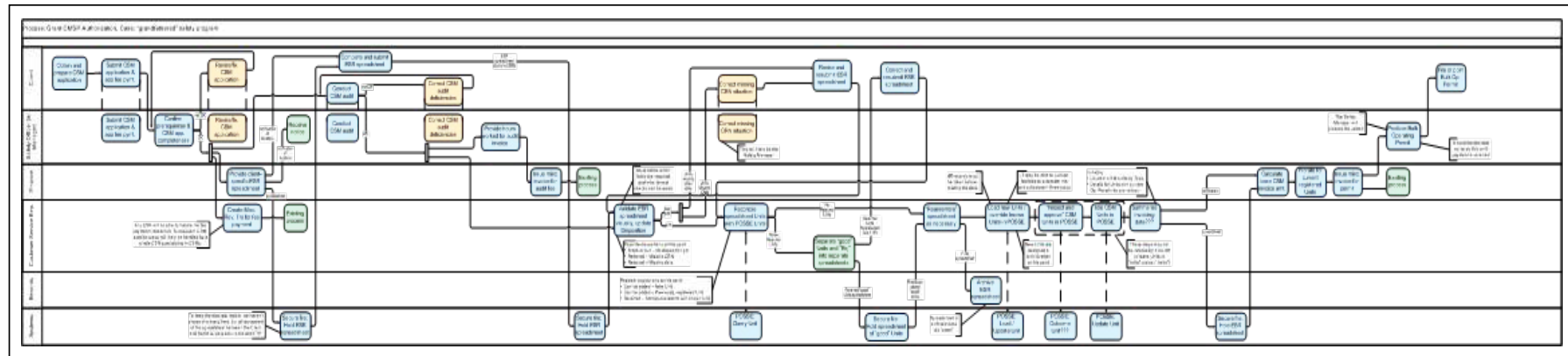
4. A holistic view for process analysis and design

1. It is essential to have clarity on what a *business process* really is
2. Performance measures may be *functionally aligned* - work *against* business processes
3. Enterprise system implementations must include a business process perspective
4. Success with business processes requires a *holistic view* in which six *enablers* are considered
5. A business process can't be great at everything – a single *differentiator* must be chosen



We model the as-is process to support assessment by enabler

As-is modelling maps *reality* – *who, does what, when.*



This supports a *fact-based* assessment of the *as-is* process by enabler.

Process Workflow Design:

Is each step adding value, placed at the right point in the process, sequential or parallel as appropriate, performed by the best role, etc.?

Information Systems & Technology:

Are the process, the steps, and the actors supported by the right systems and technology?

Motivation & Measurement:

How is the performance of the steps, the actors, the participating functions, and the process measured, and what are the consequences?

Human Resources & Organisation:

Are roles suitably broad, are organisations designed properly, and are roles & skills deployed well into the process?

Policies & Rules:

What policies or rules, whether internal or external, constrain or are enforced by the process, and what is their impact?

Facilities (or other):

Are the layout & furnishings optimal or do they impede the process? (Many clients instead use this enabler to consider data, info, and knowledge.)

5. Process goals: know your “differentiator”

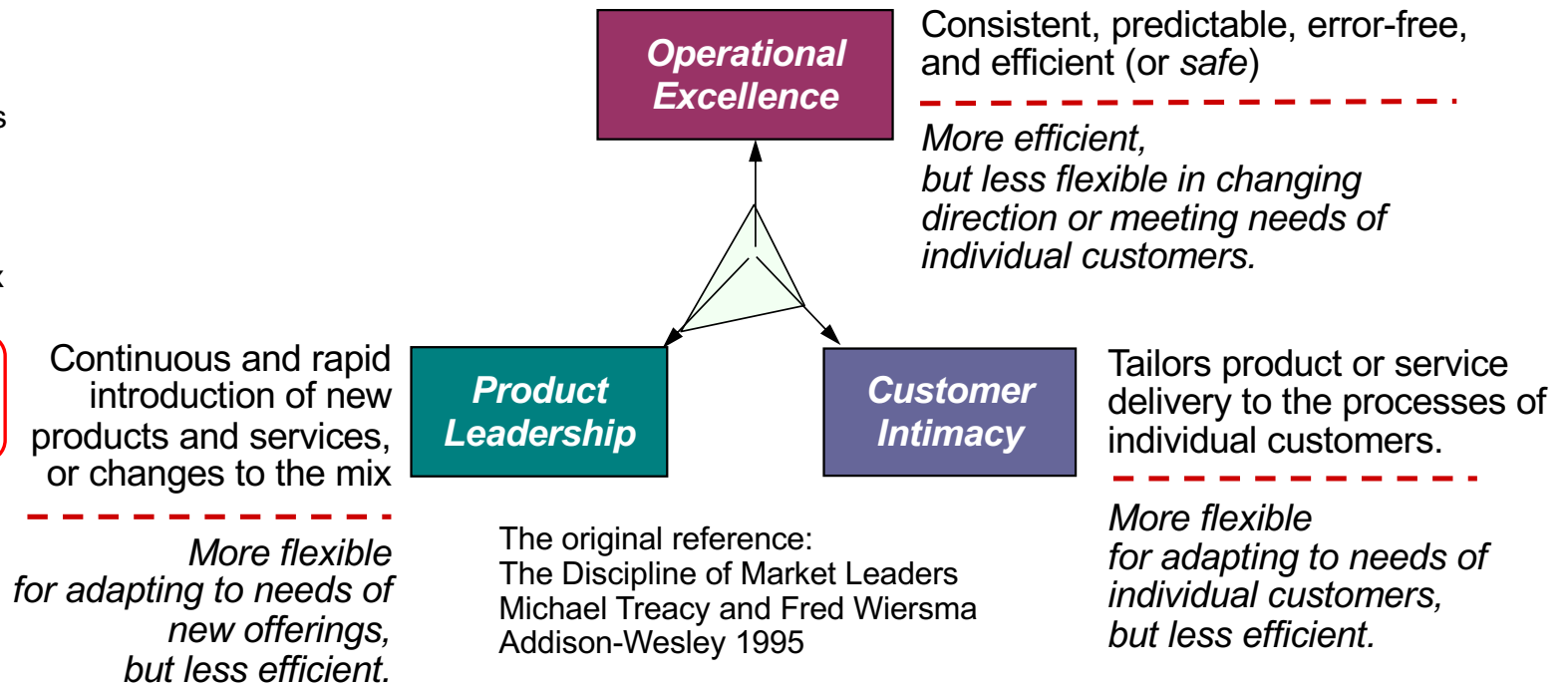
1. It is essential to have clarity on what a *business process* really is
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5. A business process can't be great at everything – a single *differentiator* must be chosen

As noted, this is one of the things I do on ~100% of *Project Recovery* assignments -

1. Build *Process Scope Model & Process Summary Chart*
2. Develop *Case for Action* – an *As-Is Assessment by Stakeholder*
3. Establish the *Differentiator*
4. (Optionally conduct an *As-Is Assessment by Enabler*)

Great processes don't try to be all things to all people – strive to be **great** at one differentiator, and **good** at the other two...

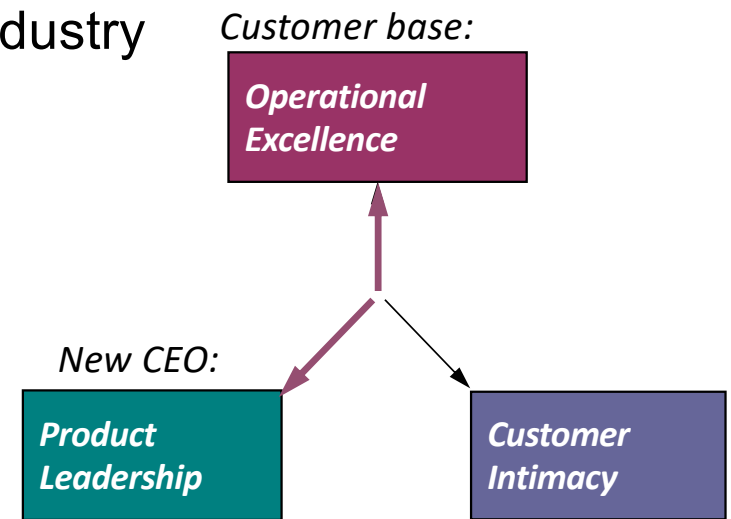


1. Concept developed for the entire enterprise, but great for individual process areas – a “signpost” for decisions on process changes.
2. Processes in an enterprise do not all have the same differentiator.
3. The Process Differentiator can change over time – *slowly!*

Example: “differentiator confusion”

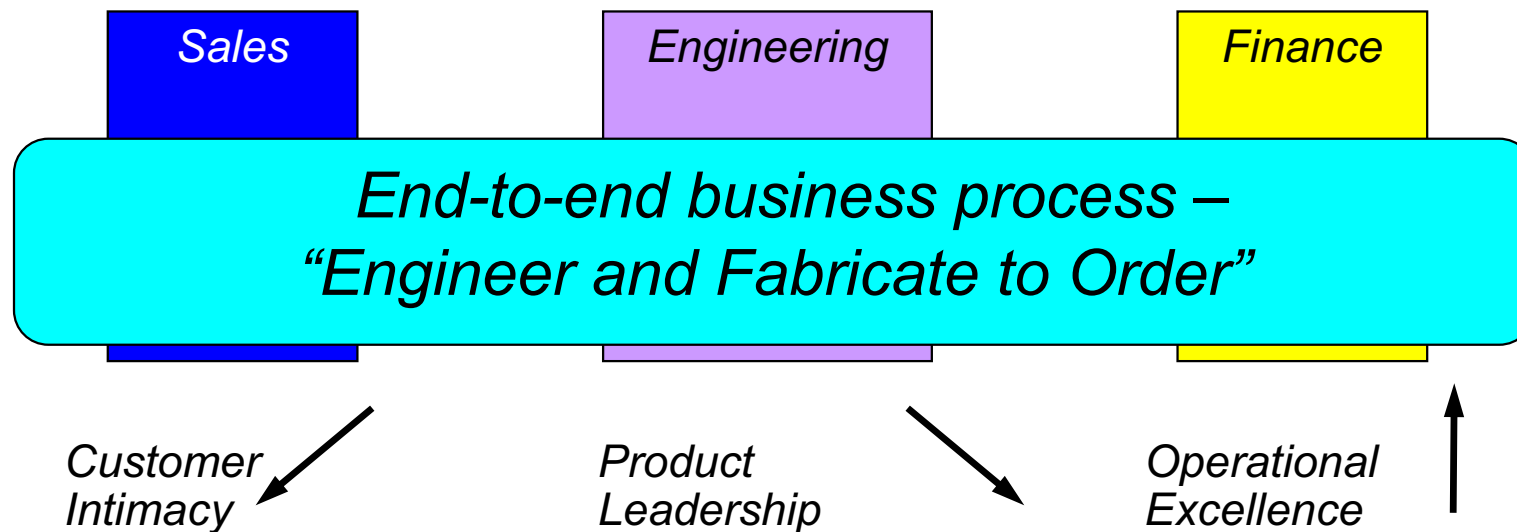
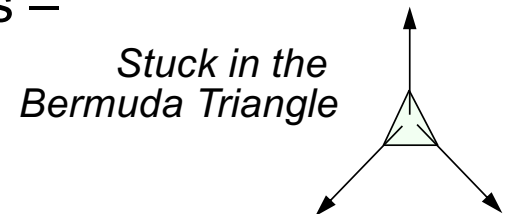
Getting it wrong can be *expensive*...

- Insurance company recruits CEO from high tech industry
- New CEO decides “innovation is everything” – \$100M spent on process redesign and system development in support of “innovative car insurance products” – *Product Leadership*
- Total failure – customers wanted affordable, easy to understand, easy to buy insurance – *Operational Excellence (Op Ex)*



Three common differentiator problems

1. Focus on the wrong differentiator – *customer alienation*
2. No differentiator or trying to excel at *multiple* differentiators – *stressed workforce and lower performance*
 - *Operational excellence* – “We must be the low-cost provider!”
 - *Customer focused* – “We must do what it takes for each client!”
3. Conflicting differentiators within functions of a process – *lower performance*



Business Process – part of the Clariteq Framework for Business Analysis

Framework Layer

Technique sample

What it covers

Goals

Business Objectives

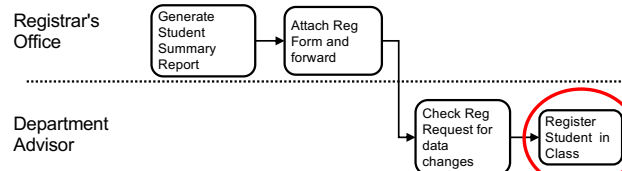
The university is initiating the “Strategic Enrollment” program to raise Student graduation rates in part by ensuring Classes are available for Student registration when needed.

✓ **Project Charter:** documents the rationale, objectives, scope, and success measures for the project

This is not a sequence!

Process

Business Process

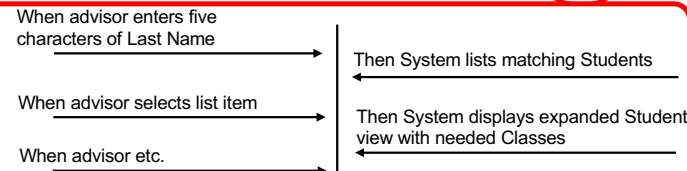


✓ **Process Model:** shows “what” in a Scope Model, then “who & how” in a Workflow Model – the steps done by the actors in the process

Business Process: gives great context for *Business Analysis*

Application

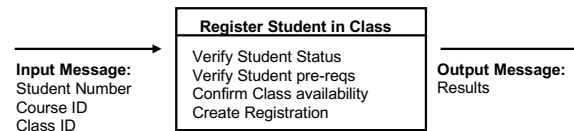
Presentation Services (user interface)



✓ **Use Case:** describes how an actor would like to interact with a system to obtain a service, typically to complete step in a process

Use Cases and Services: where we capture *Functional Requirements*

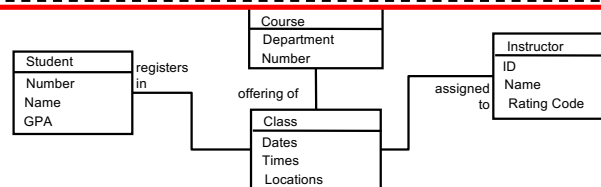
Business Services (rules & logic)



✓ **Service Specification:** describes a service – a package of rules and logic – that is triggered to complete or respond to a business event

Data

Data Mgmt. Services (databases)

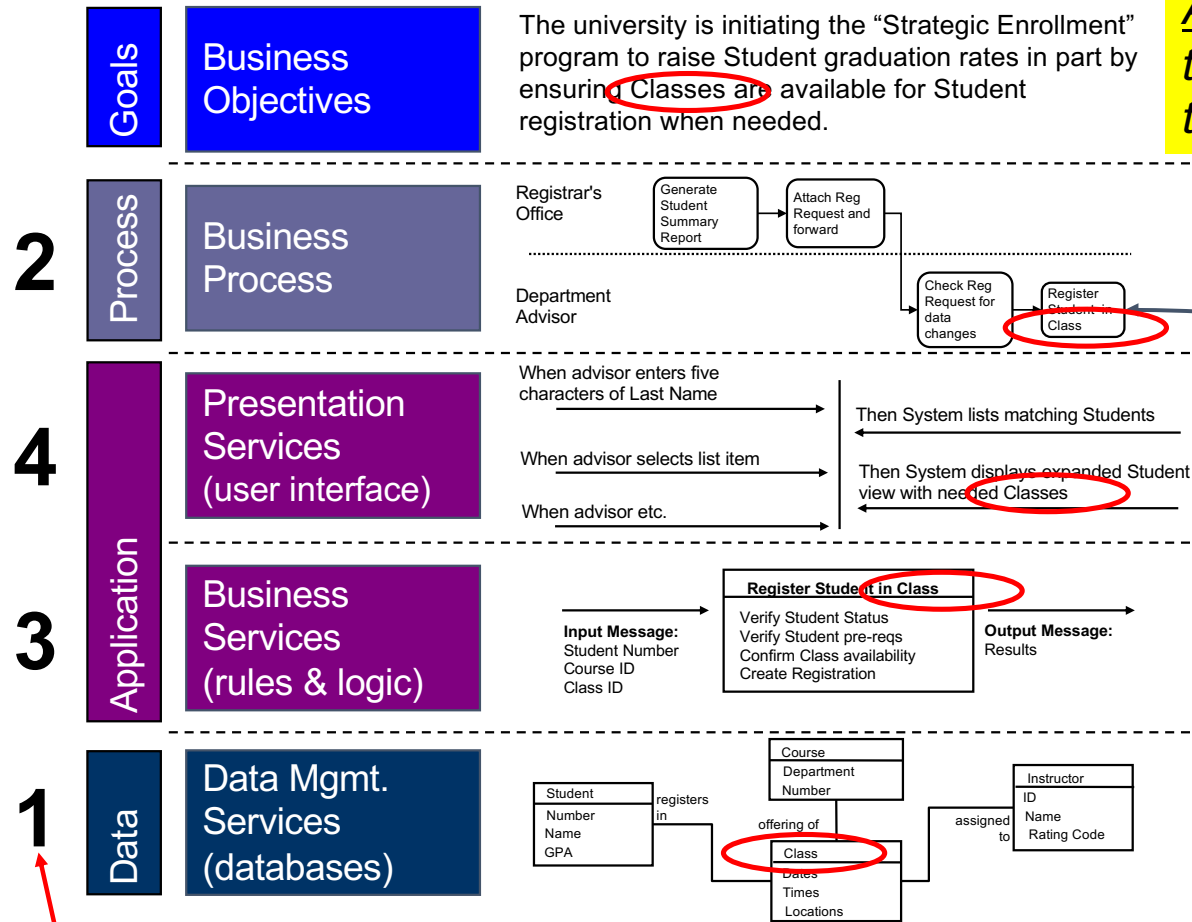


✓ **Concept Model:** depicts the things and the facts about things the organisation needs to record; the things (the entities) are what processes and solutions act on.

Concept Model: a great platform for *Business Analysis*

Only four types of models vs. 14 in the UML! (Unified Modelling Language)

Key point! Everything relies on the concept model

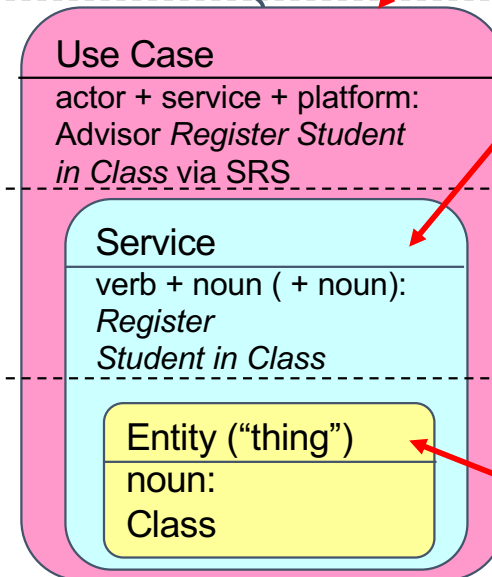


All use the language and constraints of the Concept Model (the “thing model”) – the ultimate “what”

Use Cases/User Stories:
 - Who (Actors) needs access to the Services, and how (Platform)?

Verb-Noun pairs:
 - The **Services** (event-handlers) that are at the heart of a **Service Oriented Architecture**.
 - Also “building blocks” of Business Processes

The core **Nouns** in your enterprise.
 Also known as **Business Objects**.



Bonus – great starting point to discover your Events/Services and Use Cases/User Stories

My usual sequence

Another key point! Different levels of detail for different purposes

Different models and levels of detail for different audiences and purposes.

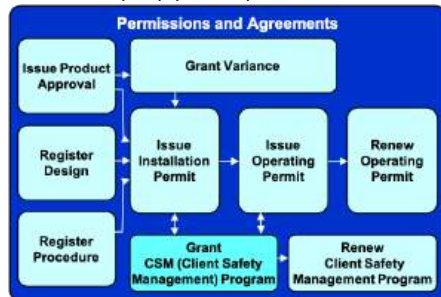
Also applies to Use Cases, Services, and Data Models

Scope – for Planning

Concept – for Understanding

Detail – for Specification

Process Landscape (optional):



Process Scope Model:

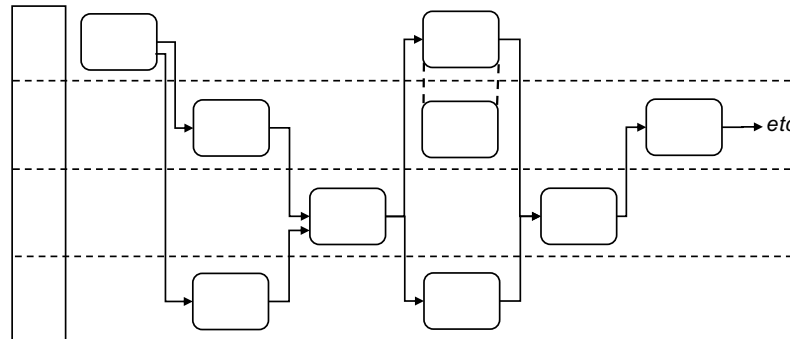


Process Summary Chart:



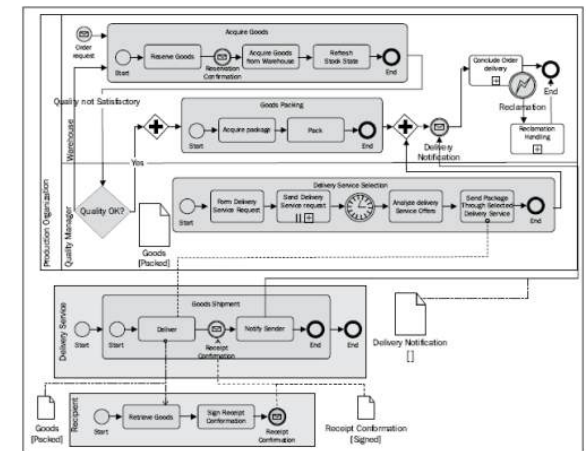
Boxes

- Augmented Scope Model showing next level activities: *who - what - how*
- “Business-friendly” (just boxes & lines) flow models to maximise communication and participation
- Two levels – *Handoff* and *Service*



Boxes & Lines

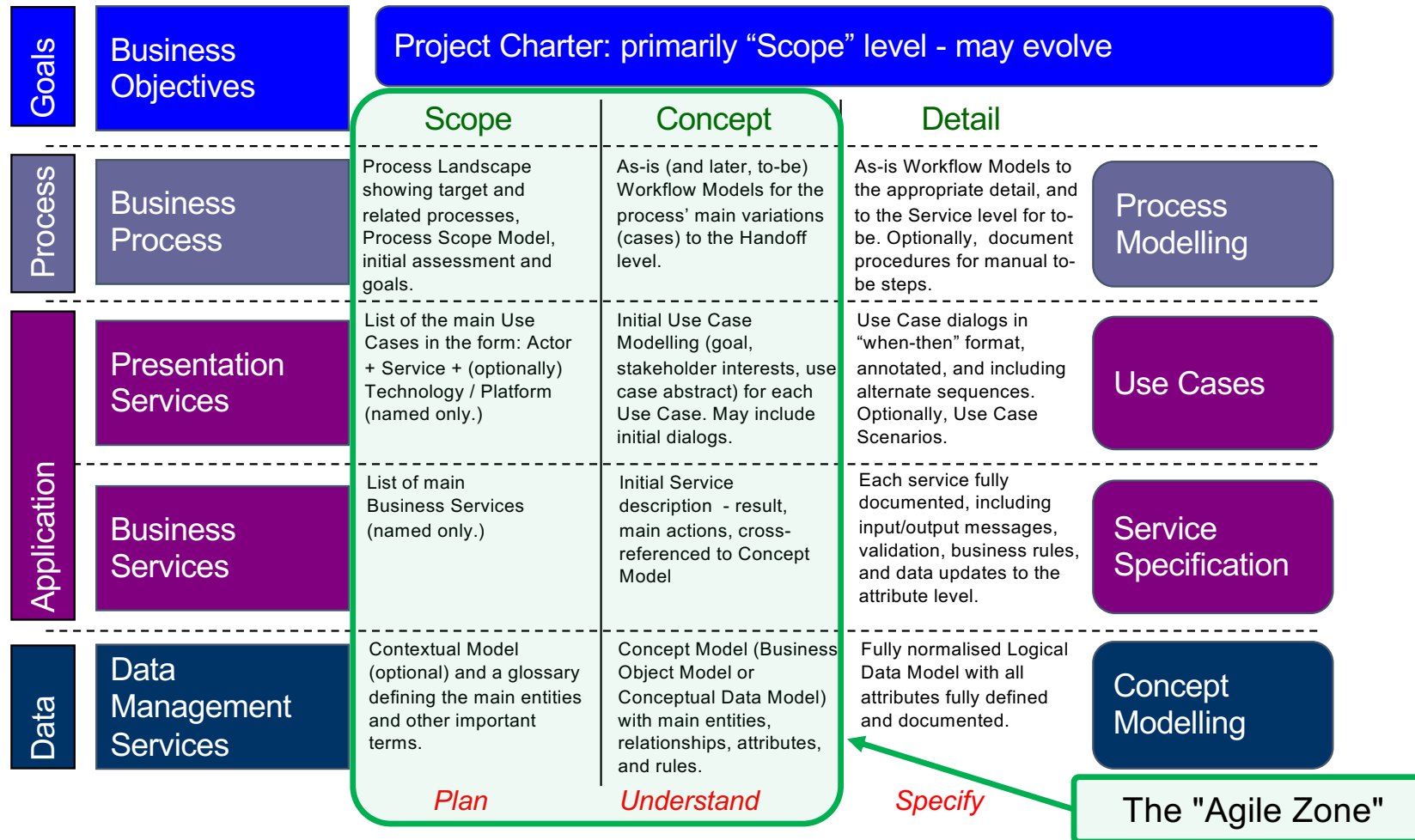
- Detail for technical design, perhaps using full BPMN



Boxes, Lines,
& MANY Symbols

Specifics on progressive detail for all techniques

Clariteq Framework for Business Analysis



Our three-phase methodology – proven, practical, & agile

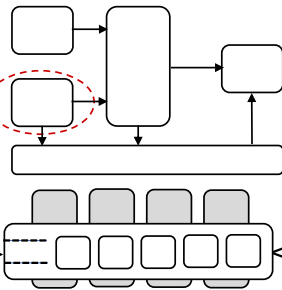
1

Establish Process Scope and Objectives

Identify & scope the process with a Scope Model & a Process Summary Chart; Optional - build a Concept Model

Complete **initial** as-is process assessment, and to-be objective setting, by **stakeholder**

Some goal or issue, not rigorously specified



- Customer
- Performers
- Owner
- others...

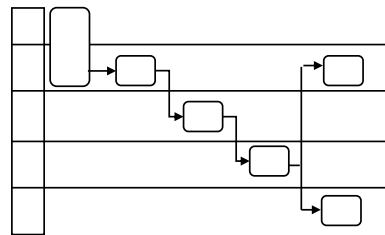
- ID processes & draw *Process Landscape* (Optional – only if you have a large scope)
- ID **Trigger**, **Results**, main **Activities**, **Cases (TRAC)** & draw *Process Scope Model* – focus on *what*, no reference to *who* or *how*
- ID involved functions & mechanisms (*who* and *how*) & draw *Process Summary Chart*
- Conduct *stakeholder-based assessment*

2

Understand the As-Is Process

Perform more **detailed** as-is modelling: an Augmented Scope Model & optionally, Workflow Models

Complete **final** as-is process assessment by **enabler**, and generate to-be improvement ideas



- Process
- IT
- M&M
- HR
- P&R
- Fac. or...

- Develop *as-is* models:
- *Augmented Scope Model* – add ~5 – 7 more detailed Activities for each main Activity
- (Optional) *as-is Workflow Models* – only enough detail to understand process behaviour
- Conduct *enabler-based assessment* and identify *potential improvements*

3

Design the To-Be Process

Refine to-be improvement ideas and determine 5-10 **key features** of the to-be process

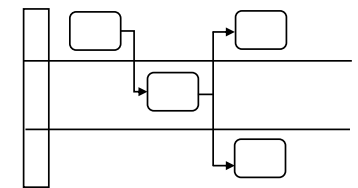
Assess each to-be feature **by enabler** to ensure the new process is implementable and sustainable

Design the to-be process:
1 - **essential** activities first
2 - "who & how" next
3 – transport & protocol last



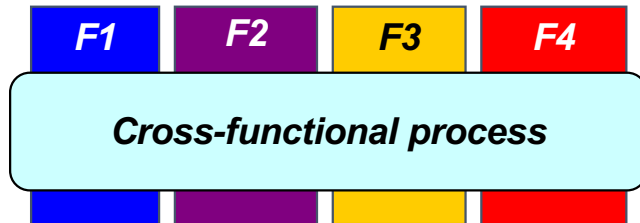
Re-think!

- Select key to-be *Features*

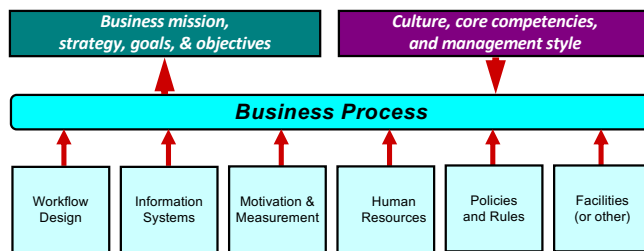


- Assess each key *Feature* by enabler
- Identify and sequence *essential* activities
- Develop *Workflow Models* for essential activities by adding *who* and *how*
- ...on to requirements definition and implementation

Five key points plus a BA framework plus a methodology

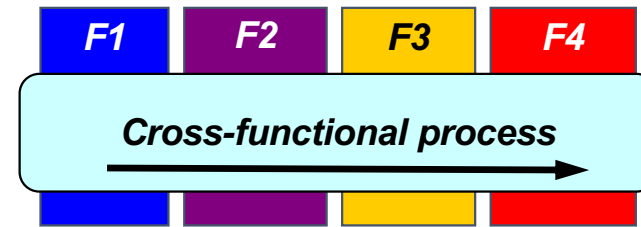
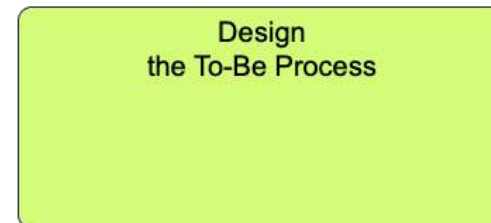
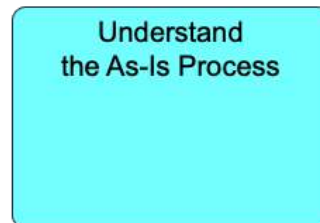
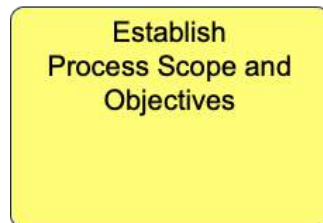


Processes:
“large” and X-functional

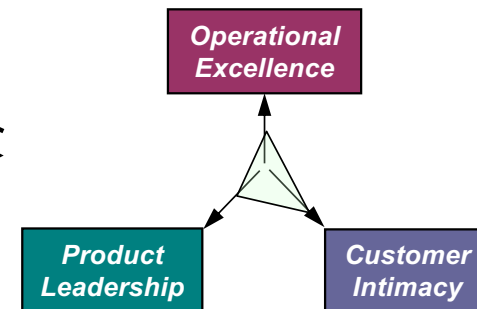
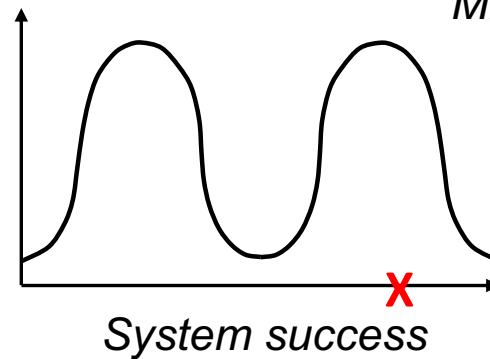


Holistic method

...and a proven
Methodology



Misaligned measures



Differentiator

Model-driven
framework

Process
Modelling

Use Cases

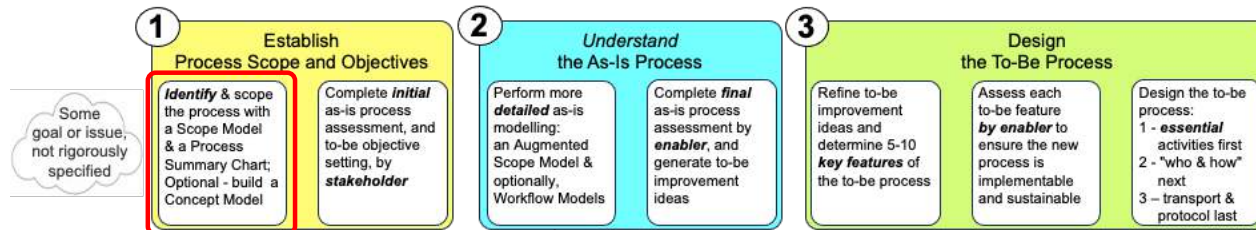
Service
Specification

Concept /
Data
Modelling

Identifying and Scoping Business Processes

1. Business Process fundamentals
2. Identify true, end-to-end, cross-functional *Business Processes*
3. Clarify as-is process issues & to-be goals
4. Model the as-is process in a relevant way
5. As-is process assessment and tips for to-be design / redesign

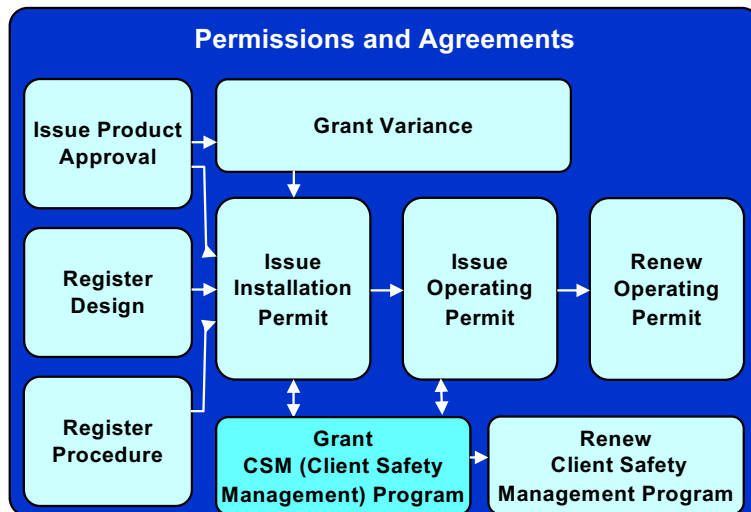
Identify & scope process(es)



Some goal or issue, not rigorously specified

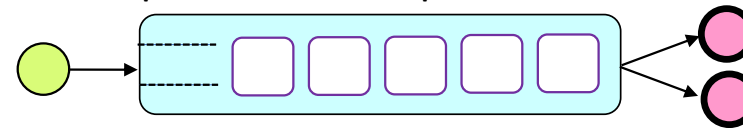
So first, clarify scope and context

I used to dive in here...
... lots of issues!

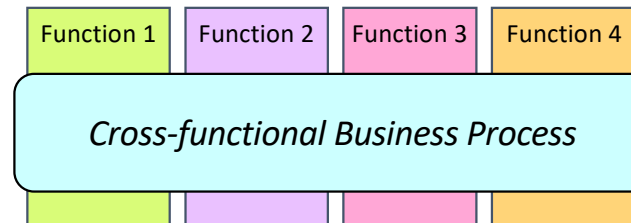


Whether it's a new initiative or "project recovery," **always:**

- Develop a Process Scope Model



- Develop a Process Summary Chart

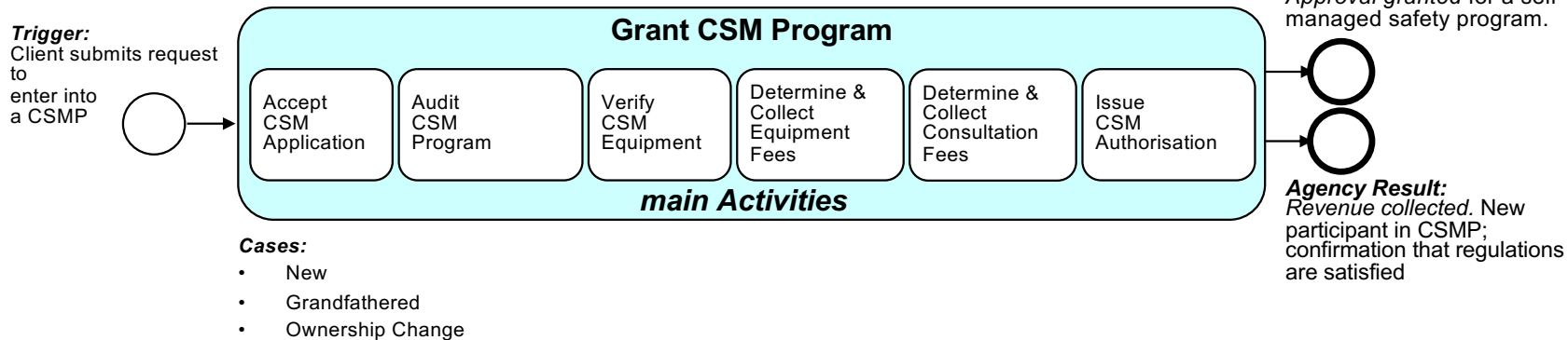


You *might* start at a higher level, with a **Process Landscape** –
a decomposition of a business area into a family of *individual business processes*

Identify & scope process(es) (cont.)

First, use TRAC to understand *what* the process is...

Process Scope Model – pure “what”...

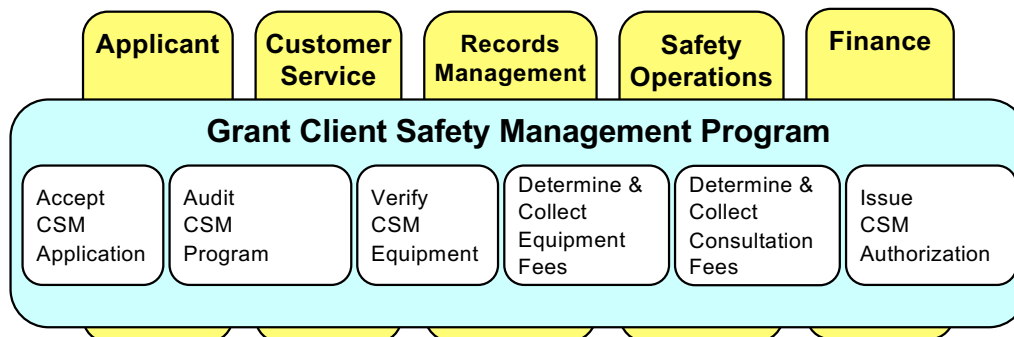


Reminder:
“TRAC”–

- Trigger
- Results
- Activities
- Cases

Then a Process Summary Chart to put the process in context...

Process Summary Chart – simplified “what,” plus “who” (and “how”)

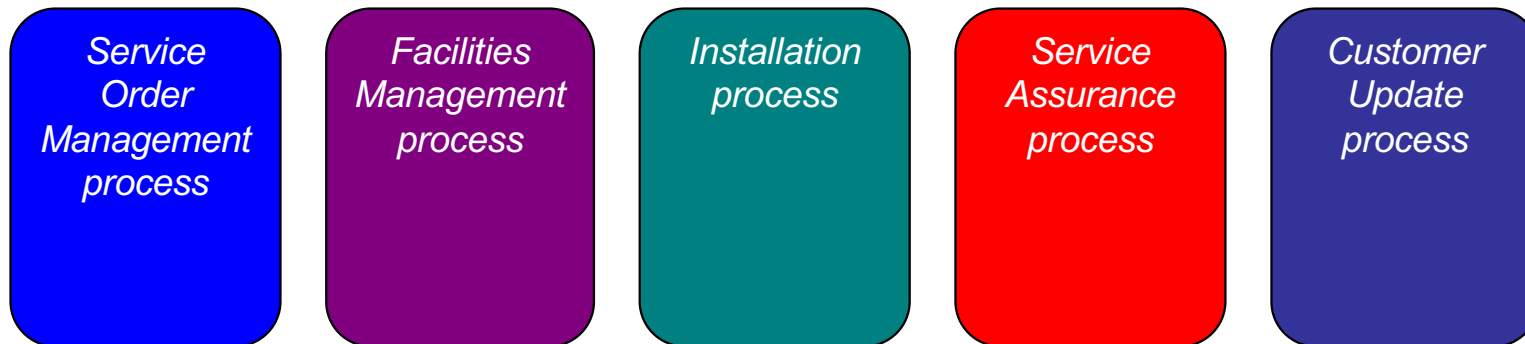


Now that we know *what*, *who*, and *how*, we can more accurately determine **why** this process need to change?

Does identifying end-to-end processes matter?

Regulator directs telephone company to improve its *Service Provisioning* processes

- Service Provisioning – install new service, disconnect service, relocate service (*ins, outs, moves*)
- Five “business processes” misidentified:

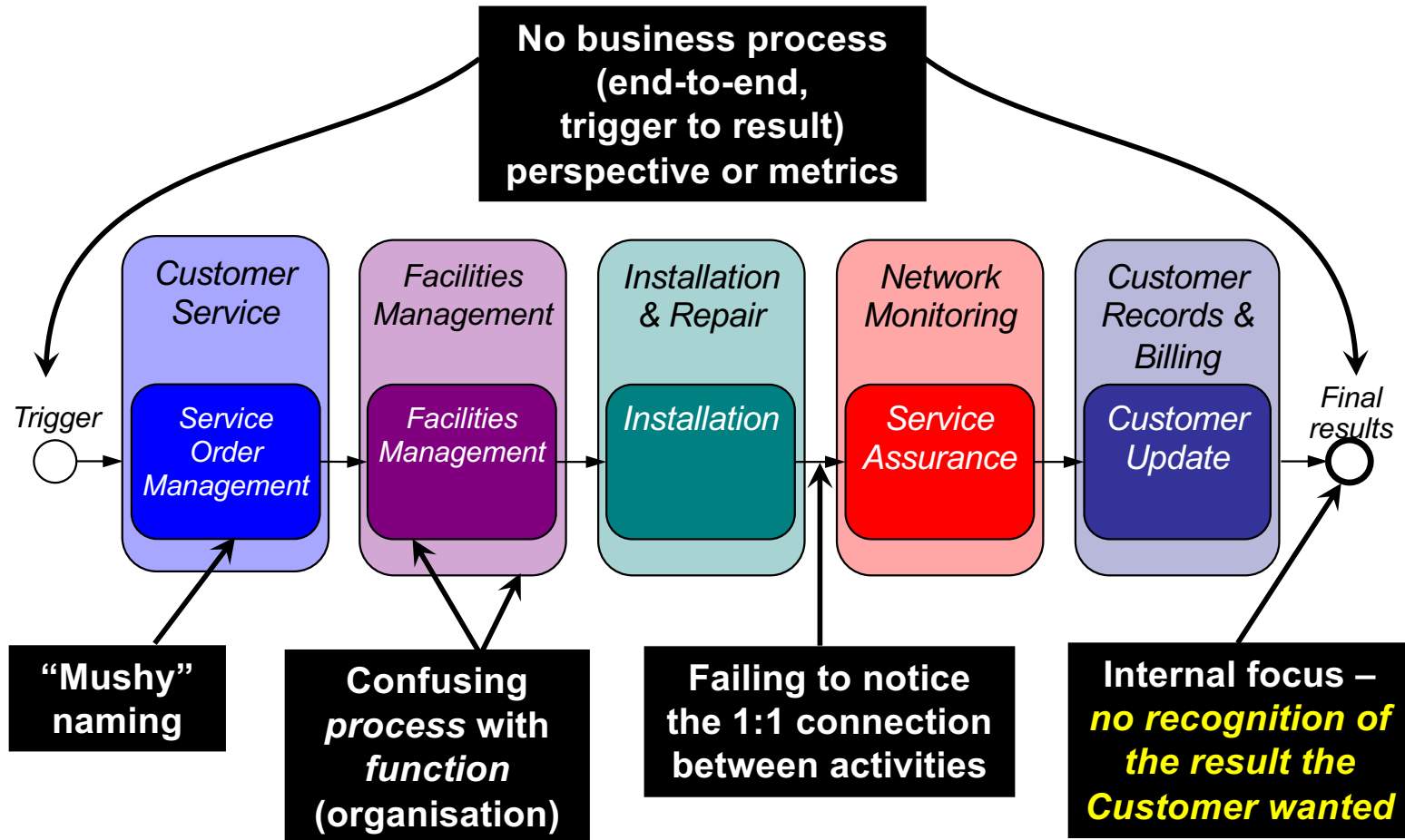


- Five teams started on “process” improvement, directed to *achieve operational efficiencies*
- Each team makes substantial improvements to *efficiency* within their “process,” largely through new constraints like batching and scheduling of orders

The outcome...? *Service is worse! Major financial impact!* So, YES, IT MATTERS!!!

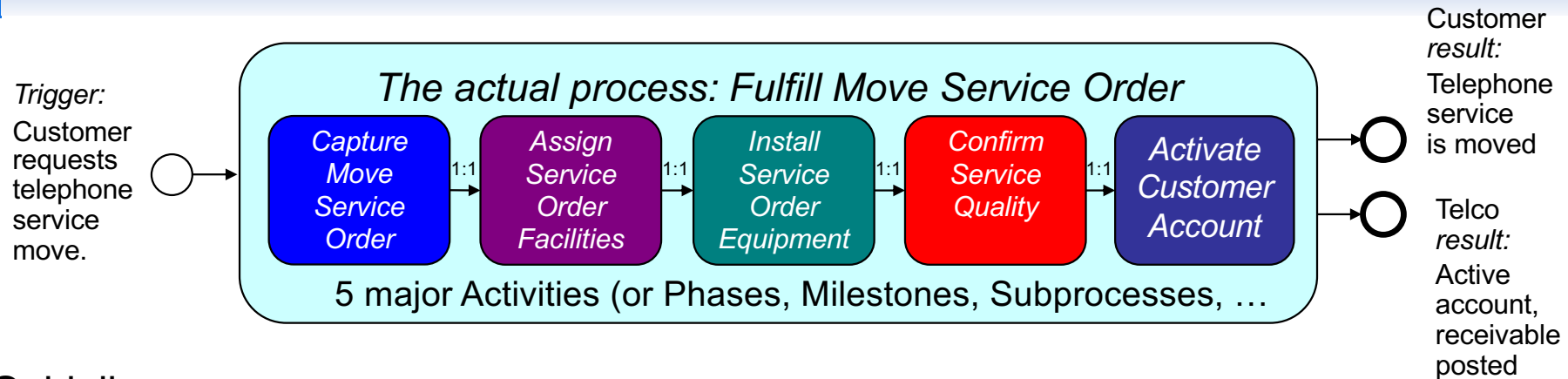
What errors did the Telco make?

What went wrong? Multiple errors!



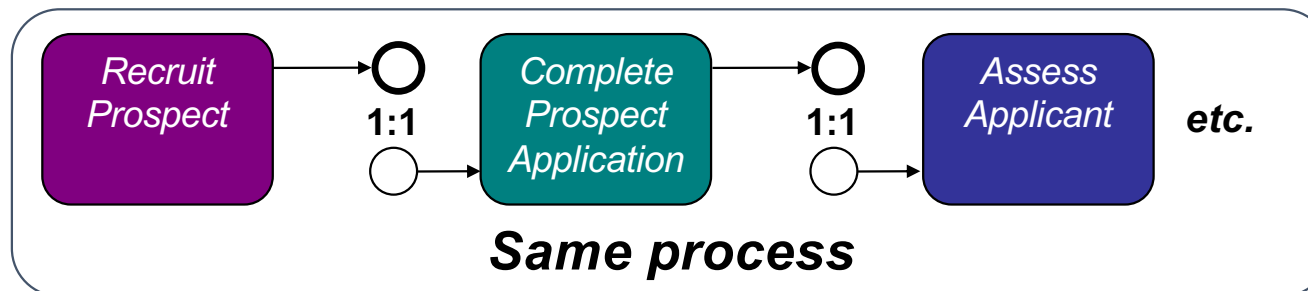
Eliyahu Goldratt:
“Local optimisation yields global suboptimisation.”

When does one business process end, and another begin?



Guidelines:

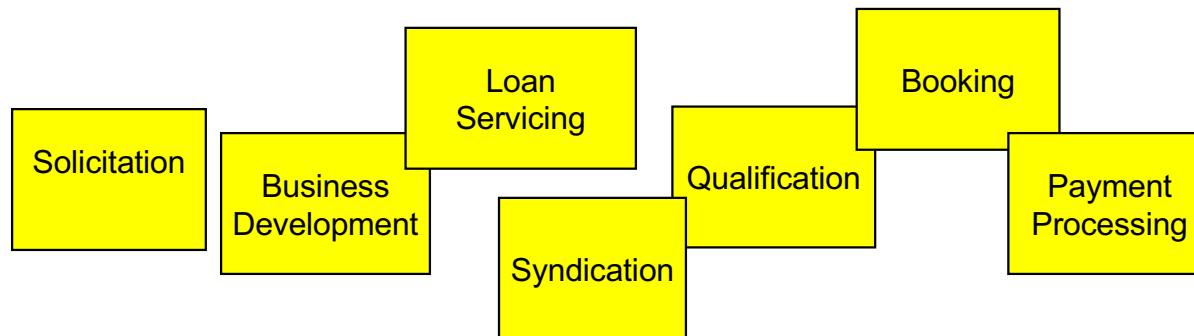
- If the result of one activity is the trigger for another activity, on a 1:1 basis, they're likely part of the same overall *business process*. A 1:M or M:1 signals a process boundary.
- If the “token” (a Service Order, a Student, a Trouble Report, ...) changes, that indicates a process boundary



- We use this technique during process discovery

Process discovery example

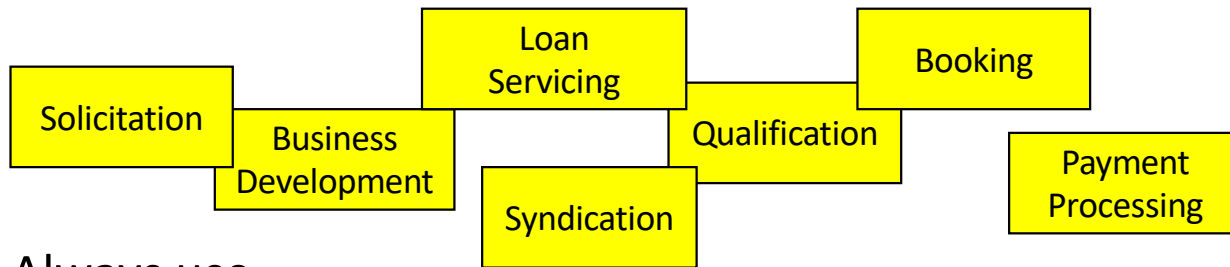
A bank believed they had identified the 12 *business processes* in their Commercial Loans Management area, including these 7:



Discuss:

- What is wrong with the names of these processes?
- Can you think of any questions to help improve these process names?

Bottom-up process discovery – example



Dubious “business processes”

Always use

“active verb – noun” naming
with no “who and how”

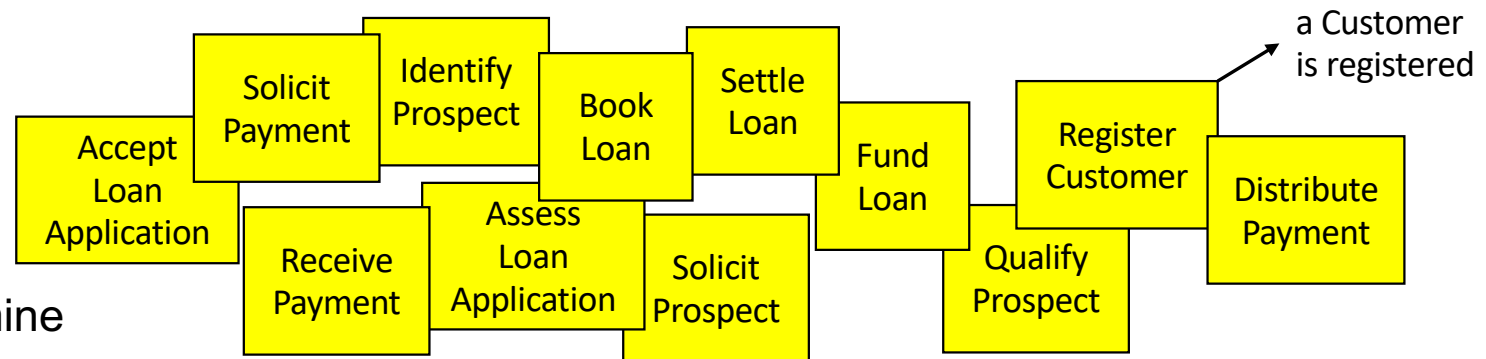
~~Solicitation???~~

Solicit...
what?

Solicit
Prospect

Solicit
Loan Payment

Client then identified *recognisable* activities, each producing an essential *result* (easy!)

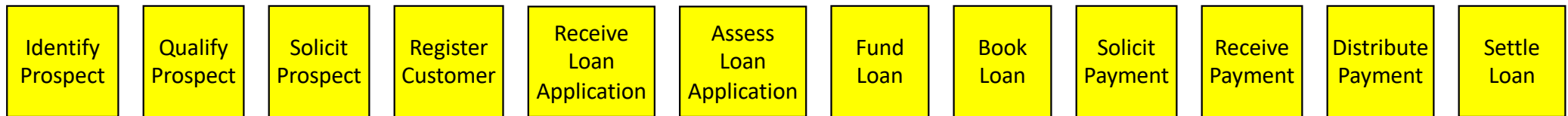


Let's put these
in sequence, then
use *TRAC* to determine
Business Processes.

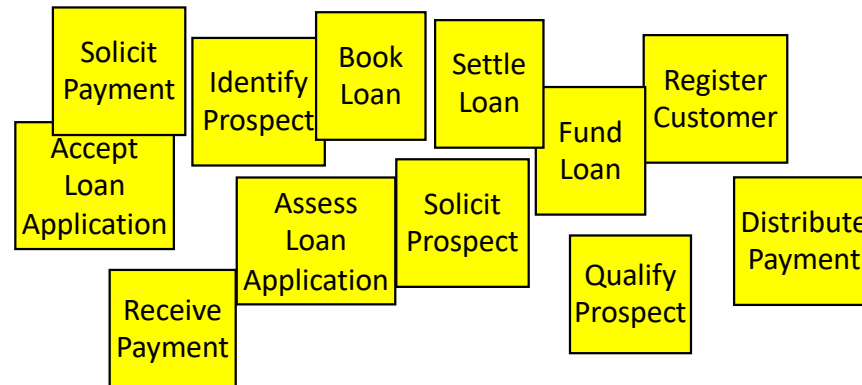
This was done in-person with Post-its and flipcharts
but tools like Lucidchart and Miro work well virtually

Summary – sequence activities

Not usually linear – parallel chains are typical



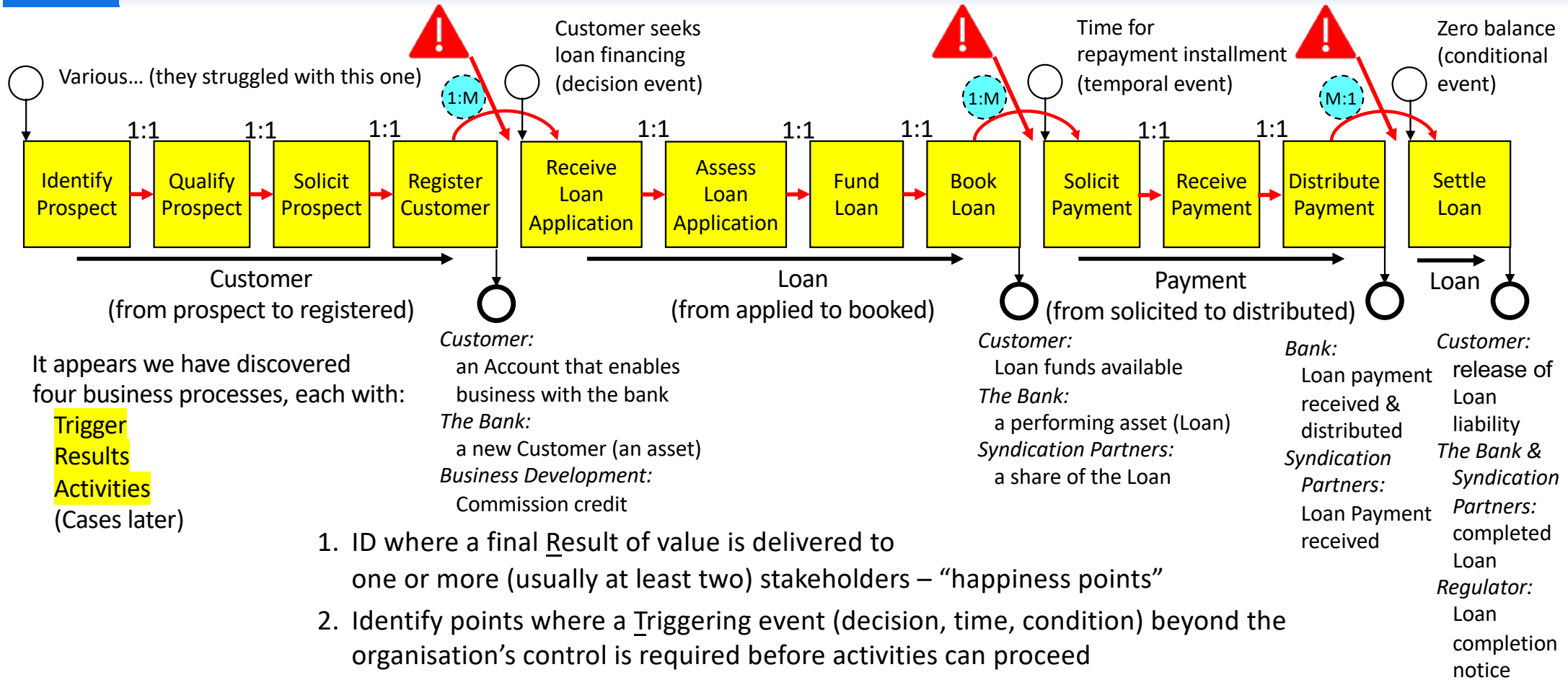
The clients arranged the activities in sequence:
- *easy!*
- *a learning experience!*



Now we'll use my "TRAC" framework for business processes –

- **Trigger**
- **Results**
- **Activities**
- **(Cases – later)**

Summary – use TRAC to discover business process boundaries

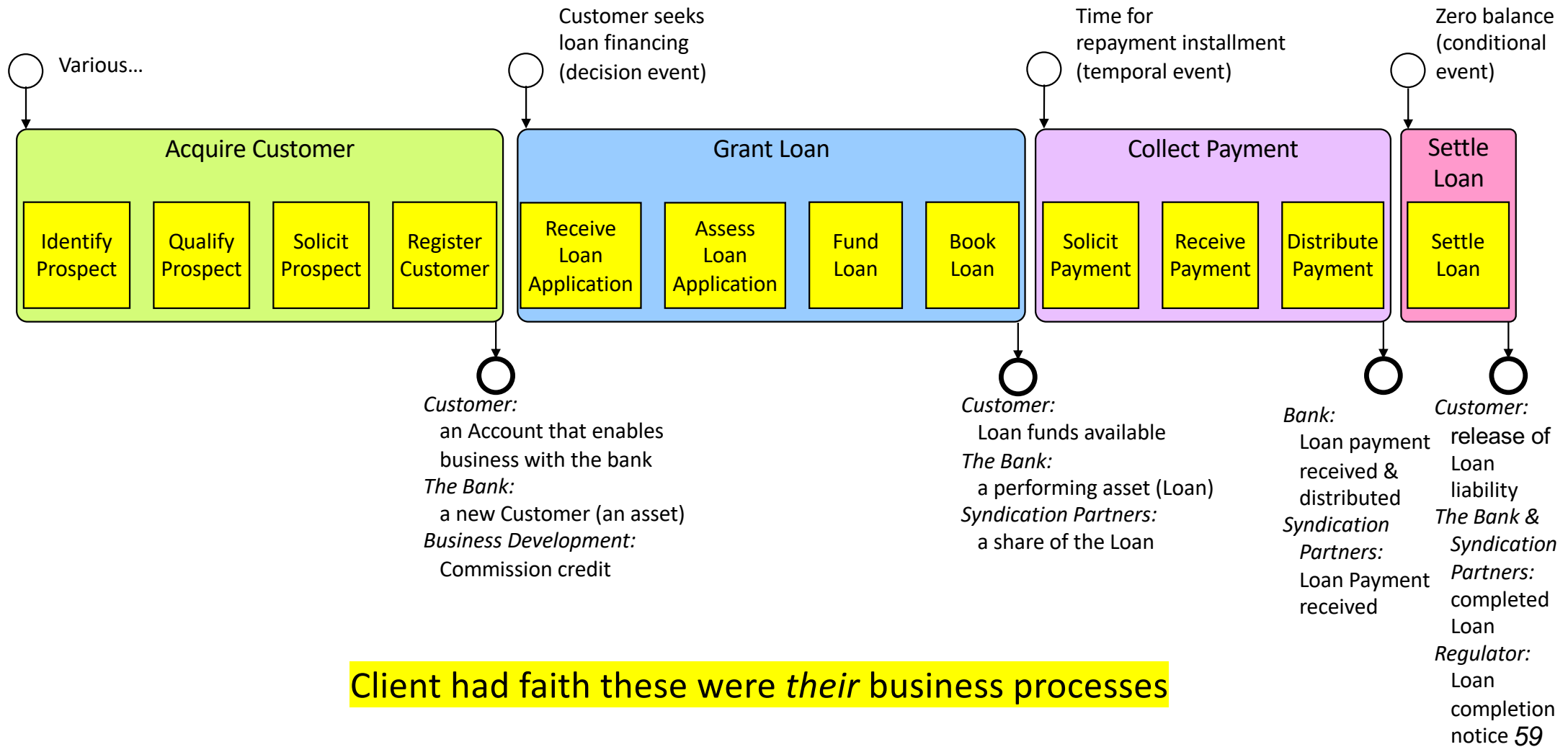


It appears we have discovered four business processes, each with:

Trigger
Results
Activities
(Cases later)

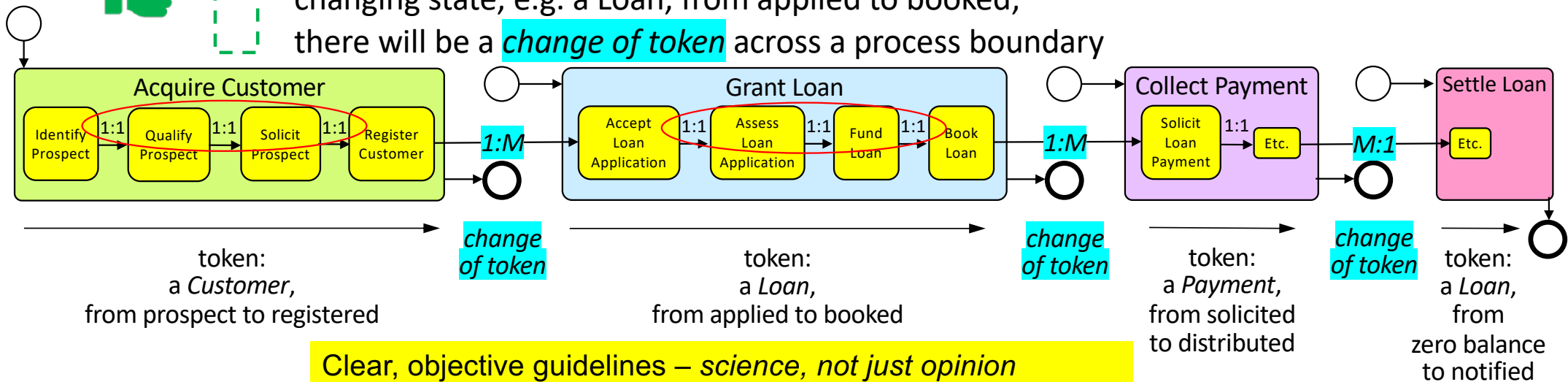
1. ID where a final Result of value is delivered to one or more (usually at least two) stakeholders – “happiness points”
2. Identify points where a Triggering event (decision, time, condition) beyond the organisation’s control is required before activities can proceed
3. Identify “cardinality” of connections between Activities (1:1, 1:M, M:1)
4. Identify “tokens” flowing through the activities
5. Name business processes with active verbs and nouns (usually the tokens)

Four end-to-end business processes, objectively demonstrated



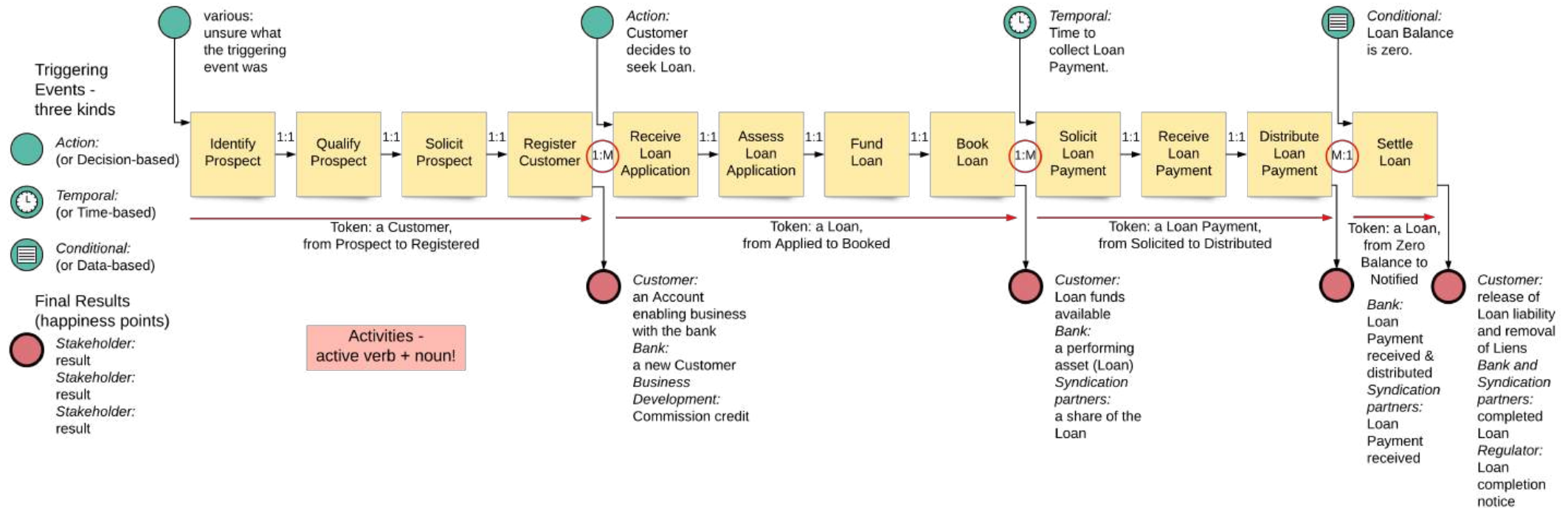
Six guidelines for well-formed processes, two clients really appreciate

1. “Active verb – noun” naming that indicates primary result
2. Triggered by an event (decision, time, data) outside process’ control
3. At the end are results that makes one or more stakeholders happy
4. In between are ~5 to 7 major Activities (phases, milestones, subprocesses, ...)
5. Activities linked **1:1** are probably part of the same process;
a **1:M** or **M:1** connection between activities is probably a boundary
6. The same **token** moves through the whole process,
changing state, e.g. a Loan, from applied to booked;
there will be a **change of token** across a process boundary

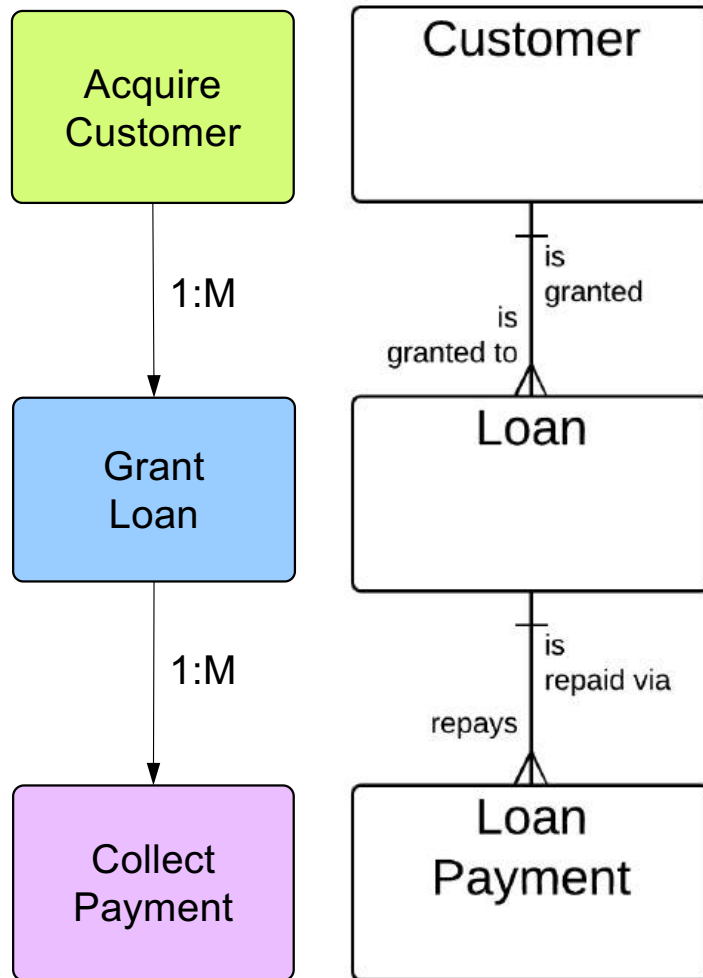


Clear, objective guidelines – *science, not just opinion*
Client had faith these were *their* business processes

Doing this virtually with a tool like Lucidchart...

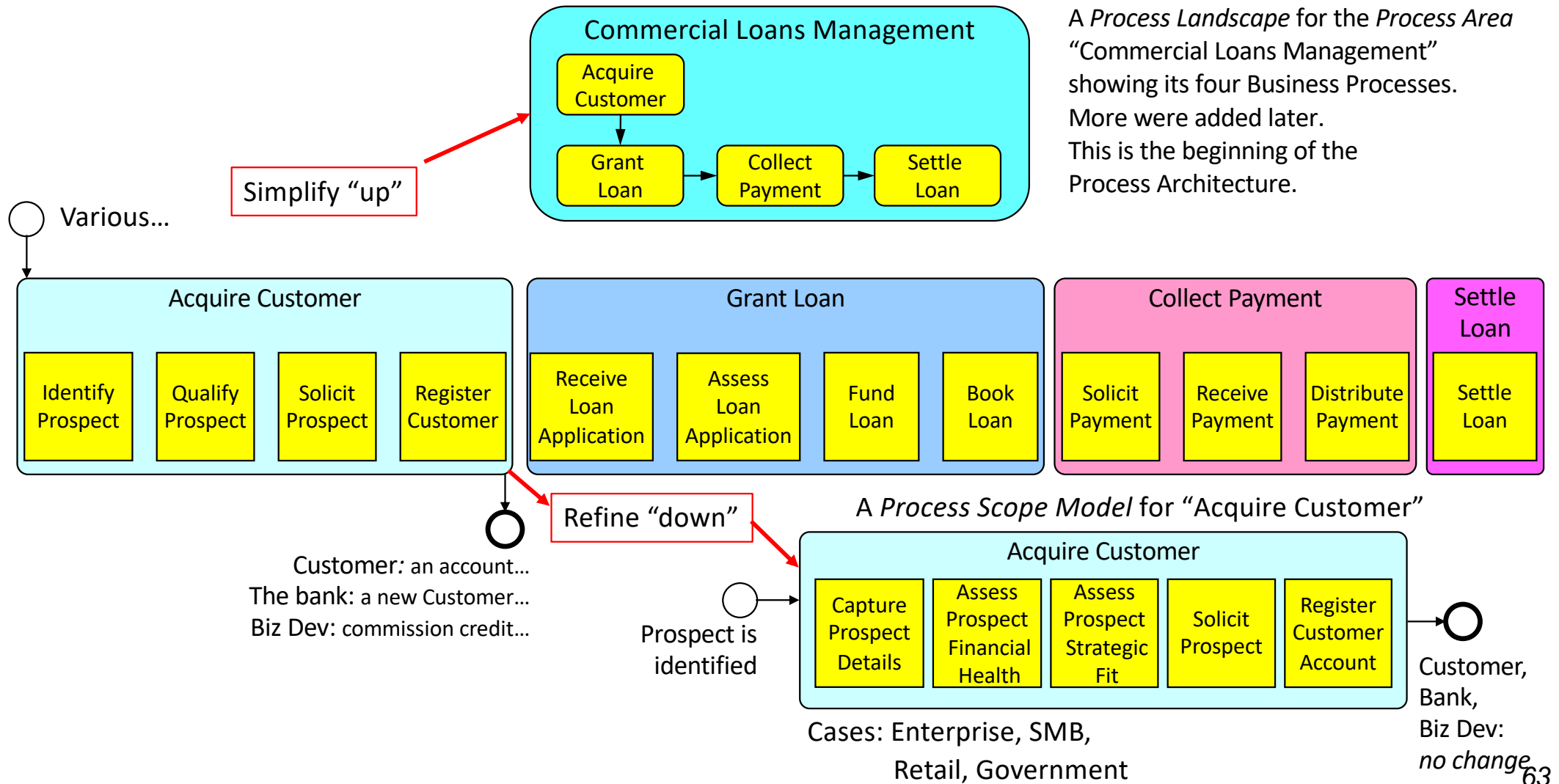


Correspondence to the Concept Model



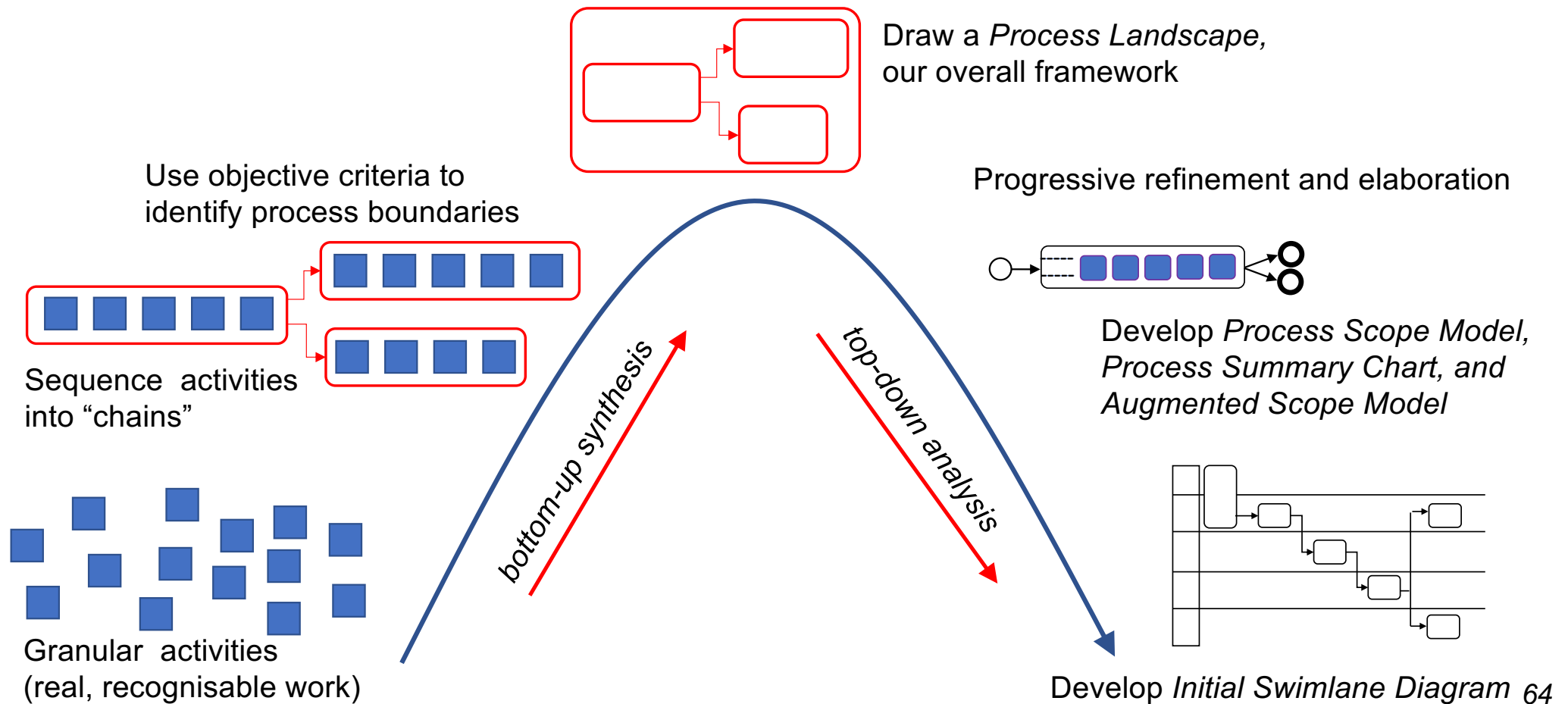
- The nouns in your verb-noun *Process* name are most often the *Entities* in your Concept Model, and each will usually have one primary *Process*
- The relative number of Process instances (e.g., 1:M or M:1) align with relationship cardinality
- This *does not* mean there is only one Process per Entity
 - Assess *Customer* Performance
 - Retire *Customer*
 - Merge *Loans*
 - Write Off *Loan*
 - ...

What next?



The arc of modelling and analysis

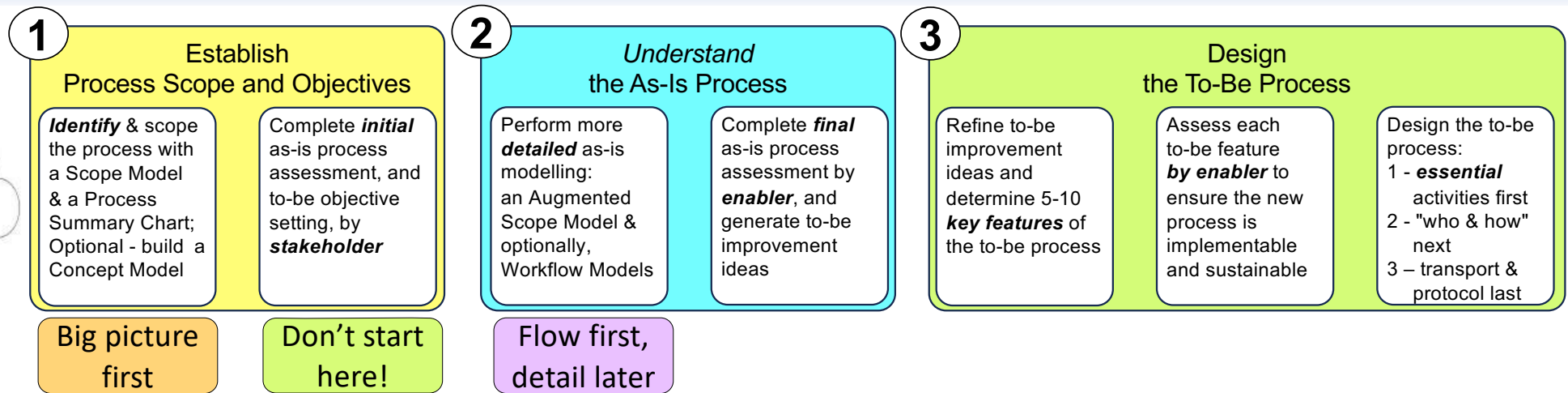
Start bottom-up to build overall framework – *Continue* top-down



Clarify Business Process as-is issues & to-be goals

1. Business Process fundamentals
2. Identify true, end-to-end, cross-functional *Business Processes*
3. Clarify as-is process issues & to-be goals
4. Model the as-is process in a relevant way
5. As-is process assessment and tips for to-be design / redesign

Our methodology – three responses to three common difficulties



My *hardest* assignments

1 – Premature diagnosis of the situation

Don't start with a problem statement!
There will be some goal or issue, but don't formalise it **yet**.
And remember... it may not be a "process" issue.

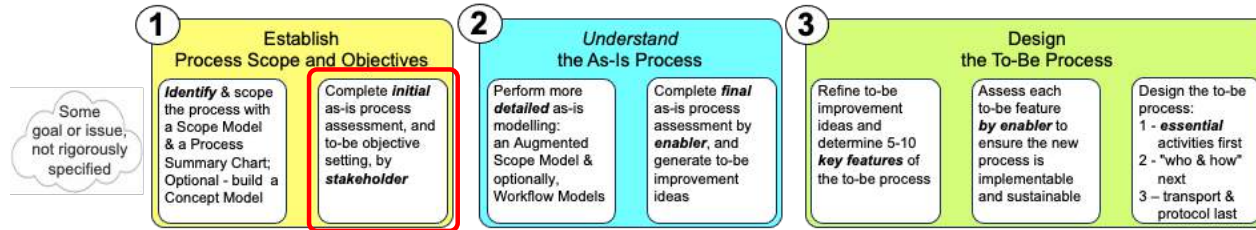
2 – Failure to identify true end-to-end processes

Rigorous techniques to identify real business processes – a Process Scope Model and a Process Summary Chart make scope and context visible.

3 – A rapid descent into unhelpful detail

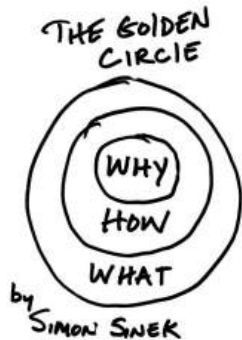
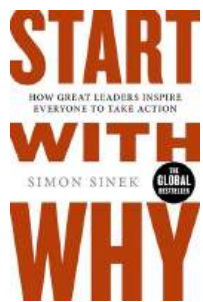
Clarify the big picture, then take a *controlled* descent with well-defined levels of detail.

Perform initial as-is assessment, determine to-be objectives



Some goal or issue, not rigorously specified

Why does this process need to change?



"People don't buy *what* you do, they buy *why* you do it."

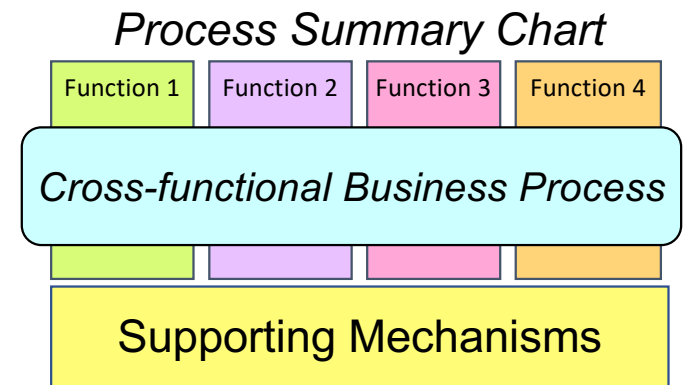
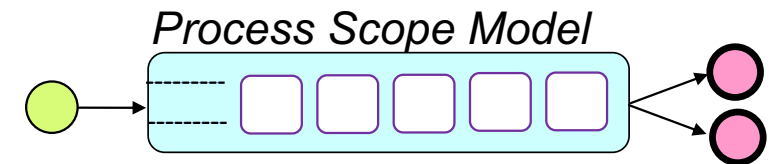
But for a process...

What first

Who & How next

Only then **Why?**

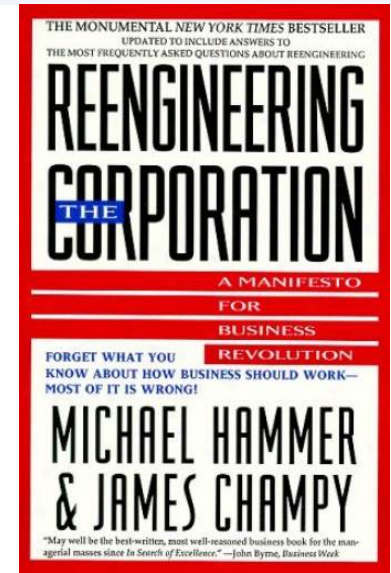
Why does this process need to change?
We'll answer that with a *Case for Action*
(a nuanced form of problem statement)



Now we have an end-to-end, cross-functional perspective.

Michael Hammer's original "Case for Action"



- Characteristics
 - a “wedge” or “prybar”; where we are, why we can't stay
 - factual, not exaggerated
 - concise, clear, compelling
- Five components
 1. *business context* – what's happening?
 2. *business problem* – essence of concern?
 3. *marketplace demands* – requirements we can't meet?
 4. *diagnostics* – why we can't meet them?
 5. *costs of inaction* – what if we do nothing?
- I simplified it, re-sequenced it,
and made it more stakeholder-focused



My version of Michael Hammer's "Case for Action"

1) Stakeholder assessment – makes it *real*

What are the concerns of *each* stakeholder group?

- Customer
- **Performers**  
- Owner/manager (the enterprise itself)
- Others (regulator, partners, ...) as needed



*We're not
that bad!*

2) Context – makes it *blame-free*

What changes in the environment since the process was “designed” have caused these issues to surface?



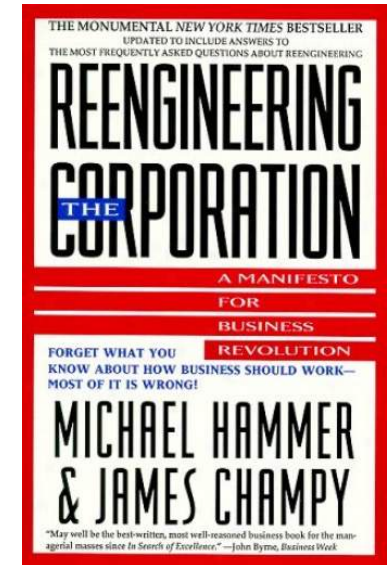
Yay – It's not our fault!

3) Consequences of inaction – makes it *compelling*

What will happen if the process is left as-is?



We'd better get on with it!



1. Stakeholder concerns

“You must communicate in a clear and compelling way why the process has to change by completing the initial assessment for the as-is process.”

Initial assessment – 3 components

Stakeholder assessment – makes it *real*

- Customer
- Performers
(*what's in it for me?*)
- Owner/manager
(the enterprise itself)
- Others, as needed

Initial assessment – typical questions

Customer:

- Are there too many interactions?
- Are rules, requirements, protocol reasonable?
- Can *your* work be located within the process?
- *Are you the process integrator – the human glue that connects the process steps?*

Performer:

- What are your major sources of frustration?
- Do you have the necessary tools and support?
- Are there steps that serve no purpose?
- Are problems caused upstream? Does the workload vary wildly?
- What would you change if you could?
- *Are there documented processes and procedures?*

Owner/manager:

- Does the process use resources you would rather re-allocate?
- Is it a net contributor or a source of problems?
- Does the process constrain innovation, growth, or opportunities?
- *Is it a source of customer or media criticism?*

2. Context – assessing changes in the environment

Context – makes it blame-free

What changes in the environment since the process was first “designed” have caused these issues to surface?

Areas to consider:

- Regulatory change
 - Workforce changes (e.g., “recruiting and retaining” vs. “retiring”)
 - Emergent technology (AI, robotics, drones, “SMAC” - Social, Mobile, Analytics, Cloud,) or current supporting technology is EOL (“End Of Life”)
 - Changing customer expectations
 - Competition, especially new or emerging
-
- Changes in business volume (growth or contraction)
 - Socio-political change
 - Environmental (“green”) concerns
 - Change in business model (e.g., customised or standardised)
 - Change in business ownership (public, private,) M&A, divestiture
 - Change in government (post-election fallout)
 - Changes in business operating locations
 - Economic conditions
 - ... and many others (see “PESTLE”)

3. Consequences of inaction

Consequences of inaction – makes it **compelling**

*What will happen if the process is left as-is,
and the status quo is maintained?*

For the individual:

- Unsatisfying work environment?
- Diminished opportunities?
- Reduced employment
or *loss of employment?*



For the organisation:

- Reduced performance?
- Reduced stature or reputation?
- Withdrawal from the market?



“Case for Change” example

Situation:

- Manufacturing firm redesigns core *Financial Reporting* processes prior to COTS selection
- No progress! – Project has descended into “the blame game”

Stakeholder assessment –

- *Customer* – Financial markets / fund managers cannot get the info they need for investment decisions
- *Performers* – Finance staff spend all their time on assembling “the numbers” with no time for value-added analysis
- *Owner/manager* – CFO is under constant pressure and criticism from the financial markets and other executives

Client was very happy!

Alec, I'm so happy I
could just kiss you!



That's not
in my contract

Context –

- Firm recently divested from a huge conglomerate
- Financial reporting was formerly to Head Office, but now is to financial markets which the processes were *never designed to do*

Consequences of inaction –

- Planned acquisition of competitor will not go ahead due to lack of financial market support for new bond issue;
- *Firm likely to be acquired by the competitor. Uh oh... Finance staff quickly realised their employment was threatened and got on board!*

Then, establish process goals / improvement targets

“You must also provide a sense of direction by defining to-be process goals and objectives.”

Subjective goals

Give people a “feel” for direction:

- “Customers will love this process because...”
- “Performers will love this process because...”
- “The process owner will love this process because...”

Measurable objectives

Provide *specific targets*

Establish baseline to *prove success*

Format:

- Topic
(what will be improved?)
- Target
(what is the measurable objective?)
- Timeframe
(when will these results be realised?)



It may now be appropriate to introduce new process measures, metrics, and key performance indicators (KPIs,) and establish baseline performance

Example from in-person workshop – assessment to goals

Stakeholder-based Initial Assessment of the as-is. ("Case for Action")

1) Stakeholder concerns

Customer:

- excessively "high touch" (too many meetings)
- long lead times from contact to publication
- errors in ads and invoices

Performers:

Sales Rep:

- too many review meetings which cut into selling time
- overhead ("administrivia") in order submission procedure

Production

- Monday to Wednesday crunch
- too many cycles to obtain ad approval

Finance

- redundant ad order data leading to errors
- lack of pricing controls

Owner:

- ceiling on growth
- lost revenue
- staff frustration

2) Context: growth, customer expectations, IT, competition.

3) Consequences of inaction: Out of business!

Stakeholder-based goals for the to-be

Subjective

"Why will they 'love' the new process?"

Objective

"measurable"

topic / target / timeframe

fewer or no meetings	→	ads approved at first review	80%	Q4 2017
shorter lead time	→	lead time / reduced from average of 10 days to 5		Q4 2017
no errors in ads or invoices	→	invoice error rate	≤ 3%	Q4 2017
fewer or no meetings	→	ad orders / week	+20%	Q1 2018
relief from burdensome order submission	→	time spent on order submission	%	Q4 2017
level workload	→	daily workload variation	≤ 5% daily	Q4 2017
more ads approved on first review	→	ads approved at first review	80%	Q4 2017
elimination of ad order data redundancy ("single source of truth")	→	GROWTH		
no lost revenue to excess	→	page count	increasing at 15% per annum	Q1 2018
eliminate stress and friction.	→	staff satisfaction score	?	Q1 2018

Case for Action summary

Stakeholder assessment

All stakeholders have *real* issues with the as-is process – it needs attention!

Factual and unexaggerated

Context

These issues have surfaced because of changes *beyond our control* in the wider environment.

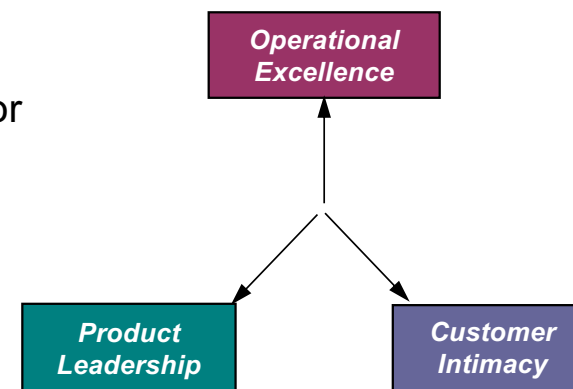
Blame-free and non-threatening

Consequences of inaction

If we don't fix this process, there are *serious* consequences – individually and for the enterprise.

Urgent!

The *Case for Action* is also a great starting point for specifying to-be objectives, and clarifying the process' *Differentiator*.



Phase 1 summary – Discover processes, “frame” the target process

– 1 –
*Identify, scope,
and assess the
target process*

– 2 –
Understand the
“as-is” process

– 3 –
Characterise and
design the
“to-be” process

Phase 1 – Identify processes & “frame” the target process (scope, issues, goals)

*Identify a set
of related
processes*

- ID common terms
- Select core nouns (things)
- ID activities acting on things
- Link activities into processes
- Draw *Process Landscape*

*Select target
process and
define “what”
(essential
scope)*

- *What – TRAC:*
 - **T**riggering event
 - **R**esults by stakeholder
 - ~5 +/- 2 main **A**ctivities
 - **C**ases / variations
- Draw *Process Scope Model*

*Define
as-is process
“who and how”*

- *Who –* Functions / Organisations / each Actor (optionally main responsibilities)
- *How –* supporting Mechanisms
- Draw *Process Summary Chart*

*Determine
why process
must change –
“Case for
Action”*

- Stakeholder issues and concerns
- Business context (changes in the environment)
- Consequences of inaction
- Record *Case for Action*

*Specify to-be
process goals –
“Process
Goals” and
Differentiator*

- Establish subjective goals by stakeholder
- Establish objective (measurable) goals
- Clarify differentiator
- Record *Process Goals*

*Specify to-be
process
performance
metrics*

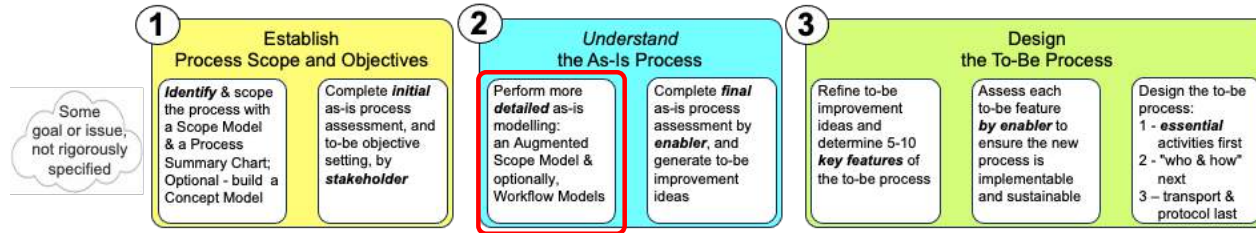
- Determine basic *measures*
- Craft process *metrics*:
 - strategically aligned
 - outcome-based
 - customer-focused.

This slide left blank by accident

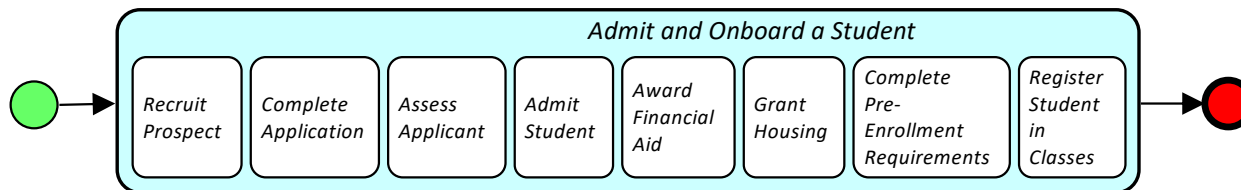
As-is Business Process modelling

1. Business Process fundamentals
2. Identify true, end-to-end, cross-functional *Business Processes*
3. Clarify as-is process issues & to-be goals
4. Model the as-is process in a relevant way, and *fast!*
5. As-is process assessment and tips for to-be design / redesign

3 – Complete additional as-is modelling



The goal is to *understand* the as-is process, not document it in *excruciating detail!*



- | | | | | | | | |
|---|---|--|--|---|--|--|--|
| <ul style="list-style-type: none"> Identify Suspects Qualify Prospects Engage Prospect etc. | <ul style="list-style-type: none"> Collect App Fee Initiate Application Submit Application etc. | <ul style="list-style-type: none"> Confirm Application Evaluate Application Verify Req'ts etc. | <ul style="list-style-type: none"> Make admit / deny / decision Notify Student etc. | <ul style="list-style-type: none"> Receive FAFSA Assess Need Determine Aid etc. | <ul style="list-style-type: none"> Provide Housing Req'ts Assess Application Provide Alternatives etc. | <ul style="list-style-type: none"> Confirm Other Requirements (visa, shots, writing, ...) Register Orientation etc. | <ul style="list-style-type: none"> Identify Courses Create Class Schedule Register Classes etc. |
|---|---|--|--|---|--|--|--|

Who: Registration Assistant
What: Register Classes
How: via Workday SRS

- Optionally,
model initial Workflow –
- Simplicity – minimal symbols and detail
 - “Flow first, detail later!”

I always build an Augmented Scope Model –

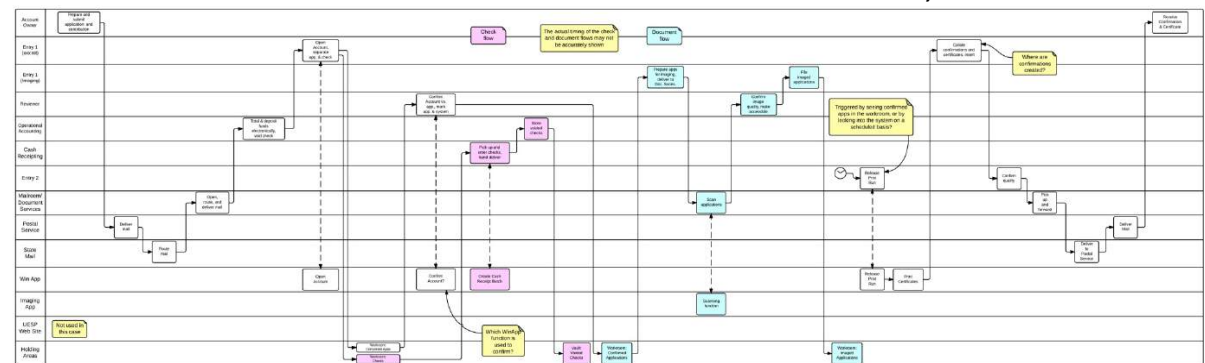
1. What the *detailed* activities are, e.g.

“Register Class” (verb + noun)

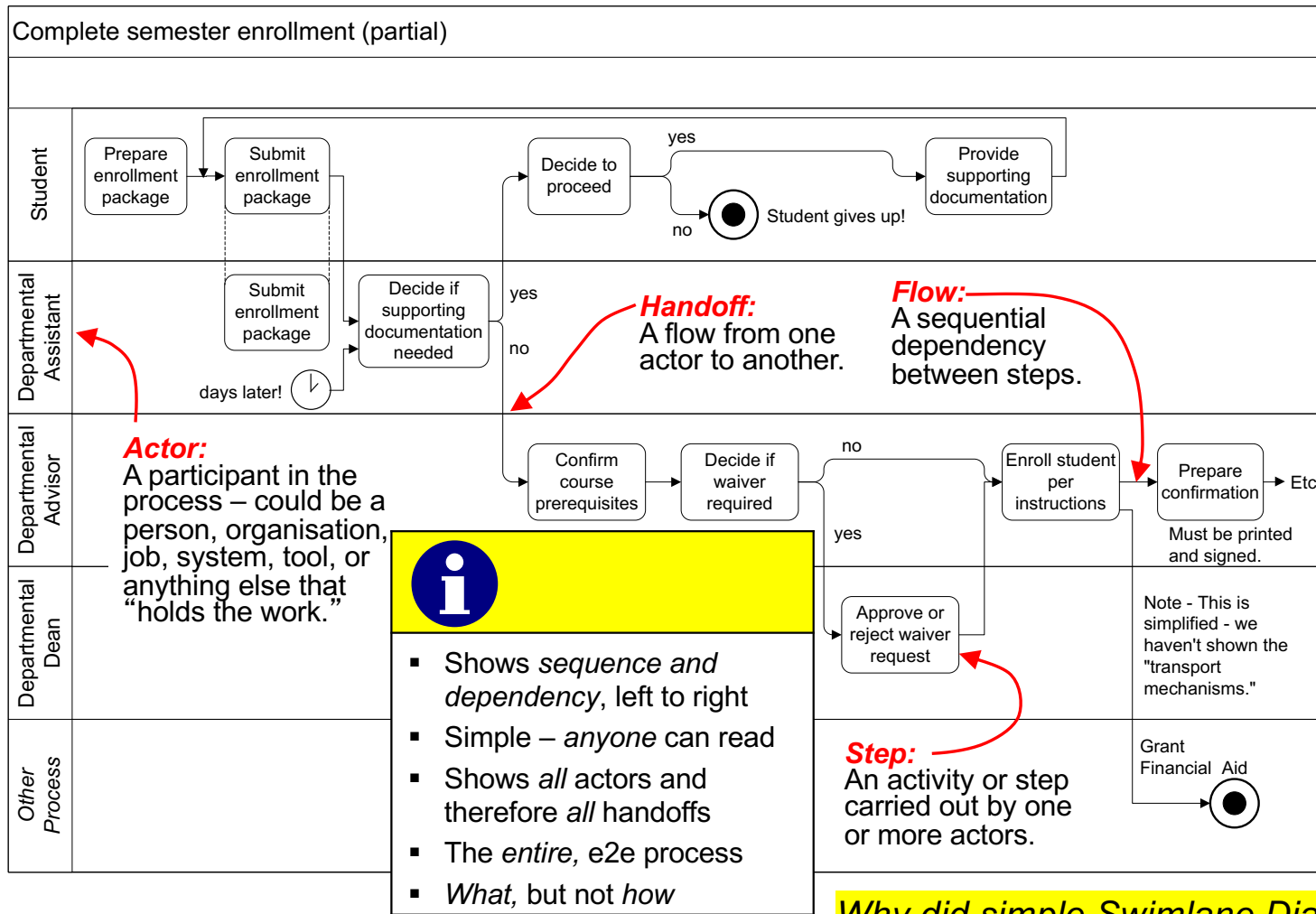
2. Add *who* and *how*, e.g.,

“Advisor Register Class via SIS”

This is often good enough! – no need for an as-is swimlane diagram / workflow model



Simple Swimlane Diagrams – maximise their strengths



Who – the actors

What – the steps

When – the flow

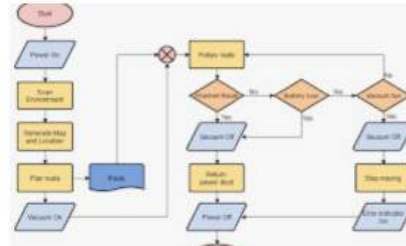
Other tools are better for capturing detail – *how* the steps are done:

- step-by-step procedures
- checklists
- decision trees
- use cases
- etc.

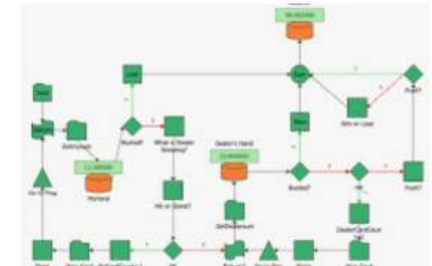
Why did simple Swimlane Diagrams become popular?

A quick Google Images search on "swimlane diagram" reveals...

... lots of diagrams I might draw differently.



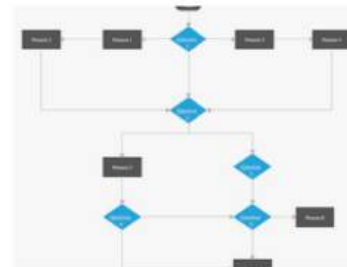
Dota 2 Flow Chart ...
reddit.com



complex RENO flowcharts easier ...
weibull.com



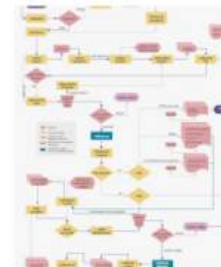
Follow flowchart best practices without ...
cacoo.com



Flowchart Tutorial (Complete Flowchar ...
creately.com



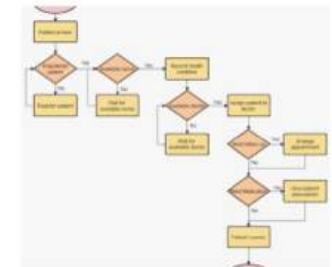
21 Creative Flowchart ...
visme.co



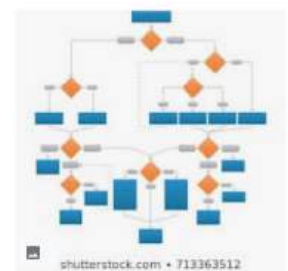
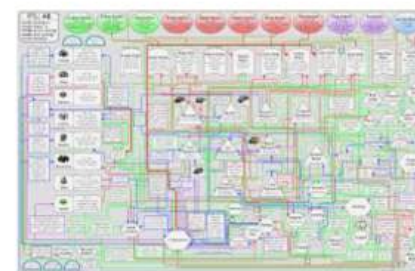
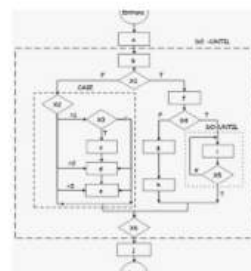
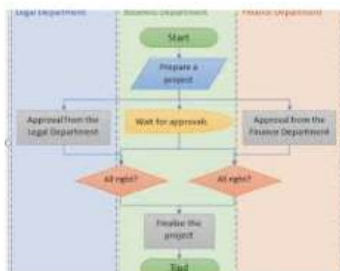
Flowchart Programming ...
conceptdraw.com



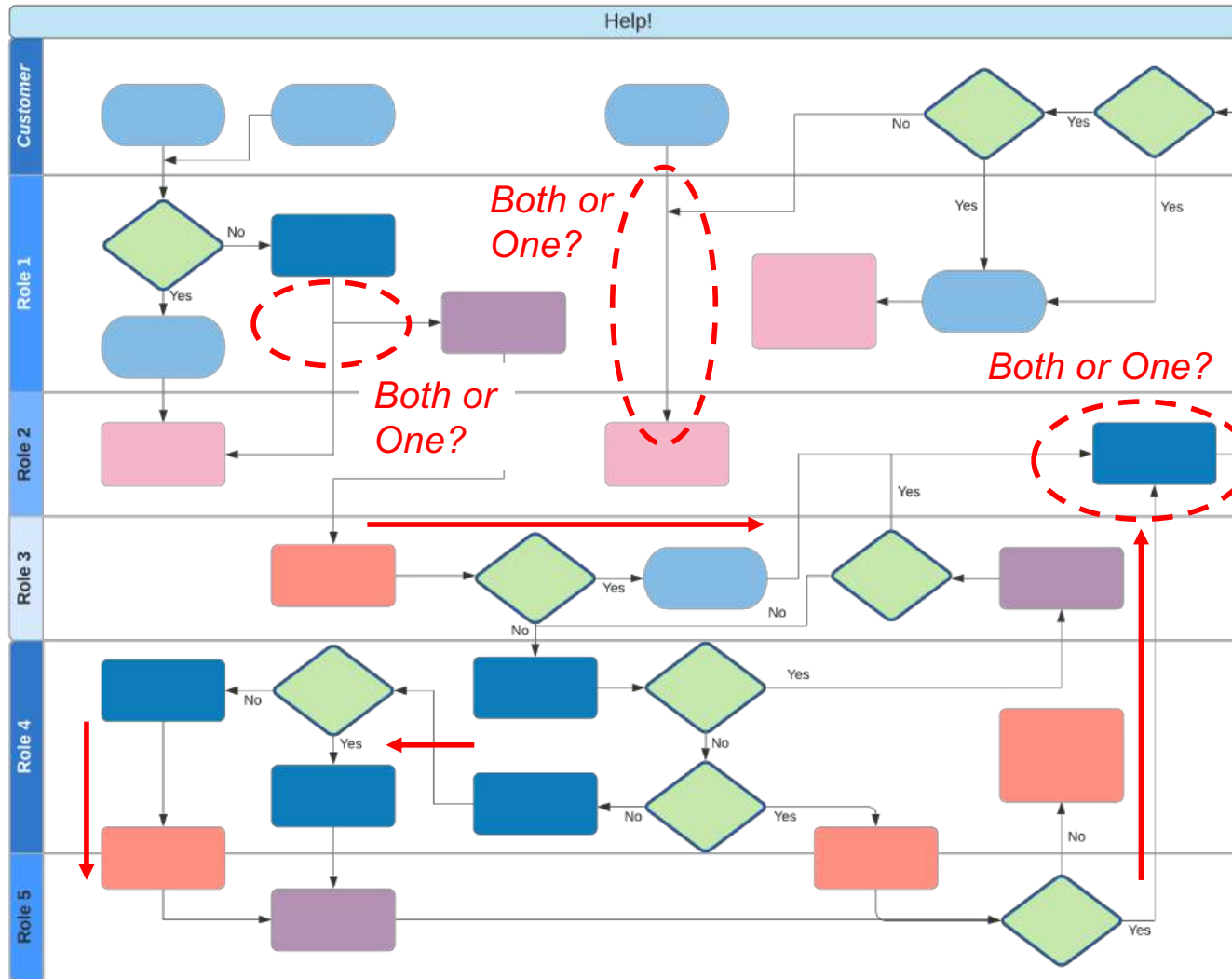
Free Flowchart Templates ...
gliffy.com



Flowchart Tutorial (with Symbols, ...
visual-paradigm.com



One example... "Chaos With Colours"



Probably accurate,
not too many symbols, but...

- do unexplained colours help?
- significance of multiple flows?
 - two separate flows inbound to a step
 - two joined flows inbound to a step
 - one outbound flow splitting
- but most of all...

flows in all directions!:

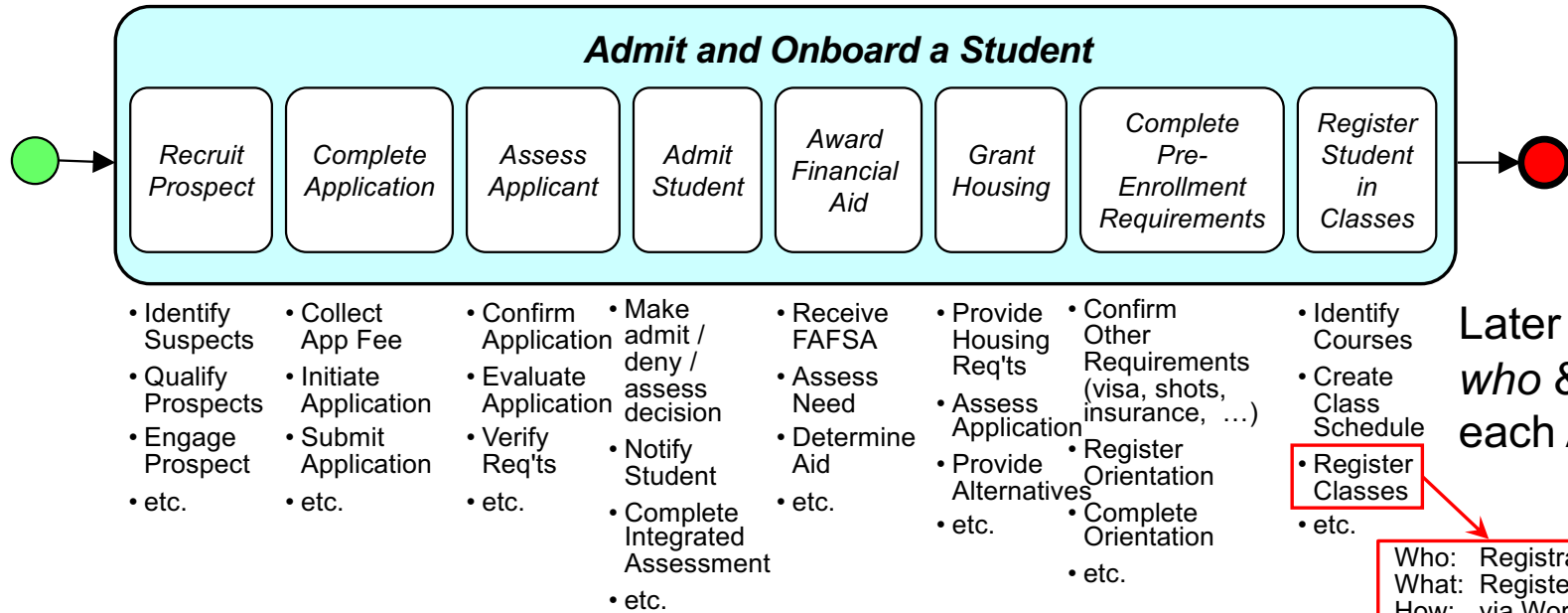
- left to right
- right to left
- top down
- bottom up

Why???

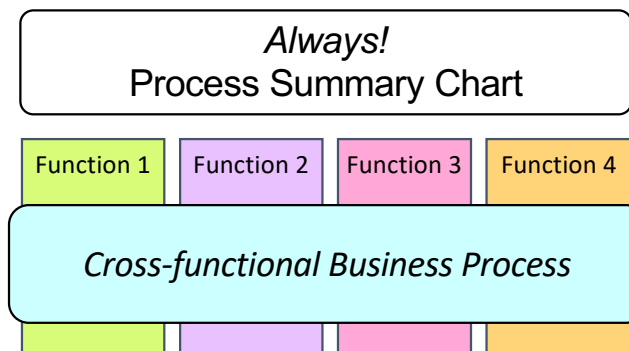
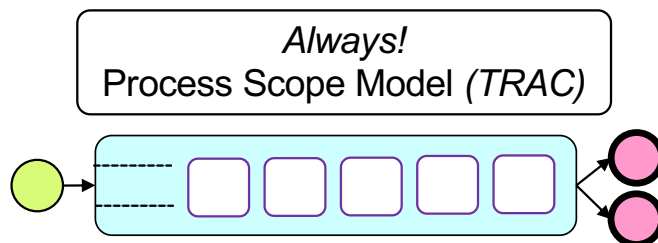
Forcing it into a "one-pager" defeats the graphic power of the diagram.

If you need a one-pager draw an Augmented Scope Model

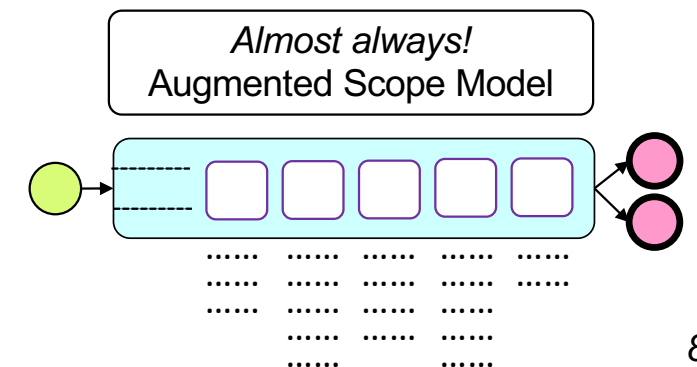
Add 5 – 10
Activities per
Major Activity



Before "swimlaning"...



We're almost at swimlane level!



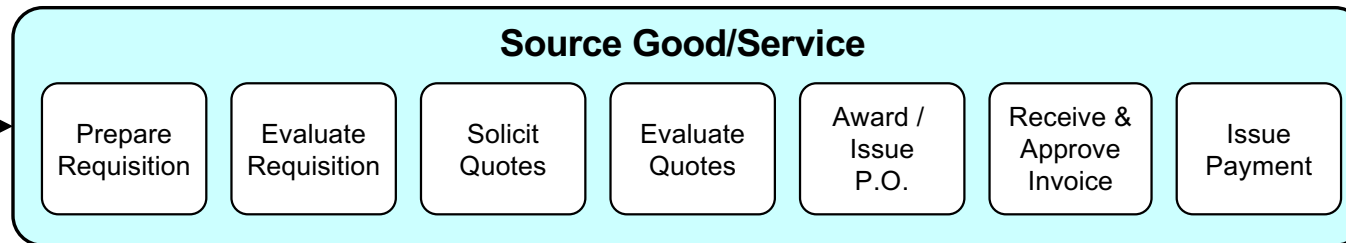
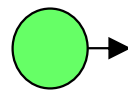
Another fast Augmented Scope Model example

Cases:

- \$5000 - \$25000 Goods
 - \$25000 - \$50000 Goods
 - \$5000 - \$25000 Services
 - \$25000 - \$50000 Services
- Assume everything <\$5000 is purchased with a PCard

Triggering Event:

- Customer needs Good / Service



Develop scope of work / specs

Investigate potential vendors (and price?)

Solicit vendor quotes (just to get an idea)

Obtain approval (Department)

Verify Item and Account (General Accounting)

Submit requisition (visible to all)

Confirm completeness – get clarification this is actionable (scope sufficient)

Assign (or re-assign Buyer as necessary)

Identify MBE/SB opportunity (competitive) (co-op)
* sole source or co-op, vendor(s) known

Determine methodology
• sole source
• co-operative (piggyback on contract)
• competitive
• emergency

Determine (additional) potential vendors

Solicit quote (including Bid Due Date)

Post quote (solicitation documents) in "the binder"

Resolve vendor queries

* Up to \$200K, we control who gets solicitations; above, no control – it's "publicly advertised."

Over \$200K there would be 20 more activities, and could be multiple award.

Receive quote (mail, fax, e-mail, ...)

Confirm completeness

Verify suitable price, terms, and conditions (generally, low bid for equivalent)

Clarify (not negotiate) with vendor

Optional:
• Evaluate equivalency (for alternate)
• Confirm equivalency w. Customer

Identify vendor

Generate Purchase Order
Notify Requestor

"Transmit / deliver" P.O.
* Pain point – we aren't sure when the vendor receives the P.O.

Receive Good/Service
* Invoice could be attached

Accept Good/Service
Issue invoice (vendor)

Receive invoice:
• from vendor
• from the department the vendor sent it to
* Vendor complains invoice is "lost"

If >\$5000, match
• invoice
• PO
• receiver
If <\$5000, match
• invoice
• PO
* Could invoice \$4K on \$40K PO

Batch invoices for GAD

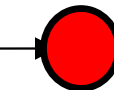
Receive payment

Issue Payment (Magic Happens Here)

- * If multiple line items, different line items could go to different vendors;
- * If multiple vendors, line items are not split.

Final Results:

- Customer has received Good/Service:
- Vendor has been paid
 - via A/P
 - via PCard



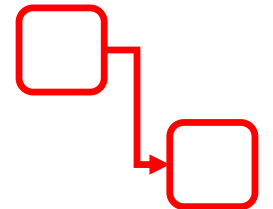
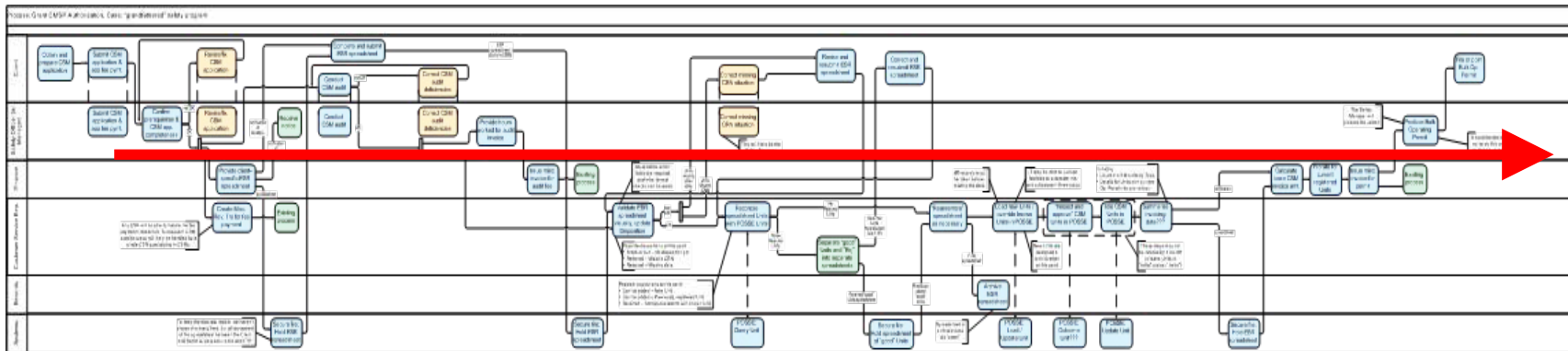
Core principles – "Flow first, detail later" and "Simplicity!"

The purpose of a *Workflow Model* is to show the *Flow of Work*

Whatever you call them, they are a *great* tool for showing flow – sequence and dependency of steps

- Swimlane Diagram
- Workflow Model
- Process Map
- Cross-Functional Flowchart
- People-Process Chart
- Functional Deployment Diagram
- Process Responsibility Diagram
- LOVEM Diagram
- ...

Left-to-right flow



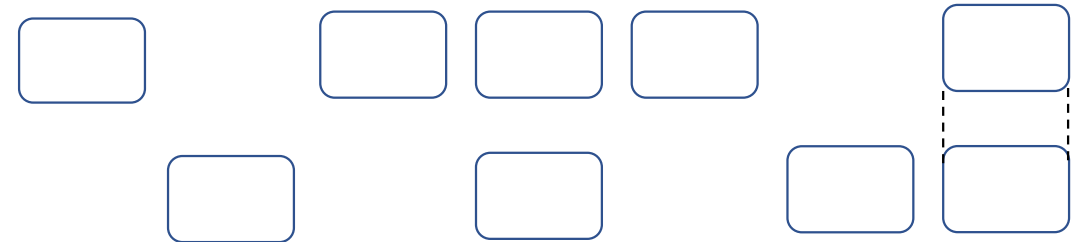
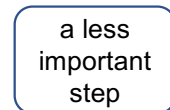
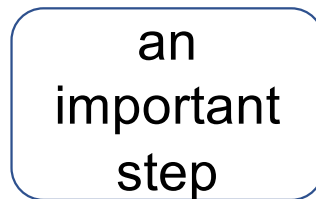
Simple... but not simplistic

Symbols were just boxes and lines

The Cognitive Psychology of diagramming

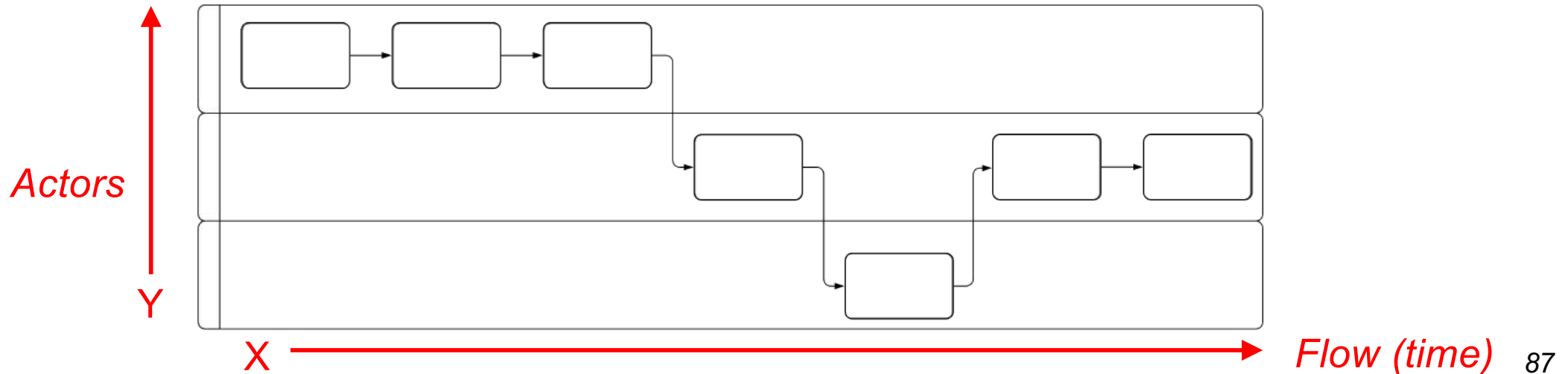
What do people first perceive on a diagram?

1. relative size

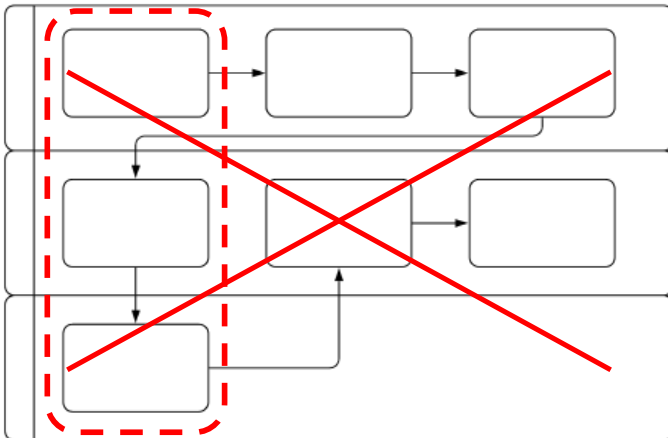


Make all the steps the same size,
unless you're trying to make a point

2. relative X-Y position



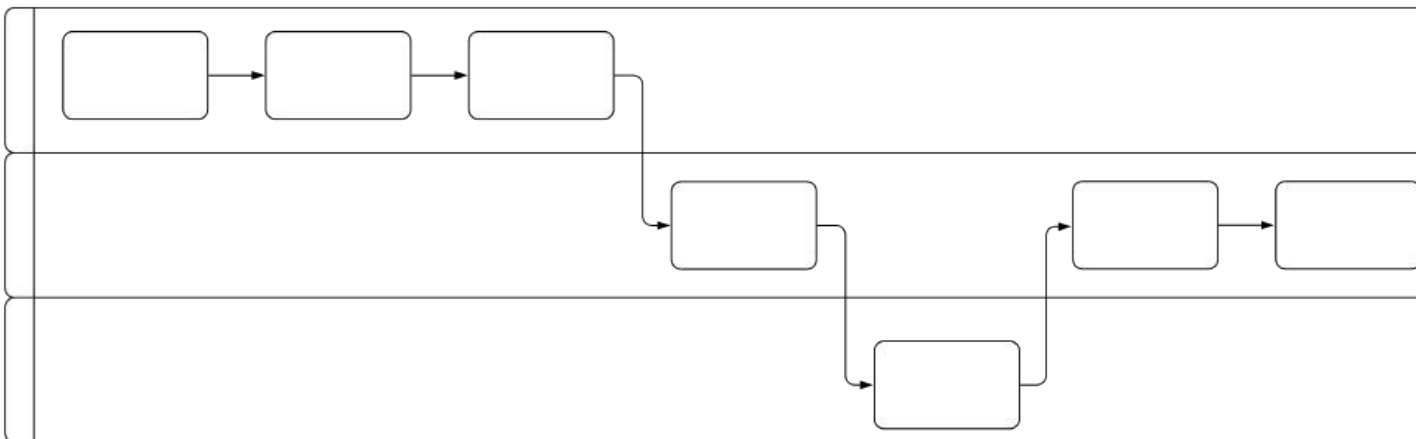
Don't conceal sequence and dependency



Steps perceived as happening in *parallel*, even though flow lines indicate *sequential*.

Critical in analysing a process:

- sequential vs. parallel
- dependent vs. independent



A simple guideline:
flow lines *only* leave
the right edge
and *only* enter
the left edge – never
the top or bottom.

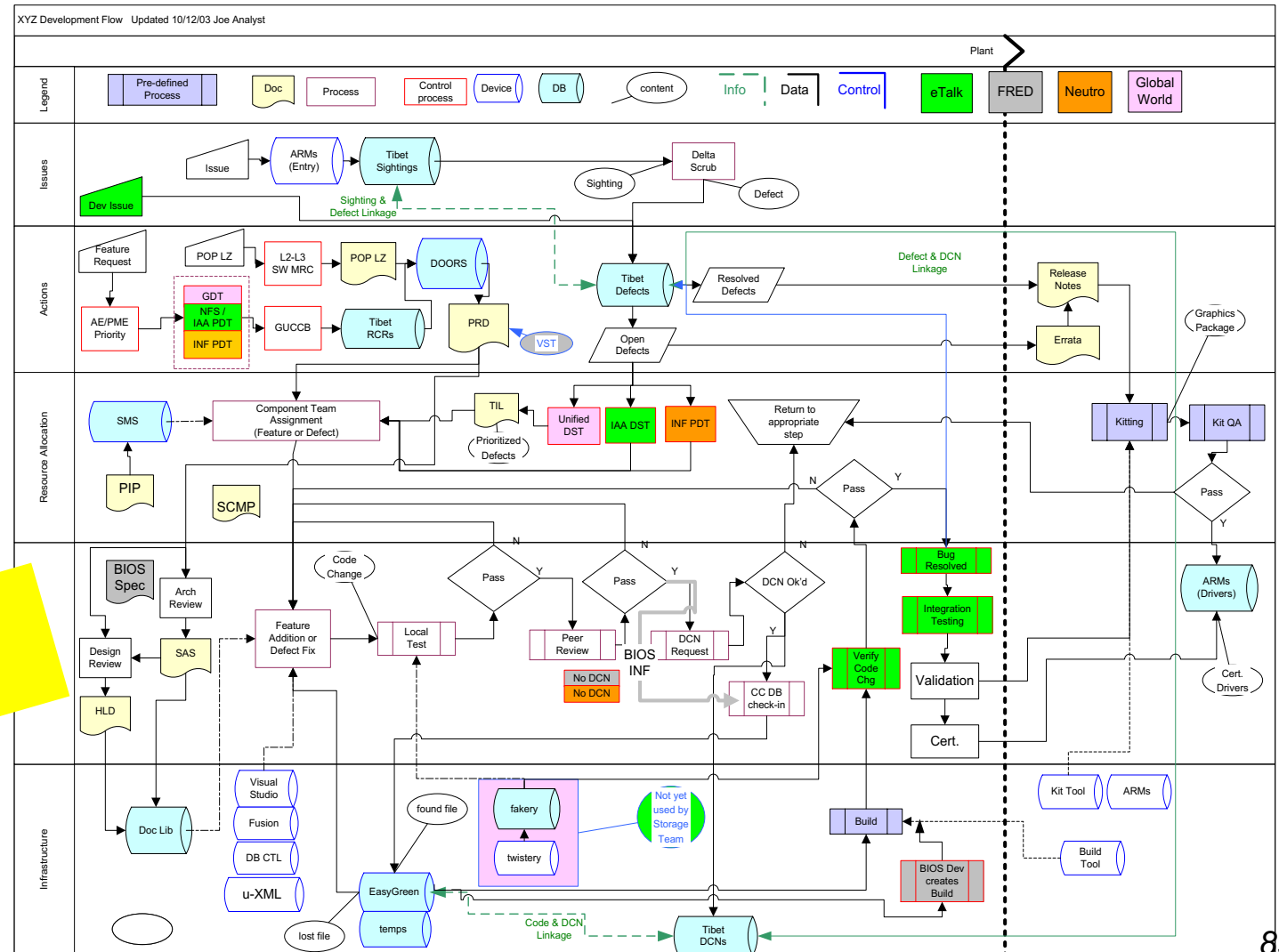
"I think I know why our business partners don't want to review this..."

Probably a good DFD
(Data Flow Diagram)
useful to a technical
audience

Not a good
Process Flow Diagram,
useful to business
professionals, because...

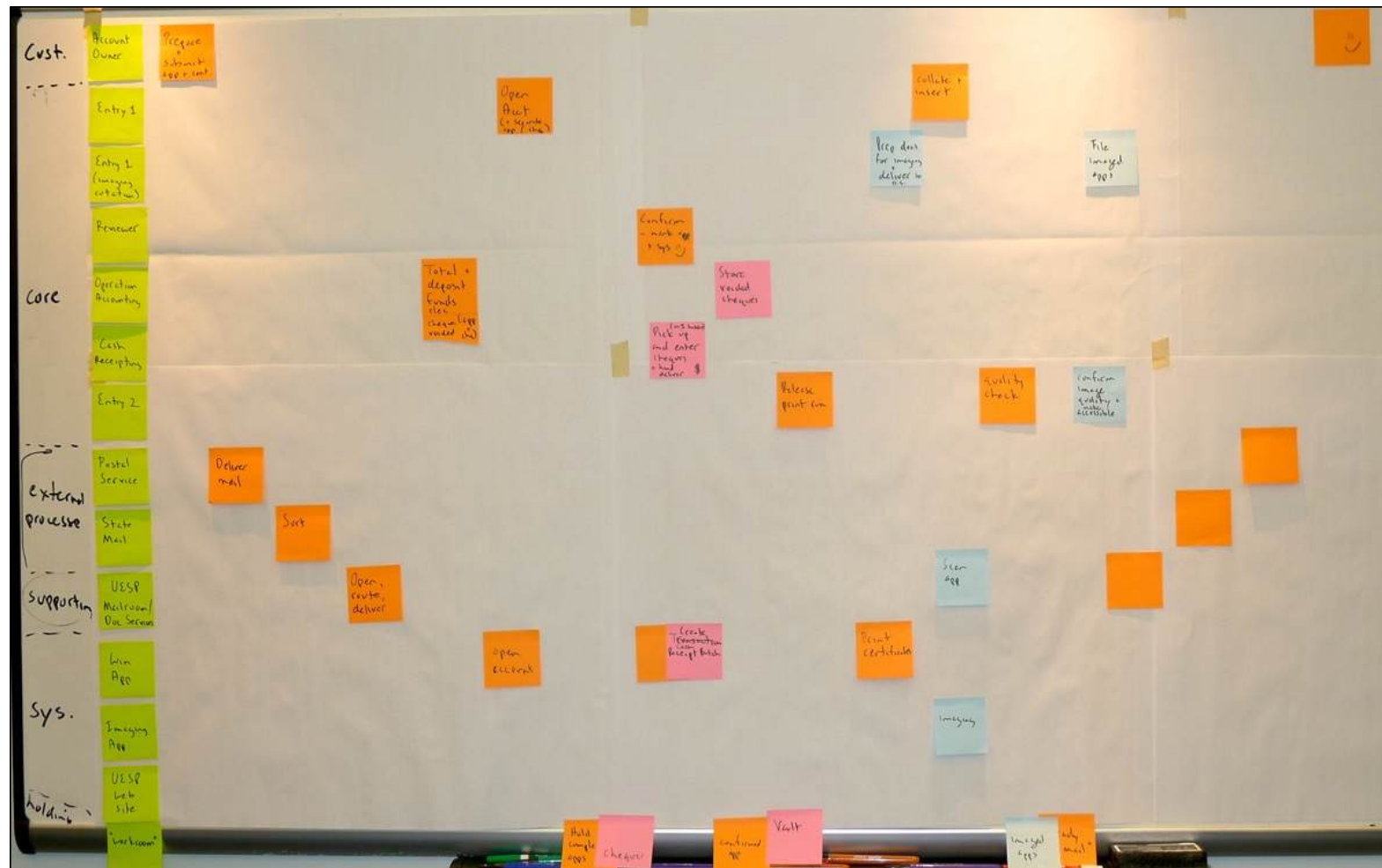
- no obvious flow
- too many symbols
- cryptic acronyms
- lanes aren't actors
- ...

What's wrong with this diagram
as a means of communicating
with a business audience?



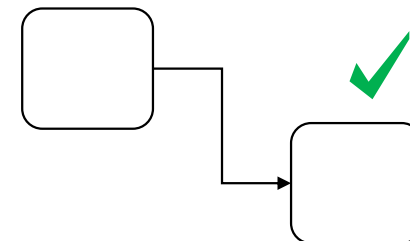
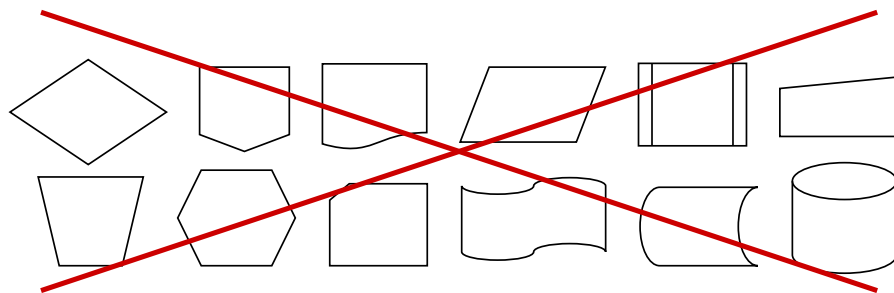
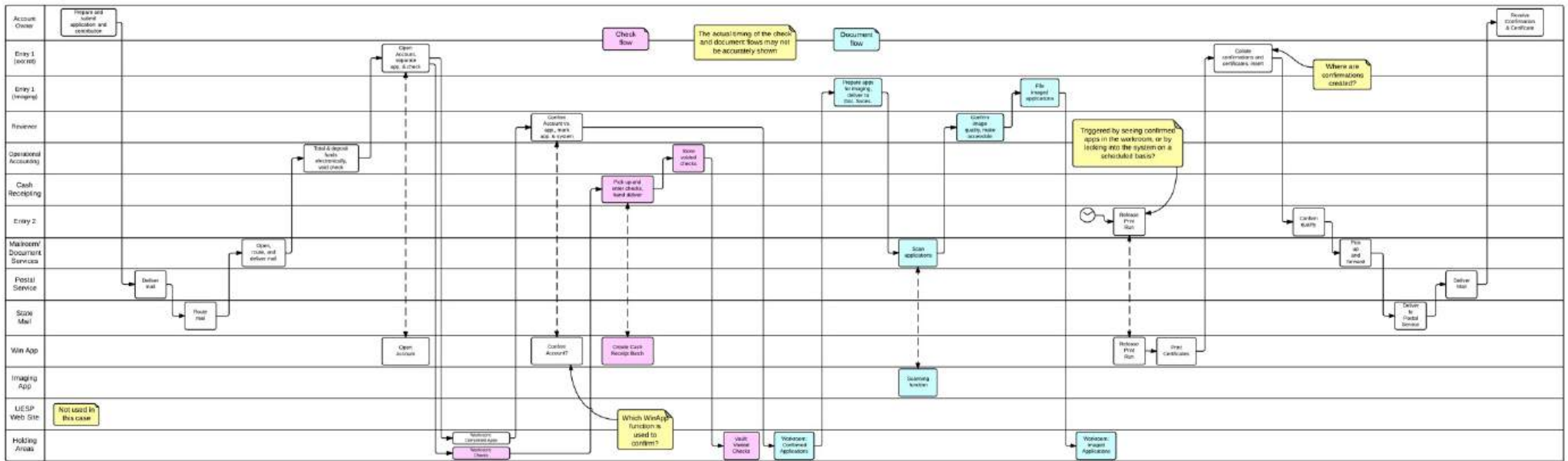
Boxes alone are a great start

Remember – you can build an initial flow model with Post-its, real or virtual



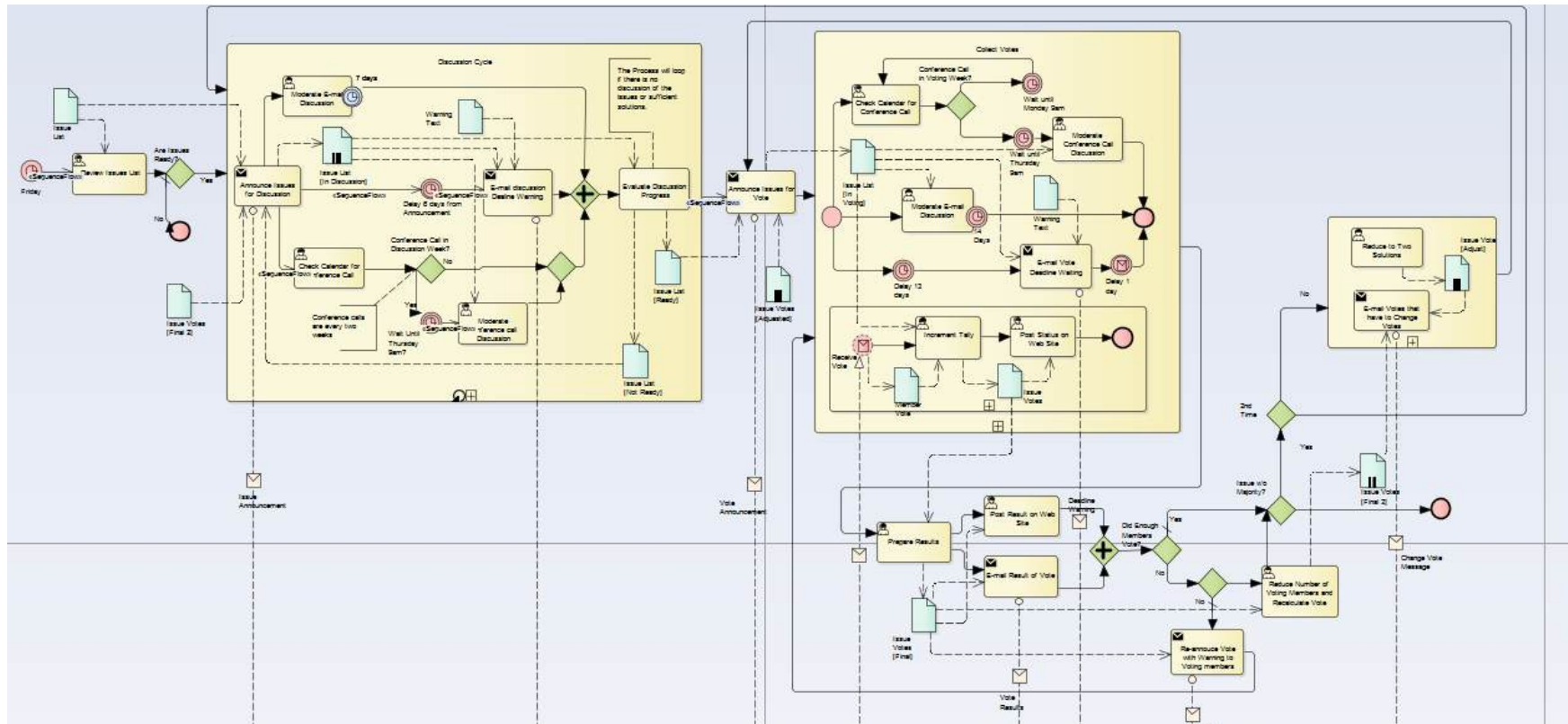
Minimal symbols

Later, redrew it with *Lucidchart* (www.lucidchart.com) – add rigour, but still focus on flow and simplicity.



Full BPMN* – not useful for business purposes

If you choose to use BPMN, use extreme restraint! Only use a few symbols such as Lanes, Tasks, Flows, simple Events, and optionally Gateways

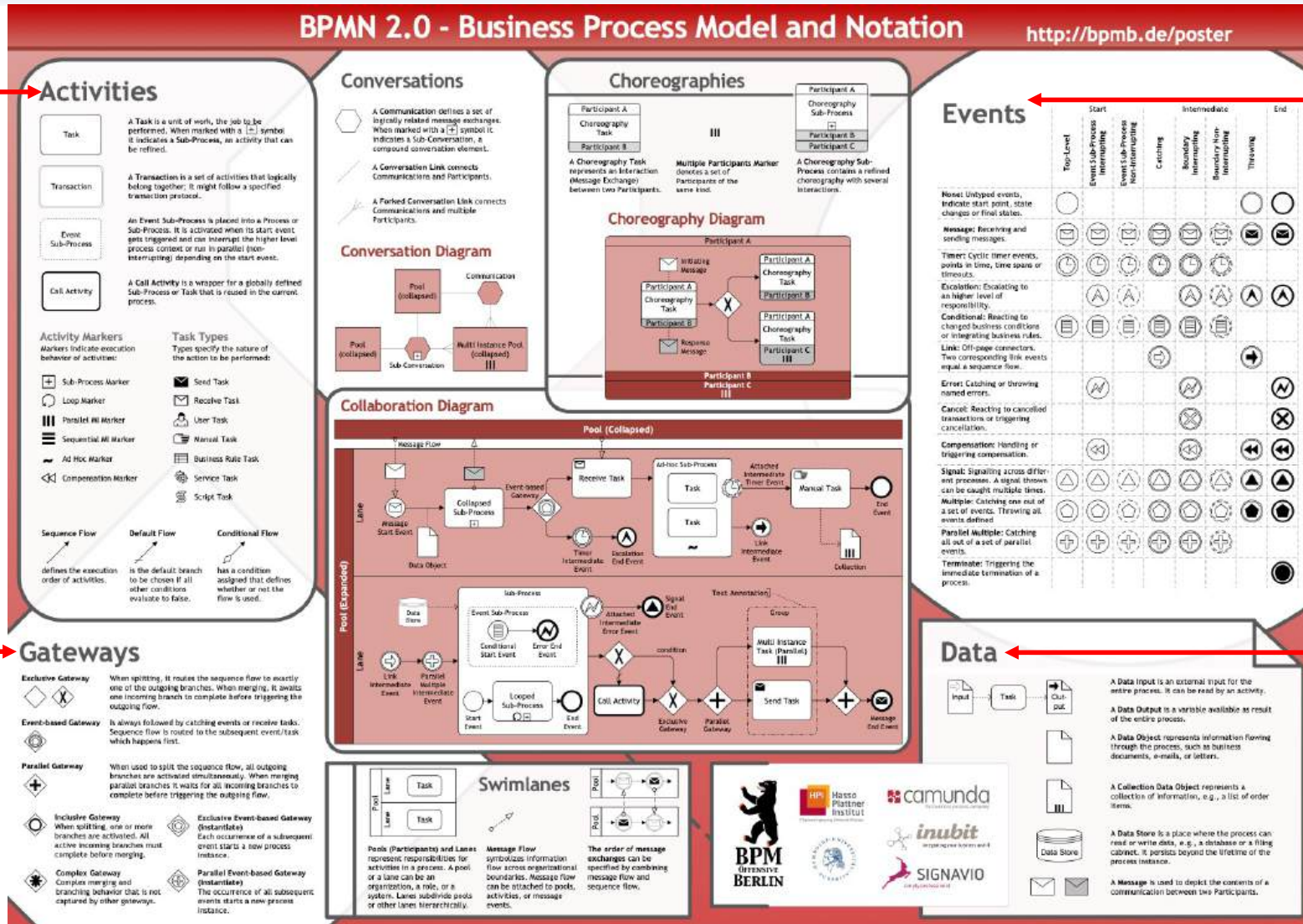


*Business Process Model and Notation, a standard by the OMG. BPMN was created to be a **visual programming language** for automating workflow, not for business modelling.

The full BPMN symbol set (why we use a subset)

4 kinds of
Activities
(plus
Markers &
Task Types)

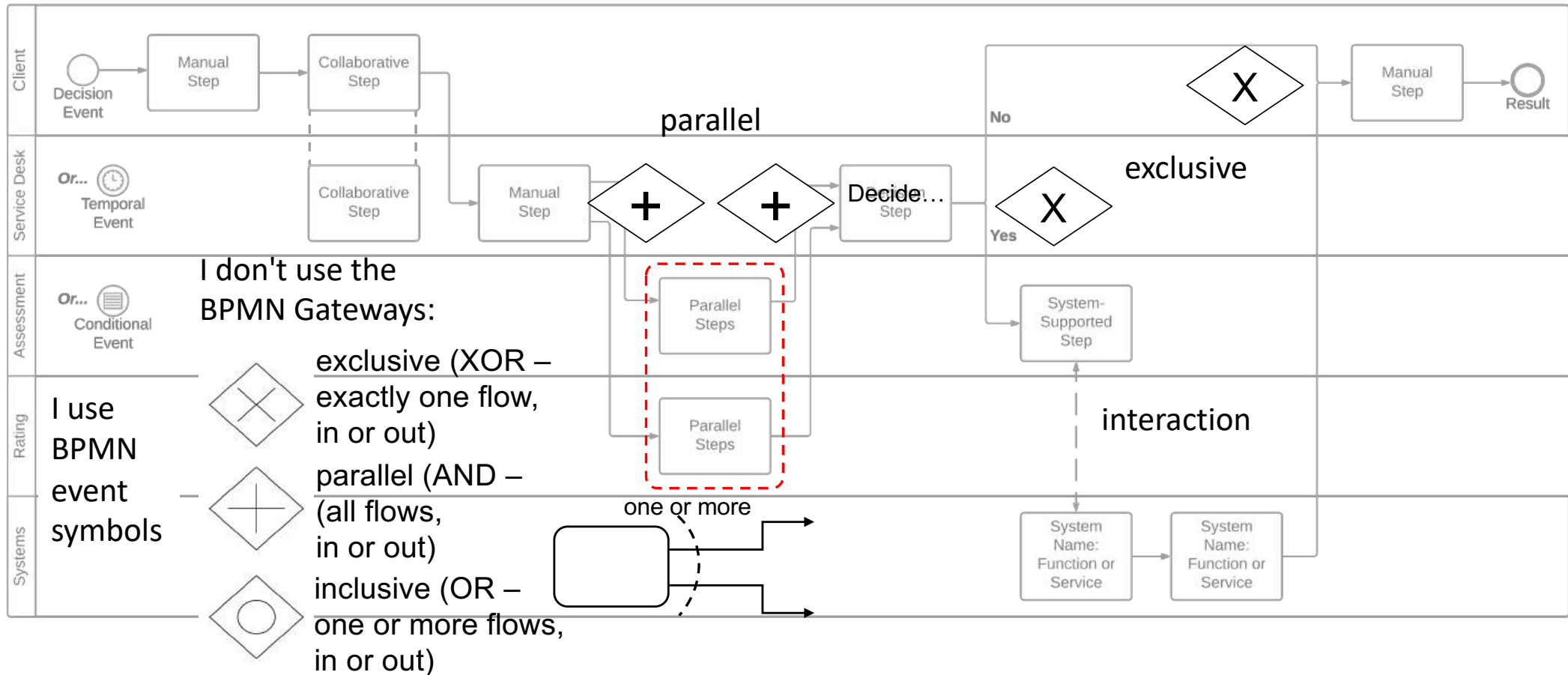
7 kinds of
Gateways



63 kinds of
Events

6 ways to
represent
Data

Minimal symbols for an approachable workflow model



Striving for precision can undermine the purpose

Aristotle –

“It is the mark of an educated mind to rest satisfied with the degree of precision that the nature of the subject admits, and not to seek exactness where only an approximation is possible.”

Business-oriented workflow models will never simultaneously be:

- entirely precise and
- entirely generalised

Remember:

- diagrams convey concepts and structure – they tell a story
- other forms are better to convey detail – narratives, checklists, procedures, decision tables, use cases, activity diagrams / flowcharts, etc.

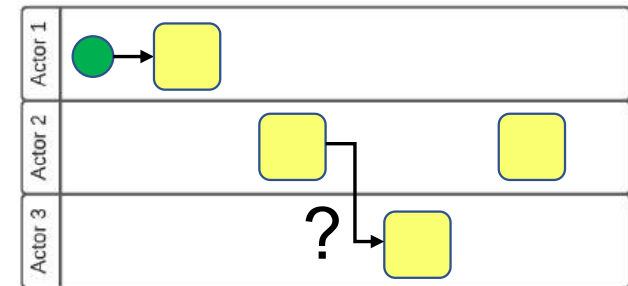
Three questions to develop your initial workflow model

Emphasis:

- keep you out of the details – focus on *flow*
- ensure the involvement of *every* actor is shown – it doesn't matter *how much* or *how little* they do, or whether they *add value*

Three simple questions:

1. “Who gets the work next?”
2. “How does it get there?”
– Often uncovers “transport” actors or systems
3. “Who *really* gets the work next?”
– Often uncovers additional actors

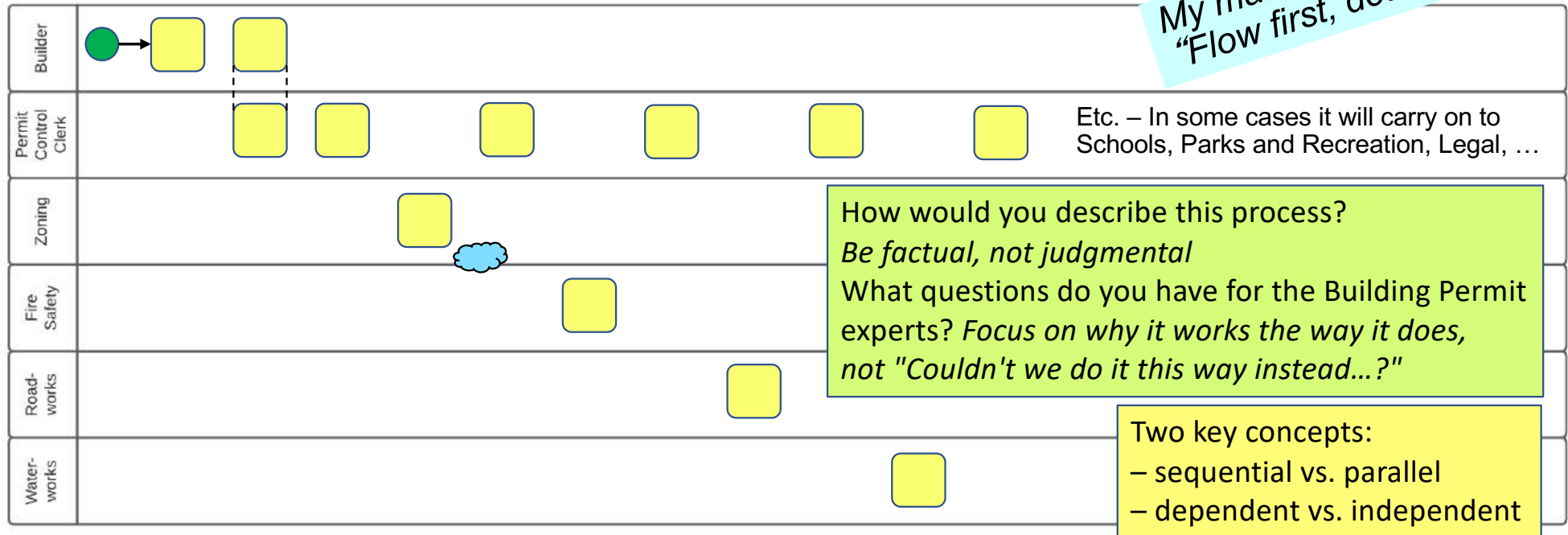


Guideline for the initial Handoff Diagram:
Whenever an actor *holds the work*, whether they do a *lot* or a *little*, draw *one* box (or post *one* sticky) and *move on!*
(And no value judgements – include *every* actor that holds the work!)

Question 1 – "Who gets it next?" traces overall flow

Process: Issue Building Permit
Case: Single Family Dwelling (SFD)

My mantra –
"Flow first, detail later"



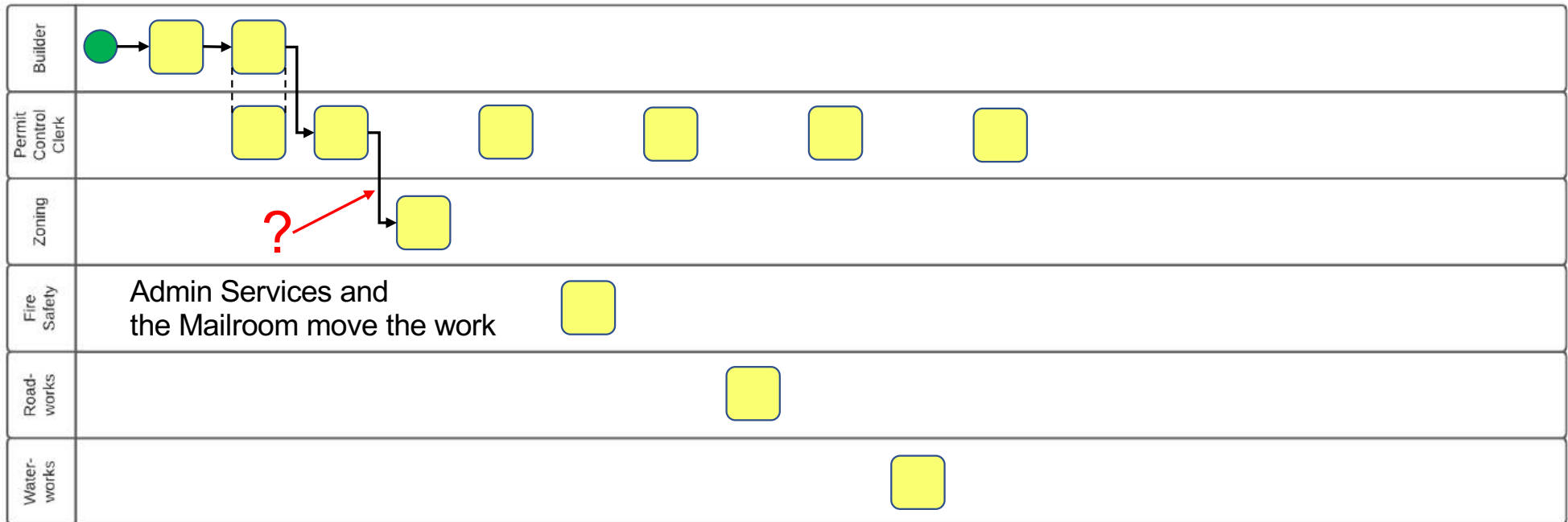
In scoping, you identified the trigger, the result, and the main actors. Now, starting at the triggering event, keep asking question 1 –

"Who gets the work next?"

- trace the flow of work through to the Customer's result, following one path only!
- at a decision or parallel flows, follow the main path, mark the other with a cloud, and return later
- **DO NOT** ask "What do you do?"

Question 2 – "How does it get there?" uncovers more actors

Process: Issue Building Permit
Case: Single Family Dwelling (SFD)

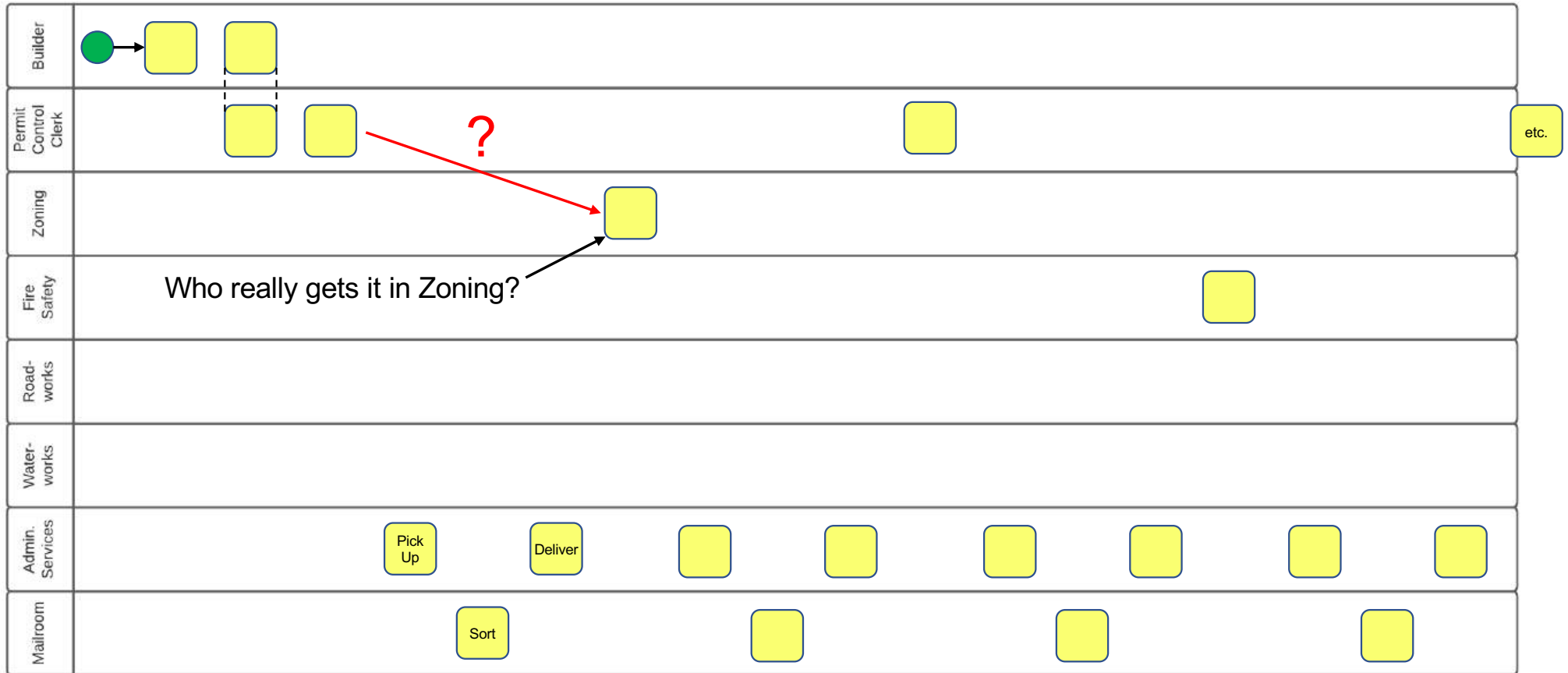


Next, at every handoff, ask question 2 –

"How does it get there?"

- uncovers *additional actors*, and therefore more handoffs
- a handoff is a potential source of *delay, error, or expense*

Question 2 revealed more actors and transport mechanisms

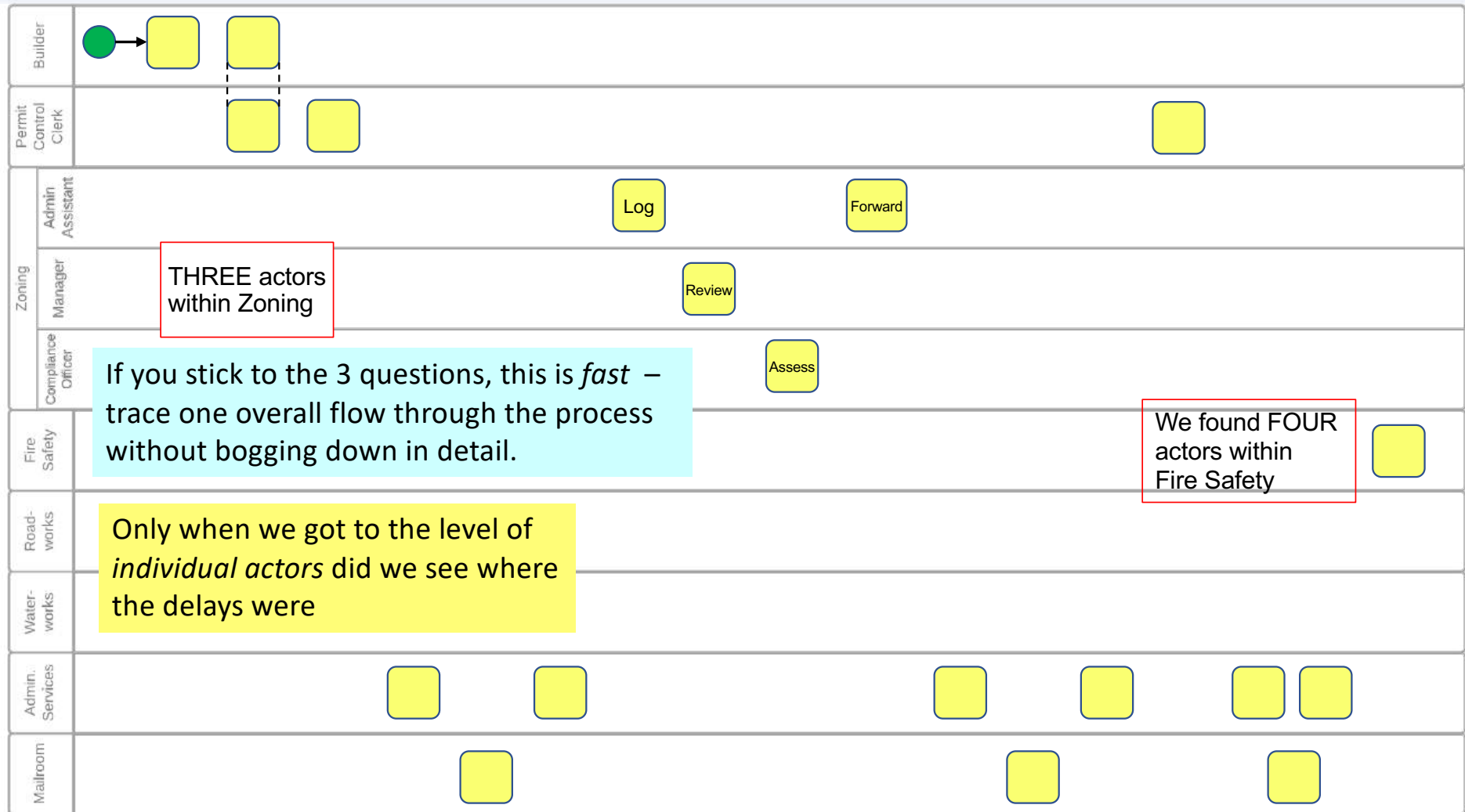


Now, inspect handoffs again, looking for missing actors, ask question 3 -

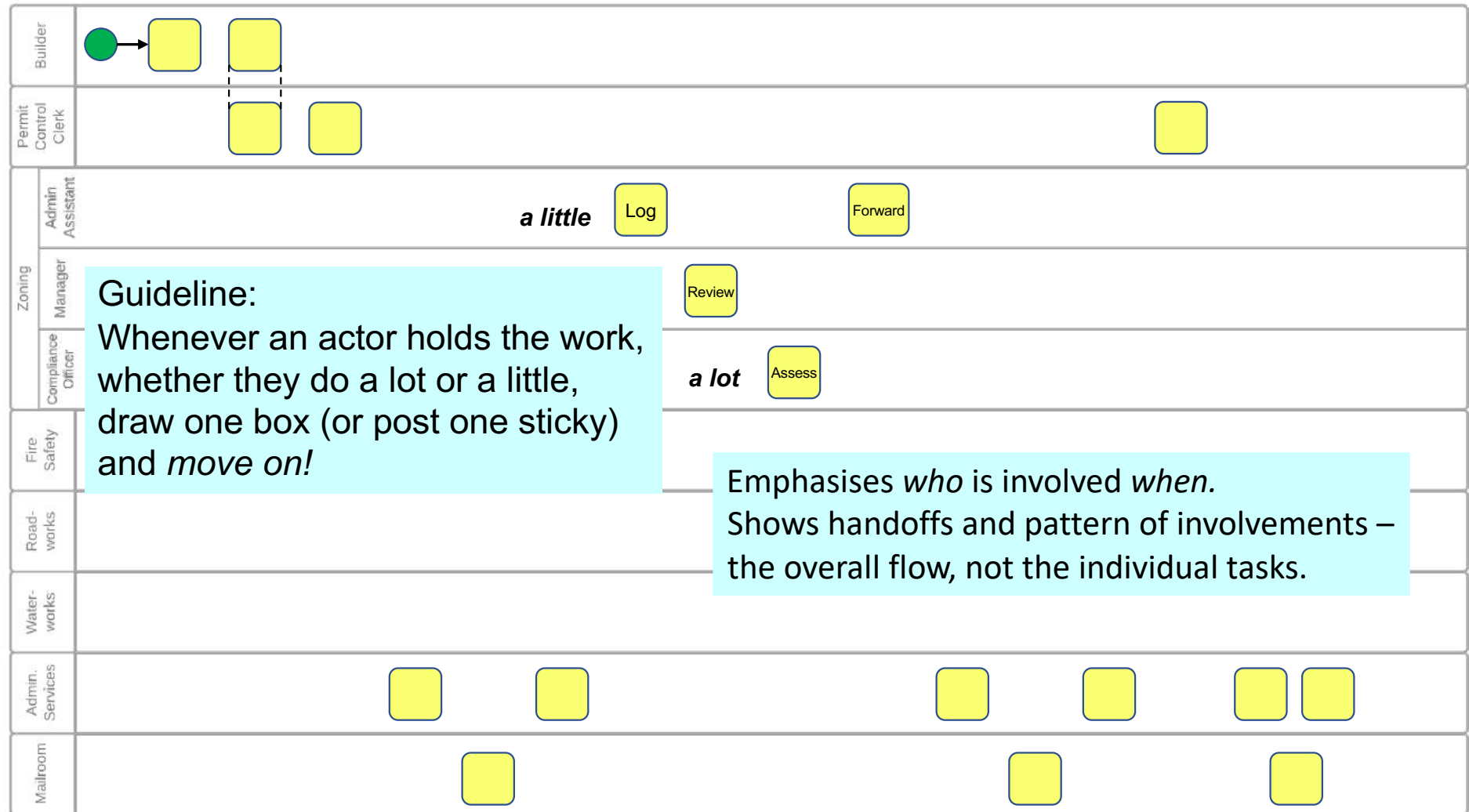
"Who really gets it next?"

- does it *really* go directly to the actor you first identified?

Question 3 – "Who really gets it next?" uncovers specific roles



We have started a "Handoff Diagram"

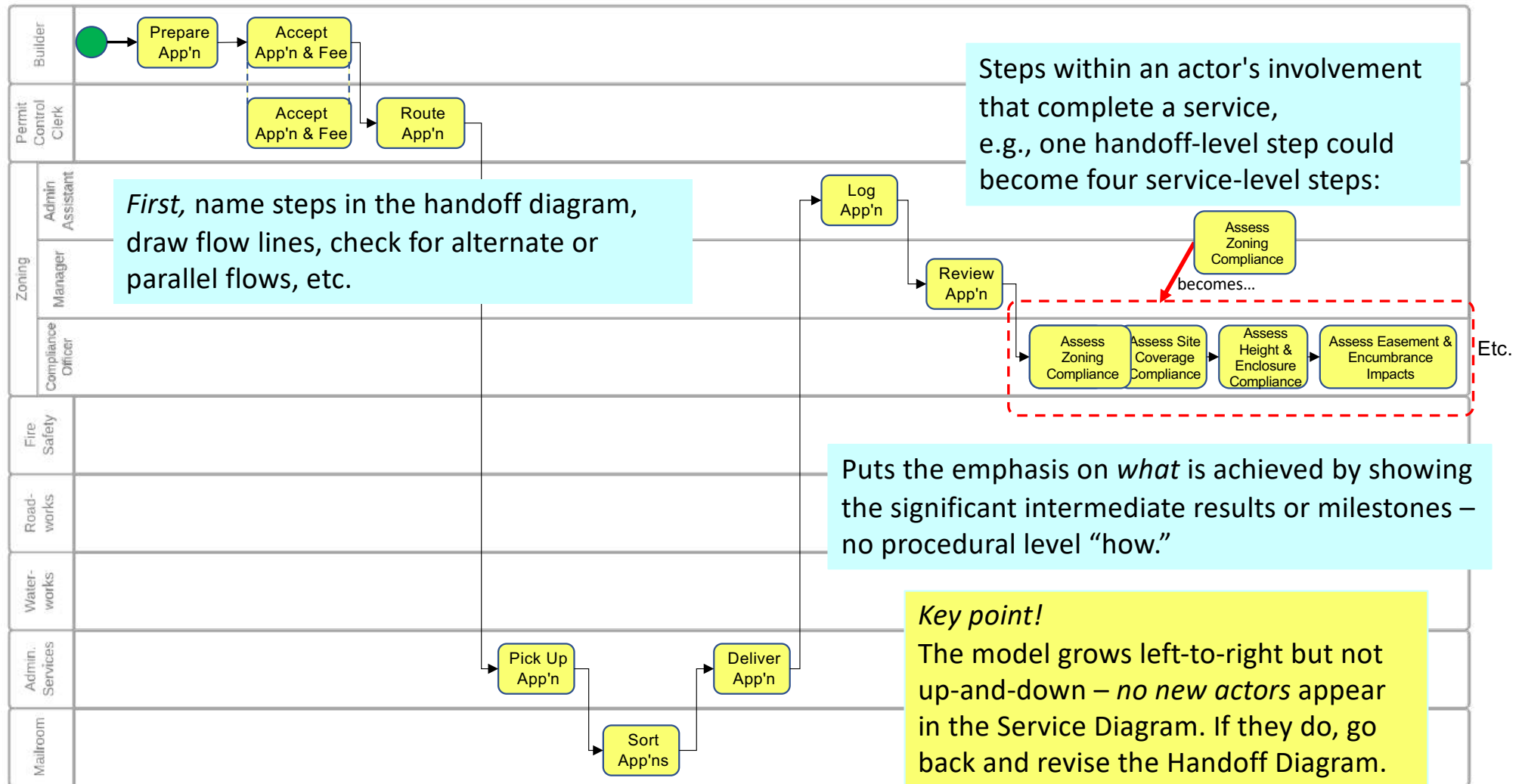


Guideline:



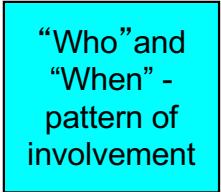
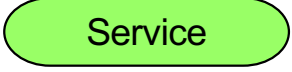
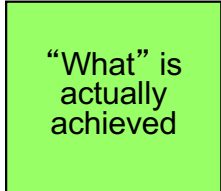
Whenever an actor holds the work, whether they do a lot or a little, draw one box (or post one sticky) and *move on!*

Emphasises *who* is involved *when*. Shows handoffs and pattern of involvements – the overall flow, not the individual tasks.

Now develop a "Service Diagram"



Two levels of swimlane diagrams

	Level	Definition	Emphasis	Notes
	1 	<ul style="list-style-type: none"> Draw one step (box) every time an actor continuously “holds the work,” no matter how much or little they do 		<ul style="list-style-type: none"> Sometimes this level of detail is enough to understand As-Is process behaviour
	2 	<ul style="list-style-type: none"> Decompose handoff-level steps into discrete services, <i>as necessary</i>: one step each time actor achieves a significant result or state change 		<ul style="list-style-type: none"> Usually, we don't go any further than this for the As-Is process Also called a “Milestone” diagram

The handoff-level diagram is critical – ensures we discover the overall flow before diving into detail.

The Handoff level workflow

Purpose:

Helps you get through the entire process

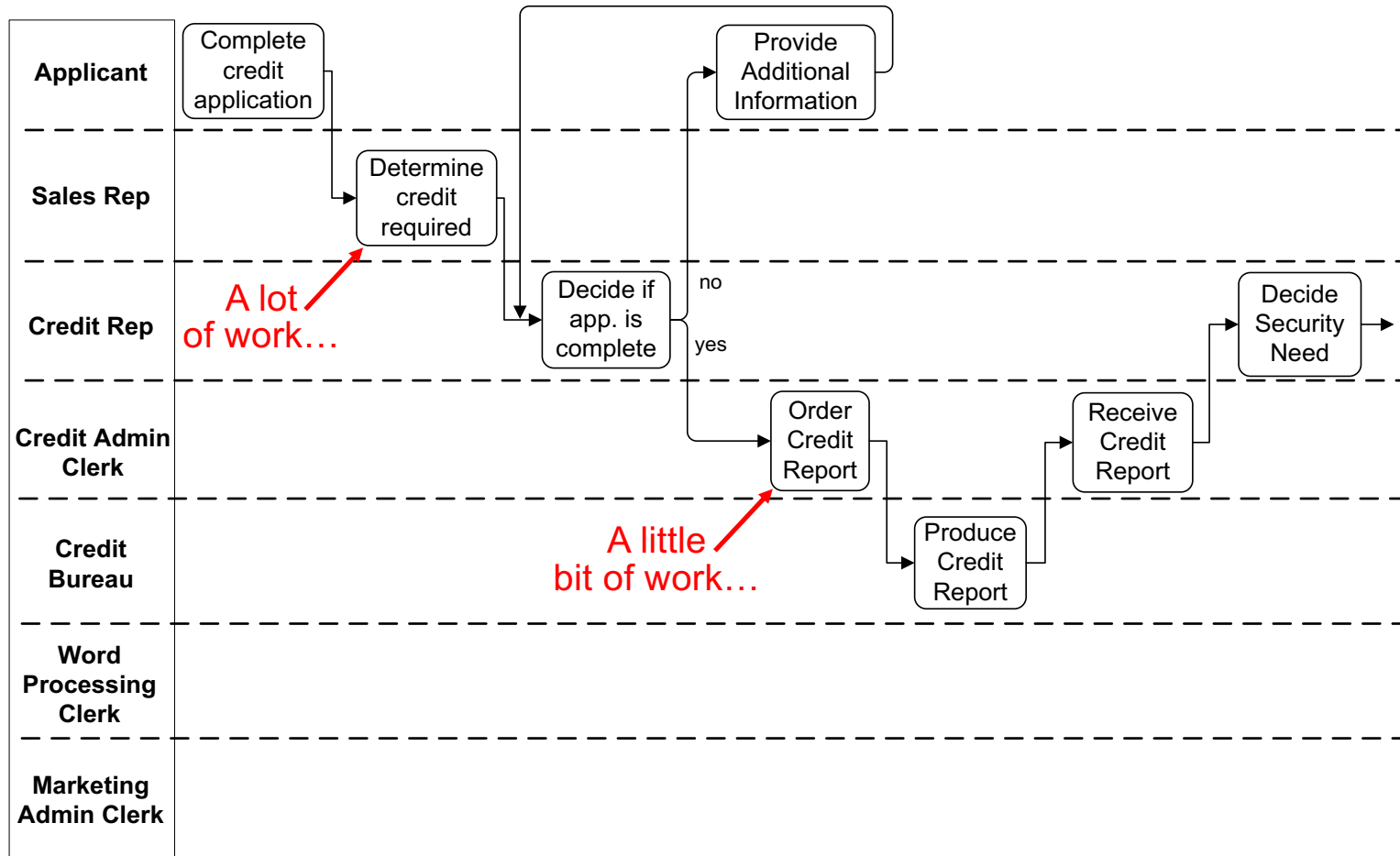
Makes the overall structure visible

Supports understandable presentations

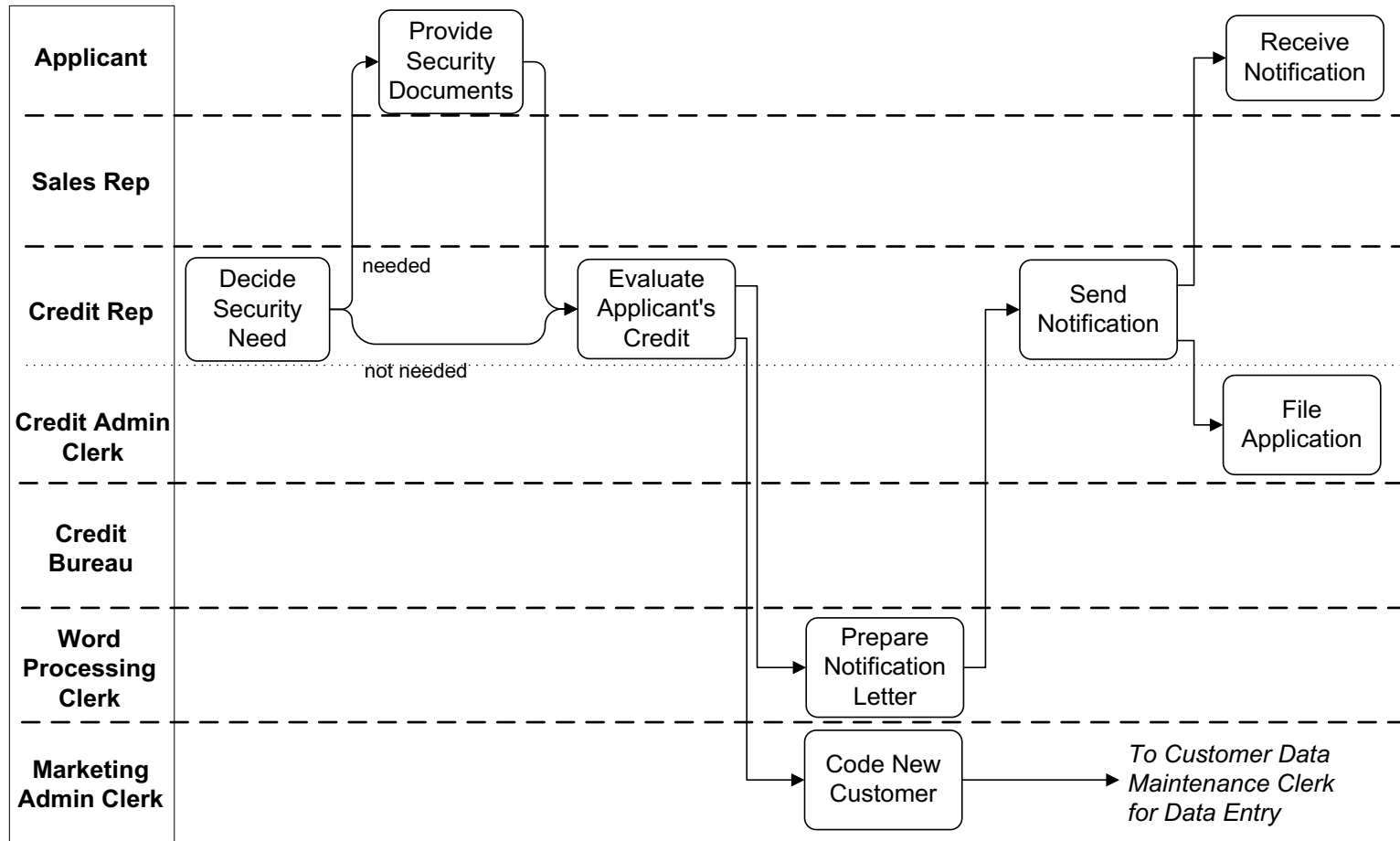
Key points:

- One step (“involvement”) each time there is continuous or uninterrupted work by an actor, regardless of time, effort (“a lot or a little”,) or complexity
- Puts the emphasis on *who* is involved *when* by showing the handoffs and pattern of involvements –
“the overall flow, not the individual tasks”
- Prevents getting bogged down in detail

“As Is” - Handoff (page 1)

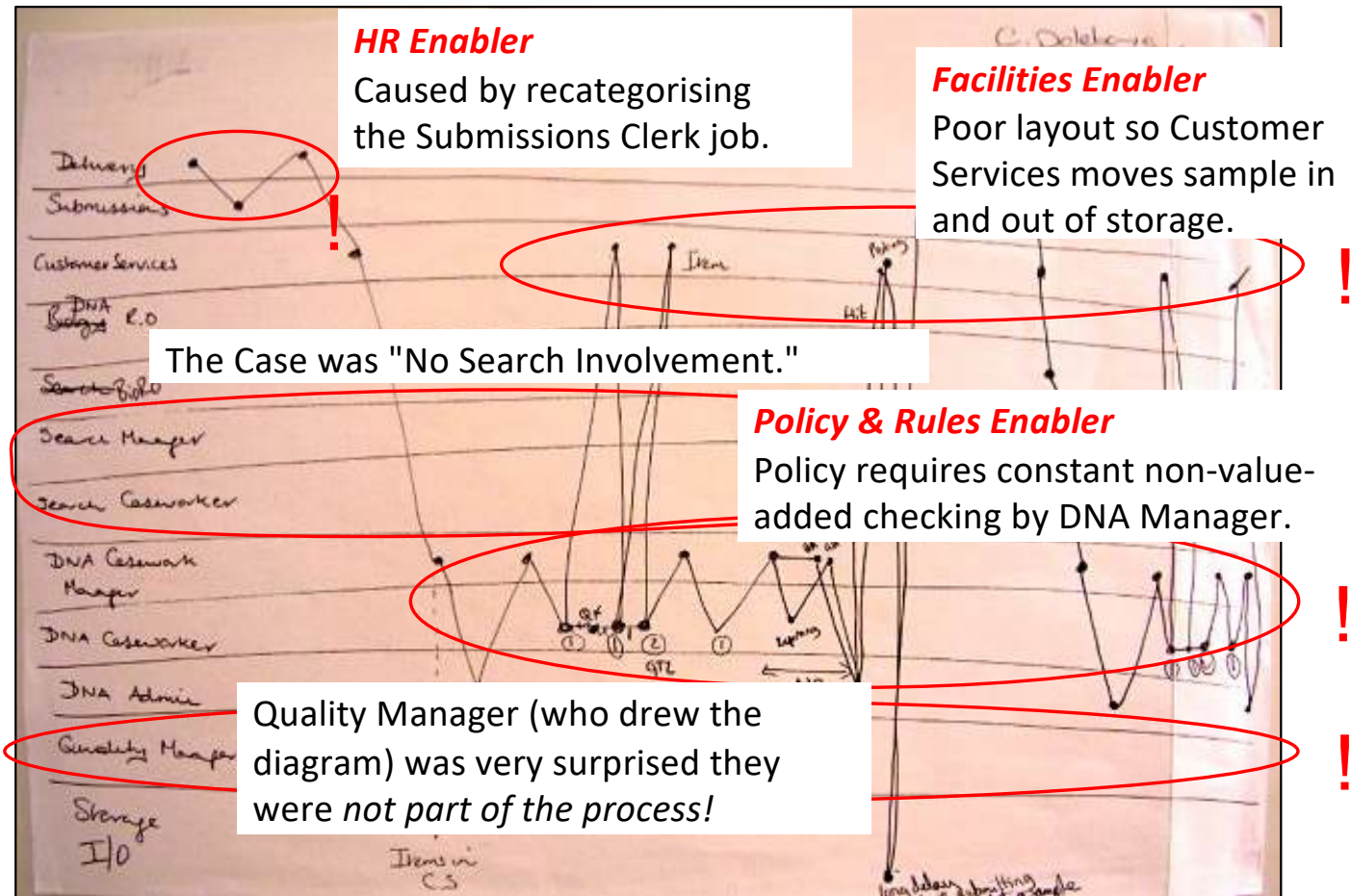


“As Is” - Handoff (page 2)





We learned a LOT in a short period of time



Business
Process
Design
(Workflow)

Technology &
Information
Systems

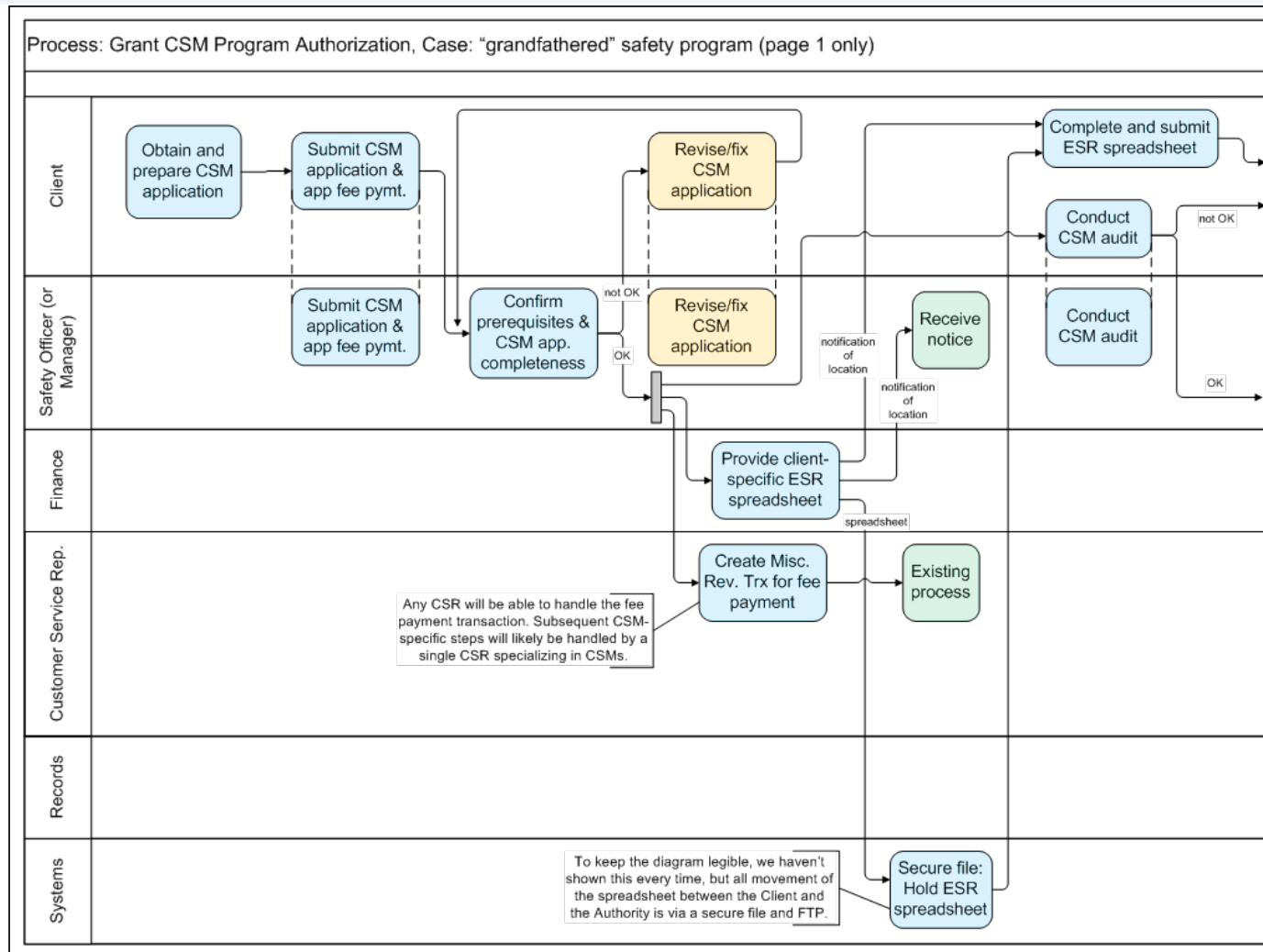
**Motivation &
Measurement**

**Human
Resources &
Organisation**

Policies & Rules

Facilities
(or, **Knowledge /
Info / Data,**
Communications,
Documents, ...)

Even handoff level diagrams can get a little more complex



The Service level workflow

- Purpose -

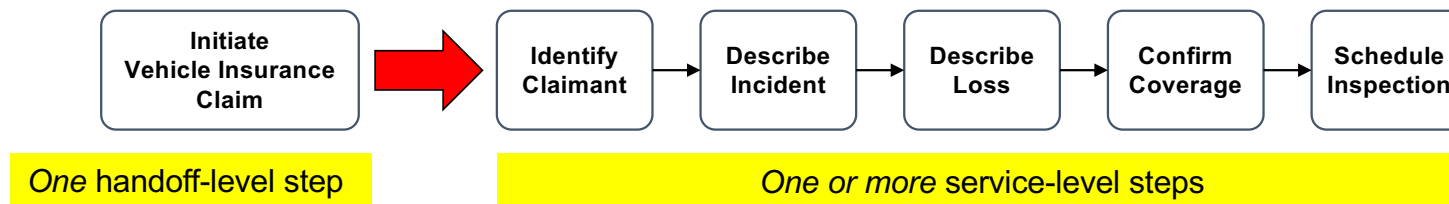
Understand the actual contribution of each actor to the process

Ensure feasibility and effectiveness of process (can each actor actually perform their steps?)

Show relationship to systems - steps involving automated support correspond strongly to use cases and services

Key points:

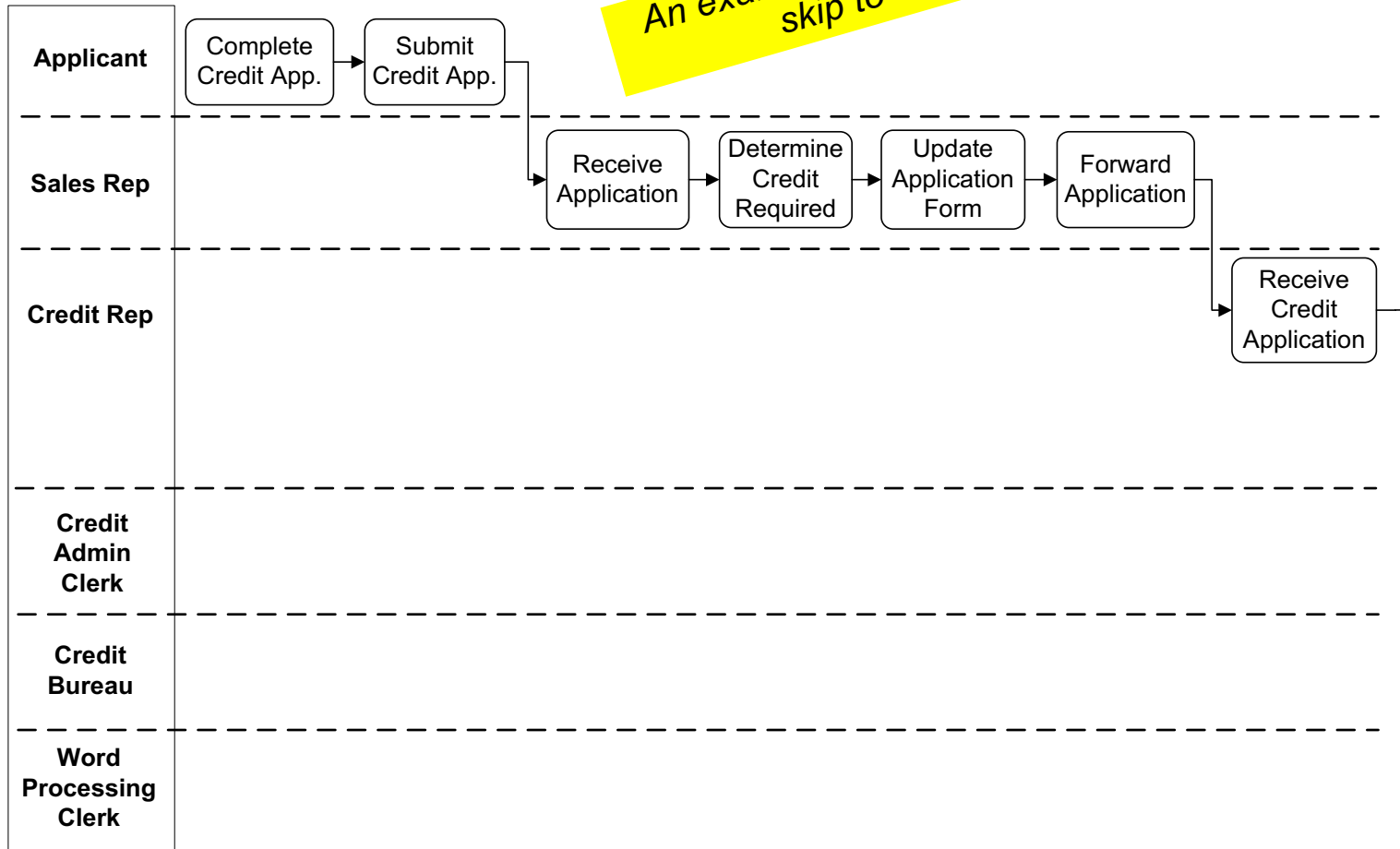
- Steps within an actor's involvement that complete a service
E.g., *one* handoff-level step could become *five* service-level steps:



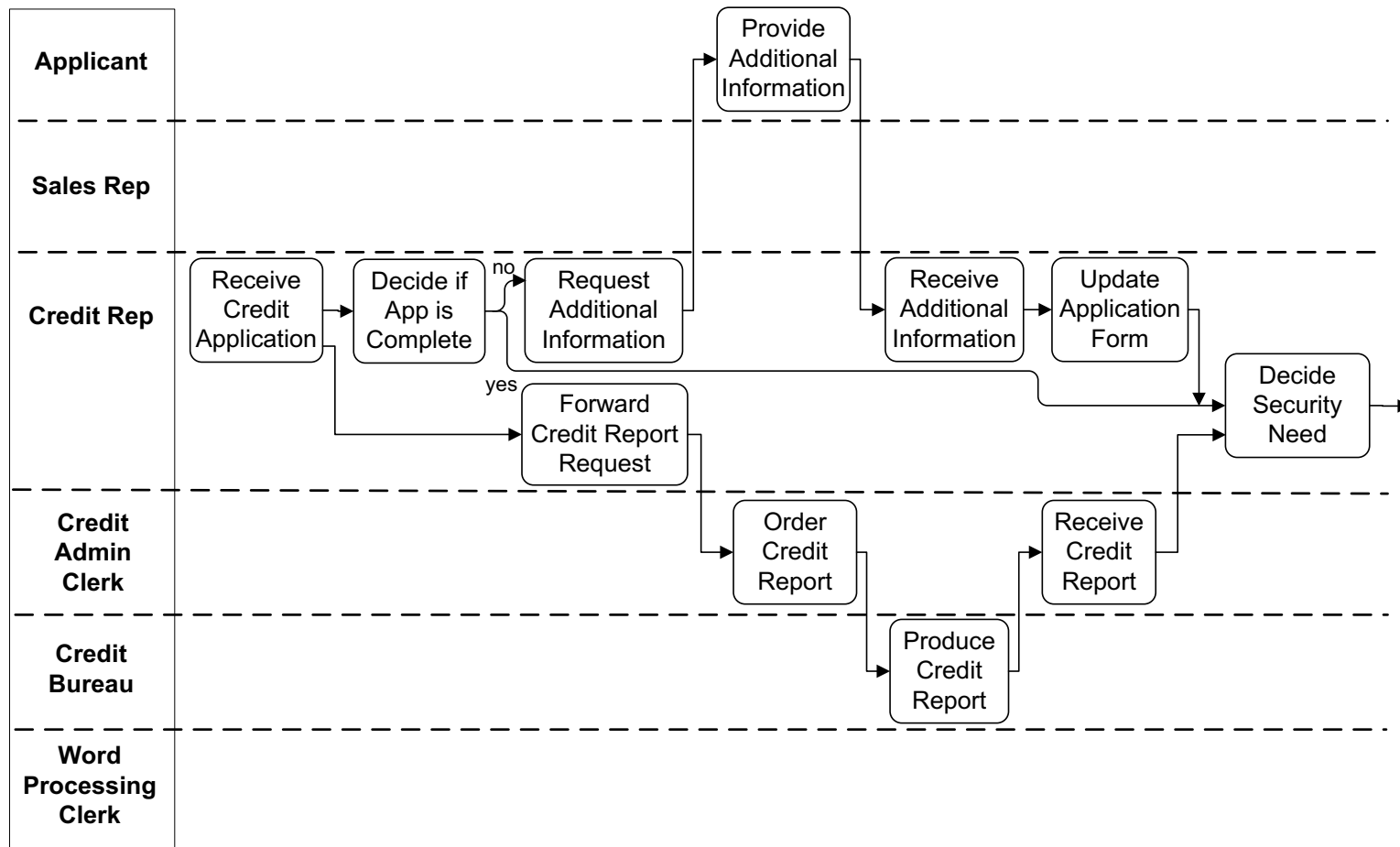
- Puts the emphasis on *what* is achieved during the process by showing the significant intermediate results or milestones –
“the achievements, not the individual tasks”

“As Is” - Service (page 1)

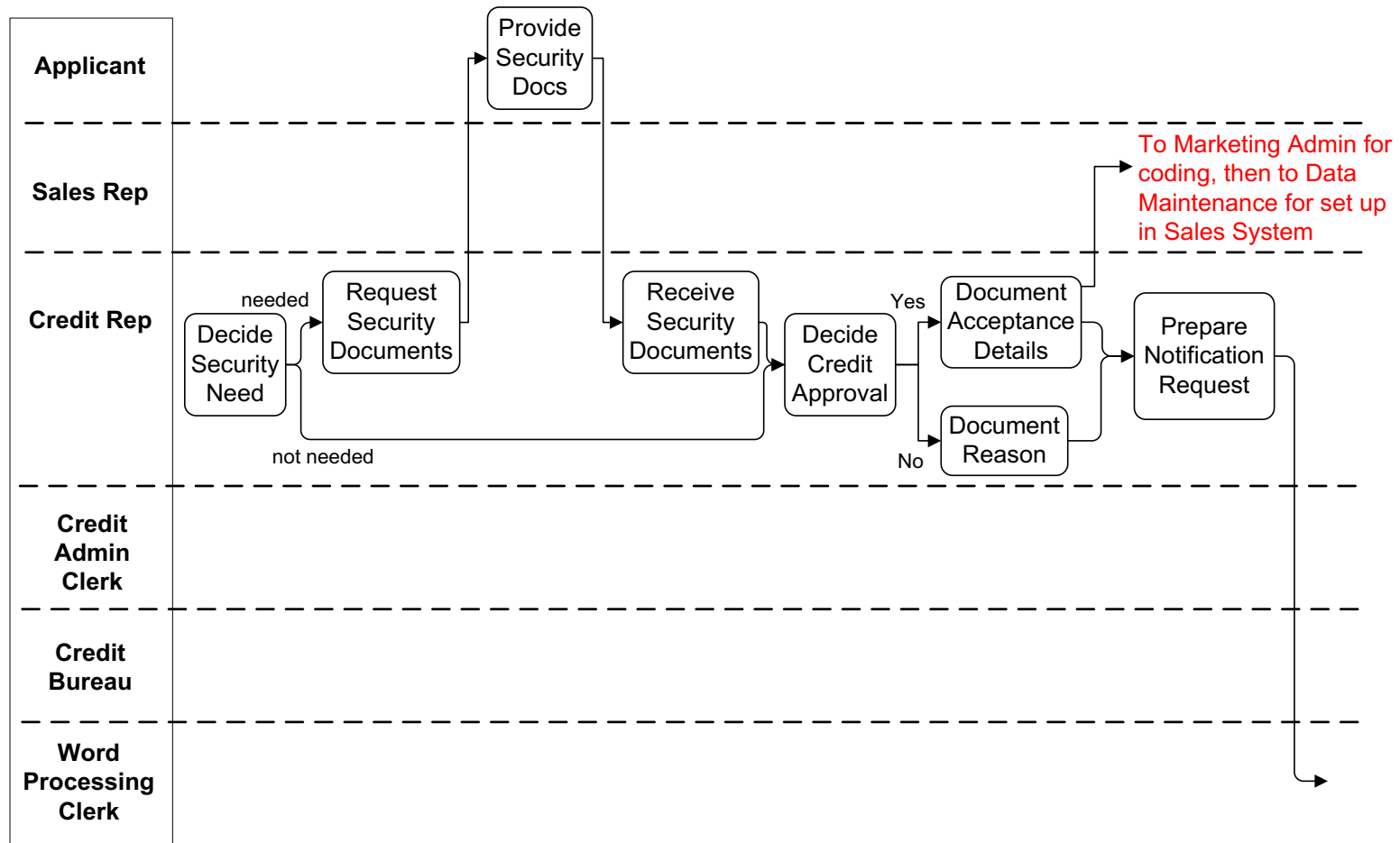
An example for reference –
skip to 115.



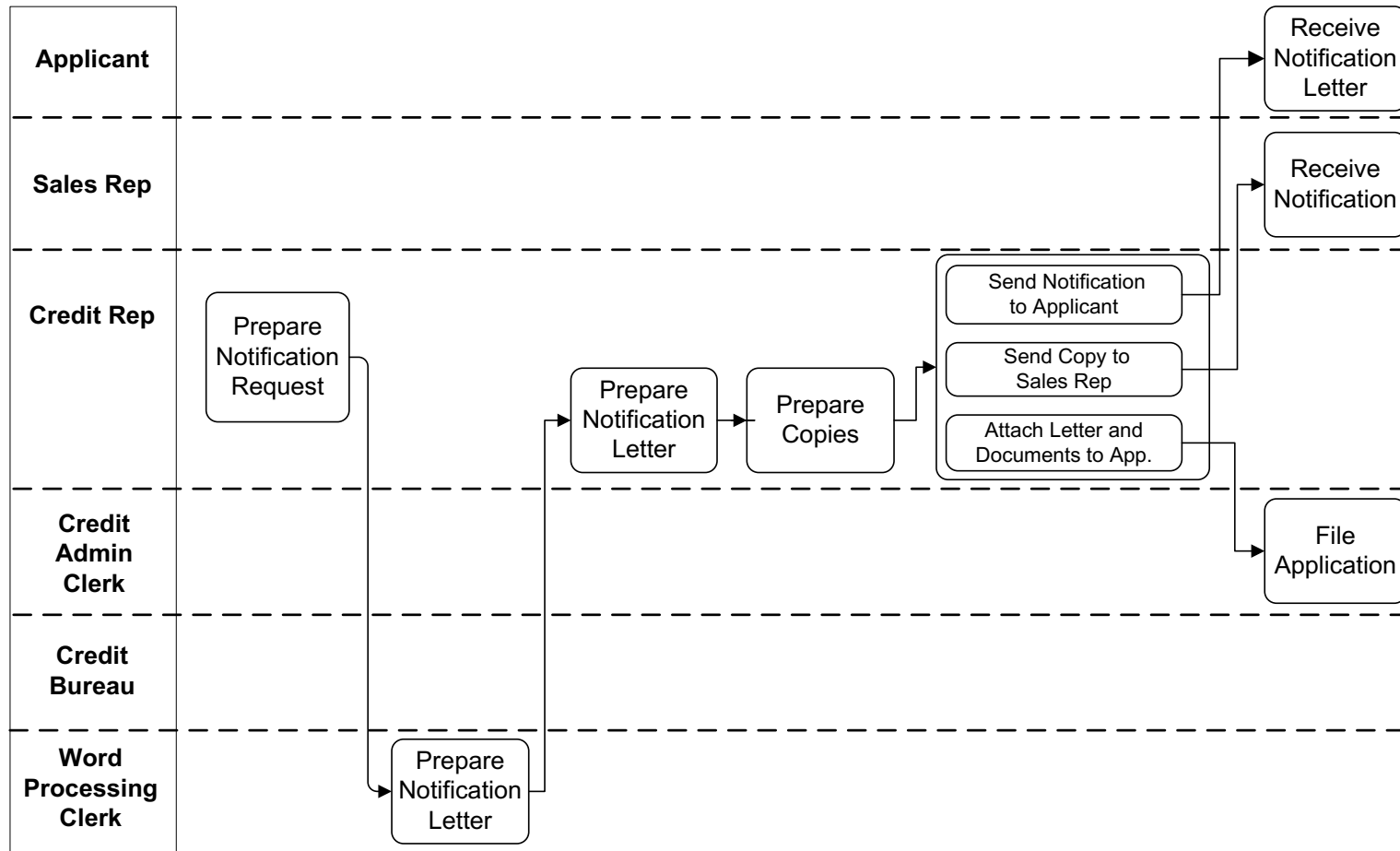
“As Is” - Service (page 2)



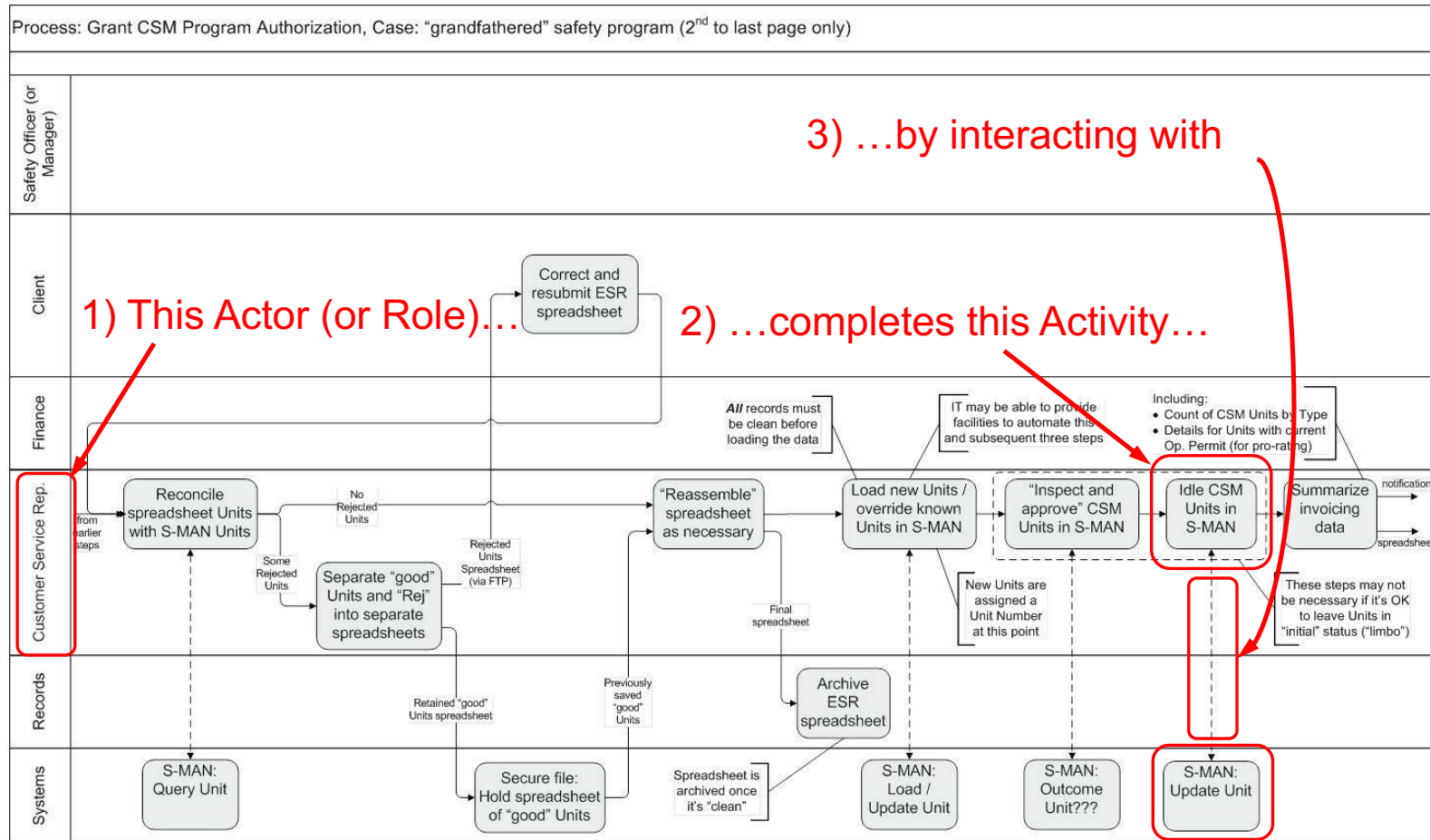
“As Is” - Service (page 3)



“As Is” - Service (page 4)



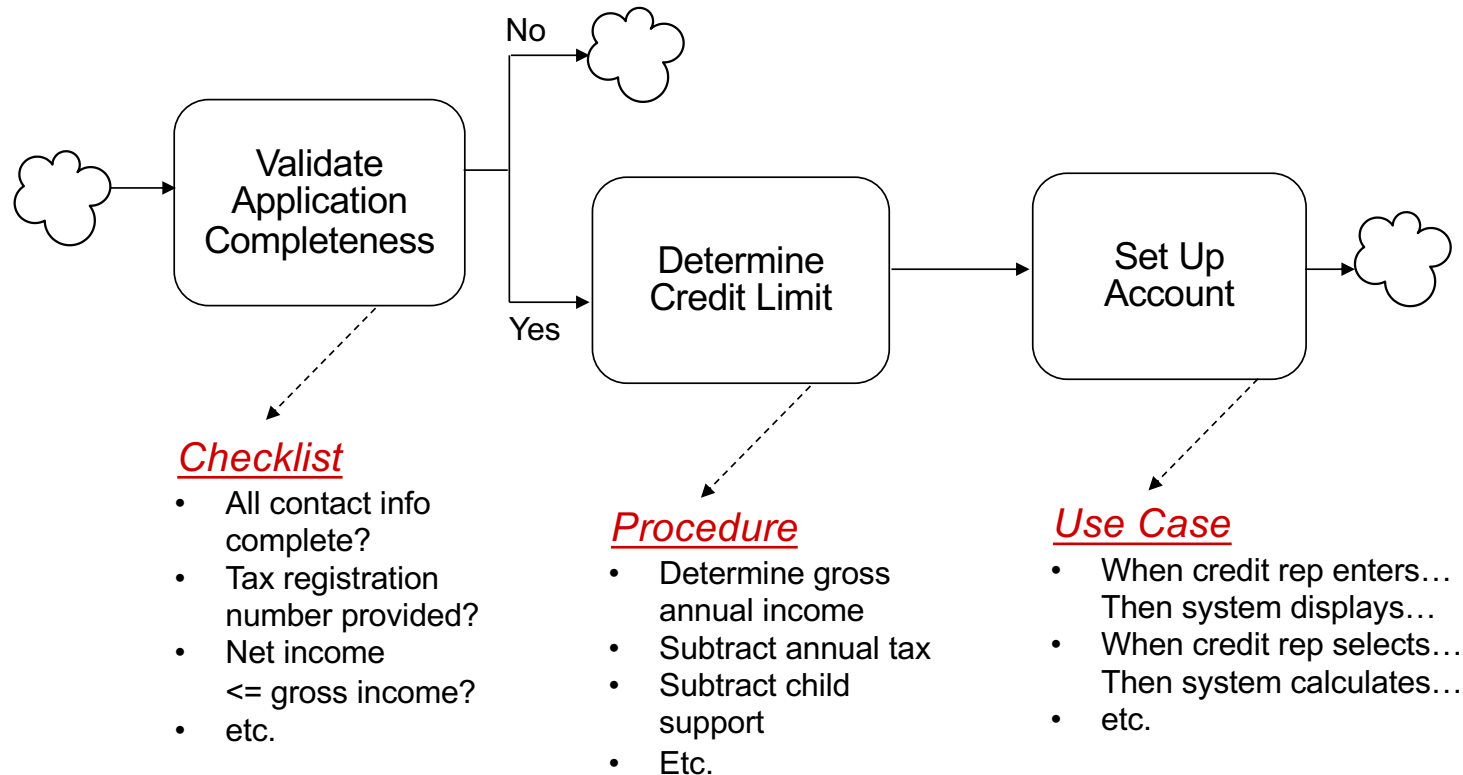
The Service level ties in Use Cases and Services



Stop diagramming before you get into “how”

Stop workflow modelling when work isn't flowing.

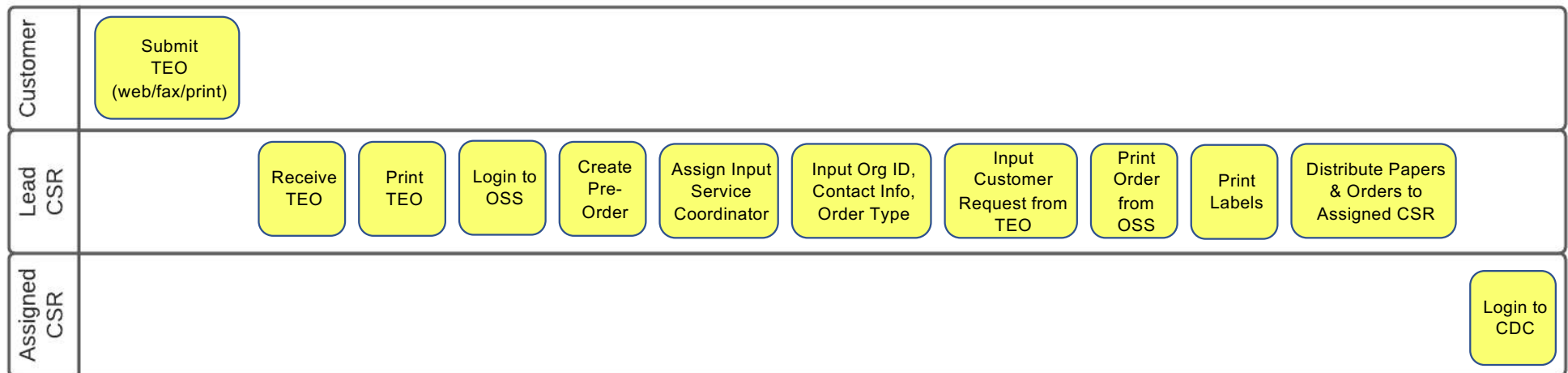
Do **not** use a workflow model to describe **how** an activity is done – that belongs in the activity description or in a linked document.



Knowing when you've gone too far

Do **not** use a workflow model to describe **how** an activity is done – that belongs in the activity description or in a linked document.

Handle TEO
(Telecom Equipment Order)



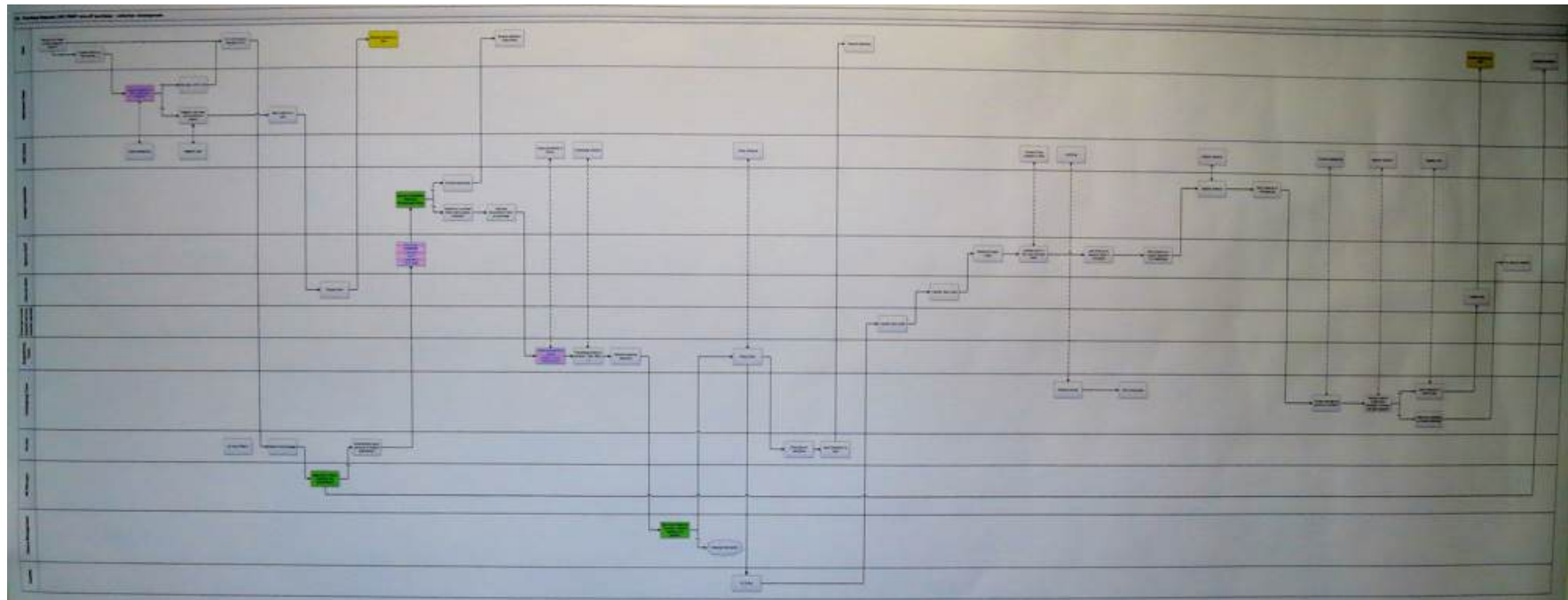
You've gone too far if:

- there are multiple steps in sequence by the same actor
- the steps include "how-to" instructions (procedural level detail)

Getting out of the weeds if you've gone too far

Client struggling with process redesign, mired in detail

One of 17 flow models for variations of the same process

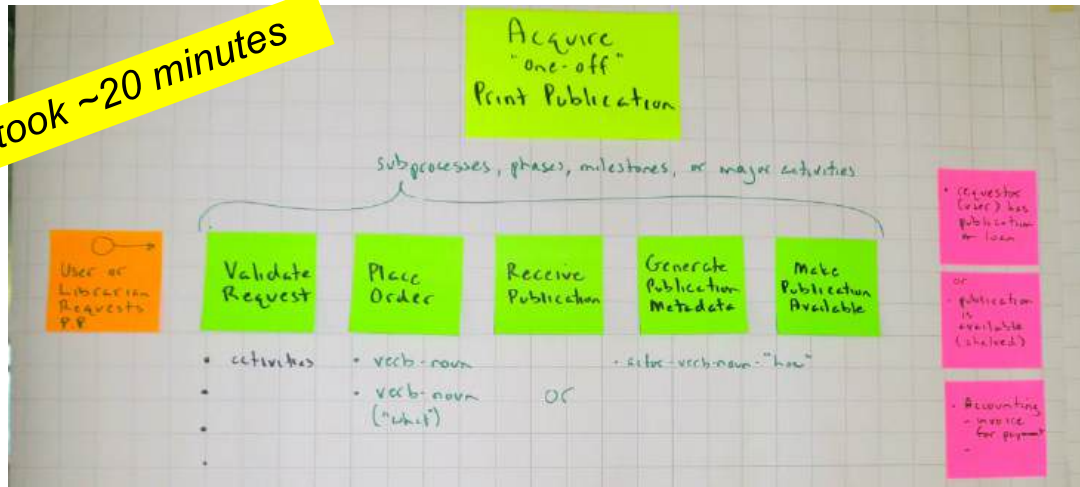


Excellent models, but detail without context is the enemy!

Step One – Establish context with a Process Scope Model

Step 1 – build a Process Scope Model then a Summary Chart

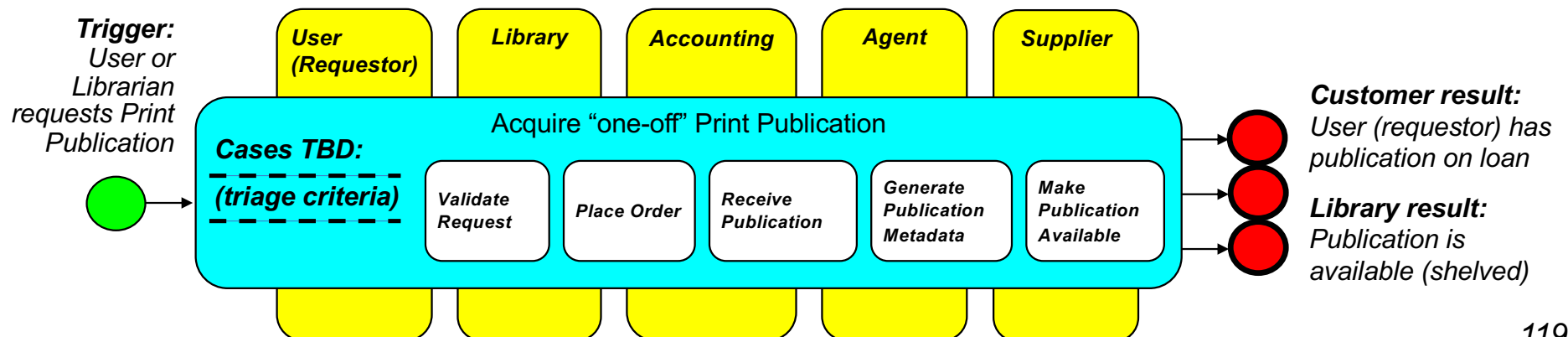
Only took ~20 minutes



The process was actually
"Acquire Information Asset"
and the Case was
"One-off Print Publication"

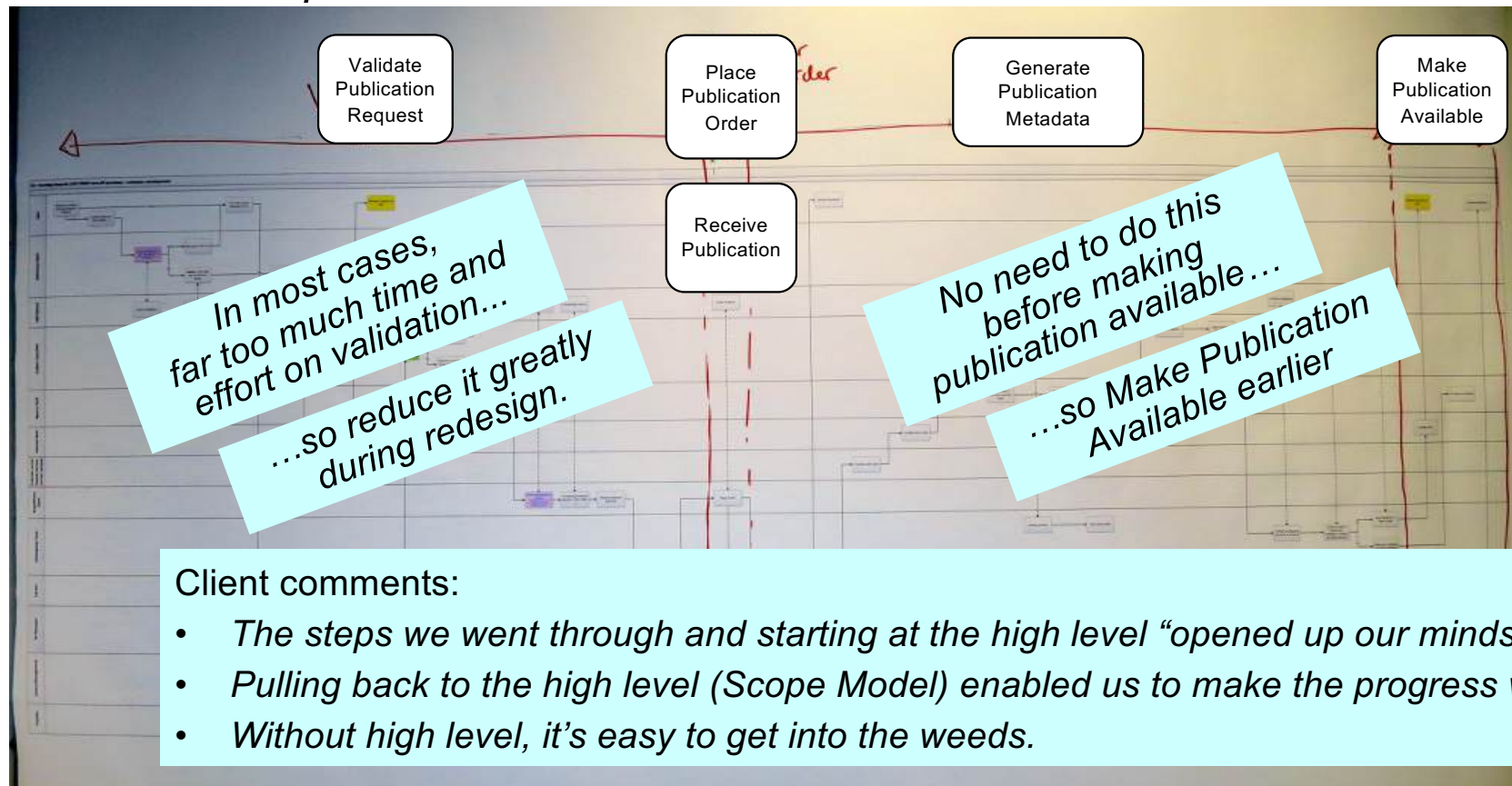
Cleaner version using our "TRAC" framework –
Trigger, Results, Activities, Cases:

Then add
participating functions:



Process Scope Model puts the detail into context

One of the clients had a great idea –
overlay the phases from the *Process Scope Model* on the *Workflow Model*.
90+ % of the process is activities the customer dislikes or doesn't care about!



Optional finer points: actors, steps, flow

Slides 121 – 126 are
for reference –
we've covered the
key points already.

There are different kinds of actors.....

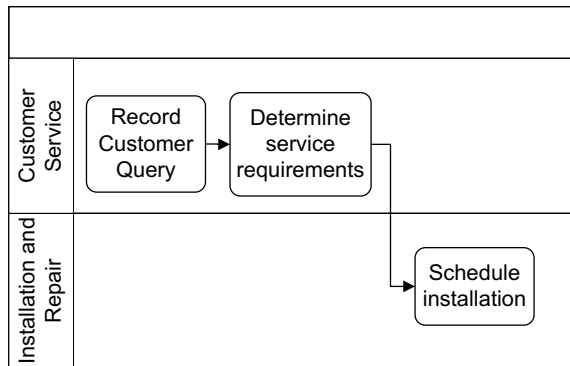
Student	←	• Role played by a person or organisation
Sales	←	• Organisational unit (e.g., a department)
Pay Clerk	←	• Job title
Other Processes	←	• Separate process that plays a role
Systems	←	• Information system or machine
Holding Areas	←	• Storage area

- All the work performed by an actor appears in their swimlane
- Usual sequence of swimlanes: *customer, core actors, supporting actors*, then three more lanes – **Other Processes, Systems, Holding Areas**
- Alternate sequence: any order that helps to “tell a story”

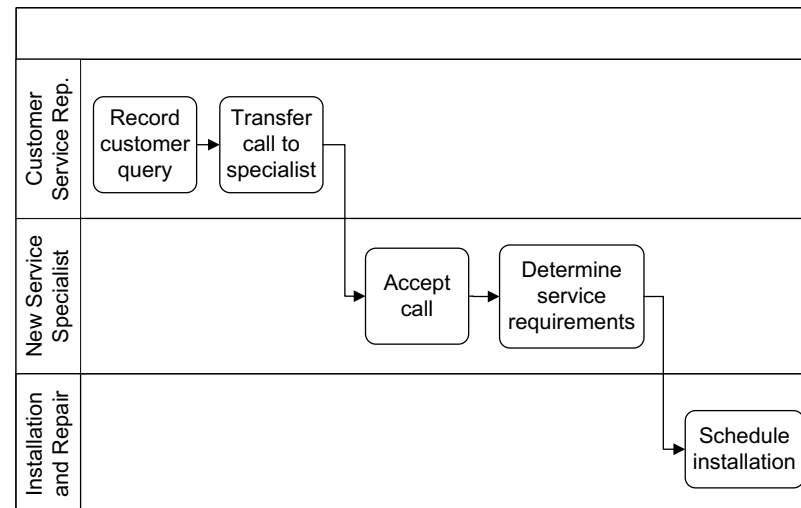
Which actors to include?

“Should I show handoffs *within* a department?”

“Yes. Show *all* distinct roles, and the *handoffs* between them, even when they're within the same department.”



VS.



Why?

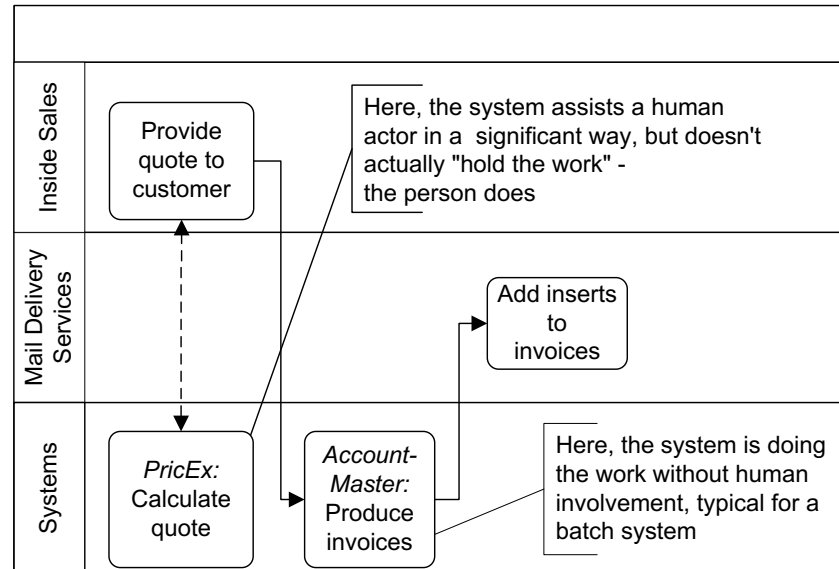
- You might convey the idea that the process is “cleaner” than it is
- Eventually, you'll need to know every actor impacted by change
- And most of all...
every handoff is a potential source of *delay, error, expense, risk, or frustration*

Showing systems and processes as actors

Show systems that have a role in the process in a “Systems” swimlane.

When a system is involved, add a step that shows the name of the system and the service (function) being used.

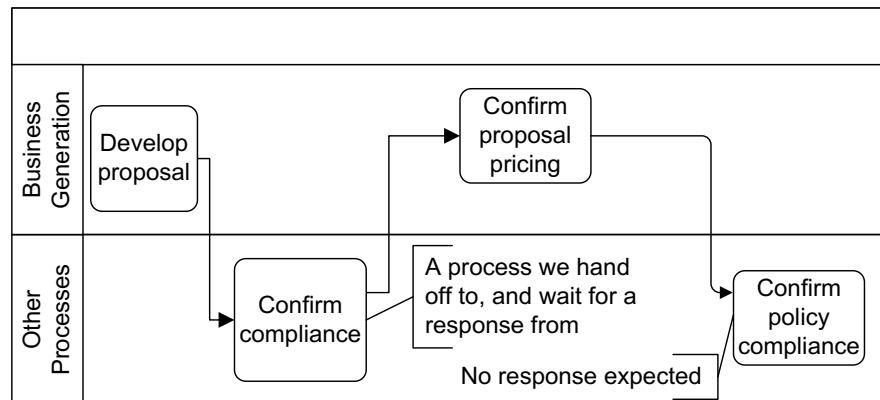
Caution! – don't turn the process model into a data flow diagram



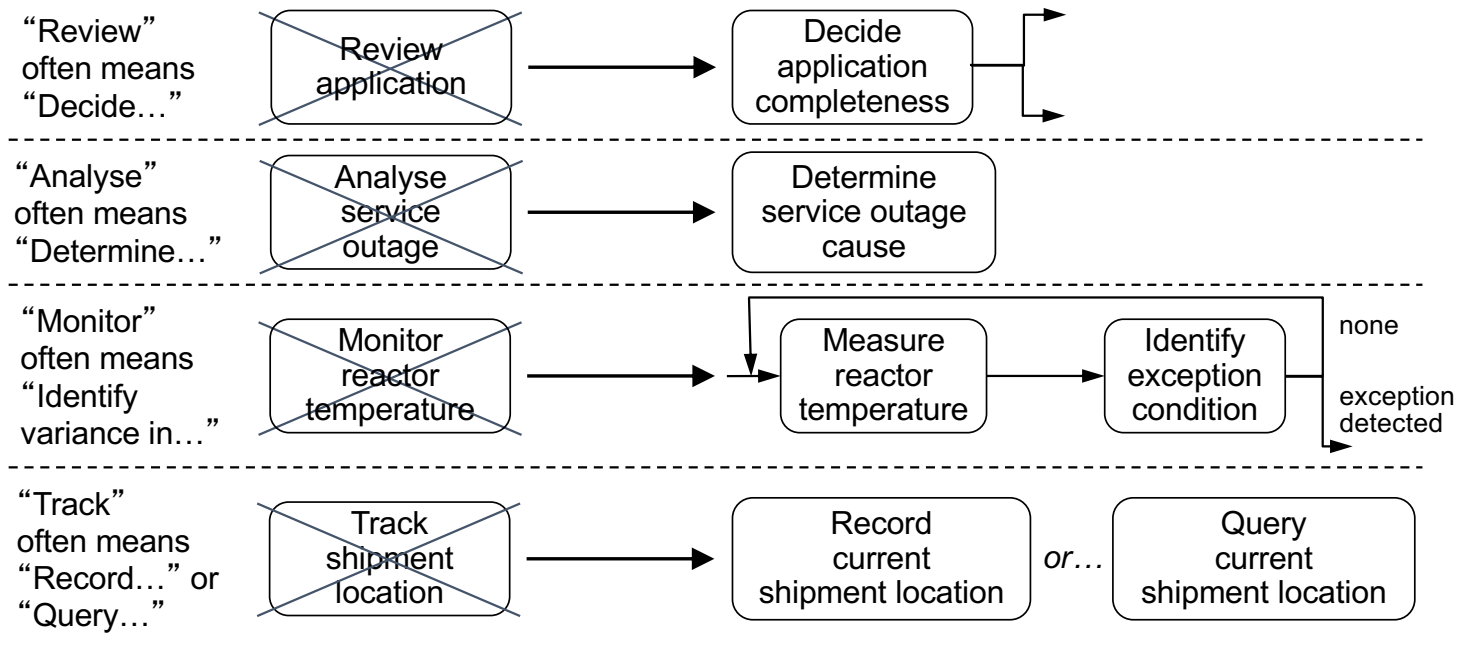
Show other processes that a process interacts with in an “Other Processes” swimlane.

Two cases:

- the other process performs work that your process waits for
- your process does not wait for a response (a one-way handoff)



Translating mushy verbs



“Manage,” “maintain,” “support,” “administer,”
“control,” “handle,” “do,” “process,” “facilitate,” and
other mushy verbs don't have a convenient
translation, so you must ask...

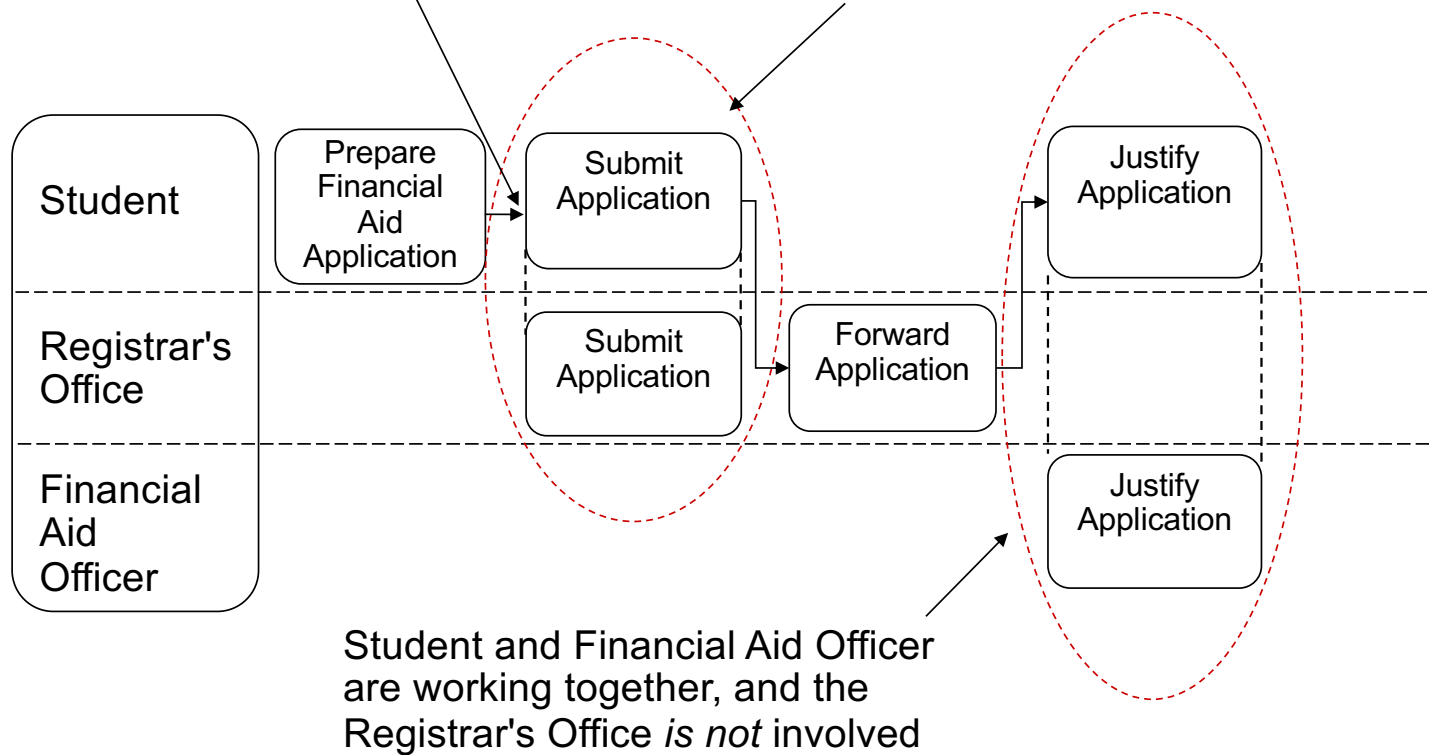
→ “What is actually being accomplished in this step?”
or
“Is this a *collection* of processes, not *one discrete* process?”
or
“Is this an *oversight activity*, not a *step* in the workflow?”

Steps can involve multiple actors

Actors can be involved in the same meeting and/or shared task...

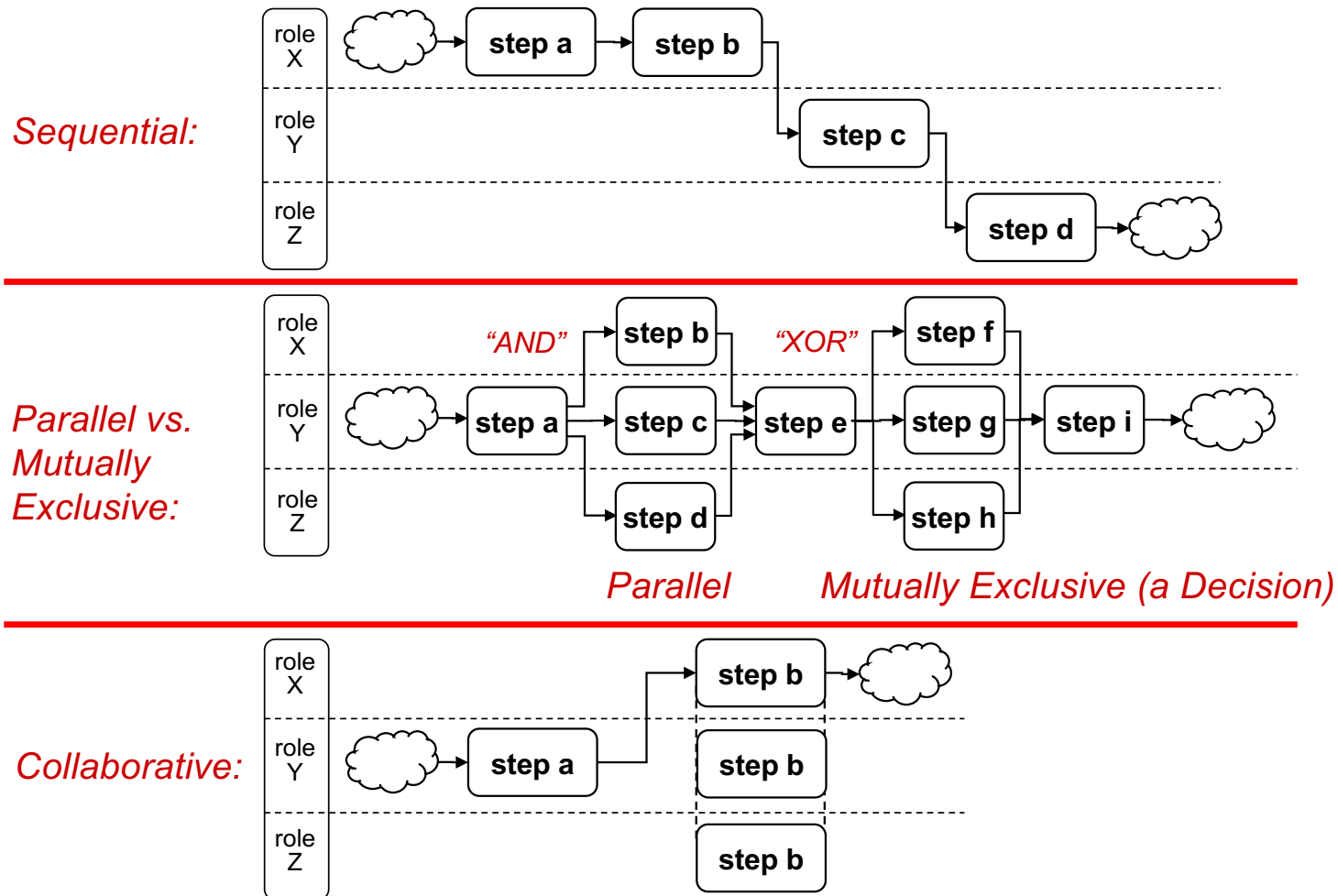
Connectors (flow lines) are only attached to the uppermost step

Student and Registrar's Office are working together



A common source of errors...

...failing to accurately and consistently show multiple actors and steps



Summary – where we've been, where we're going

Principles

The purpose of a *Workflow Model* is to show the *Flow of Work*

Simplicity is a virtue

Always do a Scope Model and a Summary Chart before flow modelling

Why they work

Flow (sequence & dependency) is clearly visible, left to right

Simple to read – the symbols are mostly boxes and lines

Shows all actors and their steps, and therefore all interactions and handoffs

Shows the entire, end-to-end process, from trigger to results

Shows "what" the steps are without diving into "how"

The most *common* errors

Concealing flow by drawing a convoluted diagram, usually in an attempt to make it a "one-pager"

Using a lot of symbols that regular folks don't understand

Omitting actors just because they play a minor part – *everyone* has an impact

Cutting the diagram into one-page segments – the initial flow model should be continuous

Using a Workflow Model to document procedural level detail

Phase 2 summary – Model and understand the as-is process

– 1 –

Identify, scope,
and assess the
target process

– 2 –

**Understand the
“as-is” process**

– 3 –

Characterise and
design the
“to-be” process

Phase 2 – Model and understand the as-is process, and impact of all enablers

Organise and initiate a modelling session

- Workers, managers, external stakeholders
- Review *Process Landscape*, *Process Scope Model*, and *Process Summary Chart*
- Review ground rules

Augment Process Scope Model with more detailed steps

- Identify ~5 – 7 essential steps per main Activity
- Determine “who and how” for each key step
- Add supporting activities (e.g., transport, review, inform) as necessary

Optional: Develop handoff-level as-is Swimlane Diagram

- From trigger, trace *one* flow to result – “flow first, detail later”
- Three questions:
1 - “Who next?”
2 - “How?”
3 - “Who really?”
- Add details – names, labels, alternate flows

Validate completeness using “the five questions” for each step

- 1) “How does it get there?”
- system?
- external process?
- 2) “Good name?”
- 3) “All inbound flows shown?”
- 4) “All actors / systems shown?”
- 5) “All outbound flows shown?”

Model other cases of the same process

- Use initial diagram (case) as starting point.
- If unwieldy, it's normal to create a separate diagram

Develop service-level Swimlane Diagram, if necessary

- Develop *service level* diagrams (one per case)
- Document procedures etc. as needed (not usually done)

Optional, if you choose to
develop as-is *Swimlane*
Diagrams (Workflow Models.)

5. *Business Process assessment (as-is) and design (to-be)*

1. Business Process fundamentals
2. Identify true, end-to-end, cross-functional *Business Processes*
3. Clarify as-is process issues & to-be goals
4. Model the as-is process in a relevant way
5. As-is process assessment and tips for to-be design / redesign

Before we do a "formal" as-is assessment...

1. Record first impressions, and identify obvious problems and NVA (non-value added) work
2. Identify *leverage points* –
A point in a process that has a *disproportionate impact* on overall performance.
 - Often early in the process
 - Most “bang for the buck” – *fix first!*



Leverage point examples:

- Sales reps dislike returning to the office to submit orders, so, they submit in bulk at the last minute, causing a surge in workload
- Forensics lab accepts *all* items submitted, in the mistaken belief they are *legally obligated* to accept all of it, even though much of it is *redundant* or *useless*

...then apply structured, enabler-based techniques

Two critical techniques address common problems:

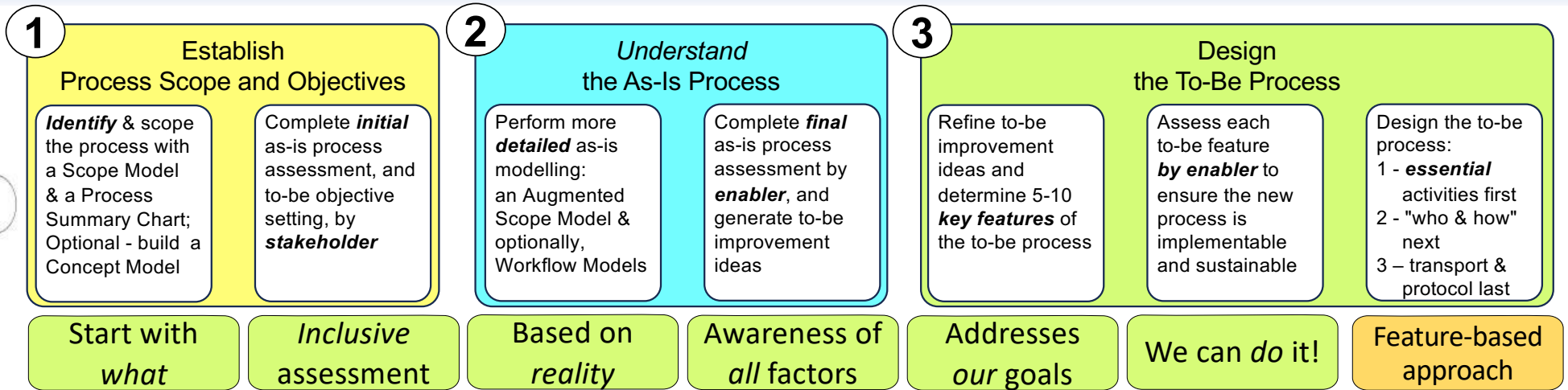
1. **Problem:** focusing excessively on *workflow and IT*.
Solution: conduct a *final assessment* that holistically addresses *all enablers* and generates potential improvements
2. **Problem:** implementing process “improvements” that have *unforeseen consequences* (negative and/or expensive)
Solution: assess significant improvement by specifically considering each of the six **enablers**

Result: a set of to-be process characteristics (“features”) that:

- impact specific issues
- are consistent with one another and the differentiator
- are feasible with respect to culture, resources, ...

Key point – don't jump into workflow design too soon!!!

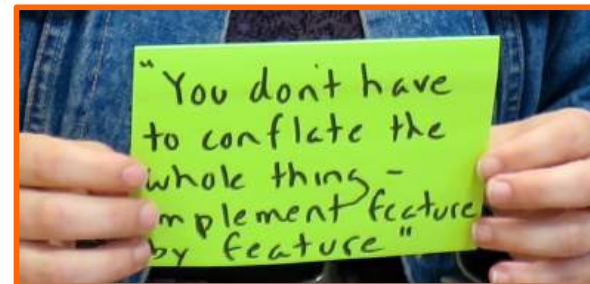
Our methodology – two points highlighted by clients



1 – Builds support for *change*

2 – Not a “big bang” – an effective, implementable, sustainable business process

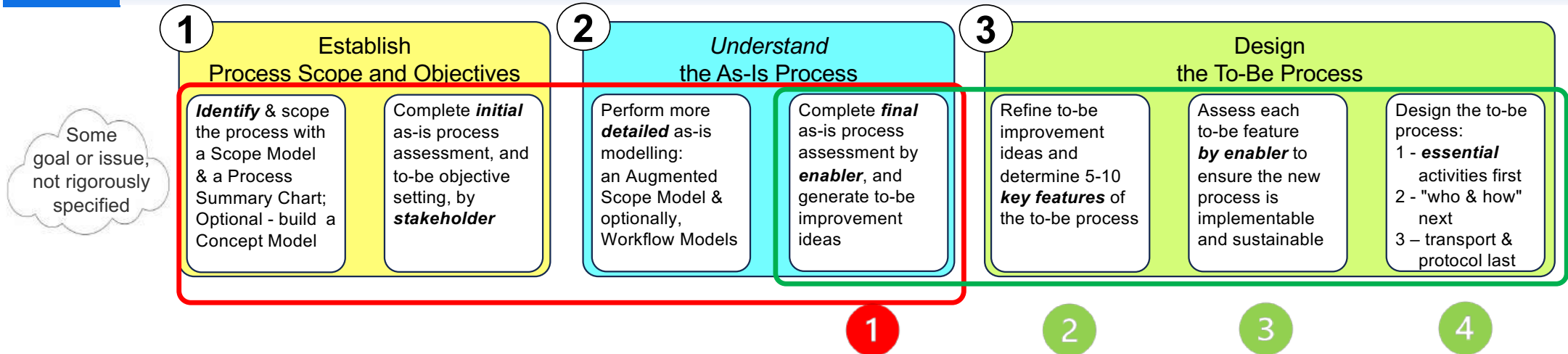
"We like the way support for change is built in *throughout* your approach, not bolted on at the end."



Feature-based approach makes it *Agile / iterative*.

And *fast!* – up-front work avoids endless rehashing later

The link between the As-is Process and the To-be Process



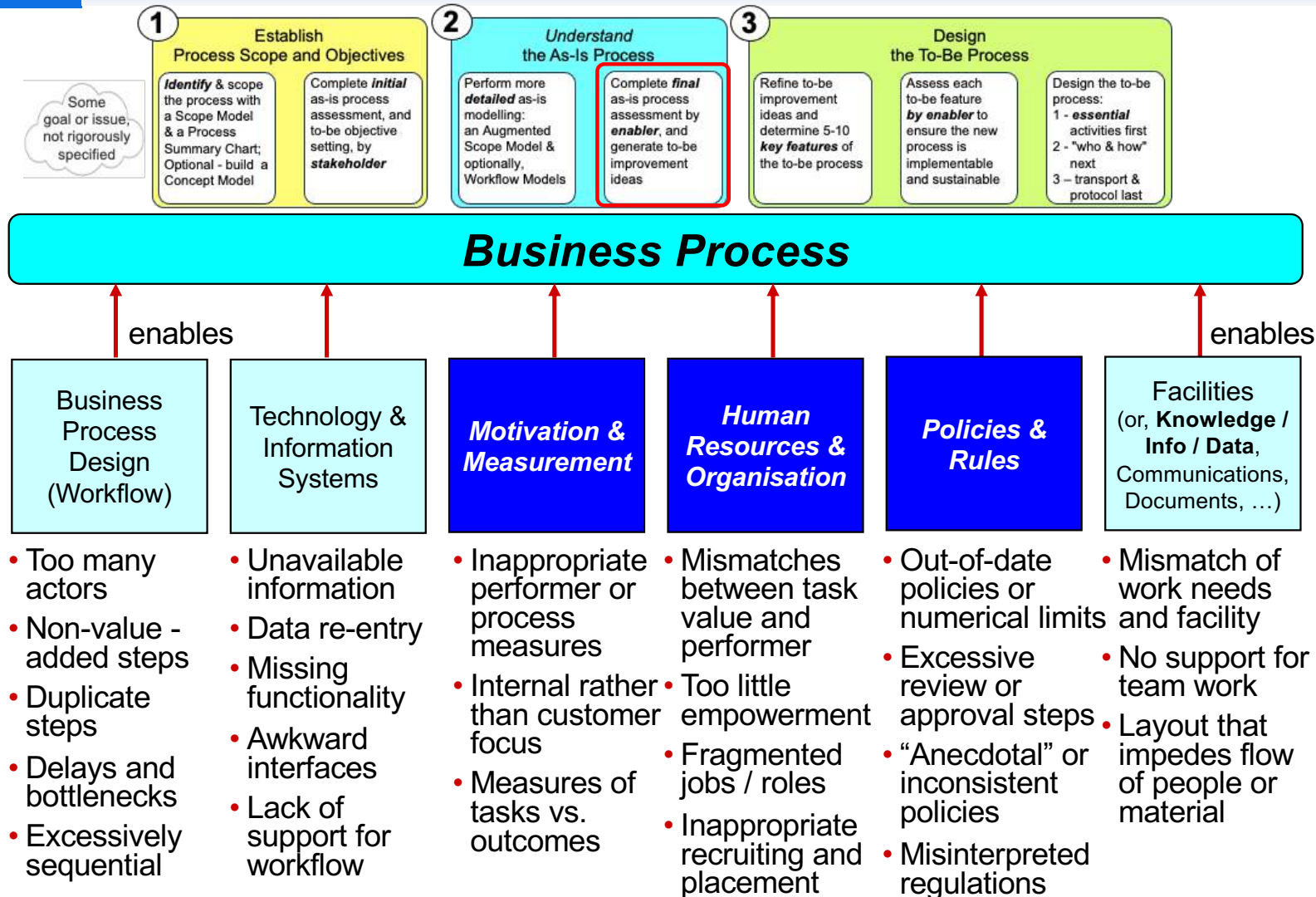
This activity (**1**) marks the pivot from as-is to to-be:

- we capture what we learned while studying the *as-is*
- we use this to generate ideas for the *to-be*
- three more activities (**2** **3** **4**) lead us to a new design

Key point!

Much of what we learn comes from discussions along the way, not from studying the swimlane diagram.

Complete final as-is assessment, generate to-be ideas



Considering all six enablers is at the heart of this methodology

This *always* uncovers issues that would have been missed otherwise and *always* generates ideas (potential *features*) for the to-be process

A few examples...



Workflow AND Technology

- Failing to rethink process design to take advantage of new technology...
- *The new "Settle Claim" process was still completely sequential after implementing a Workflow system because they copied the old paper-based workflow*

Motivation and Measurement

- What you measure is what you get...
- *Customer Service Representatives: measured on not exceeding 2 minute call time, so they hung up on Customers at 1:58 or 1:59*

Human Resources

- Depressingly common...
- *Clerical, administrative, and support staff made redundant, so highly-paid professional staff do the work instead (and poorly)*

Policies & Rules

- Micromanagement...
- *Laboratory technicians: work had to be checked by a senior manager (often unqualified!) after every step, so the process was bogged down in pointless reviews*

Assessment by Enabler generates ideas for the To-Be

Workflow:

- Resource not available to Requestor until after *all* classification and tagging is complete, even though classification and tagging is unnecessary in many/most cases because the US Library of Congress and British Library do it and make it freely available to other libraries.

To-Be idea – make Resource available immediately, then do classification and tagging only if necessary, first checking if other libraries have done it

IT:

- Three separate core systems lead to manual copying of data from system to system, often through "shadow systems."

To-Be idea — automated data replication

- Functional richness of core systems leads to overcomplexity

To-Be idea – identify the subset of features are really needed, and only use those

Assessment by Enabler generates ideas for the To-Be

Motivation & Measurement:

- Because work is so granular, no one is motivated by the performance of the whole, which is not even measured.

To-Be idea – develop relevant end-to-end metrics, and develop role and workgroup metrics to assess our impact on professional staff

Human Resources:

- Acquisition tasks don't require a skilled, higher cost Records Manager – Agency staff could do much more, RMs could do higher value work.

To-Be idea – Assign authority for higher-value work to Agency staff

Policies & Rules:

Three (3!) approvals required for low-value (€20 - €50) cases

*To-Be idea – revise policy to reduce approvals,
eliminate them entirely for low-value cases*

Closing thought on the value of a framework,

Give people a framework, go through it point-by-point, and they will *quickly* identify factors that would have been *missed*.

Policies + Rules SAP

- "Policy" seems to require approvals (3) for low-value cases (€203 - €50) or are covered by Collection Development Policy
 - BA Manager
 - Subject Specialist
- "Four eye" approval is required by ~~EU law~~ EU law, but perhaps can be simplified (e.g. use ISIS)
- Unlike many libraries, we don't have a cataloguing policy that defines where we put skilled resources + time (but it's in the works)
 - ~~Library~~ prevents sharing data between ECB and externally-hosted app (Alma)

IT De-facto policy: Library IT Division

- Also provides equal info access (external system should not access internal system, for good reason)
- Separate systems - Alma, SAP, Darwin
 - Leads to manual duplication
 - Orders in Alma + SAP
 - ~~Imports~~ Alma + Darwin LRF
 - (Info starts in Darwin, manually to → Alma)
- Functional richness of Alma may lead to overcomplexity (using features we don't really need STAPLES)

Human Resources

- Complex ~~pan~~ system (Alma) requires certain skills, and constant skills upgrading due to continual evolution of system.
- Mismatch between task value and performer e.g. Acquisitions steps are administrative, and don't require ~~the~~ skilled librarian.
- Some Agency Staff could be empowered to take on more responsibility.
- Large increase (+1000) in ECB staff in last year, library staff level unchanged (SSM: time to acquire)

Motivation & Measurement

!! Salary

- Good user feedback
 - we capture some feedback in Customer Sat. Survey
 - ~~Library~~ has feedback

* Note - we are benchmarking our staff levels against other EU central banks

key objectives

- Because the work is so granular, no one feels motivated ~~to~~ by the performance of the whole, and the feeling professional skills are not being used.
- Would like to compare acquisitions - Loans - CDP STAPLES

MIM (cont.)

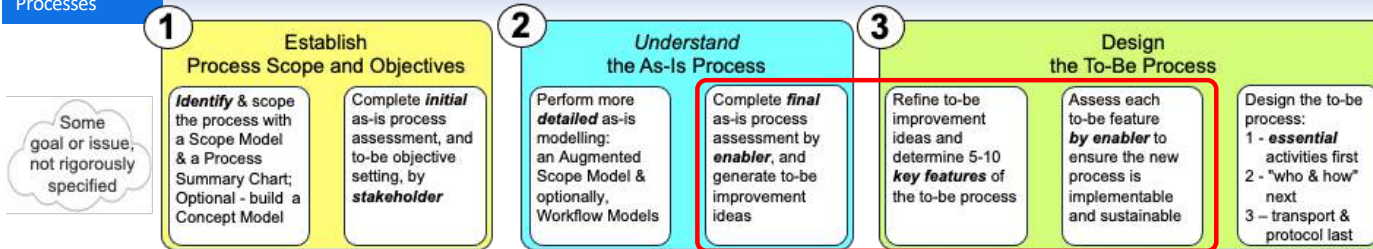
(CDP - breadth of subjects + depth of collection by subject + format (print, online, ...))

- Also measure impact of Library Collection on publications by ECB staff
 - in ECB pubs, look for citations of material in collection + interview author on effectiveness
- positive results
- We don't have efficiency measures
 - where is resource effort applied? (e.g. print consumes time...)

Facilities

~ (new facilities a big improvement)

Assess by enabler, establish 5-10 to-be features, assess each feature by enabler



A *feature* is a significant *change* or *improvement* to the process, or a significant *factor* in the design of an all-new process.

Enabler-based assessment of the *as-is* process generates ideas for the *to-be* process.

Assessment:		Features:	
Motivation & Measurement	Sales Reps motivated entirely by commission, with no motivation to return and submit Service Orders	Increase Rep's commission for early submission New Sales Assistant role to enter Service Orders	Rejected by execs. A <i>feature</i> .
Human Resources	Order Capture and Order Submission are not effective uses of a Sales Rep's time	Service Order entry directly by Customer New Sales Assistant role to enter Service Orders	Another <i>feature</i> . Same <i>feature</i> again.

Then, assess each Feature – what changes are needed, enabler by enabler, to make this feature work?

Feature	Process Design	Info. Systems & Tech.	Motivation & Measurement	Human Resources	Policies & Rules	Facilities (or other)	Feasibility & Notes
Direct Service Order entry by Customers	Need to get the Service Order from the server to the Engineering Supervisor for assignment, and then to Engineer for assessment Customer review?	Obviously, all the Web stuff Integrated Service Order DB Workflow functionality? What format for Customer sketches?	Commission? What impact on commissions for current sales force?	Displacement of current Sales Reps? What are expectations for freed-up Sales Rep time? Customer training?	Will all Customers have access to this?	Electronic orders may free up space currently used for bins, boards, etc..	Highly feasible. What will Customer and Sales Rep reaction be?

Avoids unanticipated consequences!

Determine to-be process key features – numerical approach

All the phases so far have generated to-be ideas – 50, 100, or more ideas. *Now what?!*

You could do a formal assessment, idea by idea. I'm not a fan, but some organisations like *the numbers*.



Idea	Good for Customer 1 - 3 (best)	Good for Performers 1 - 3 (best)	Good for the Enterprise 1 - 3 (best)	Ease of Implementation 1 - 3 (easiest)	Total
SPOC (Single Point of Contact)	2	2	3	3	10
...	

Instead, we rely on the group's:

- ability and desire to *seek consensus*
- *collective knowledge & experience* from working through the first four phases (*remember – don't skip any!*)

We'll use *brainwriting* to synthesise 5-7 *features* from the many *ideas*

Determine to-be process key features – consensus approach

Use "brainwriting" and "big wheel, little wheel" facilitation

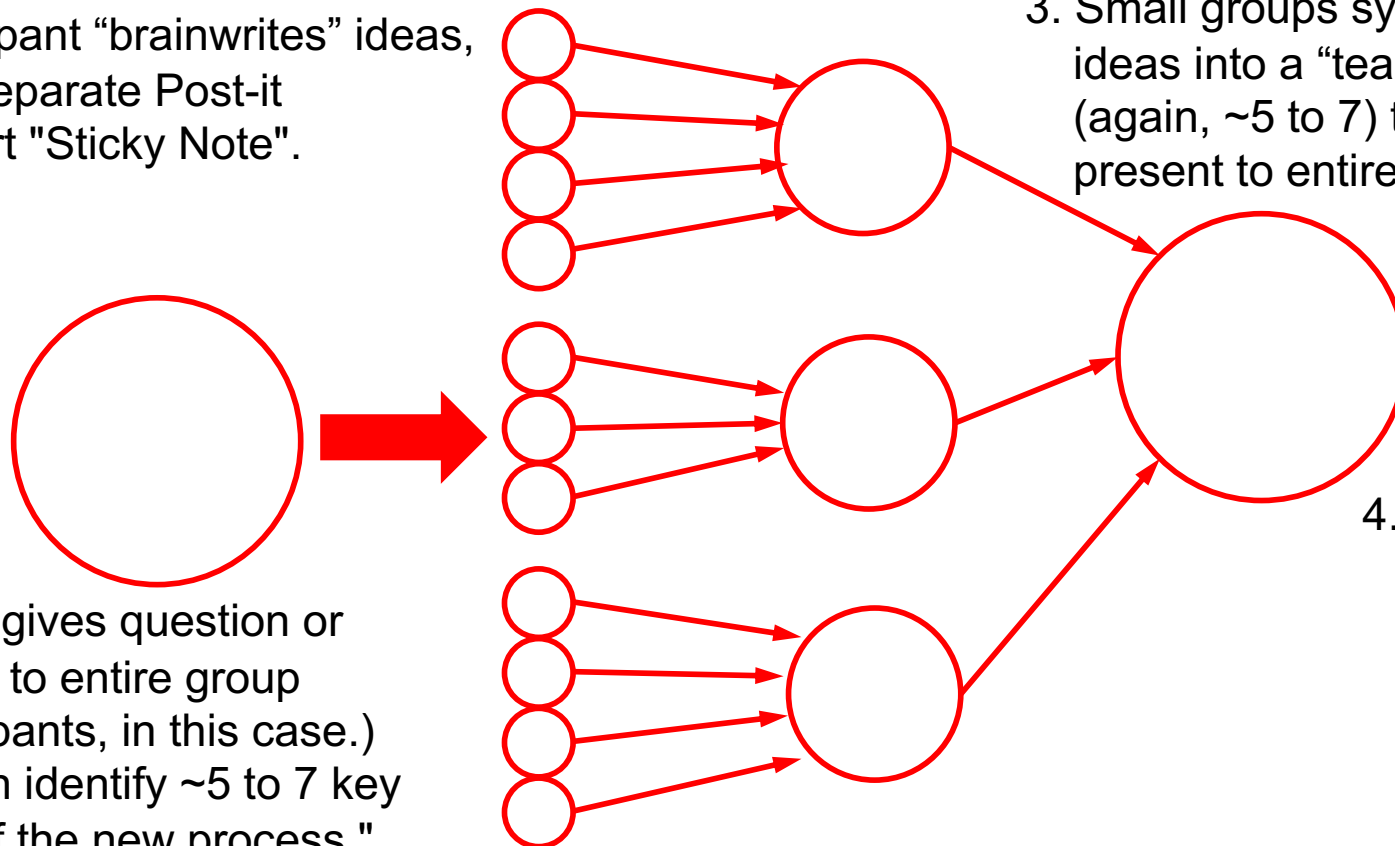
- Proven to generate *more* ideas / more *diverse* ideas
- Easier for *everyone* to contribute

2. Each participant “brainwrites” ideas, each on a separate Post-it or Lucidchart “Sticky Note”.

3. Small groups synthesise ideas into a “team effort” (again, ~5 to 7) then present to entire group.

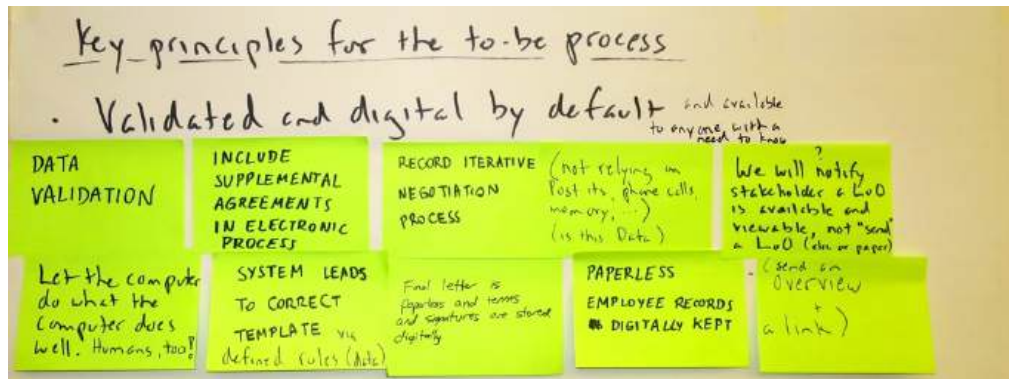
4. Entire group synthesises ideas into a group effort, ~5 to 7 *features* (rarely more than 10)

1. Facilitator gives question or instruction to entire group (11 participants, in this case.)
"Let's each identify ~5 to 7 key features of the new process."

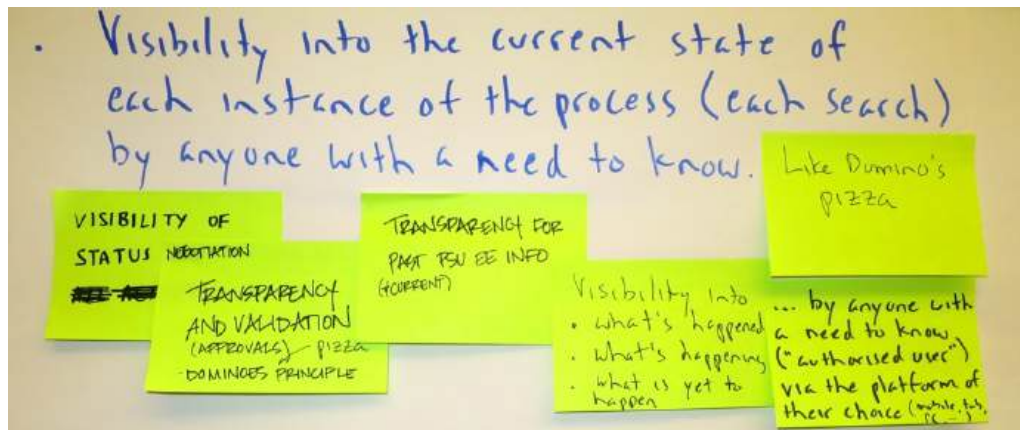


Example – determining features of the to-be process

Ten ideas synthesised into one *feature*...



Six ideas synthesised into one *feature*...



Features...

1. Data digital by default, validated and captured at source, and suitable for all downstream use.
2. Visibility into the current state of each instance of the process (each faculty search) by anyone with a need to know.
3. Separate the “need to approve” from the “need to be informed.”
4. Each search will follow a defined and visible workflow.
5. *The process will be designed for digital signatures **only** – no fallback!*

Same example using a virtual whiteboarding tool

Lucidchart / Lucidspark, Miro, or even Google Jamboard are perfect for a brainwriting session like this.

Data digital by default,
validated, captured at source,
suitable for all downstream use.

Data
validation!
(Immediate!)

Let the computer
do what it does
best.
Humans too!

Record
negotiation
process in data
- not Post-its,
phone calls,
memory, ...)

System leads to
correct template
via defined rules
in data

Final offer is
paperless, with
terms and
signatures
stored digitally

We will notify a
stakeholder an
offer is viewable,
not "send" it
electronically or
on paper

Paperless
records digitally
kept

We will send an
overview and a
link, but not the
offer itself

A bit more on assessing each to-be feature, enabler by enabler

Intent:

- Ensure each feature is *implementable* and *sustainable*
- Avoid *unanticipated consequences* through a holistic assessment

For each *feature*, ask...

"What needs to change in *this specific enabler* to make this *feature* work?"

***Changes in multiple enablers are usually needed for each feature.

Feature	Process Design	Info. Systems & Tech.	Motivation & Measurement	Human Resources	Policies & Rules	Facilities (or other)	Feasibility & Notes
<i>Assign authority for higher-value work to Support Staff rather than having it all done by Senior Records Managers.</i>	Need to decide whether we can auto-route requests to the appropriate staff member, or if all should go to a Senior Records Manager for routing	Current systems are much too complex for most cases, especially the ones that would now go to Support Staff. Need to isolate and only display essential functions	We MUST adjust the performance measures of Support Staff to ensure they are not penalised for taking on additional responsibility	Revise job descriptions for Support Staff as necessary. Provide additional training in Records Management functions and the RM System	Current policies dictate that all categorization and classification work be carried out by Records Managers – this will have to change. Some regulations may be a factor	Some Support Staff will be moved closer to Records Managers, but this is a minor change	Highly feasible if we can resolve Policy issues. Support Staff are very positive about the opportunity, and Records Managers look forward to more time for high-value work.

This feature required change in *all six* enablers, especially M&M and P&R!

A richer example – first, describe the feature (page 1 of 2)

A surprise benefit – invaluable during training and roll-out.

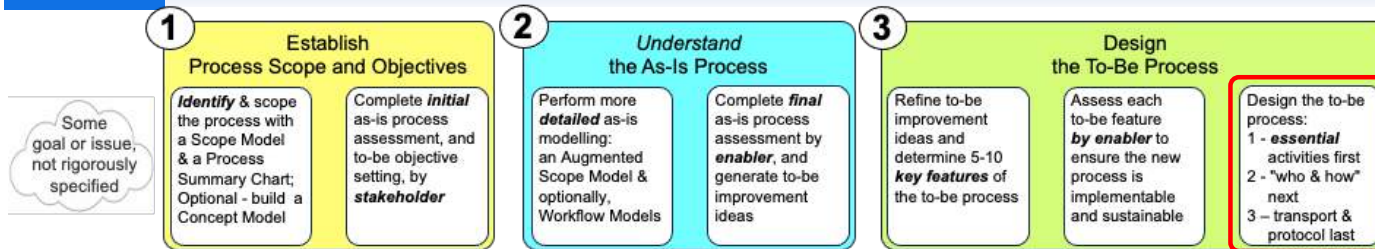
Feature name (A feature is a particular characteristic or improvement in the to-be process)
Forensic strategy (“applying science at the front end”)
Description
<p>A Senior Scientist, typically the Case Manager, will meet with the Submitting Officer and develop a case strategy specifying which avenues of investigation, and which items and tests are most likely to yield the needed results in the least time with the least effort. The goal is to do this for as high a percentage of cases as possible.</p> <p>This is the first decision point in another characteristic, <i>multiple decision points</i>.</p> <p>Visually, this is the first stage in a funnel, in which the work being performed on a case is continually reduced as new facts arise.</p>
Issues addressed
<p>There is a tendency for the Customer (the police) to submit all possible items, and request all possible tests, or at least submit more items for more tests than are necessary or justified. This is known as “forensicating” a case and is ironically a primary cause of the delay and expense that the customer is unhappy with.</p> <p>Currently, Forensics accepts all items and performs all requested tests through to completion. In some cases, the suspect has become the accused and then the defendant, and has been convicted and incarcerated, yet testing continues.</p>
Anticipated outcomes / benefits
<p>For the Customer – deliver a positive result in less time, at less cost.</p> <p>For Forensics – free up resources by reducing submissions, and performing fewer tests on fewer items, thereby providing better throughput for all cases.</p> <p>In the future, Forensics will only perform those tests that will help, and which will stand up in court because we can say “we chose these tests for these reasons.”</p> <p>On an ongoing basis the customer will become more aware of the avenues that are most effective.</p>

Then identify requirements to implement each feature (page 2 of 2)

Eight features assessed in a single five-hour session!

Enablers	
Process Design	<p>Performers (“actors”), tasks, sequence, dependency</p> <ul style="list-style-type: none"> • Senior scientist “meets with” appropriate scientist, not necessarily in person • Assessment and agreement and recording of <i>requirement</i> which is not contracted yet. • The requirement must be made available to the Process Manager, who will assess it with respect to current capacity. • The Case Manager and Process Manager will then negotiate and refine the requirement. They will then agree on “what and when” and commit capacity, which might involve another provider.
Information Systems & Technology	<p>Systems, automated support, data and Information, comm.</p> <ul style="list-style-type: none"> • Capture requirement • Real-time view into work-in-progress and committed capacity (Forensics' and subcontractors)
Motivation and Measurement	<p>Measurement, assessment, consequences</p> <ul style="list-style-type: none"> • The Process Manager will be measured on accurately estimating capacity and throughput. • The Process Manager makes a commitment for Forensics, and will be measured on having done the least to get the necessary result. (“lean consumption”)
Human Resources	<p>Recruitment, placement, education, roles, matching task to role</p> <ul style="list-style-type: none"> • New front-end role for scientists • Process Manager role • Provide service 24x7 will impact some staff. • Recruitment, recognition, and reward are fundamental to making this work
Policies and Rules	<p>Internal: policies & guidelines. External: laws and regulations</p> <ul style="list-style-type: none"> • The overall submissions policy must be revised to reflect forensic strategy vs. “take it all.” • Investigate legal consequences of forensic strategy. • Mechanism to protect the individual scientist from pressure. (“Forensics, not the individual scientist” – this is a corporate decision, not a personal decision) • Scientists can't make commitment without the Process Manager. • A 10 minute phone call and a 4 hour conference both constitute delivery of a service. A request to confer with a Case Manager constitutes contract initiation.
Facilities and Equipment	<p>Physical accommodations, layout, equipment, furnishings</p> <ul style="list-style-type: none"> • Some place to meet – in person, teleconference, ...

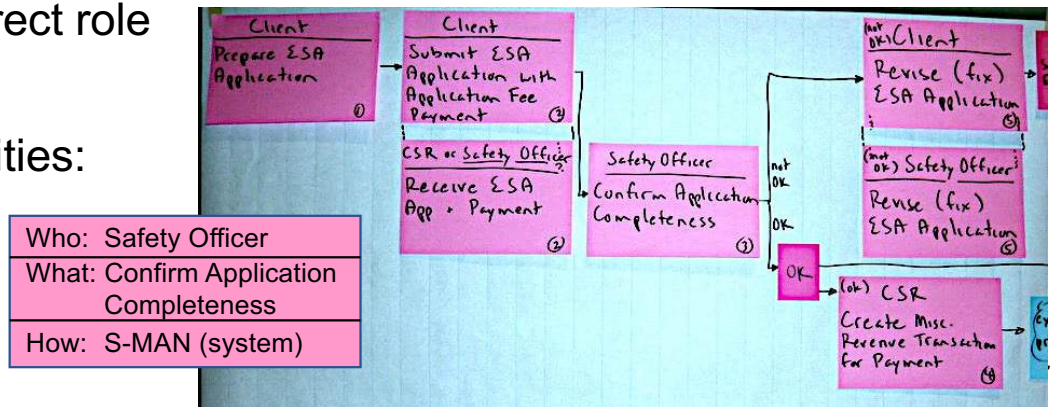
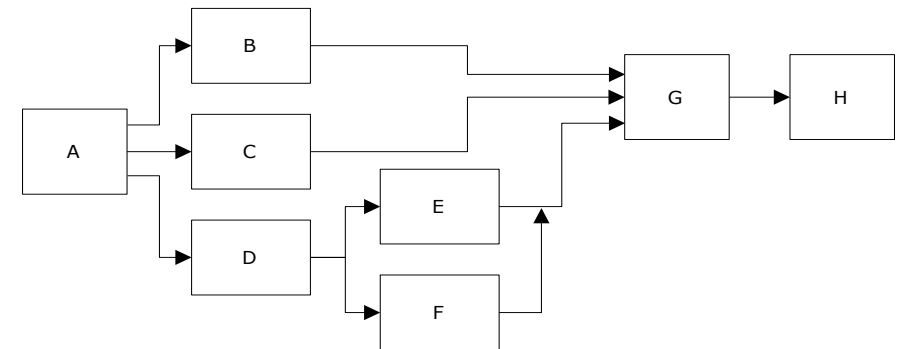
4 – Design to-be process – overview



Key points:

- As with the as-is process – *"What first, who and how later"*
- Design around *essential* steps, not *administrative steps*

- Use an Augmented Scope Model to determine what the essential activities are
- Next, factor in who will perform each activity, then how
 - a person as a manual activity
 - a person interacting with a system, e.g. a use case
 - a system, e.g., RPA (Robotic Process Automation)
- Link essential activities by dependency – a PERT chart
- Adjust – e.g., verify activity is assigned to the correct role
- Only then redraw as a swimlane diagram
- Finally*, add non-value-added but necessary activities:
 - transport, record keeping, notification, etc.
 - ensure any approval steps are *really* necessary ("Don't confuse notification with approval.")



4 – Design to-be process – the details – Identify essential activities

Recruit, Hire, and Onboard Employee

Prepare to
Recruit

Recruit
Applicants

Evaluate
Applicants &
Select Finalist

Negotiate
Terms of
Employment

Finalise
Terms of
Employment

Onboard
Employee

Negotiate Terms of Employment

Who

What

active verb
+ noun(s)

How

1 – Two groups brainwrite essential activities. They are "augmenting" the Scope Model.

NEGOTIATE INTERNAL RESOURCES

DEFINE/DEVELOP SALARY/TOTAL COMPENSATION RANGE

EXTEND VERBAL OFFER

OPTIONAL: RENEGOTIATION OF VERBAL

RUN BACKGROUND CHECK

PREPARE FORMAL LOO

INITIATE & BEGIN ROUTE HIRING PROPOSAL IN PAT

Organize & confirm initial terms with internal staff

Call Finalist (+ discuss terms, start date, & terms of supplemental letter, if required)

Negotiate terms as needed.

Transfer pertinent data from PA to new system, if available

Input terms in to Loo system

<loop>

2 – The full group synthesises a list of essential activities.

Negotiate Terms of Employment

Who

What

active verb
+ noun(s)

How

Negotiate & Refine Initial Terms of Employment
• salary
• relocation (total comp)
• start date ...

Offer Initial Terms of Employment

Accept Initial Terms of Employment

Request Approval of Top Candidate (Finalist) & Terms of Employment

Approve (or not) Top Candidate & Terms of Employment

Initiate Background Check

Human Judgment

verbal, collaborative

Negotiate Initial Terms of Employment

Lucidchart version

Negotiate & refine Initial Terms of Employment

Offer Initial Terms of Employment

Accept Initial Terms of Employment

Negotiate Initial Terms of Employment

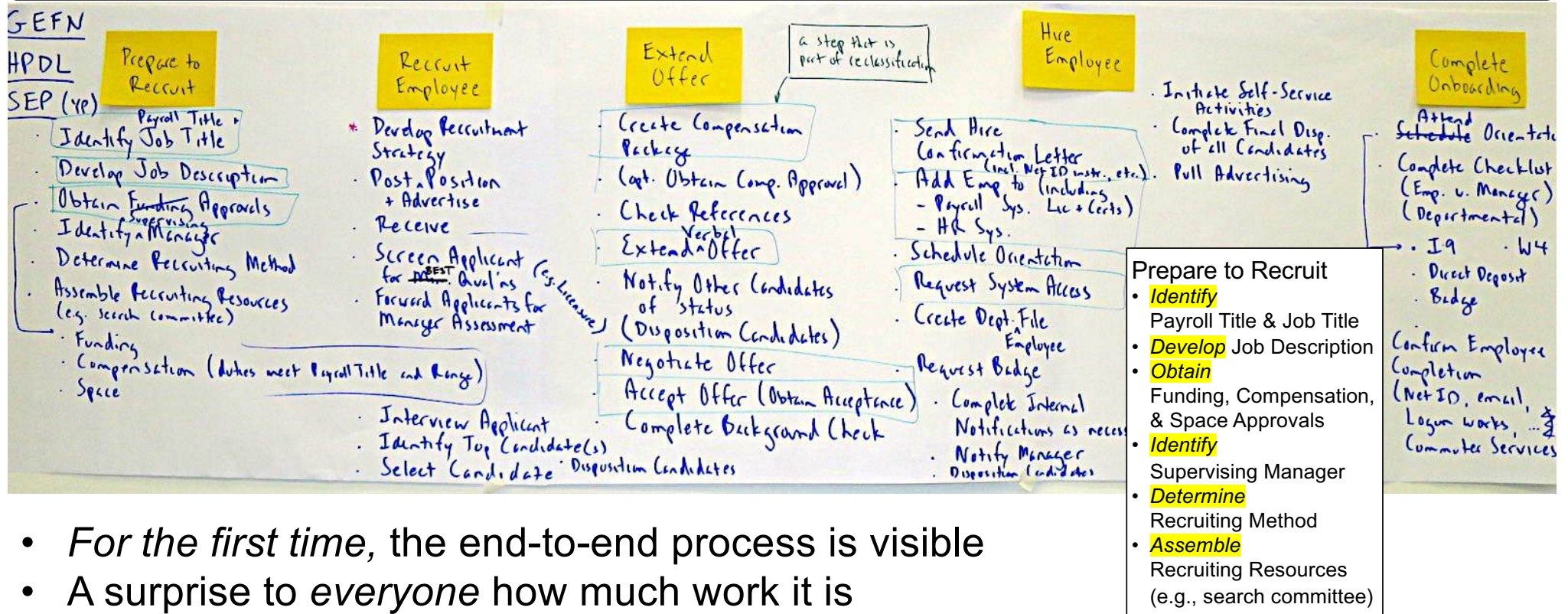
Request Approval of Top Candidate & Terms of Employment

Approve (or not) Top Candidate & Terms of Employment

Initiate Background Check

Similar example – Augmented Scope Model for the full process

Recruit, Hire, and Onboard Employee



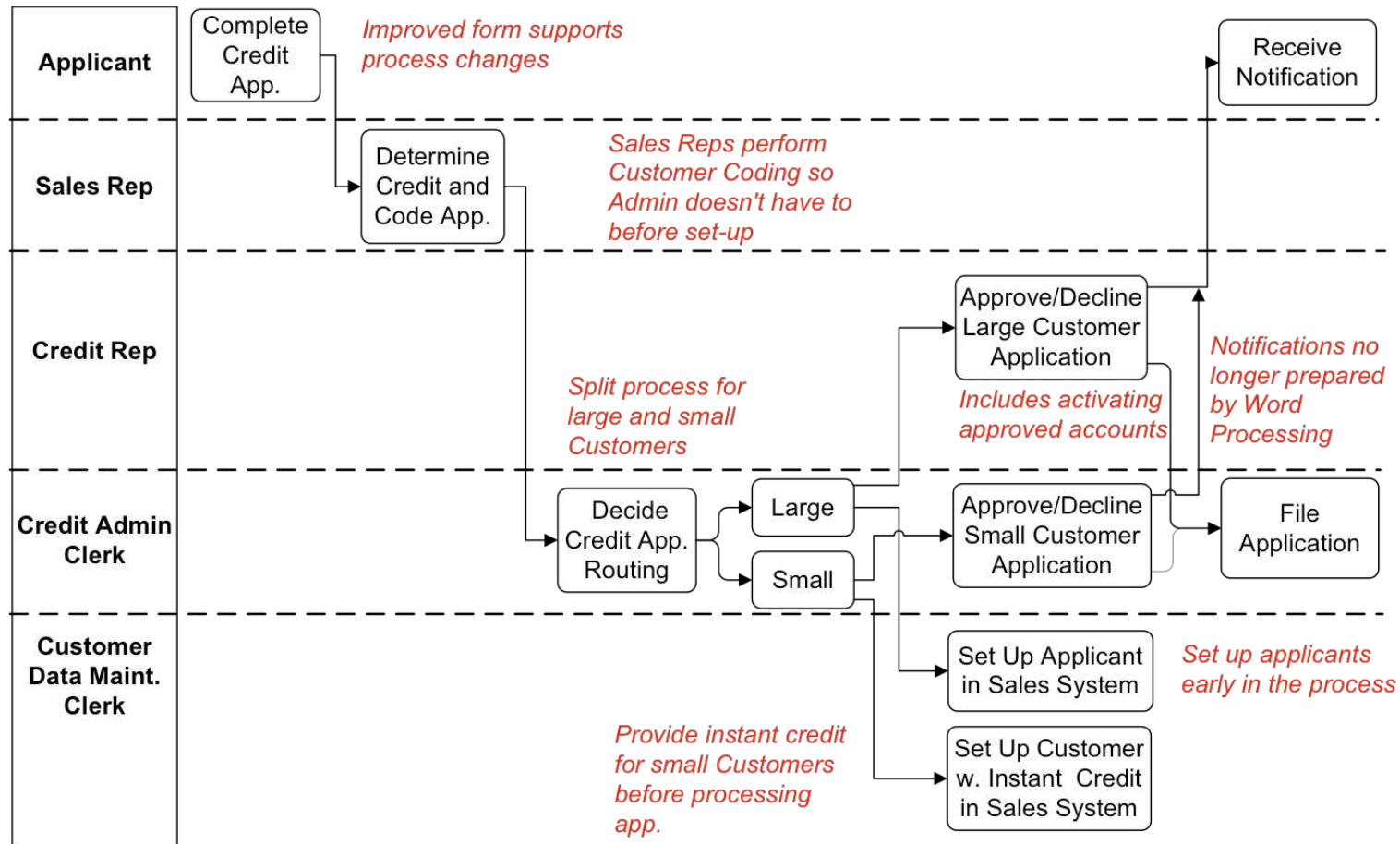
- For the first time, the end-to-end process is visible
- A surprise to everyone how much work it is
- Still no reference to “who or how” – just “**active verb** + noun”
- This is critical to build support for change – it “depersonalises” in a good way!

For each essential Activity, add "Who," "How," and lots of "Notes"

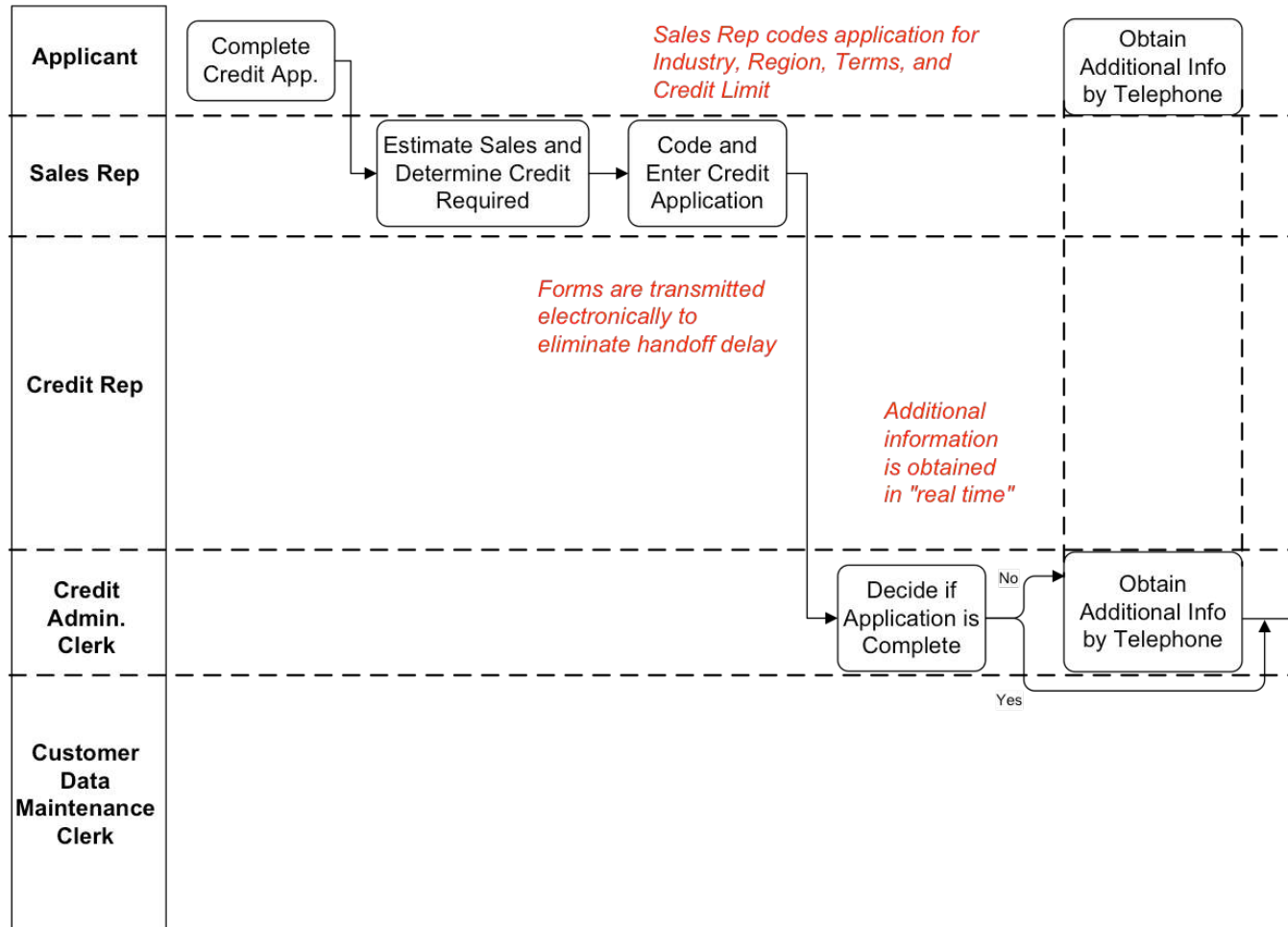


- We have the core of the to-be process design
- Going immediately to a Swimlane Diagram would have been *overwhelming!*
- But now, developing the to-be flow model (swimlane diagram) is straightforward – *We Can Do It!*
We have:
 - actors or swimlanes – *Who*
 - steps – *What*
 - the mechanism for each step – *How*
 - sequence
(approximate, but OK for now)

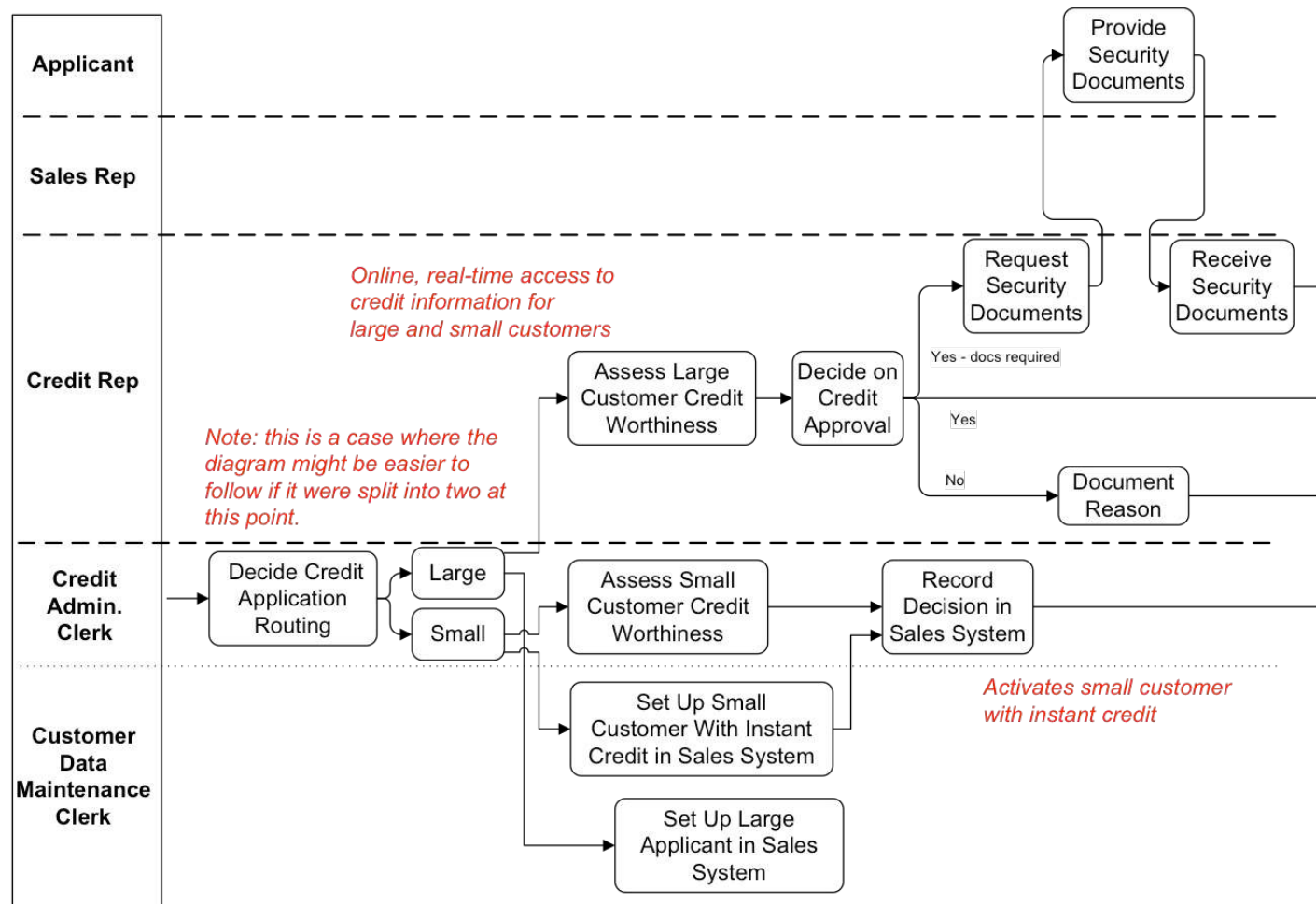
“To-be” flow – Handoff



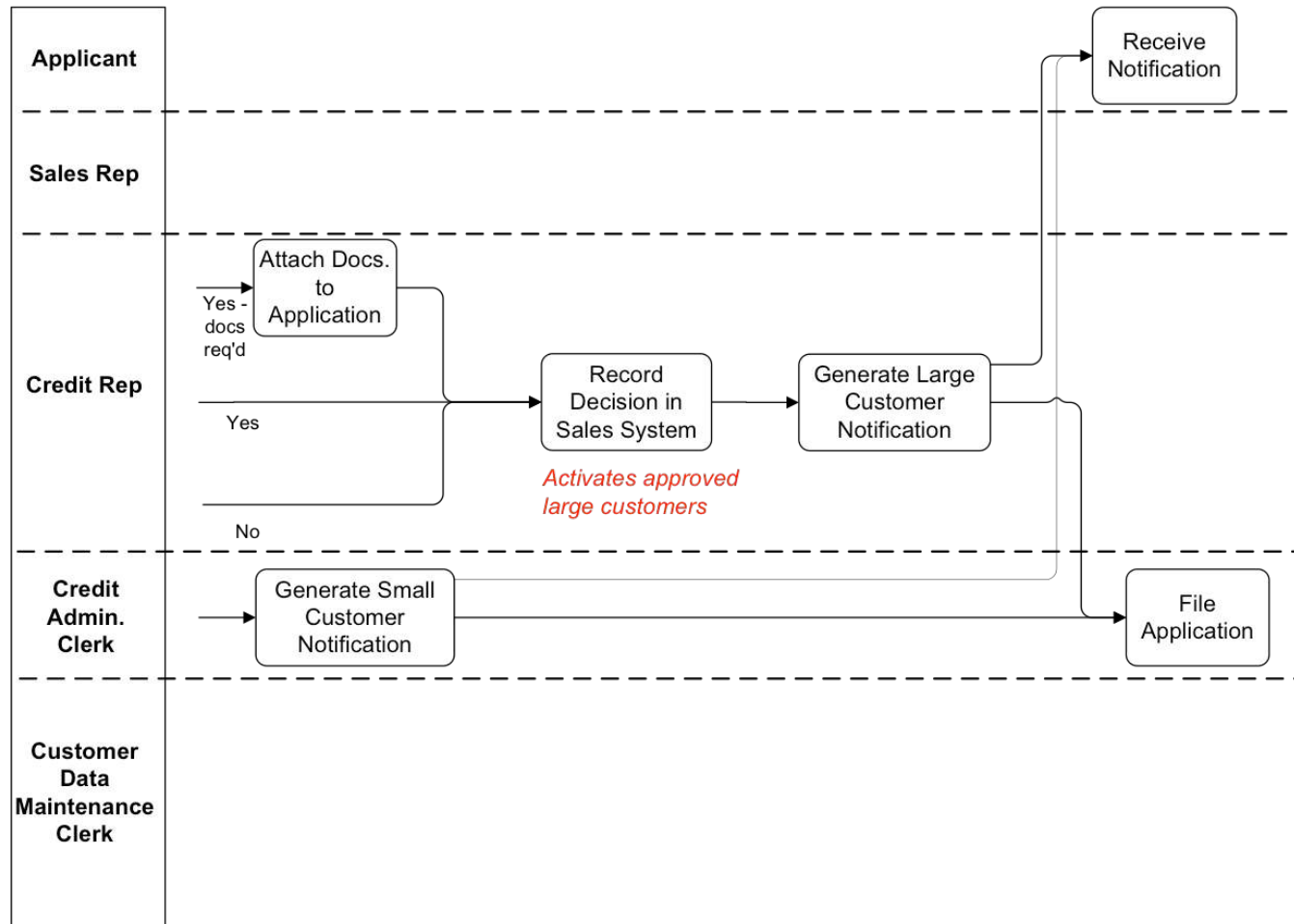
“To-be” flow – Service (page 1)



“To-be” – Service (page 2)



“To-be” – Service (page 3)



Final observations from session retrospective, 12 people

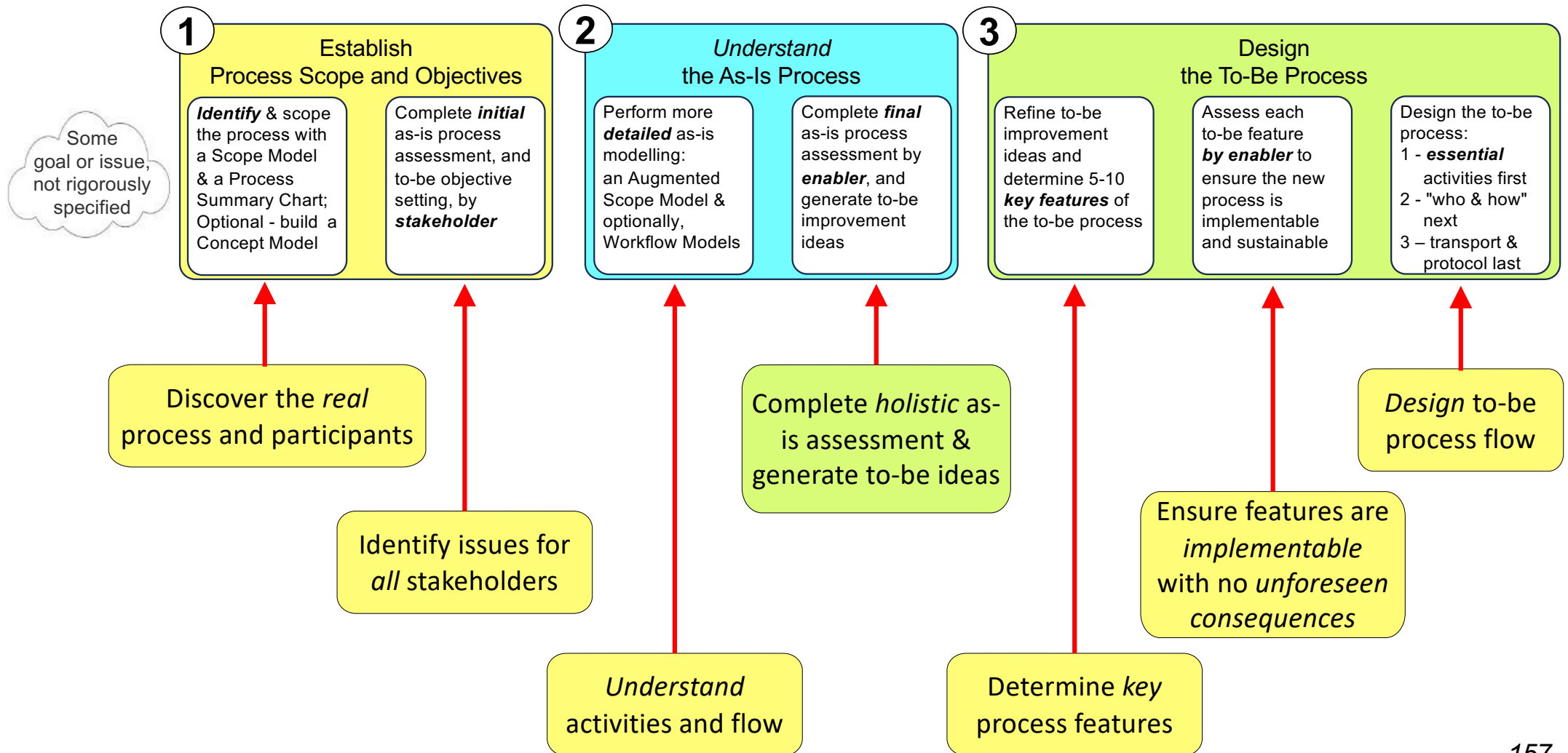
- Session retrospective 1/2
- The steps we went through, and starting @ high level, "opened up minds"
 - This ^{core} group could be kept together ^{for future process work} as we understand the method, etc. but others join in based on topic
 - Selection of a group that is open-minded about change was effective.
 - Use of visible flipcharts helped, and could be helpful/interesting to other staff
 - The group was the right size (not too big)
 - It was good to have a group with some "distance" from the current process; current "owners" may not be happy, and will have to be brought on board (we've represented their resistance, though)
 - Pulling back to the high level (scope model) enabled us to make the progress we did.

- 2/2
- Having enabler assessments (eg Policy) addressed and visible enabled us to "let it go" and lay out new workflow.
 - Without high level, it's easy to get into the weeds.
 - Specifically addressing the perspective of each stakeholder was a beneficial because it changed our thinking.
 - This process (Print Pub) can be a catalyst for major change
 - Helpful to have a facilitator - "ignorance is golden"

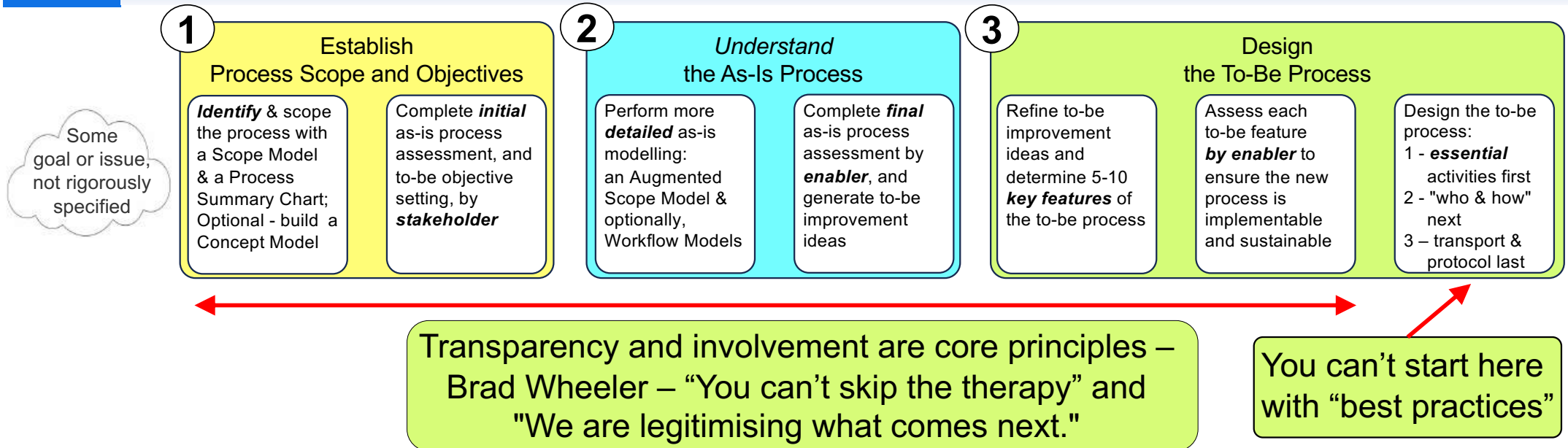
Final thoughts from session retrospective

- The steps we went through and starting at the high level “opened up minds.”
- Use of visible flipcharts helped, and could be helpful / interesting to other staff.
- Pulling back to the high level (Scope Model) enabled us to make the progress we did.
- Having enabler assessments (e.g., Policy) addressed and visible enabled us to “let it go” and lay out new workflow.
- Without the high level, it's easy to get into the weeds.
- Specifically addressing the perspective of each stakeholder was beneficial because it changed our thinking.
- Helpful to have a facilitator – “ignorance is golden.”

Every phase contributes to the goal – don't skip any!



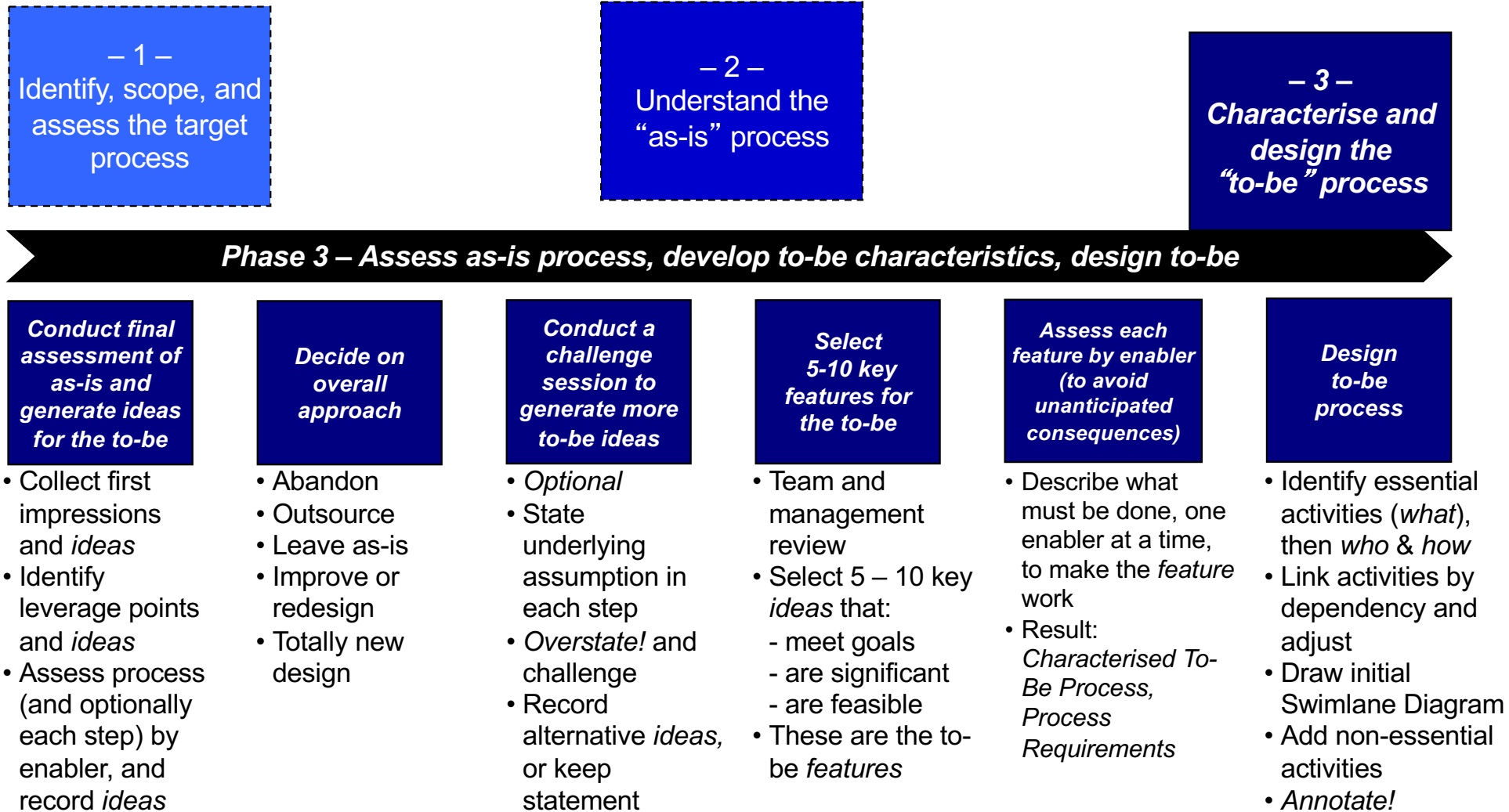
Remember – "It's a process!"



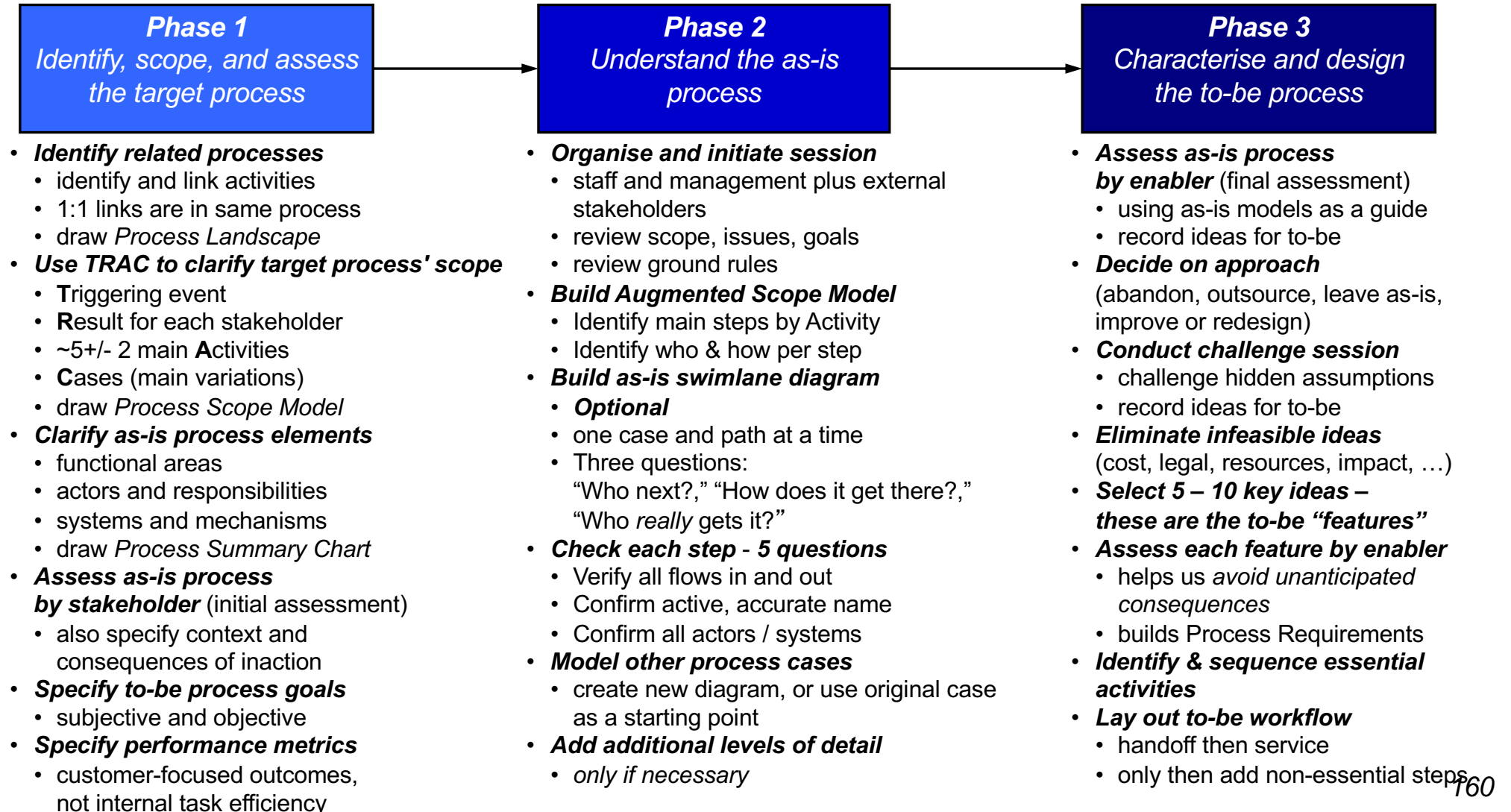
Making the new process sustainable:

- Alignment of *all* enablers, especially *Motivation & Measurement*, *Human Resources & Organisation*, and *Policies & Rules*
- Visibility of the process – the *whole* process, right down to *job aids*
- *Training* in the new process for current and new staff
- Time for *each feature* of the new process to *take hold* before more change – *continuous* change should mean *regular* but not *constant* change

Phase 3 summary – Define to-be process characteristics and design



Three phases – summary



Other courses for analysts by Alec Sharp

Working With Business Processes – Process Change in Agile Timeframes

2 days

Business processes matter, because business processes are how value is delivered. Understanding how to work with business processes is now a core skill for business analysts, process and application architects, functional area managers, and even corporate executives. But too often, material on the topic either floats around in generalities and familiar case studies, or descends rapidly into technical details and incomprehensible models. This workshop is different – in a practical way, it shows how to discover and scope a business process, clarify its context, model its workflow with progressive detail, assess it, and transition to the design of a new process by determining, verifying, and documenting its essential characteristics. Everything is backed up with real-world examples, and clear, repeatable guidelines.

Business-Oriented Data Modelling – Useful Models in Agile Timeframes

2 days

Data modelling was often seen as a technical exercise, but is now known to be essential to other initiatives such as business process change, requirements specification, Agile development, and even big data, analytics, and data lake implementation. Why? – because it ensures a common understanding of the things – the entities or business objects – that processes, applications, and analytics deal with. This workshop introduces concept modelling from a non-technical perspective, provides tips and guidelines for the analyst, and explores entity-relationship modelling at contextual, conceptual, and logical levels using techniques that maximise client involvement.

Working With Business Processes Masterclass – Aligning Process Work with Strategic, Organisational, and Cultural Factors

3 days

This 3-day interactive workshop combines the core content from two highly-rated classes by Alec Sharp – “Working With Business Processes” and “Advanced Business Process Techniques.” This structure is popular because it gets both new and experienced practitioners to the same baseline on Claritiq’s unique, agile, and ultra-practical approach to Business Process Change. First, it shows how to effectively communicate Business Process concepts, discover and scope a business process, assess it and establish goals, and model it with progressive detail. Then, it shifts to advanced topics – specific, repeatable techniques for developing a process architecture, encouraging support for change, and completing a feature-based process design. The emphasis is always on ensuring business process initiatives are aligned with human, social, cultural, and political factors, and enterprise mission, strategy, goals, and objectives.

Business-Oriented Data Modelling Masterclass – Balancing Engagement, Agility, and Complexity

3 days

Our most popular workshop! This intensive 3-day workshop combines the core content from two popular offerings by Alec Sharp – “Business Oriented Data Modelling” and “Advanced Data Modelling.” First, the workshop gets both new and experienced modellers to the same baseline on terminology, conventions, and Clariteq’s unique, business-engaging approach. We ensure a common understanding of what a data model *really* is, and maximising its relevance. Then, we provide intense, hands-on practice with more advanced situations, such as the enforcement of complex business rules, handling recurring patterns, satisfying regulatory requirements to model time and history, capturing complex changes and corrections, and integrating with dimensional modelling. Always, the philosophy is that a data model is a description of a business, not of a database, and the emphasis is on engaging the business and improving communication.

Model-Driven Business Analysis Techniques – Proven Techniques for Processes, Applications, and Data

3 days

Simple, list-based techniques are fine as a starting point, but only with more rigorous techniques will a complete set of requirements emerge, and those requirements must then be synthesised into a cohesive view of the desired to-be state. This three-day workshop shows how to accomplish that with an integrated, model-driven framework comprising process workflow models, a unique form of use cases, service specifications, and business-friendly data models. This distinctive approach has succeeded on projects of all types because it is “do-able” by analysts, relevant to business subject matter experts, and useful to developers. It distills the material from Clariteq’s three, two-day workshops on process, data, and use cases & services.

*** *Note: two-day in-person workshops are delivered virtually as three half-day sessions via Zoom.
Three-day in-person workshops are delivered virtually as five half-day sessions via Zoom.*

Thank you!



Alec Sharp, West Vancouver, BC, Canada

If you have questions or comments...
don't be shy, get in touch!

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- ig: [@alecsharp01](#)
- m: +1 604 418-3352

The UnderCurrent Alternative Newspaper– *Self-study Exercise*

The UnderCurrent alternative newspaper – self-study exercise

Case Study: The UnderCurrent Weekly Newspaper Part 1: Process Discovery

Purpose: practice identifying core business processes starting from a detailed business description – a “bottom-up approach. There are between five and ten core business processes.

Note – for this exercise, we are only concerned with the core “line of business” processes that are unique to publishing a newspaper. Don’t worry about executive/strategic processes, or processes in supporting areas such as Human Resources, Facilities, or Information Systems.

The UnderCurrent alternative newspaper – self-study exercise (1)

Case Study: The UnderCurrent Weekly Newspaper **Part 1: Process Discovery**

Purpose: practice identifying core business processes starting from a detailed business description – a “bottom-up approach. There are between five and ten core business processes.

Note – for this exercise, we are only concerned with the core “line of business” processes that are unique to publishing a newspaper. Don’t worry about executive/strategic processes, or processes in supporting areas such as Human Resources, Facilities, or Information Systems.

Suggested approach

- Read the case study noting any terms and activities.
- Classify the terms (thing, fact, metric, etc.) The “things” will be the main nouns.
- List the activities you found, and identify additional activities by adding verbs to each noun, checking that “noun is verbed” indicates a concrete result.
- Link the activities in sequence, looking for 1:1, 1:M, M:1, and M:M links. As discussed, the 1:1 links indicate activities that are probably part of the same process.

Overview:

The UnderCurrent (“The UC”) is a weekly “alternative” (non-mainstream) newspaper in a large city:

- It publishes on Thursdays, immediately before the weekend.
- Is distributed free from boxes and racks in public areas.

- Classified and Display (or Retail) advertising are the paper’s only sources of revenue.
- Its urban readership is very attractive to advertisers, and to emerging competition.
- To qualify for tax breaks, and avoid stiff penalties, it must contain no more than 70% advertising (no less than 30% editorial content.) Maintaining this revenue/compliance balance is critical.

The newspaper is a victim of its own success:

- Operations are stretched to the limit; stress is rising, along with errors and lost opportunities.
- The paper simply can’t get any larger than about 100 pages without unacceptable error rates and therefore lost revenue. They have to turn away business, putting a ceiling on revenue and profit.
- Competitive newspapers and new media outlets are growing and going after the UC’s advertisers.

Dee Hearst, the Publisher (or CEO) and Kevin Donnelly, the Assistant to the Publisher (or COO), have decided to make major investments in information systems. The consultants have suggested a “process-driven” approach to determining requirements, then selecting and configuring commercial software.

On the following pages are extracts from interviews with members of the UC’s management team.

The UnderCurrent alternative newspaper – self-study exercise (2)

Publisher - Dee Hearst

Relevant responsibilities:

- Assist in soliciting prospects that are potential large accounts
- Help to identify, develop, and launch new products (newspaper sections or regular features.)

Major issues:

- Competition.
- Retail Sales Reps have become order takers, and aren't acquiring major new customers, because the commission structure doesn't reward that. Junior staff should handle regular ad orders.
- Can't tell if a new product is succeeding – there is no data relating sections and ad revenue.
- Ceiling on growth. After 100 pages, the higher error rate causes profit to shrink due to refunds.

Assistant to the Publisher - Kevin Donnelly

Relevant responsibilities:

- Essentially, keep operations running smoothly

Major issues:

- The "Monday to Wednesday crunch." 75% of the week's work (designing ads and laying out the paper) take place Monday to Wednesday. Production works flat-out during the crunch, causing most of the expensive errors, but have slack time the rest of the week!
- Departmental isolation and conflict. For example, look at getting a display ad into the newspaper - Sales meets with a Client to take the order, Production builds the ad, Sales reviews the Ad with the Customer, Production prepares it to run in the paper after the Customer approves it, Traffic does whatever they do with their runsheets, and finally Accounting calculates commission, issues an invoice to the Advertiser for each individual ad order, and collects the receivable. Their objectives conflict, e.g. Sales wants to submit ad orders to Production as late as possible, so they have a bigger selling window, and Production wants the ads in earlier, to reduce the "Monday to Wednesday Crunch," but at the same time, Production wants to spend as little time as possible working on an ad and turn it around quickly, but Sales Reps would prefer it right the first time. They're working at cross-purposes!
- No good data, such as:
 - Revenue and profit by Customer;
 - Revenue by section, and how it varies by issue;
 - Booked ads (placed orders) for the current or future editions.

The UnderCurrent alternative newspaper – self-study exercise (3)

Editor - Gabriel Garcia

Relevant responsibilities:

- Identify stories, and assign them to reporters, or solicit contributions from freelancers
- Proofread and edit editorial items (stories, news items, editorials, columns, reviews, etc.)
- Adjust editorial content (add or drop) based on ad volume, as calculated by Traffic with the master runsheet, to maintain the ration of 70% advertising to 30% editorial content
- Plan the introduction of new products, such as the automotive section now being added

Major issues:

- Need immediate access to ad orders, e.g. an ad for a concert may trigger us to arrange an interview.
- Can't relate advertising revenue to section, so we don't know which sections are moneymakers and which are "subsidized" by other sections. (Advertisers usually request that display ads go in a particular section.) We can't tell if a new section is going well, needs help, or should be dropped.

Manager of Systems - Claude Johnson

Relevant responsibilities – the usual:

- Maintain the infrastructure - hardware, network, and system software
- Develop or purchase and install application software
- Write custom reports

Manager of Systems - Claude Johnson (continued)

Major issues:

- The runsheets are the "ad database," so a shared electronic runsheet in Excel would be great. (Note - a runsheet is a spreadsheet of the display ad orders for an upcoming issue. Each row is a single ad, and the columns record details such as the customer, ad name, section, ad size, etc. Each Sales Rep maintains their own runsheet, which are then consolidated by Traffic into the master runsheet.)
- A central Customer database for sales and finance would be great.

Manager of Classified Sales - Manny Lines

Relevant responsibilities:

- Answer calls (or receive letters or faxes) from Customers and enter classified ads into the system
- Participate in product planning
- Pass each classified ad to Production to include in the upcoming issue

Major issues:

- Only 12% of the paper's advertising revenue comes from Classifieds, so are the "poor cousins" compared to Retail. Other publications get up to 40% from Classified sales.
- The Classified Ad System is very primitive - it doesn't support visual ad makeup, automatic pricing, system generated upselling prompts, automatic callback for renewal, or anything a modern system should. All ads must be pre-paid, which further cuts into selling time. It takes about 5 times as long to take an ad as it should, which leaves no time for proactive selling.

The UnderCurrent alternative newspaper – self-study exercise (4)

Manager of Retail Sales - Phil Paige

Relevant responsibilities:

- Determine market needs, primarily through designing, conducting, and assessing surveys
- Capture new customer accounts, and negotiate contracts (volume-based pricing, for instance)
- Meet with clients at their businesses to take orders for display ads
- Submit display ad orders at the UnderCurrent office, and complete all the ad order paperwork
- Assist in developing new products
- Review ads with, and obtain approval from clients after Production has designed ads

Major issues:

- Need a modern contact management system to help prospect for new customers or maintain relationships with current ones.
- Entering ad orders is time-consuming, so the reps *hate* to stop selling to submit orders. They complete order forms by hand, and then copy information about each order onto their weekly runsheet, the “chit” (a small tracking form) which is stapled to the ad folder, and the booking sheet.
- The error rate for ads is 5% to 10%, so customers are cautious and a lot of the sales rep’s time is spent on reviews of new or revised ads. 50% of new ads aren’t approved until the second review.

Manager of Traffic - Evelyn Wong

Relevant responsibilities:

- In general, we coordinate the work of four other departments - Retail Sales, Classified Sales, Production, and Editorial. We watch over the flow or “traffic” of ads and information, but don’t typically get involved with individual ad orders.
- Collect Sales Reps’ runsheets on Monday at noon, and consolidate them into a “master runsheet.”
- Calculate the size of the issue based on the volume of ads as recorded in the master runsheet, and an ad loading factor of 70%. This determines how much editorial content will have to be dropped to meet the 70/30 ratio.

Major issues:

- We need automated runsheets – all the paper copies are never in synch. With automated runsheets, the issue size could be calculated automatically.
- The “crunch” is a frantic period.

The UnderCurrent alternative newspaper – self-study exercise (5)

Finance and Accounting Manager - Penny Nichols

Relevant responsibilities:

- Confirm accurate pricing of retail ad orders.
- Create and issue invoices for display advertising, ensure collection of payments, receive and post payments.
- Calculate commission due on each ad order and apply it to the Sales Rep's payroll account.
- There are other F&A duties – maintain the General Ledger, run the biweekly payroll (including commission payment,) Accounts Payable, Financial Planning, Cash Management, and Management Reporting.

Major issues:

- Poor coordination with Sales. We manually re-enter invoicing data from the Sales Reps' runsheets (Customer #, Sales Rep #, ad title, ad size, price, etc.) into our old Great Plains Billing System. The reps have already copied this information once, from their order forms onto their runsheet (as well as onto the chit and the booking sheet) so this introduces even more errors.
- Retail Sales Reps often price an ad improperly, giving too large a discount to close a sale. We point out the error to the Sales Rep, and they then negotiate with the Customer. It's a mess – we spend time re-pricing, and collecting late payments that the Customer doesn't feel obligated to pay.
- The root problem is that Sales Reps don't have any automated pricing support, which would calculate discounts that a Customer was entitled to and ensure they lived up to the terms of their contract. There's no incentive for them to clean up the situation, because they get their commission even if the account doesn't pay.
- We'd love to improve cash flow by getting invoices out sooner, but we can't start on invoicing until the paper is printed and we receive the updated master runsheet showing the ad's final location.

Production Manager - Gina Tremonti

Relevant responsibilities:

- Graphic artists design display ads, which are anything beyond the simple text ads that make up most of Classifieds. Approximately 50% of display ads are new, 30% are repeats (some with minor changes to the text,) and 20% are "camera-ready" (the client provides finished artwork.)
- Mock up ("dummy") each page of an issue showing where each display ad and each editorial item (story, column, etc.) will be placed.
- Produce the final camera-ready pages. Designers assemble formatted text and finished ads onto "flats", which then get sent to the printer. Most papers do this electronically, but we still do it by hand with Xacto knives and paste.

Major issues:

- The "Monday to Wednesday Crunch," when we prepare the issue for printing and then distribution on Thursday! Retail Sales Reps submit over 80% of ad orders at the Monday noon deadline, so Graphic designers are overwhelmed with designing display ads. Late or canceled ads mean we often have to redo the layout for the edition. We are overworked from Monday afternoon through Wednesday, and are underworked on Thursday and Friday. The workload must be leveled somehow.
- Need a single electronic runsheet – one central view of all the ad details for the upcoming edition. Each Sales Rep produces their own runsheet, but we don't have an overall view until Traffic consolidates the runsheets on Monday afternoon.

The UnderCurrent: nouns and synonyms

Collected Terms							
You might not go to this level of detail in discovering terms, but you should at least build a glossary of "core nouns" for any project							
Customer	Display Ad	Section	Classified Ad	Customer Name	Ad	Client	Runsheets
Reader	Paper	Account Number	Product	Display Ad Order	Competition	Writer	Billing
Traffic	Profit	Survey	Classified	G/L System	Issue	Interview	Advertiser
Contributor	Cheque	Ad Name	Proof	Freelancer	M-W crunch	Display Ad Payment	Editorial Item
Master Runsheets	Display Ad Invoice	Edition	Flat	Booking Sheet	Ad Order Run Date	Classified Ad Order	Prospect
Display Ad Commission	Invoice Amount	Retail Sales Rep	Cash Flow	Receivable	Article	Feature	Market Need
Sales	Sales	Sales	Ad/Content Ratio	Account	Ad Size	Story	Reporter
Retail Ad	Growth Rate	Market Segment	Software	Circulation	Page	Customer Database	

Criteria for "things" (nouns, entities,...)

Singular noun

multiple occurrences

keep track of each occurrence

has facts we need to keep track of

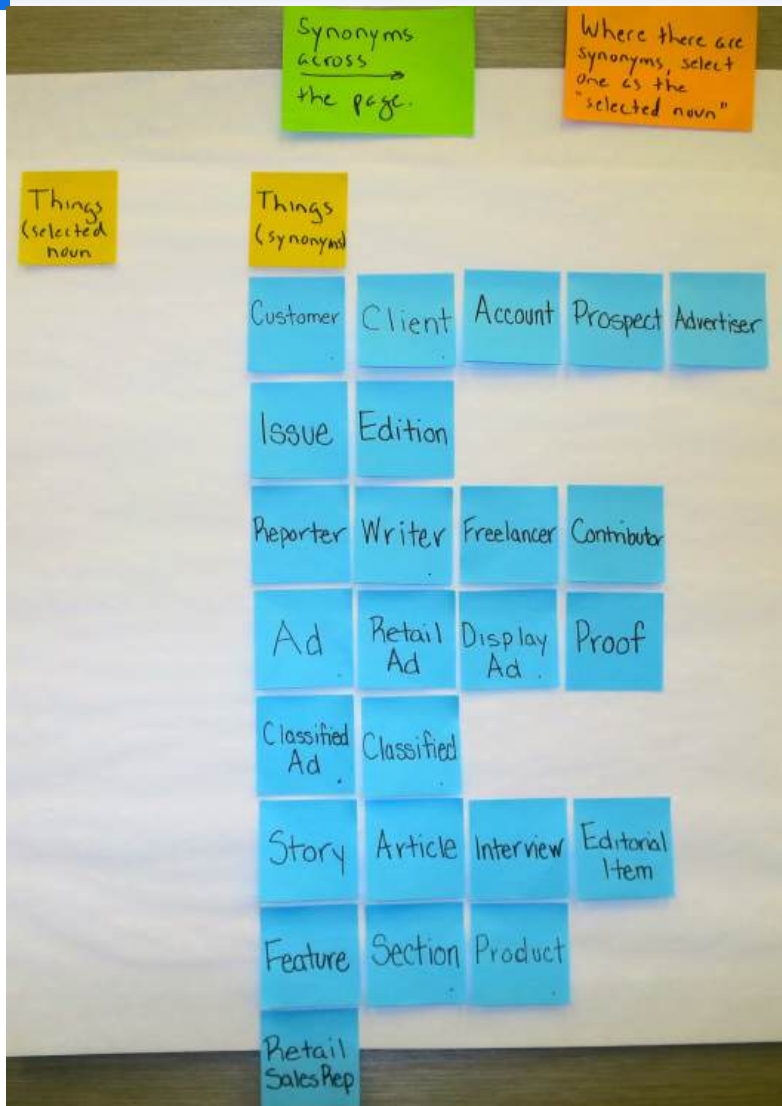
we "do stuff" to them - sensible in a verb-noun pair

the "essence" - not an implementation artifact

Is this a thing?

- thing?
- a fact about a thing?
- "other stuff?"

The UnderCurrent: nouns and synonyms



The UnderCurrent: selected nouns



The UnderCurrent: nouns and synonyms

Selected nouns	Synonyms
Survey	
Market segment	Market need
Product	Section, feature
Editorial item	Article, story, interview, wire item, copy
Writer	Reporter, freelancer, columnist, contributor
Issue	Edition
Page	Flat
Customer	Prospect, account, client, advertiser
Display ad order	Order, ad order, retail ad order
Display ad	Ad, retail ad, proof, artwork
Classified ad order	
Classified ad	Classified
Invoice	Bill, receivable
Payment	Receipt, cheque
Commission	

- Most major business processes and sub-processes work on the core nouns – this is very helpful in discovering what your processes are
- But first...
agree on definitions!

The UnderCurrent: terms other than “things”

Facts
Error, invoice amount, run date
Metrics
Content percentage, growth rate, profit, <i>sales</i> , cash flow, circulation, readership, market share, retention rate
Organizations, departments, jobs, roles, ...
Traffic, <i>Sales</i> , Production, Graphic designer, Sales rep
Processes, functions, activities, tasks, ...
Billing, design
Systems, tools, equipment, mechanisms, ...
G/L system, customer database
Reports, forms, screens, queries, ...
Booking sheet, runsheet, order form, master runsheet
Others—too vague, single instance, not tracked, out of scope
Competition, crunch period, the paper, reader

Important discoveries from terminology analysis

Product was not what we thought – we assumed the product was the newspaper, but it was actually a recurring **section** or **feature** within a newspaper

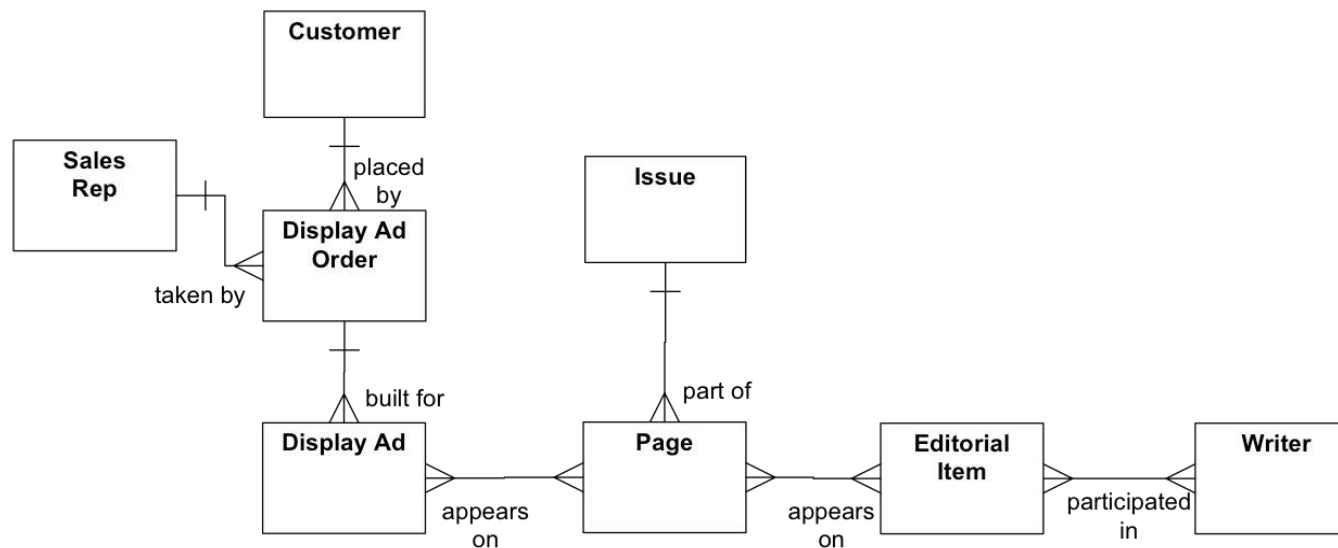
The **reader** was not considered to be a **Customer** – only **advertisers** (and *potential* advertisers!) were Customers

We thought the **paper** was the same thing as an **Issue** or **edition**.
Not! The paper was a way of referring to the entire business.

Ad and **Ad Order** were different – an **Ad** was the image that would appear in an **Issue**, the **Ad Order** was the request and run instructions

Questions about “things” form the concept model

- What facts do you need to know about these things?
(helps determine if people are talking about the same thing)
- How are these things related?
- What rules govern the relationships?



*An entity-relationship diagram or ERD –
a conceptual data model or simply a concept model*

Exercise for self-study – framing the process

Read the following narrative for the UnderCurrent's "Fill Display Ad Order" process, and *frame the process*. You should also refer to the longer narrative that introduced this case study.

The components of *framing the process* are:

1. Triggering event(s)
2. Result for primary customer and other stakeholders
3. Activities (~5 to 7 major activities or sub-processes)
4. Cases or variations (at this point, draw a *Process Scope Model*)
-
5. Functional areas involved (now draw a *Process Summary Chart*)
6. Individual actors and their primary responsibilities
7. Systems and other supporting mechanisms

Self-study exercise (continued) – Framing the Process (1)

The following points describe the contributions of the various actors who participate in, or are related to, the “Fill Display Ad Order” process. This information is to be used in conjunction with the earlier scenario to frame the process, and then develop the initial swimlane diagram.

Client

- Contacts sales rep to request placement of an ad order, or responds to a Sales Rep’s request for a meeting to place an order
- They agree on a time to meet at the client’s place of business

Retail Sales Rep

- Travel to client site
- Determine client’s approximate budget
- Collect design requirements, ad text (“copy”), and other ideas
- Calculate price, revise requirements, recalculate price, etc
- Finalize specifications (ad design, size, placement, price)
- Complete order form and obtain client’s signature
- Collect payment, if the client’s contract requires advance payment
- Return to the UC’s office (maybe later the same day, but usually not until Monday noon)
- First, submit any contracts and pre-payments to Finance and Accounting.
- Then, the Rep fills in a “chit” for each ad, summarizing basic ad information. The chit is a small form that is used to track all work performed on the ad. The ad order and other materials (copy, artwork, detailed specification, etc.) are placed in a folder, and the chit is stapled to the folder

- The ad is entered (hand-written) on the “booking sheet,” large spreadsheet-like piece of paper divided into three sections (new ads, repeats, and camera-ready) which is used to track where the ad folder is and its current status.
- Ads related to entertainment events are photocopied and passed over to editorial
- The ad folder is placed in the “blue bin”, which means “awaiting production work”
- Enter ad detail on the runsheet. Some reps stay on top of this, but most don’t do it until Monday. In all cases, the runsheet is turned in to Traffic on Monday at noon
- Check the “review bin” to see if there are ads returning from production for the rep to review
- Inspect the ad, sometimes suggesting changes before taking the ad “proof” to the client.
- Review the ad with the client, at their place of business. Most ads are reviewed at least once with the client, and 50 % of new ads have two client reviews before they are approved.
- If changes are necessary, document them and place the folder back in the blue bin. If the client has approved the ad, remove the chit from the folder and place the folder in the “final” tray, indicating the ad is finalized. The chit is placed on a big spike as a way to track “finals”.

Self-study exercise (continued) – Framing the Process (2)

Traffic

- Collect runsheets on Monday afternoon
- Consolidate them into one “master runsheet” which is used to calculate the necessary size of the paper to achieve 70% ad loading, and notify Editorial
- After the issue is published, update the master runsheet with the page number the ad appeared on, and pass the master runsheet on to Finance.

Production

- A production supervisor periodically reviews the blue bin, and sorts the ad folders into other bins for specific designers.
- If the folder is for a repeat ad with no changes, the ad will be removed from the folder and stuck to the “Approved” board.
- When a Designer finishes work on an ad, they retrieve the next folder to work on from their bin.
- The designer will do whatever work is necessary, print a high quality copy as well as a “proof” for the sales rep to review with the customer, and place them in the folder
- On completion, the designer marks the chit to indicate that they have worked on the ad, the time spent, and then places the folder in the “out” bin
- The supervisor will do a quality check, and return the folder to the Designer if more work is necessary, but that is infrequent (much less than 10% of the time.) Otherwise, they place the folder in the “review” bin for the sales rep, and mark the booking sheet with the ad’s current status (e.g., “awaiting first review”). They will also remove the high quality copy of the ad and put it on the “Regular” board.

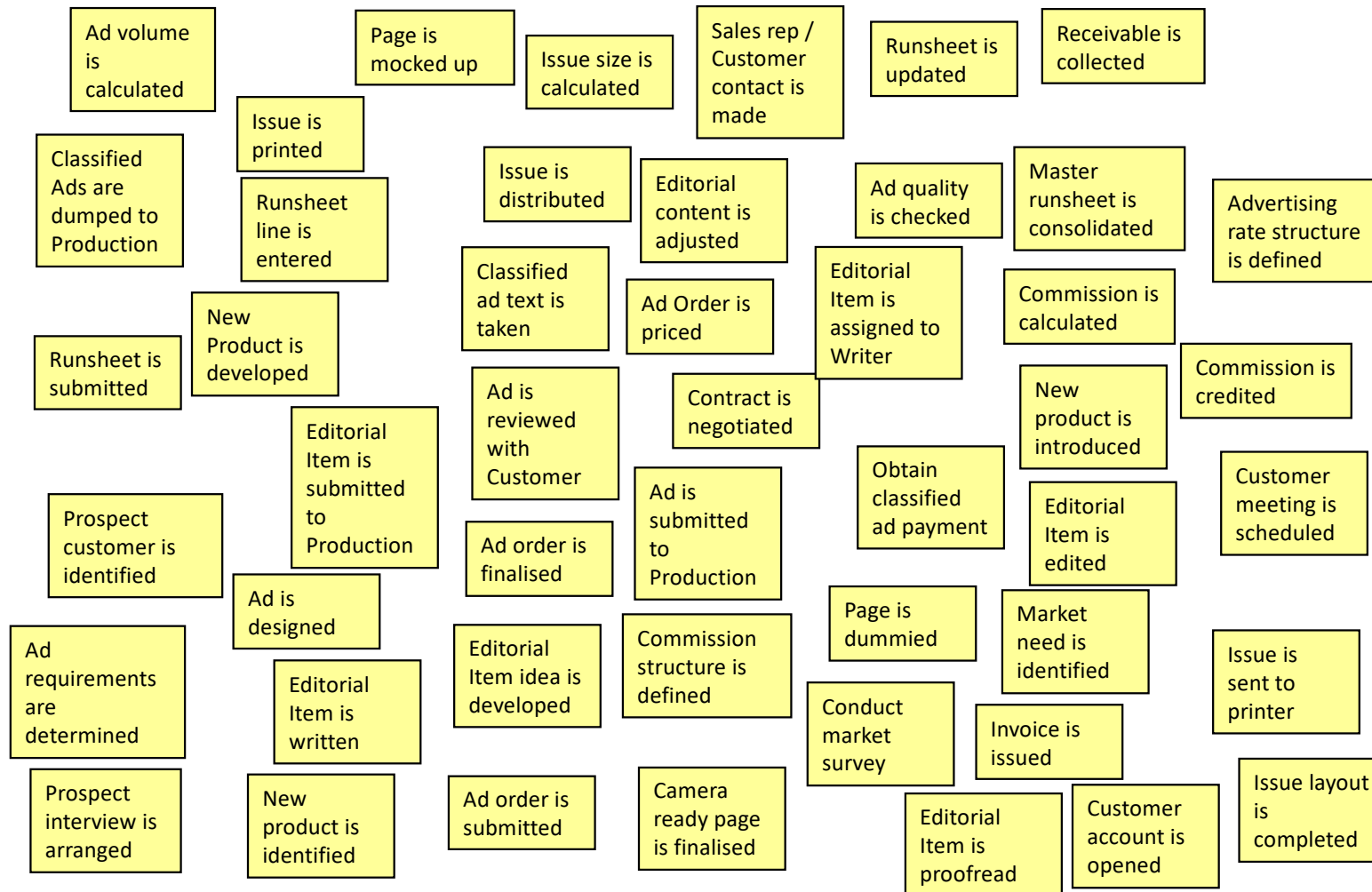
- The supervisor periodically check the “finalized” bin to determine which ads are finalized, and moves them from the “Regular” board to the “Approved” board, which means they are ready for the “Produce Issue” process.

Finance and Accounting

Once the paper has been printed, and the updated master runsheet from Traffic is received, various things happen:

- The Finance Clerk enters the updated runsheet information into the Billing System. At the same time, the sales rep’s commission for each ad is calculated and credited to their payroll account.
- The invoices are produced by a batch job which is scheduled to run each Thursday night.
- After the invoices are printed, a Finance Clerk begins preparing the invoices for issuing to customers. They start with a stack of newly printed issues, and the invoices. For each invoice, the page on which the corresponding ad was printed is located (using info on the master runsheet) and torn out of the finished paper – this is the “tearsheet.” The tearsheet is attached to the invoice, and then mailed to the Customer. Afterwards, the runsheet copies are filed.
- When payment from the Customer arrives, it is posted using a Billing System function.
- Any contracts from the sales rep are reviewed and a new Customer record is created if necessary, pre-paid payments are posted, and the contract is filed.

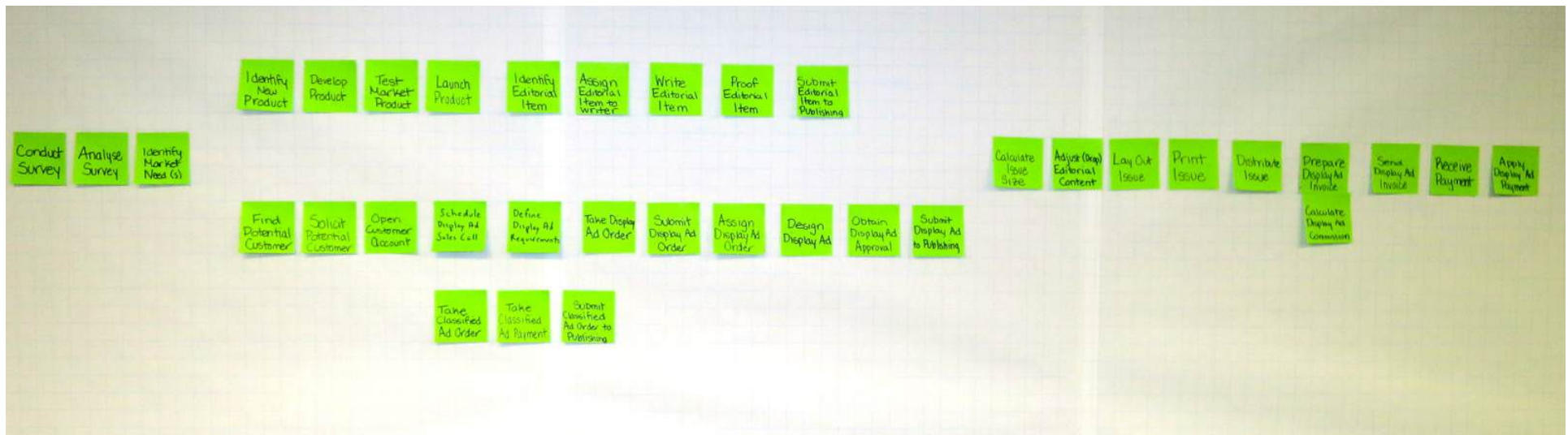
The UnderCurrent: discovering events ("noun is verbed")



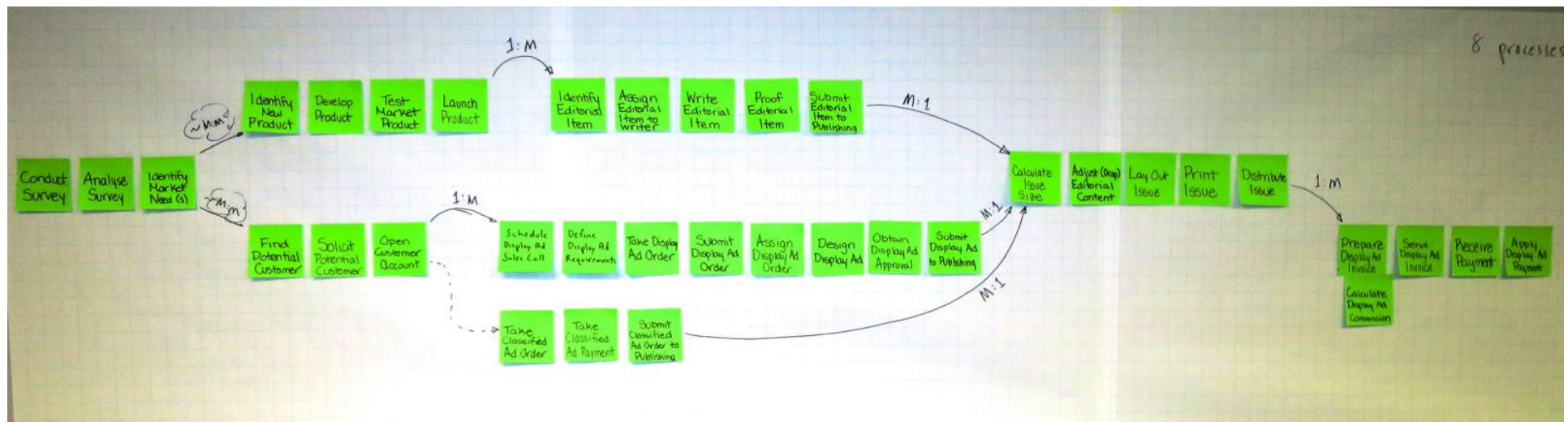
The UnderCurrent: or identify activities (add verbs to nouns)



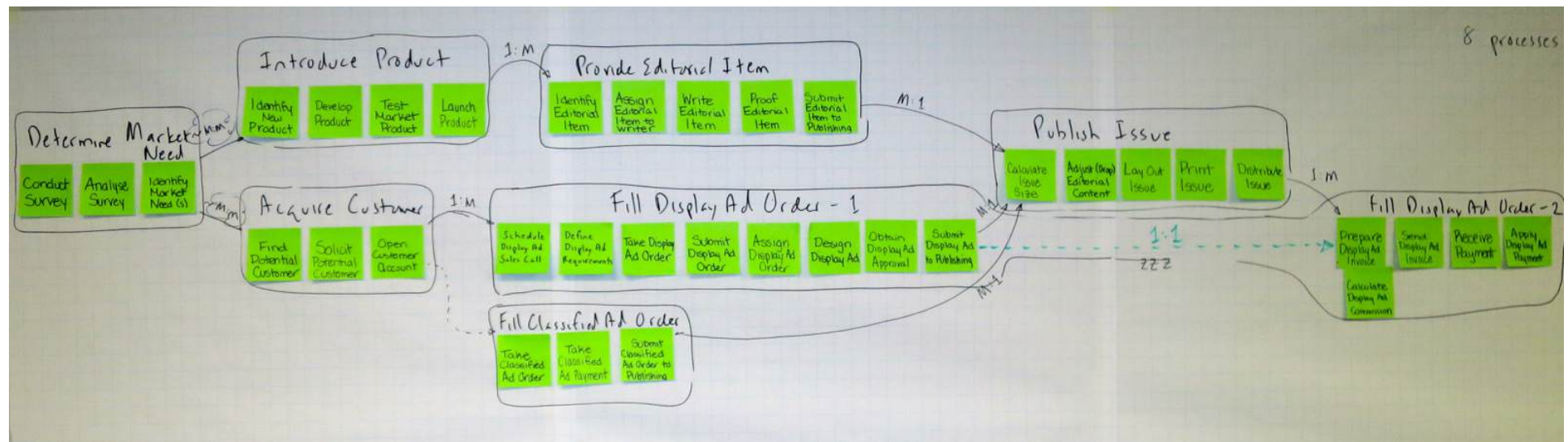
The UnderCurrent: sequence activities



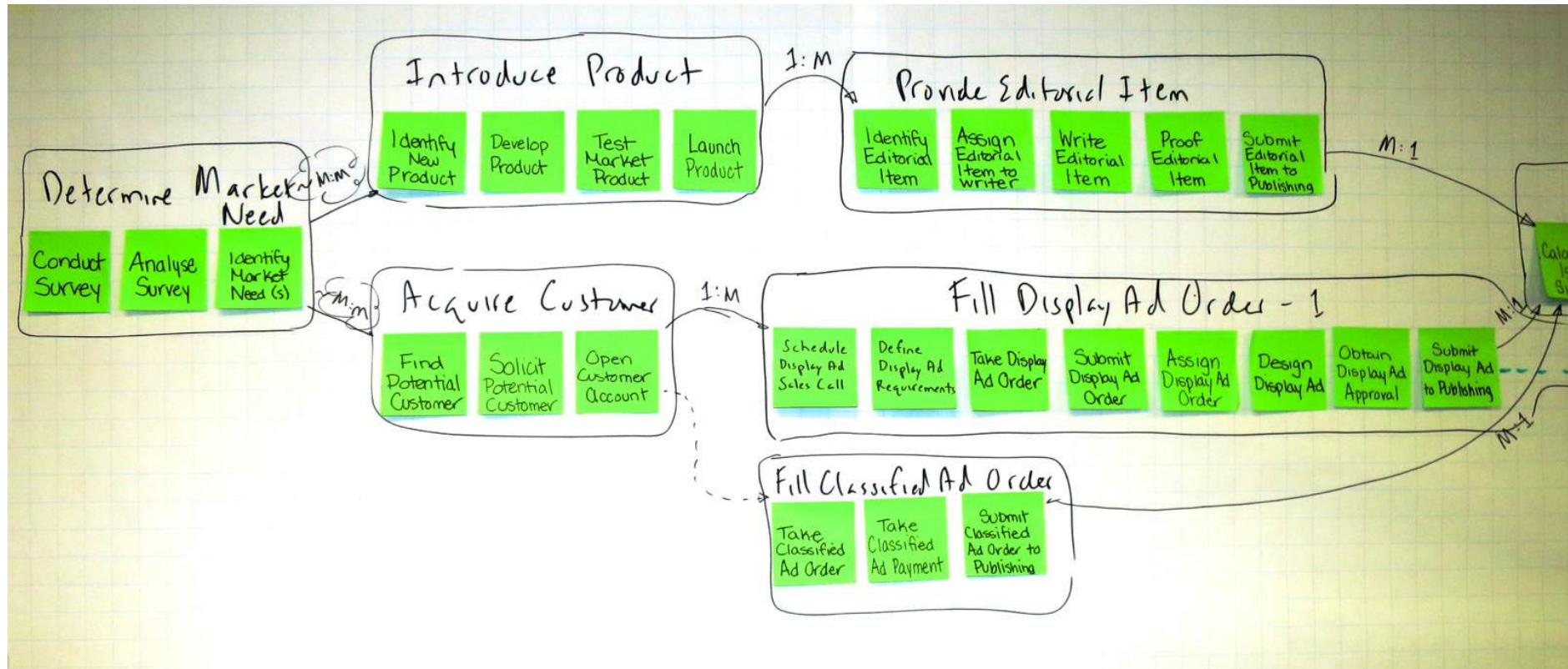
The UnderCurrent: identify 1:M and M:1 connections



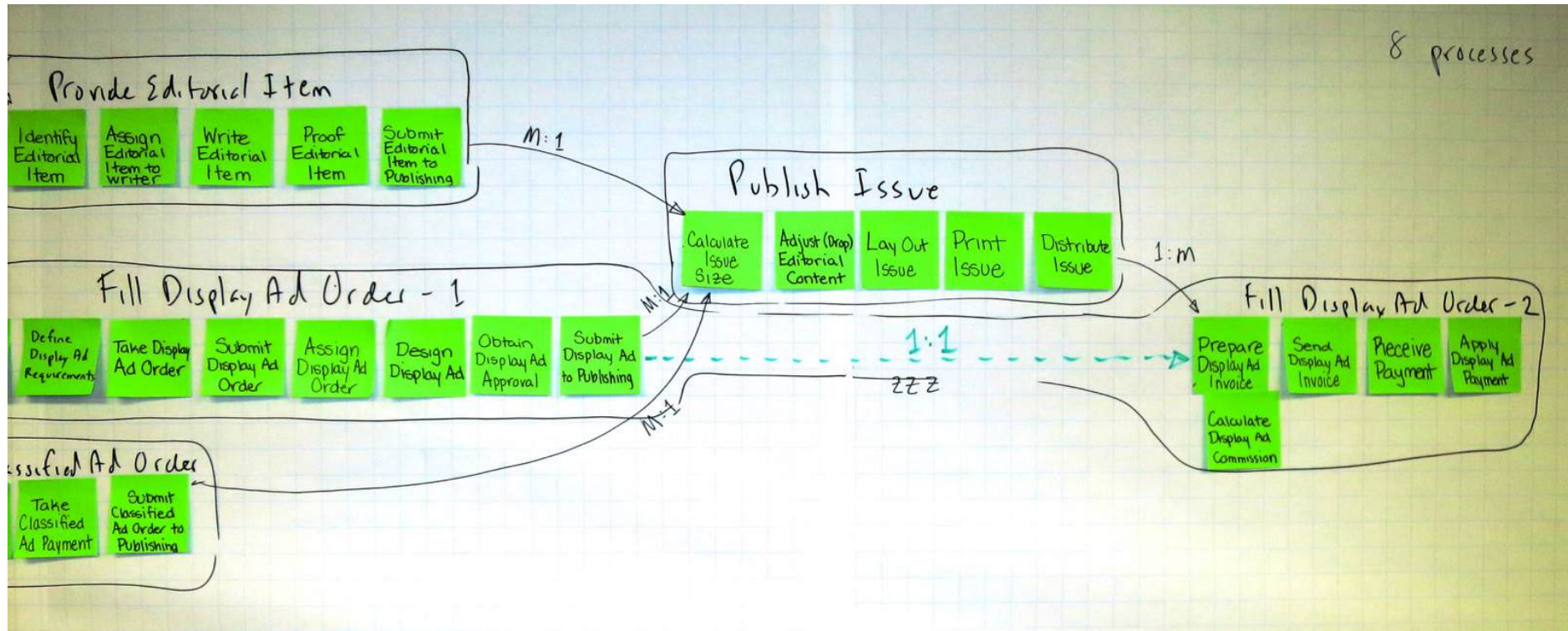
The UnderCurrent: identify and name processes



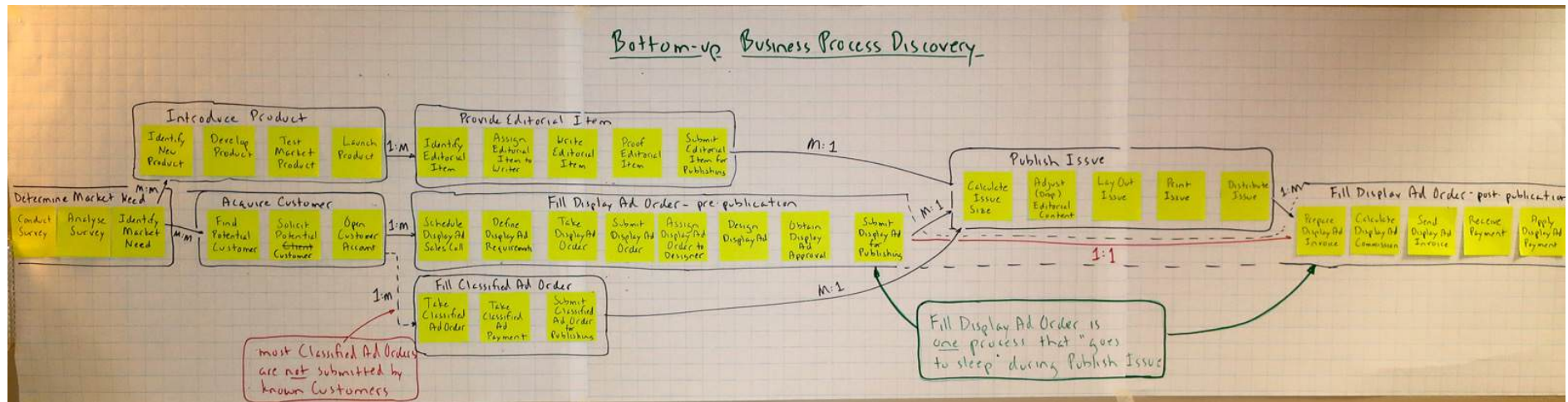
The UnderCurrent: identify and name processes (close-up)



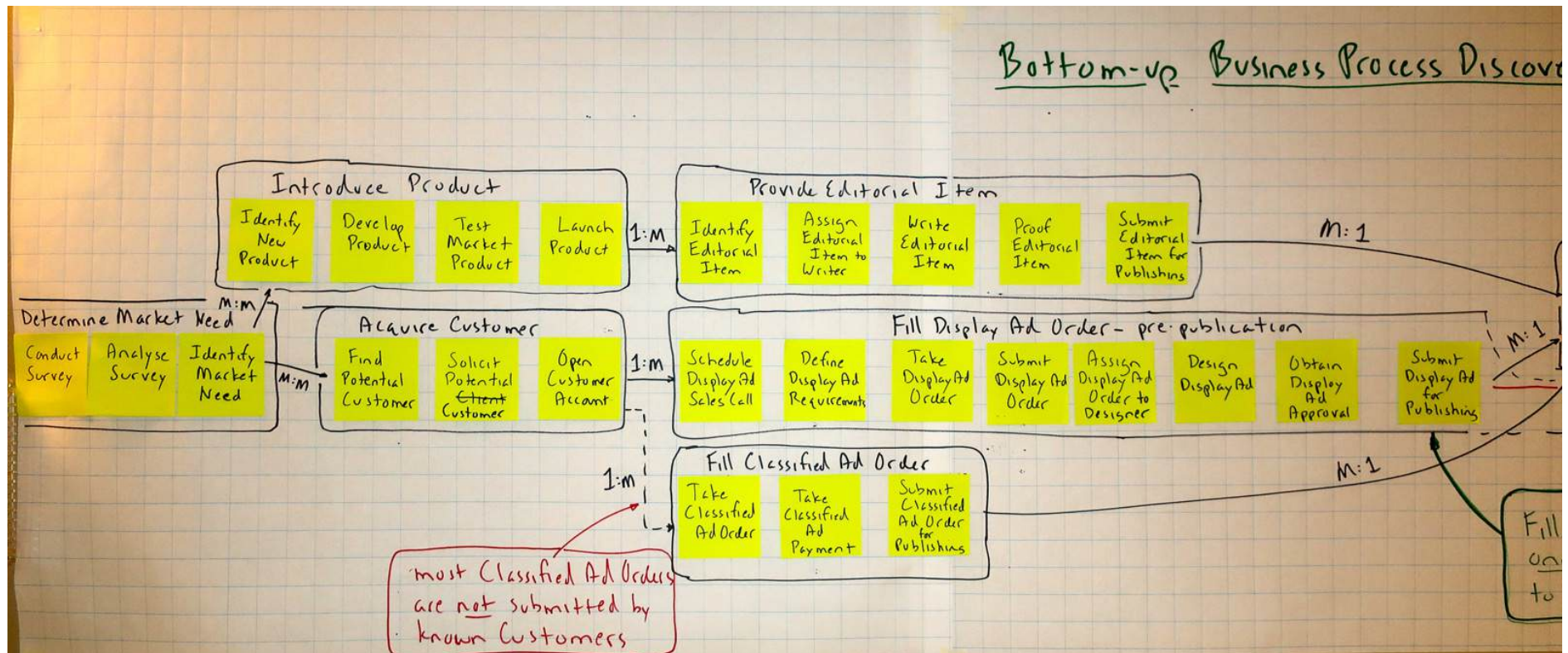
The UnderCurrent: identify and name processes (close-up)



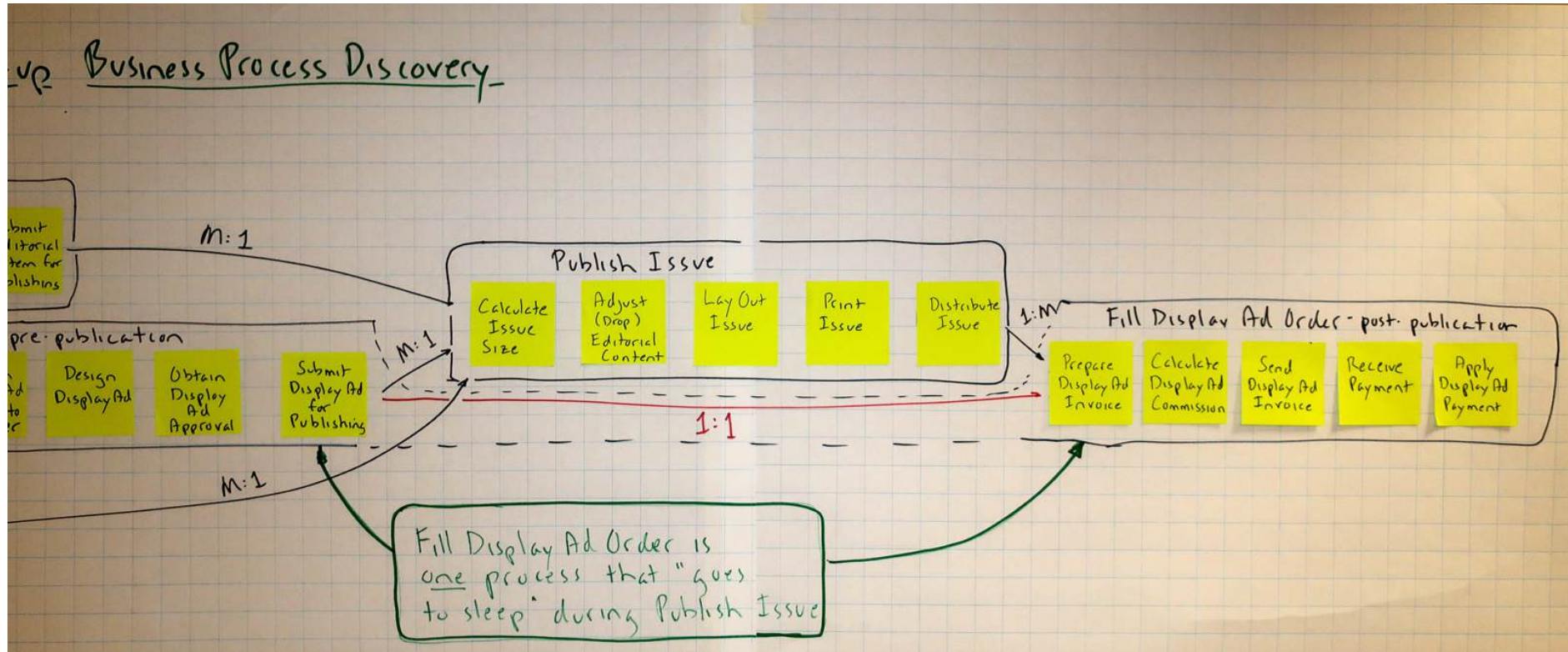
The UnderCurrent: process discovery notes - 1



The UnderCurrent: process discovery notes - 2

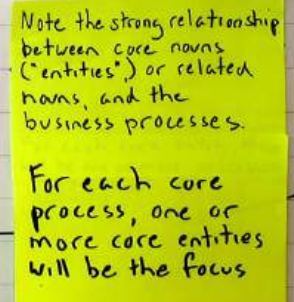


The UnderCurrent: process discovery notes - 3

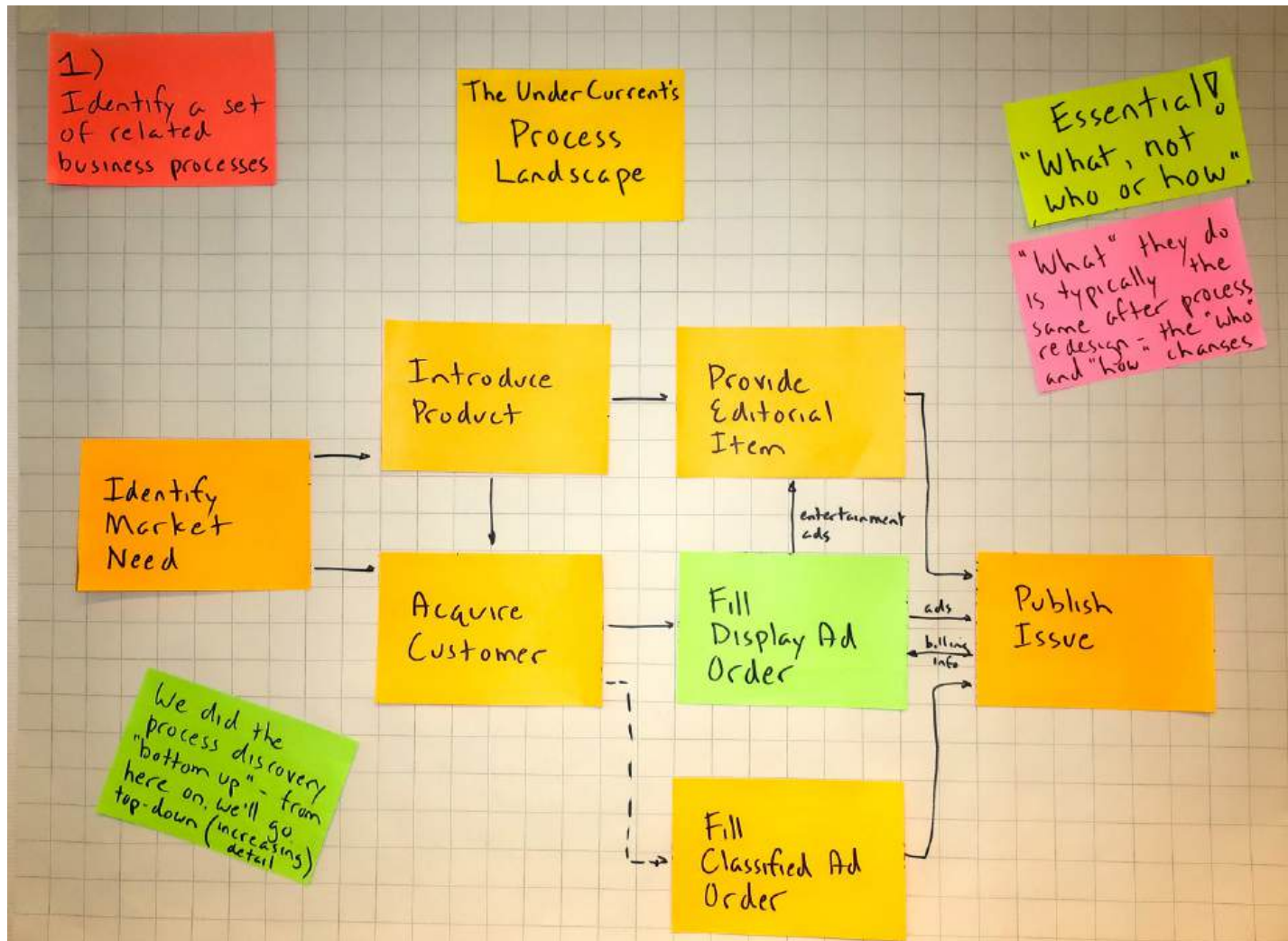




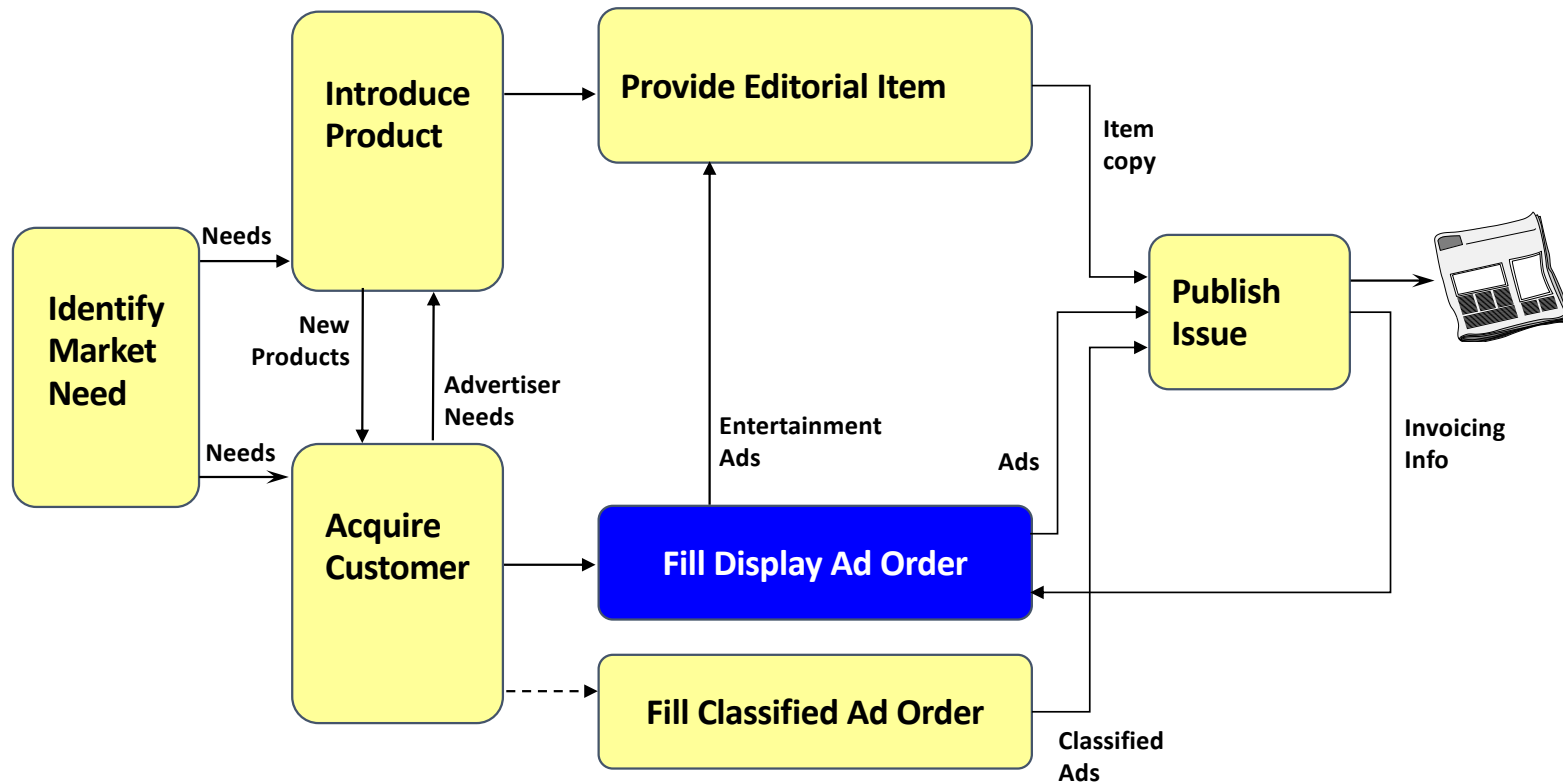
For each core process, one or more core entities will be the focus



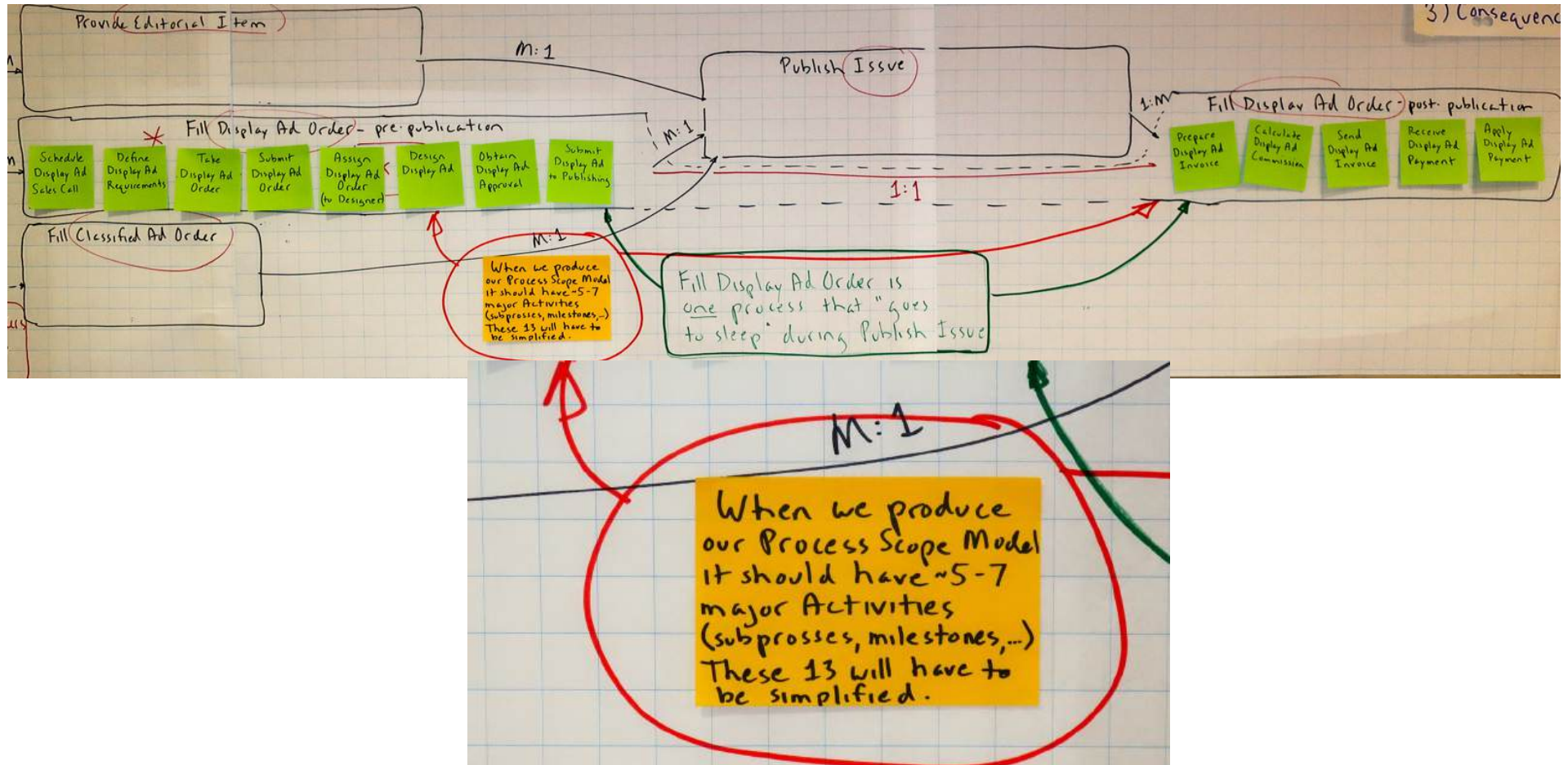
The UnderCurrent: draw Process Landscape



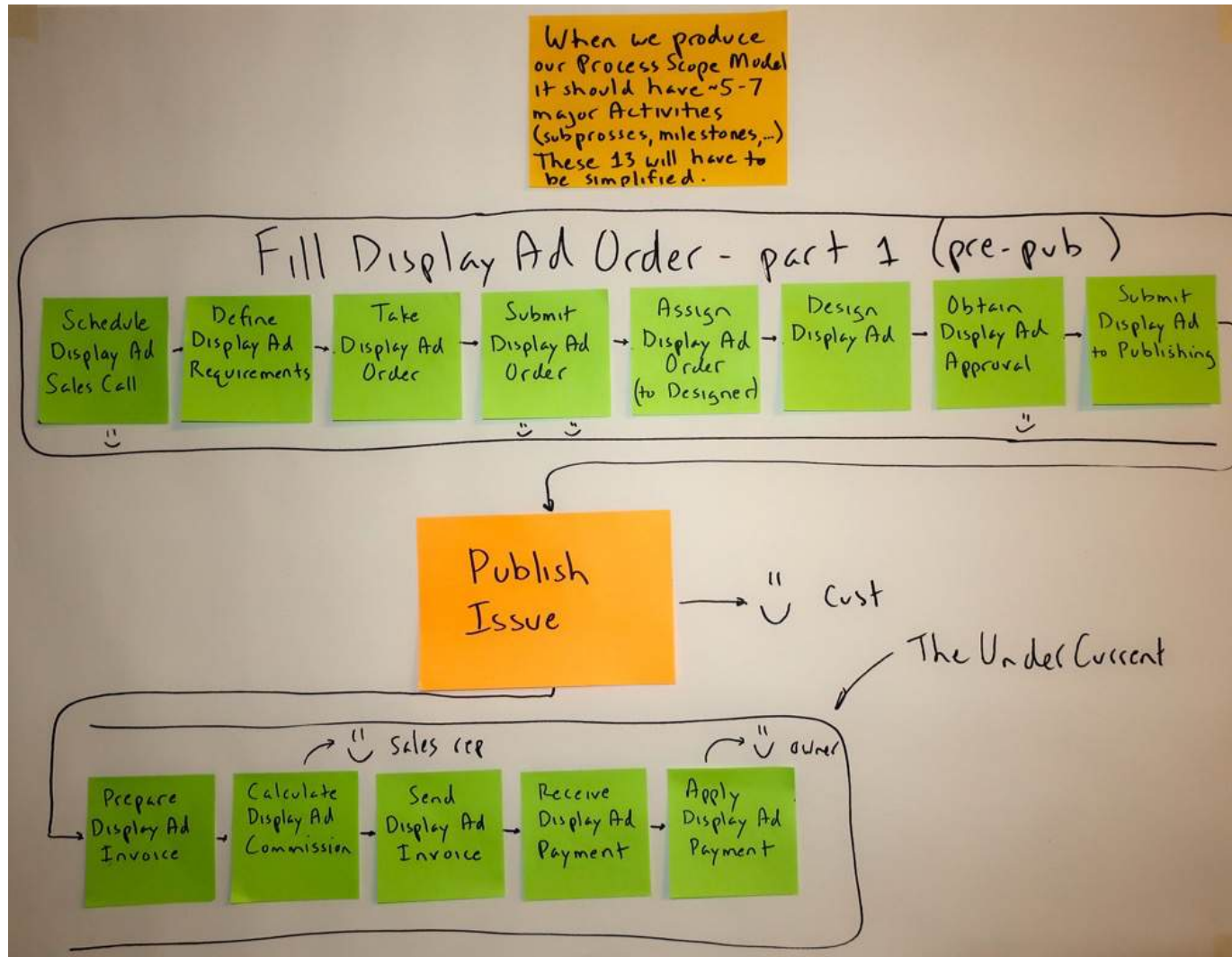
The UnderCurrent: Process Landscape



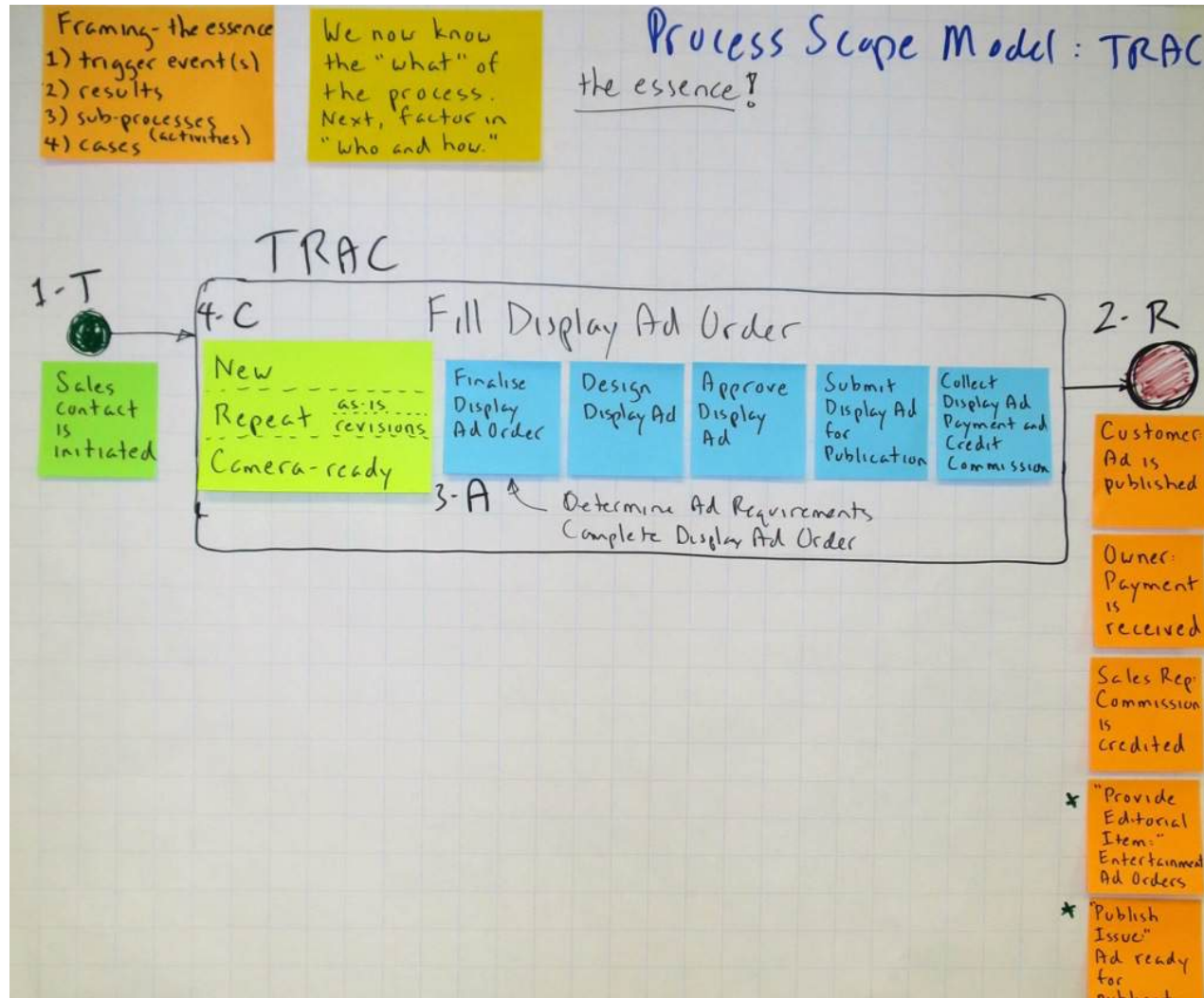
The UnderCurrent: develop Process Scope Model



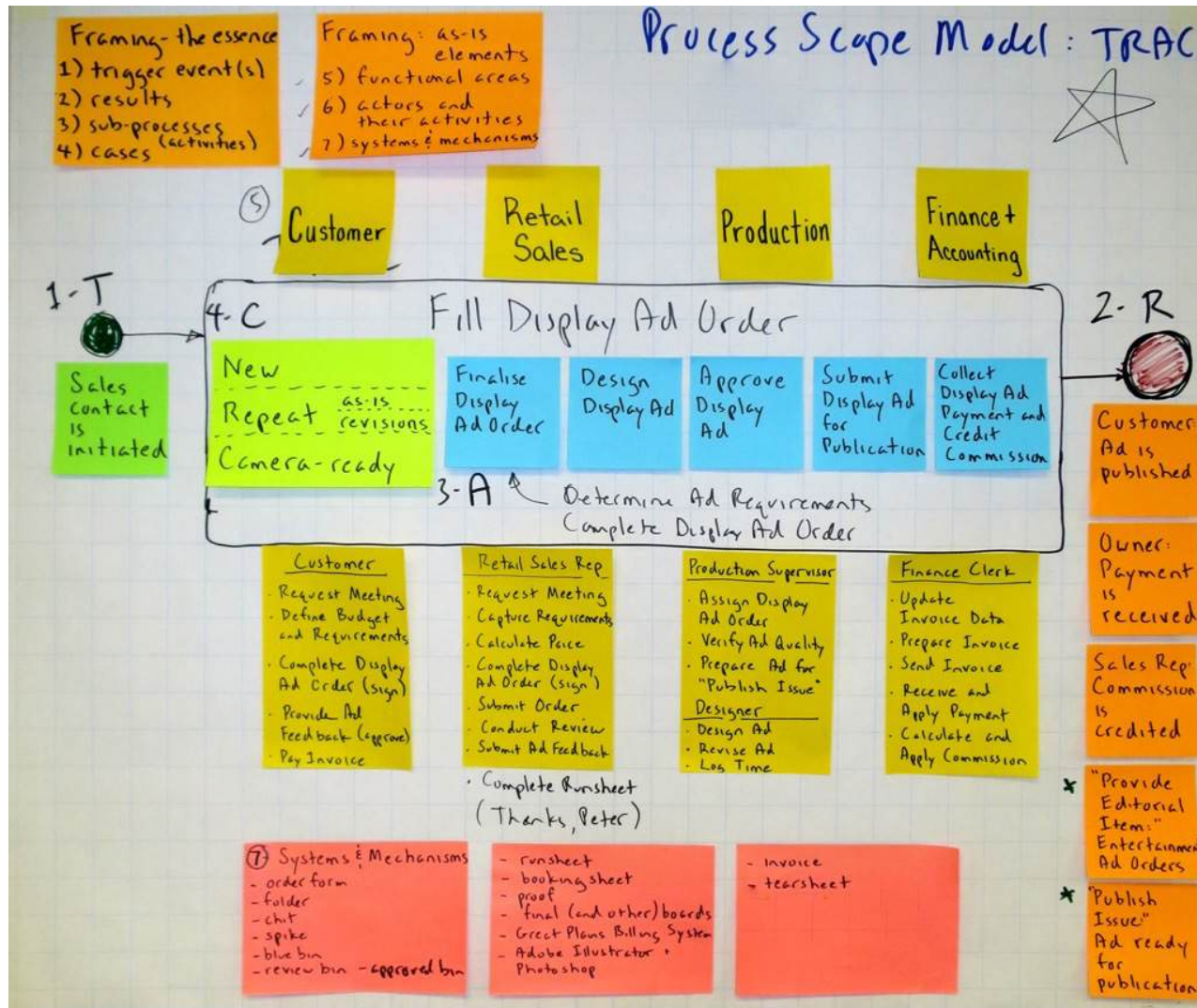
The UnderCurrent: develop Process Scope Model



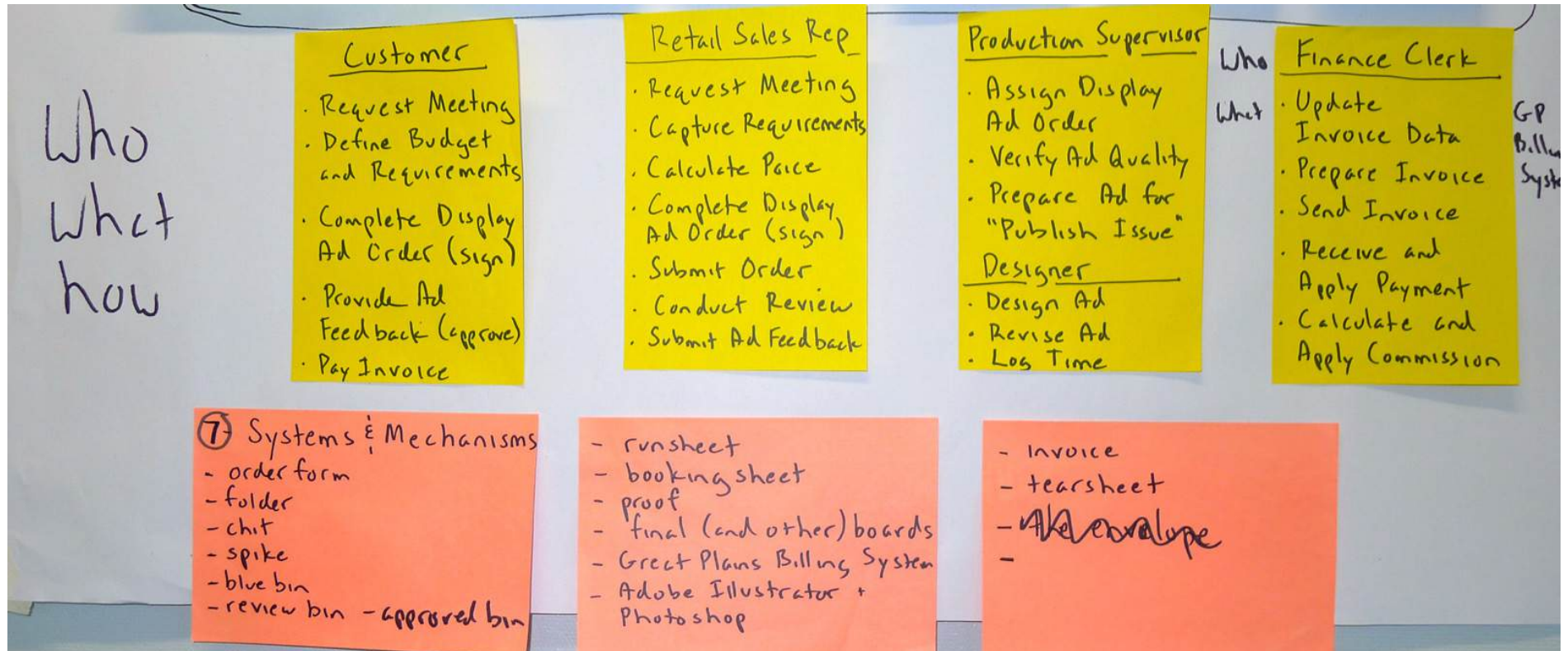
The UnderCurrent: develop Process Scope Model



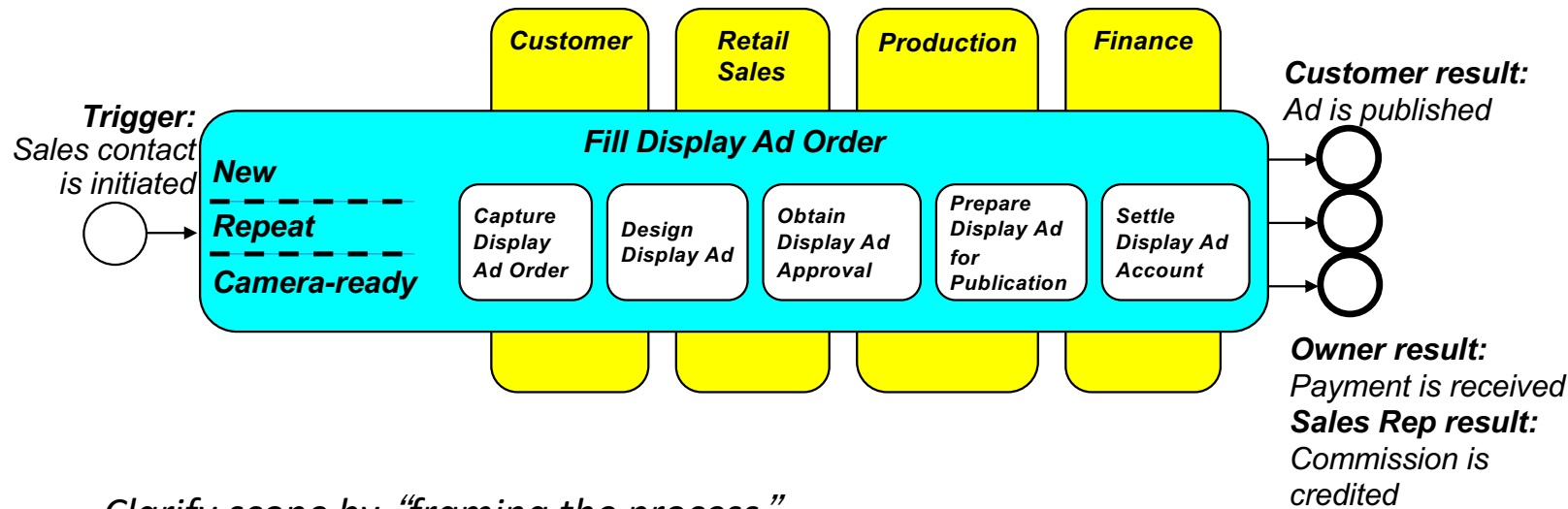
The UnderCurrent: add "who & how" – Process Summary Chart



The UnderCurrent: Process Summary Chart close-up



“Frame” the process before flow modelling



Clarify scope by “framing the process” –

1. Triggering event(s)
2. Result for primary customer and other stakeholders
3. Main activities (sub-processes)
4. Main cases or variations
5. Functions or organisation units
6. Actors and responsibilities
7. Applications, data sources, other mechanisms

↑
essence of the process

↓
**as-is elements of the process,
for clarification**

Exercise – assessment, goals, differentiator

Using the earlier narratives, complete the following:

1. Initial assessment of the as-is process

Stakeholder problems

Customer

Performers

Owner/manager

Others

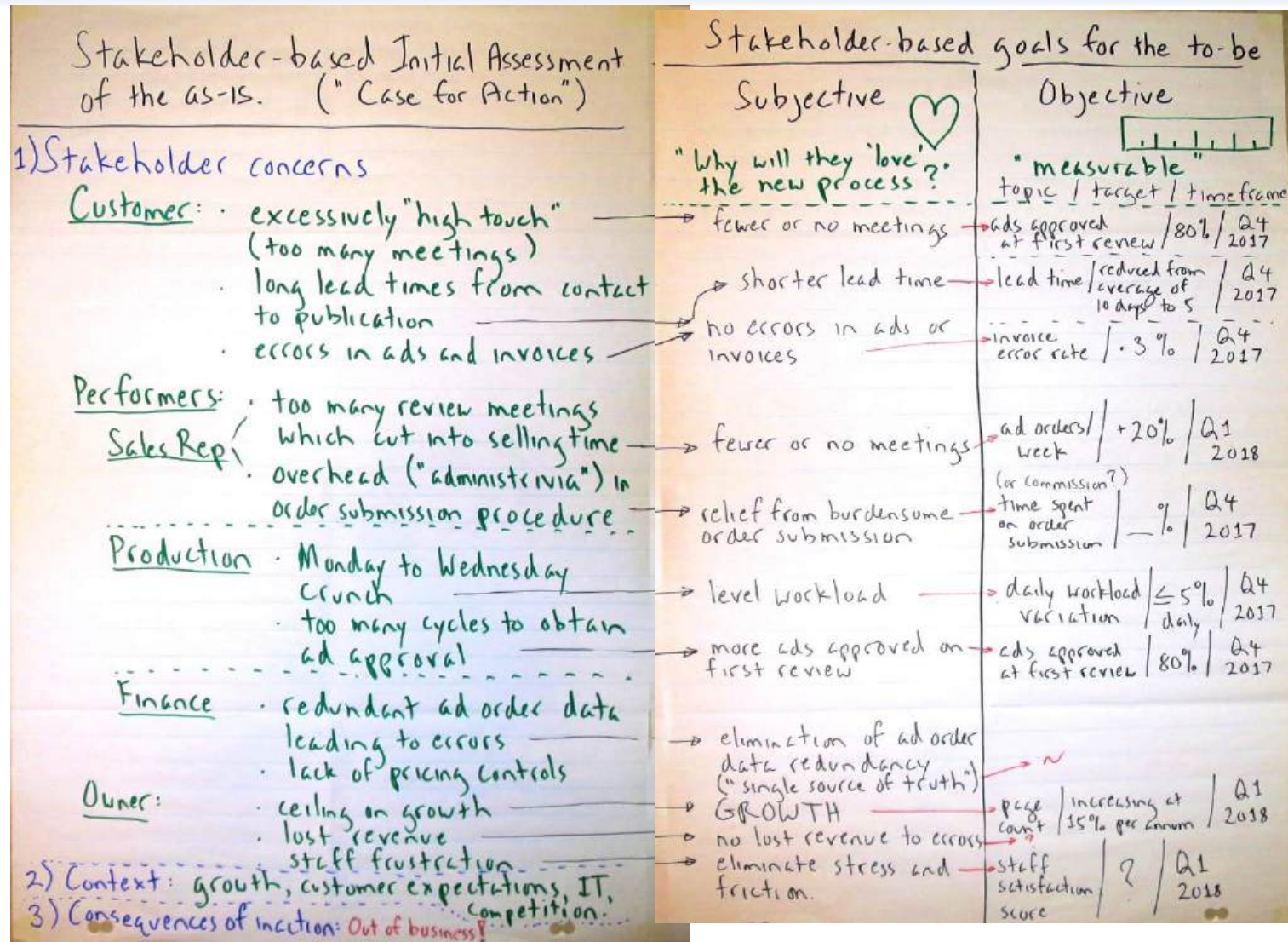
Business context - changes in the environment

Consequences of inaction

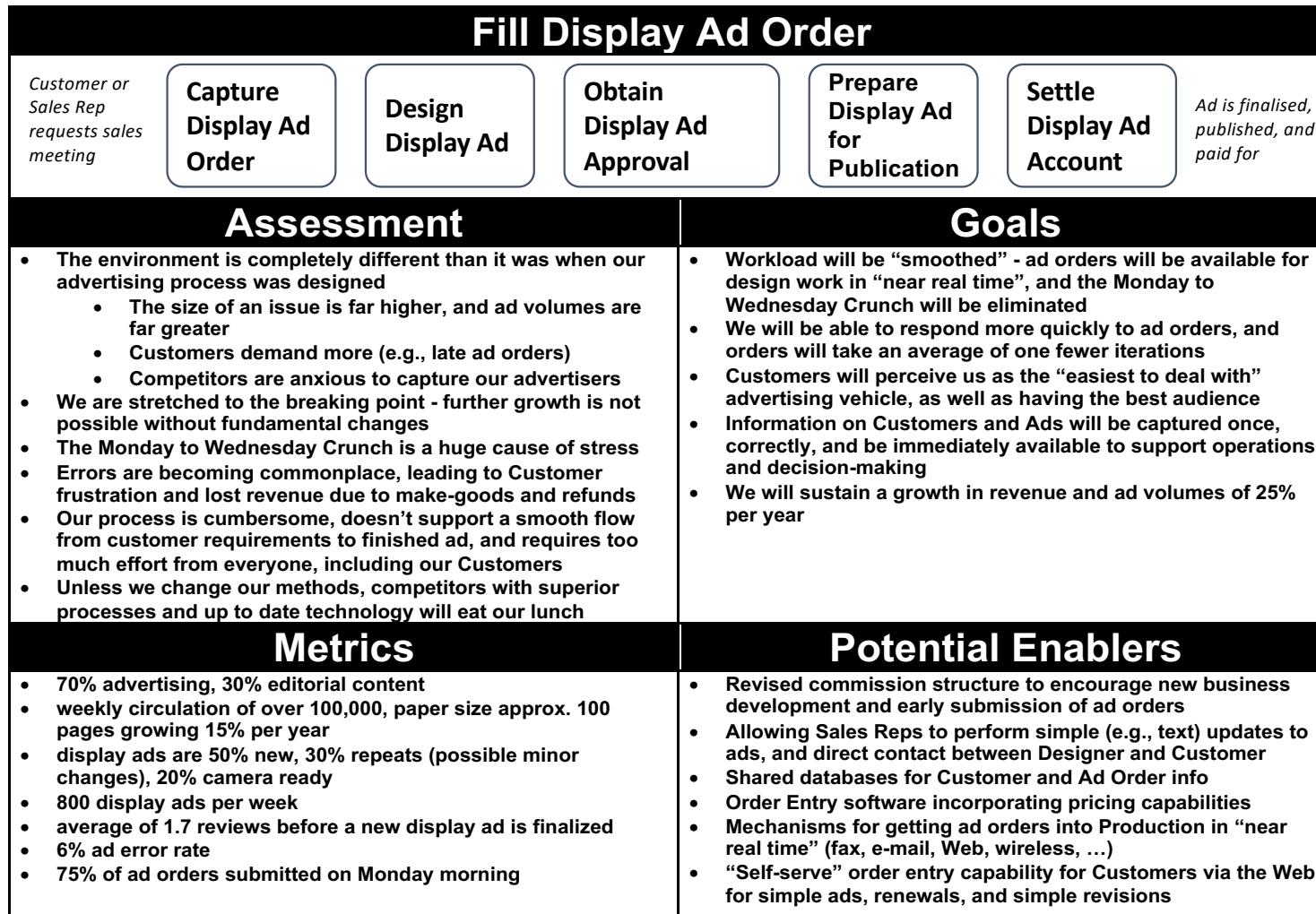
2. To-be process goals, *subjective and objective* (measurable)

3. The process differentiator selected at the UnderCurrent was
Operational Excellence

Example from in-person workshop – assessment to goals



Process summary poster



Exercise for self-study – draw initial Handoff Diagram

Using the *three questions* we learned earlier,
develop an initial Handoff Diagram:

1. Who gets it next?
2. How does it get there?
3. Who *really* gets it next?

The UnderCurrent – draw initial Handoff Diagram

Using the *three questions* we learned earlier,
develop an initial Handoff Diagram:

1. Who gets it next?
2. How does it get there?
3. Who *really* gets it next?

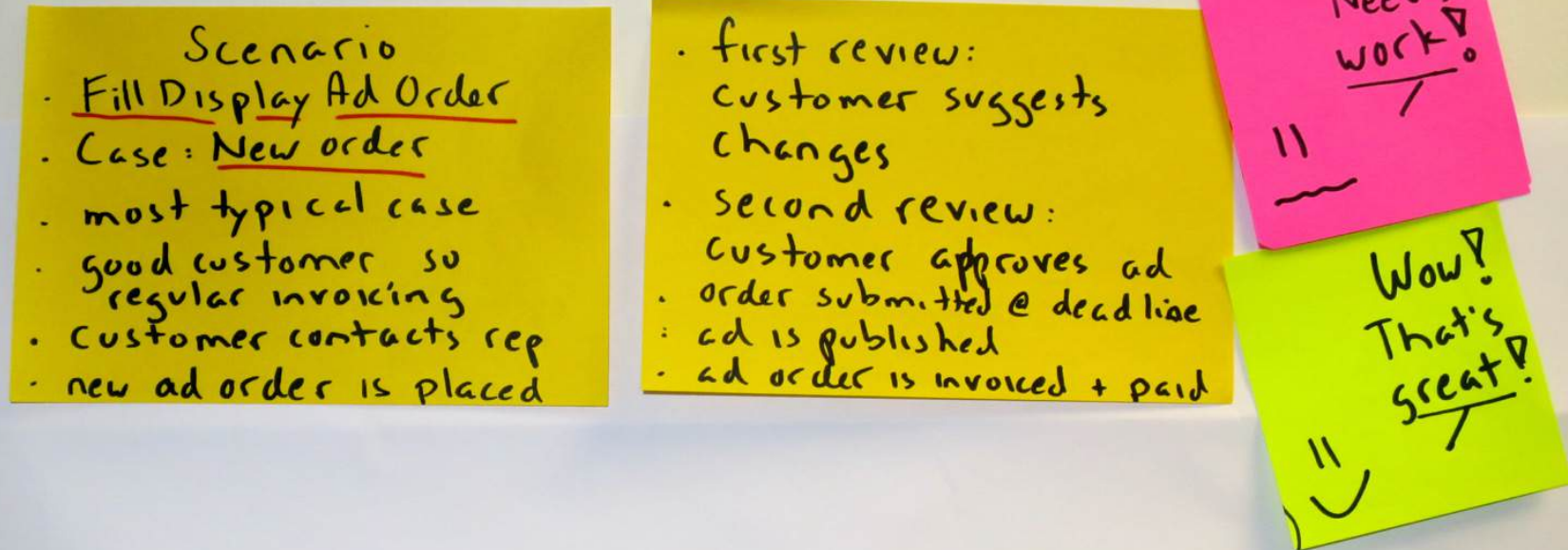
The UnderCurrent –initial Handoff Diagram



The UnderCurrent –initial Handoff Diagram



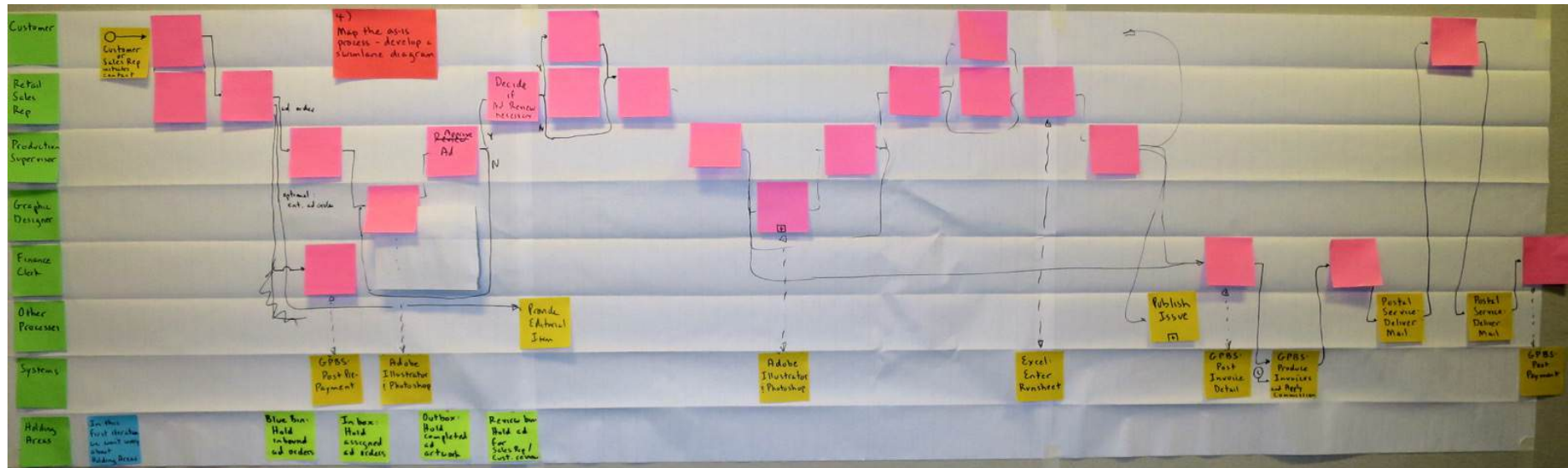
The UnderCurrent –initial Handoff Diagram



The UnderCurrent –initial Handoff Diagram

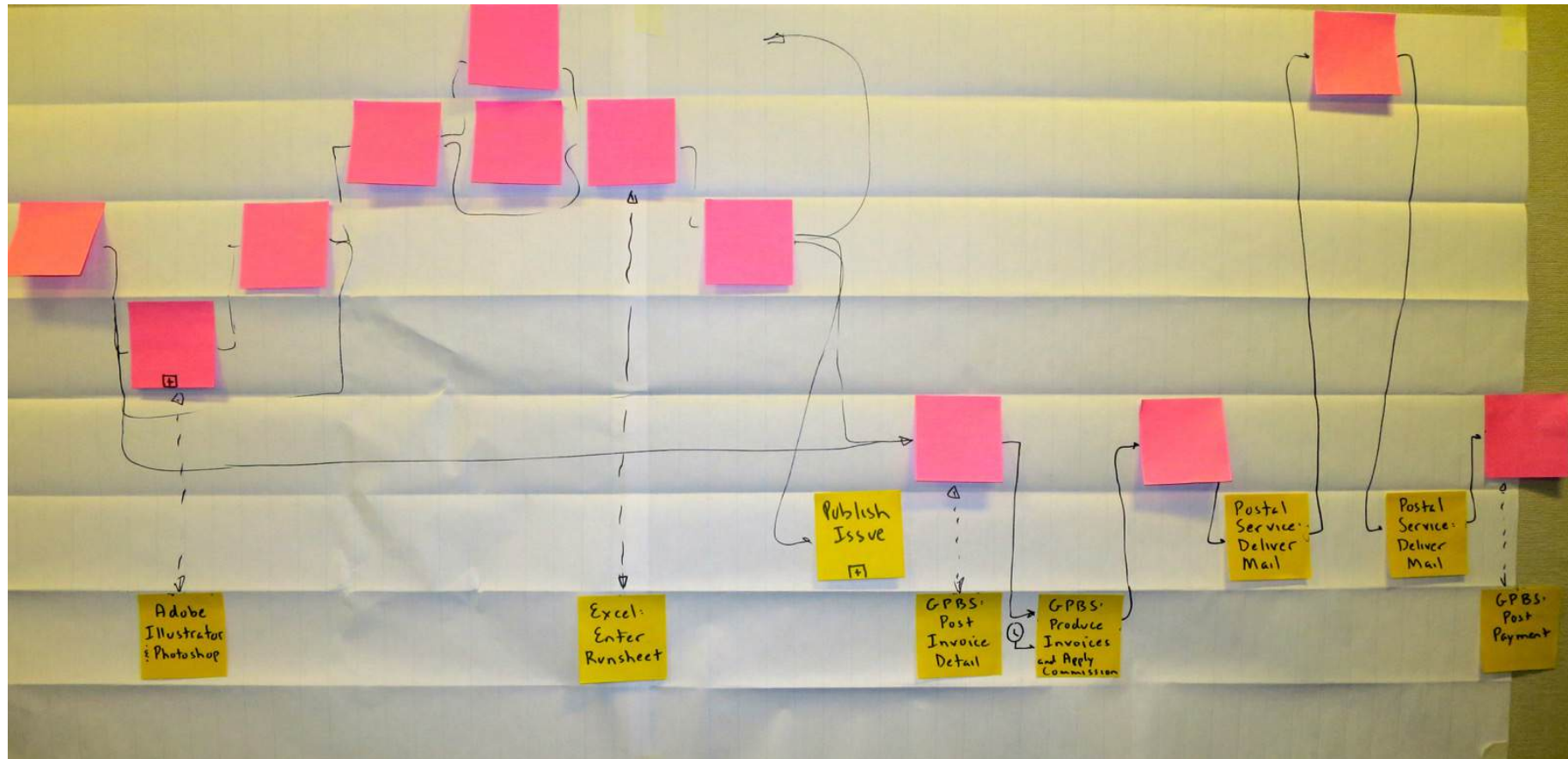


The UnderCurrent –initial Handoff Diagram

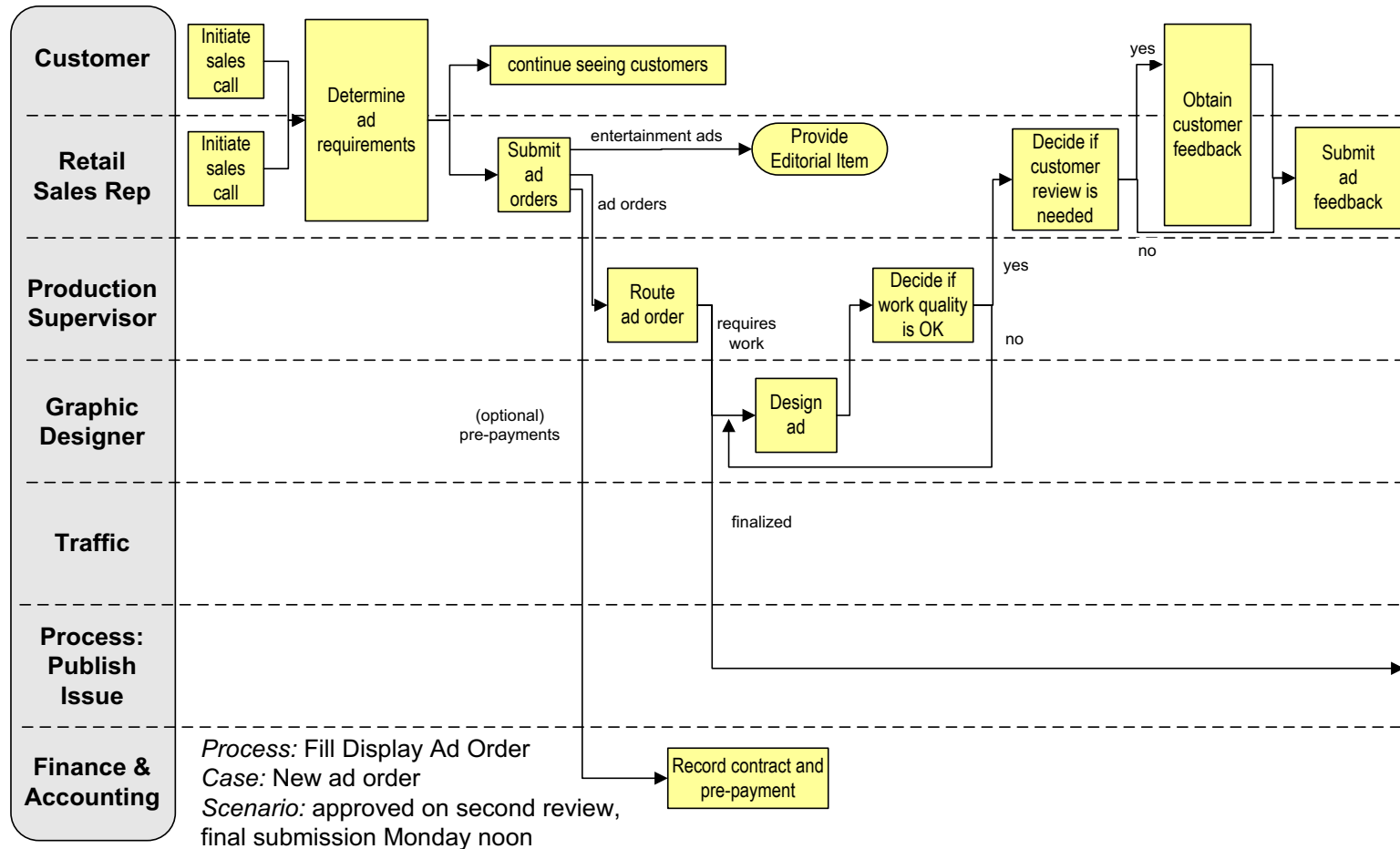




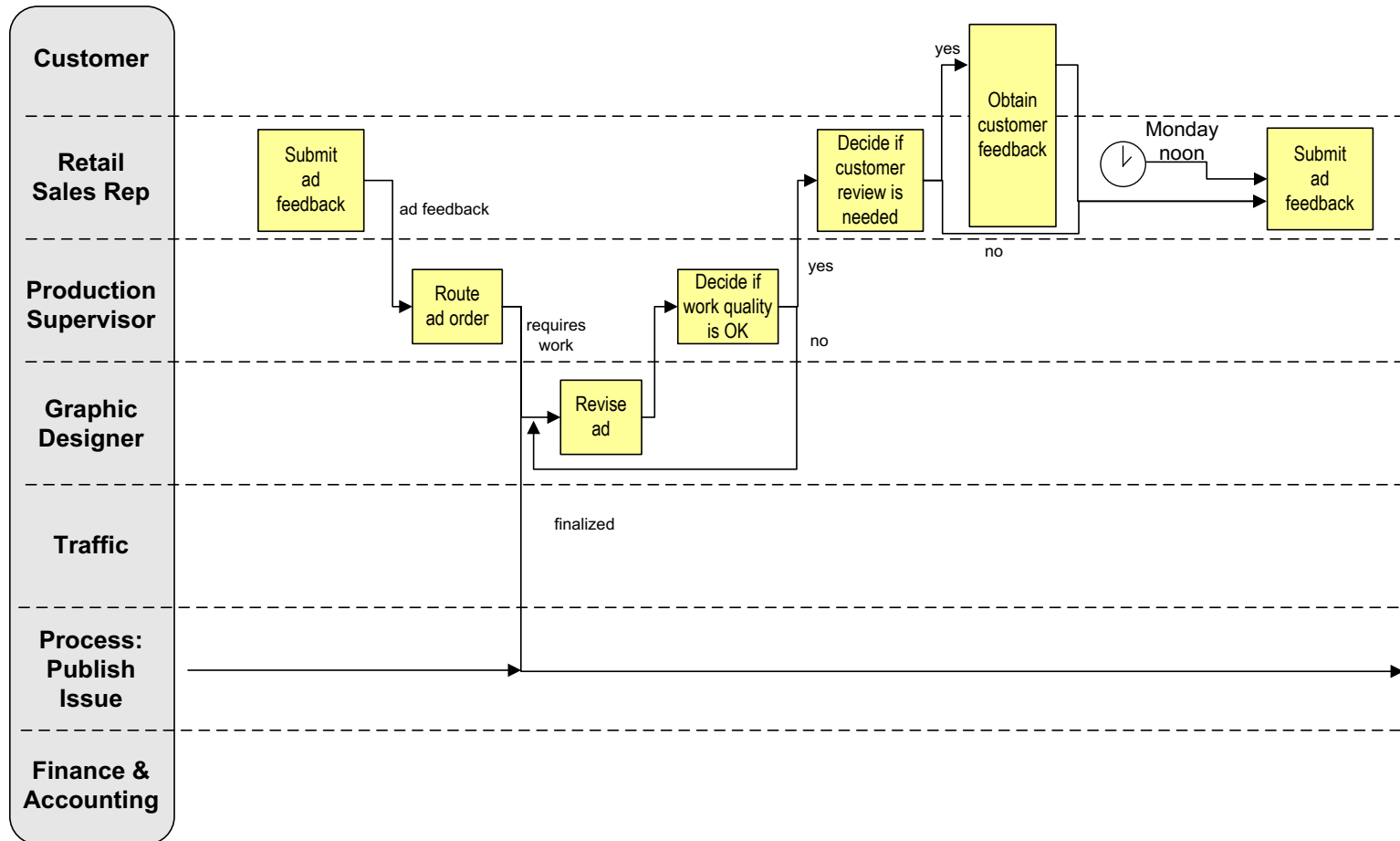
The UnderCurrent –initial Handoff Diagram close-up



The UC: “As Is” Handoff Level Workflow – 1



The UC: “As Is” Handoff Level Workflow – 2



The UC: “As Is” Handoff Level Workflow – 3

