Process Design Manual

Revision 7
November 2021
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Introduction

This Process Design Manual has been written at Sedgemoor District Council as a guide to designing processes within a Digital Transformation programme.
We use methodologies from various project frameworks, including DSDM, Kanban and Waterfall to name a few. We took this stance as we do not believe in a one size fits all solution, instead we took the best parts of our favourite methodologies to work for us and our goals.
The manual is presented as a series of web pages, with links to:

- 'How To' guides and tutorials
- Tools
- Examples

We have created a helpful Glossary of Terms as needed which can be accessed here

This manual is part of a network of documents and plans that support a successful Digital Transformation Programme such as, but not limited to, a Digital Strategy, IT Strategy and Programme Plan(s) This Manual and its outputs will support the achievement of all Programme level plans and strategies.

Why do we need a Process Design Manual?

This manual aims to:

- enable many 'process redesign' projects to run in parallel with minimal direction from the centre.
- ensure that corporate principles are built into digital service design.
- ensure that solutions make best use of the available capabilities.
- ensure that solutions are continually 'tuned' to meet customer needs, and for efficiency gains.

Not just for Sedgemoor

We hope that the manual is of interest to other organisations who are also on a digital journey and therefore the text of the manual does not refer to anything specific to the Sedgemoor context. In particular, the manual does not rely on:

- facilities of a particular 'digital platform' or CRM.
- back-office systems or other technical infrastructure.

- specific partner organisations.

Proposing Changes

The Manual is constantly evolving. You can propose changes and updates here.

Using the Manual

The manual covers the following scope:

- General Information relating to all Project Stages
- Foundations
    - selecting a theme and a set of processes to review within that service area.
    - creating the Design team
- Discovery
    - understanding customer needs
    - setting expectations
- Alpha
    - proposing a new set of processes
- Beta
    - trialling new processes
    - reviewing feedback
- Live
    - launching new processes
    - business as usual
- Improve
    - continuous improvement
    - measure and learn
- Glossary of Terms

Suggested Tools

There are several tools that we use successfully to support the tasks detailed in this Process Design Manual throughout the project lifecycle. To view a list of the Suggested Tools to support your journey click here

Timescales of each stage and Planning for the next

The Transformation Programme encourages each service-led design team to organise its work into Themes which can be looked at in bite-size chunks. So, rather than try to transform a whole service area, the Theme approach can break that down so that we can introduce improvements swiftly. Setting the Theme or Themes is done in the Foundations phase. Getting the Themes right will enable the design team to progress through the phases of process redesign in the timescales suggested here. In Agile Project Management these phases of work are referred to as a timebox.

A plan for resourcing, meetings, and work to be done should be made after each successful passing through a Gate Meeting before moving on to the next stage. This plan is to be completely swiftly and agreed between the Change Agent and Project Manager. Once timescales are agreed the subsequent Gate Meetings are booked to

provide a focused chain of communication between the Design Team and Transformation Programme.

Agile Project Management basics

The agile philosophy concentrates on empowered people and their interactions with early and constant delivery of solutions.

Agile project management focuses on delivering maximum value against business priorities in the time and budget allowed, hence why it is important for us to adhere to the timebox delivery. Principles include:

- The project breaks a requirement into smaller pieces, our themes, which are then prioritised by the team in terms of importance.
- The agile project promotes collaborative working, especially with the customer.
- The agile project reflects, learns, and adjusts at regular intervals to ensure that the customer is always satisfied and is provided with outcomes that result in benefits. We refer to these as Gate Meetings.
- This approach also ensures through set timescales the projects remain on time and stay on budget.

Stage 1 Foundations

Timescale to first presentation at a Gate Meeting: 2-3 days or 1 week maximum for this timebox to cover all themes within the project.

Stage 2 Discovery

Timescale to first presentation at a Gate Meeting: 2 weeks

If time allows the Design Team is encouraged to take parallel themes through discovery at once if quality is not diminished with speed. This means if potentially the same stakeholders or customer groups need to be engaged for research it is done in one go as opposed to multiple engagements over a longer period.

Stage 3 Alpha

Timescale to first presentation at a Gate Meeting should be broken into a maximum of 3 x 2 week timeboxes

If the Design Team are confident that they can complete the workload for Alpha in less timeboxes then this is encouraged and preferred for speed of solution delivery. The Design Team can decide which tasks they will deliver in which timebox, but the above linked document can be used as a guide.

Maximum total time to reach Beta on the first round = 9 weeks

Potential thereafter if Foundations and Discovery is done for all themes in one = 6 weeks

Stage 4 Beta

The timescale for Beta is very much dependent on what the deliverables are from Alpha.

Once passed Alpha Gate it is advisable to hold a meeting with the System Developers that will be involved in any potential build work to discuss a plan for the features list and agree achievable timescales.

Stage 5 Live

The timescale for Live is very much dependent on the product being delivered and how impactful the go live may have on the end user.

Once the implementation strategy for live has been produced this will give a clear timescale of such per delivered product.

Gate Meetings

This manual defines a number of ‘gates’ in the form of meetings where the Design Team will report to the Project Team. Think of this as your garden gate, it is a chance to check the work done so far and approve so you only open your gate and let pass what meets the Business vision. The outcomes of each Gate Meeting could be either;

- the project will sign-off and ask the team to continue to the next phase
- the project will ask for more information and ask the team to re-submit
- the project will ask the team to pause, or stop activity

If more than one theme has been identified then it is encouraged to break down the overall project scope and follow this process for a prioritised theme, or small group of themes, to keep the deliverables moving at a quicker pace rather than taking all themes through at once which could potentially slow the project down.

To avoid delays in the project it is advisable to book the Gate Meetings as soon as reasonably practicable. This could be at the beginning of each project or at least at the end of each passed Gate Meeting, the next can be booked and agreed. This ensures all relevant parties are aware in advance.

Finally for adequate governance it is suggested that an End of Gate sign off sheet is completed by the Project Manager to detail any key points of discussion and the fact that all work was signed off by attending relevant parties before the teams move ahead to the next stage.

Reports and Checklists

At each Gate Meeting there are various reports that are presented to ensure a consistent and detailed approach. We at Sedgemoor District Council collate the reports for all Stages into one Excel Document. Which we call the Design Report.
A template of this reporting document can be found here for guidance, detail on each of the reports needed to be completed at each stage can be found in the coming pages of this manual.

We also use a checklist prior to each Gate Meeting to ensure that each required document is completed to an acceptable level. Just like the Manual itself, this checklist is constantly evolving as we go through projects based on our needs and requirements. You can find the Checklist within the Design Report.

Benefits Realisation approach

To enable to successful identification, reporting, measure, and realisation of Benefits it is important that we view Benefits Management from Project Initiation through to Post Go-Live. Please read the Benefits Management Framework for Sedgemoor District Council here. It contains clear and guided information on how the Benefits Management approach aligns with this Manual as well as Document Templates for all stages.

Validation Check Points for Development

After each Alpha Gate it is important for the Design Team to pause and review work done so far to ensure that some of the available detail needed once we reach any potential development is recorded before they move on to the next theme of work, especially if Beta work with the Systems Developers will not be taking place straight after Alpha. We then suggest a further Validation check point with the System Developers between Alpha and Beta to ensure that any further technical detail required is highlighted. A plan between Product Design and Process Design can then be formed to fill in any information gaps identified that are required to produce the desired solution. This ensures that timescales of work can be accurately scoped at early Development stages and also allows us to realistically manage the expectations of the Customer both in terms of Solution Deployment but also the involvement needed during Development and Testing phase as a whole.

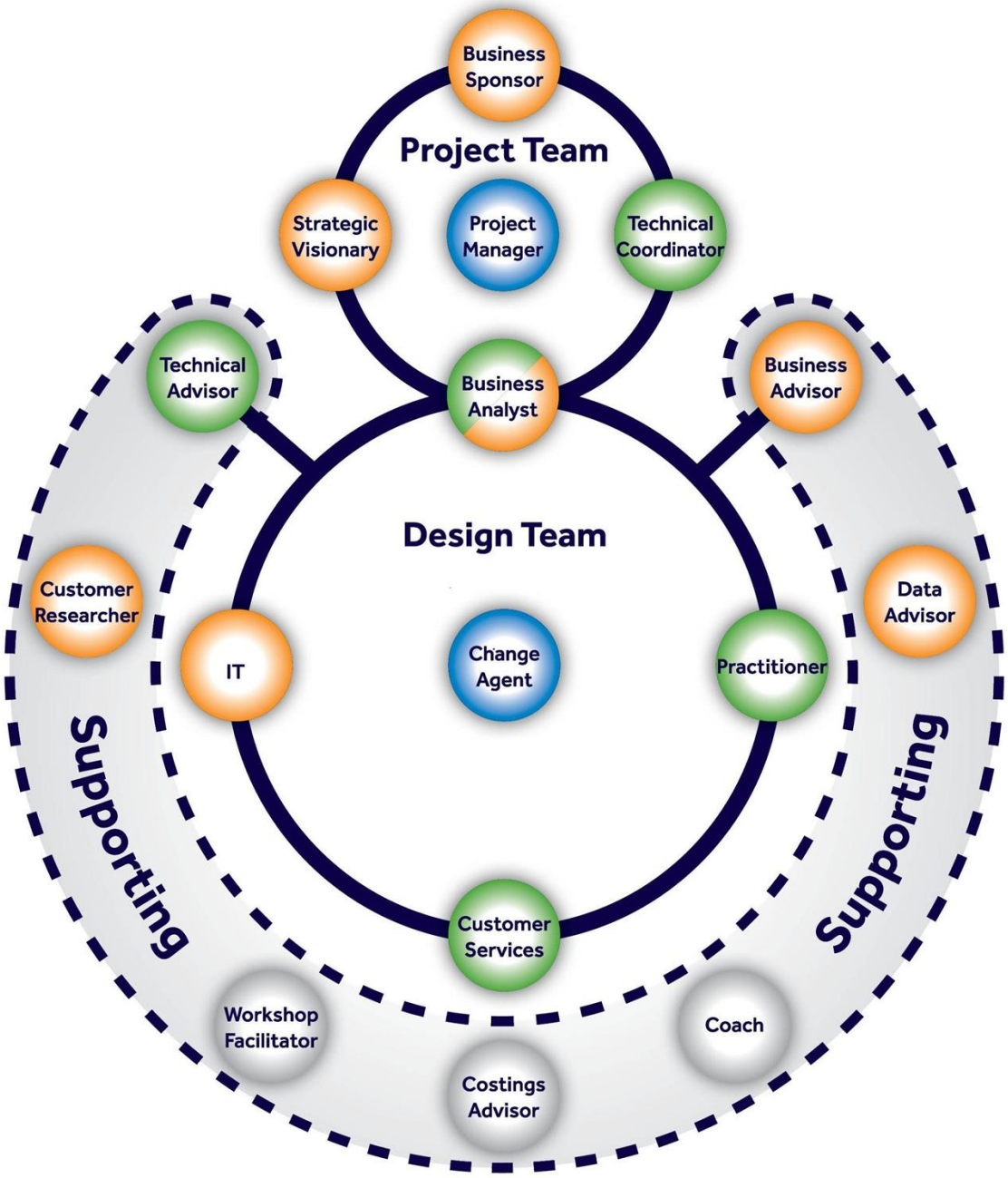
Internal review of Process Design Manual

In addition to validating work done so far, after each Gate Meeting the Business Analysts will conduct a review of how well the Process Design Manual and its objectives have been understood and adopted so far by all those involved in the project. Feedback in the form of Lessons should be sent to the Process Redesign Manager who can review and escalate to the Programme Manager as needed.

Creating a successful Design and Project Team

The business unit will bring together a team to perform the redesign. We use the below model, which is derived from the DSDM Agile method at Agile Business.

Again, we have taken the principle and created roles that work based on our goals and requirements.



A link to our Introduction to working in a Design Team Leaflet can be found here

Typically, the team will include roles representing the following:

Change Agent	To lead the team, and champion transformation principles
Practitioner	As the subject-matter-expert
Customer Services	To champion the needs of the customer
Business Analyst	To capture requirements and propose solutions
IT	To propose how technology could be applied

The expectation is that the Change Agent will bring the team together for an initial ‘conversation’ at the start of each phase, followed by individual or group work for team members, and then the team comes together again at the end of each phase for a final conversation and to support the outputs of that phase.

You can find a more detailed breakdown of what each member is expected to do here at Sedgemoor District Council within this Roles and Responsibilities document

There are advisory roles within the team available as needed, but they do not need to be involved at every step. These are:

Coach	Advising on how to use this manual, and Agile working in general
Business Advisor	Advising on the business vision, and corporate principles
Technical Advisor	To advise on technical issues, opportunities, and restrictions
Data Advisor	To provide assurance for Data Protection, use, handling and sharing
Costings Advisor	Advising the team on any costs within proposals
Customer Researcher	To provide capacity and methods for conducting and analysing customer research
Workshop Facilitator	To facilitate workshops that bring in other stakeholders and bring a neutral approach to ensure that all views are heard.

Workshops

If needed an appointed Workshop Facilitator can assist with organising and running any workshops that are required, during the project as mentioned in the advisory roles above. This is a discussion held to solve a problem in the project, build a plan, gather requirements, or make decisions. The Workshop should be viewed primarily as an opportunity to get feedback from stakeholders, the rest of the end users outside of the Design Team or partnered authorities for example. A workshop is not always a means to a decision and should be encouraged to produce a collaboratively effort.
The Workshop facilitator is always someone not directly invested in the project, so they are impartial.
If the potential need for a workshop is highlighted at Foundations, then it is advisable that the workshops are booked in as early as reasonably practicable to avoid delays in the project later down the line.

Working with the Transformation Programme

The Transformation Programme will have established a number of Agile projects, one of which will focus on 'Process Redesign'. Other Agile projects may focus on topics such as 'organisational change', 'technical implementation' and so on.

This 'Process Redesign' project will have roles for:

Business Sponsor	The person responsible for delivering a complete set of redesigned processes, meeting the corporate vision
Project Manager	A person who is managing a 'pipeline' of activity within redesign teams. This will not be about 'hands-on' project management within each team.
Strategic Visionary	A person to ensure that the businesses' strategy and vision are being met.
Technical Coordinator	A person to ensure that outputs fit with the 'Solution Architecture Definition'

Introducing this process to each Business Unit

It is imperative to the success of each project that it is correctly introduced to the Business Unit as well as to those who will be directly involved in the Design Team.

We like to avoid the separation feeling that can come from taking the key roles from each Business Unit to complete the design team by ensuring that all of those not given a direct role still understand their part to play is as important and how they fit in to all of this.

Initially either an Introduction presentation with low detail is held to the entire Business Unit. This is intended to explain what Process Redesign is and how this will impact them.
The presentation is designed to be short, easy to follow and upbeat! This is an exciting journey we want everyone to come with us. Alternatively, we have short explainer videos available for the Business Unit to watch at their leisure.

After the initial introduction, a workshop is advised where the Business Unit is guided by a Coach to start the conversation over what potential themes and processes could be that the Design Team look at as well as any pain points they might have with current processes.
By holding this collaborative meeting, it enables a strong foundation to be built whereby the whole Business Unit is engaged and fully understands what is about to happen.

Finally, we either hold a Kick-off meeting whereby more detail is presented over the first two stages and this will only include the Design Team and Project Team, not the entire Business Unit. The Business Analyst can discuss the potential themes and pain points that came out of the previous workshop so that the Project Team is confident that a good base has been explored once the team is waved off to begin their journey in Foundations.
Alternatively, we have explainer videos available for the Design Teams to watch together per project stage

available on our intranet.

Foundations

Setting Themes and identifying Triggers

The Programme will ask a business unit to consider breaking down the overall project into themes. Within each theme there will be ‘triggers’ and ‘processes’

The Design Team will construct themes in Foundation to apply clear focus for the project, taking the overall goal into bite size chunks. Triggers are defined as what starts the process, such as what happens when you must respond in some way. The response steps are then the process. Each process could potentially have multiple triggers.

Example themes and triggers:

Theme	**Triggers for Processes**
Car Parking	● finding a car park. ● finding a car park space. ● paying for a space. ● raising an excess charge. ● paying an excess charge. ● appealing a fine.
Lost Dogs	● reporting a stray dog. ● caring for a stray dog. ● reporting a lost dog. ● re-uniting a dog with its owner.
Abandoned Vehicle	● reporting an abandoned vehicle. ● checking if a vehicle is abandoned. ● Removing an abandoned vehicle;

The ‘Theme’ should be set, so that:

- a customer with a ‘need’ will find that their experience with the council is fully digital
- as few processes as practical need to be addressed
- a common set of stakeholders need to be engaged.

For example:

- The theme of ‘Licencing’ is too general, as all types of licences, and their processes, would need to be considered.
- ‘Taxi Licencing’ would be a good example, as the customer that needs that service, is unlikely to coincide with another type of licence, say a ‘Dog Breeding Licence’.
- ‘Applying for Licence’ online, without also being able to ‘Renew a Licence’ online, would not be a fully digital service.

Processes for a Theme

To establish a set of processes for a theme, consider the ‘triggers’ that require a response. Each ‘trigger’ will then need a process to cover it.

Triggers could include:

- report from a customer
- follow up contact from a customer wanting an update on their case
- customer gives more information to an existing case
- actions initiated by the council as a part of an existing case

At this stage, the list of triggers need not be finalised. These can be adjusted in the Discovery phase and are actively reviewed at the beginning of Alpha.

Triggers can be prioritised using the MOSCOW approach, to indicate which processes will be addressed

M	Must	This process will be redesigned
S	Should	This process should be redesigned
C	Could	This process could be redesigned if there is time
W	Won’t (this time)	This process will not be redesigned in this project. It will need to be picked up in a later project.

Once the Themes and Triggers are set and prioritised, you may decide to focus on the most urgent themes first as opposed to tackling all at once.
This ensures that the most vital themes are dealt with sooner and the Service Area will see benefit realisation at a much quicker pace.

Finding Stakeholders

The business unit driving the design may require the ‘buy-in’ and participation of other stakeholders. Stakeholders could be:

- other business units - such as
    - Accountancy
    - Legal
    - The Senior Information Risk Owner (SIRO)
    - Members
- other organisations - such as
    - Police
    - Social Care

The team should consider how ready each stakeholder is to engage and ask the Transformation Programme to help make contact if necessary.

Gate Meeting held after approx. 1 week > Foundation Findings and Presentation

Discovery

Understanding customer needs

Audience groups that typically use the process

The team will consider a high-level categorisation of the typical users of the service. This might be useful when grouping themes or monitoring the well-being of those groups.

Understanding the typical needs and circumstances that lead to cases being raised for a process

The team will consider the needs and circumstances that typically cause a customer to use a process. At this stage these can be as understood by the practitioner rather than relying on research or interviews with actual users.

Needs can be captured once for the Theme, whereas circumstances could be captured for each trigger.

For example:

Needs	• Freedom from crime/fear of crime • Mobility
Circumstances	• Disabled • Tenant

Related processes and services from Business Units and Other Organisations

The team will consider which other organisations a person with these Needs and Circumstances may also be engaging with as a part of the same episode. This may suggest that data could be shared, or a joined-up approach to solving a need.

For example, if a person has moved into a property in the area, which other organisations do they need to inform?

Proposals for reducing demand

Some needs and circumstances describe a ‘vulnerability’ for which an early intervention could head-off a later use of reactive services. The team will consider what steps could be taken that might reduce the demand for the theme.

Customer Research

As the Customer or Service User is at the heart of every change we make, we must make sure that their ideas and thoughts are collected to drive the decision-making process.

The team may refer to existing research, or conducted new research, to evidence:

- The emotional journey of the customer
- How customers feel about the current provision
- What are other relevant and similar sized organisations doing and how do we compare

The research should be referenced, and useful conclusions drawn out.
To ensure there is enough meaningful research completed we expect to see a 25% return rate on any research conducted. There can be more than one type of research conducted as the quality and scope is important to gain a true understanding of what our Customers or Service Users want or need from the Service we are redesigning.

For an example of existing research, London Borough of Southwark have recently commissioned a report to understand how customers would like to report pest control enquiries - see https://pipeline.localgov.digital/wiki/149

Some types of research to consider conducting with your target demographic.

- Online Surveys
- Face to Face Interviews
- Telephone
- Email
- Street Canvassing
- Booked appointments / tours of peer organisations

Customer Pen Portraits

The definition of a Pen Portrait is an informal description of a person or group of people - this may cover age and other 'hard' variables but will focus on softer dimensions such as attitudes and lifestyle. We have created a Corporate Pool of Pen Portraits available for our Design Teams to use.
These can be useful within Process Redesign Projects to help:

- Identify the Customer Groups of a particular service or process
- Ensure core Customer groups are included in the Customer Research and contacted in a way that is meaningful to them
- Assist the Design Team in connecting to their Customers Needs when reviewing processes in later stage to ensure no customer is left behind and any proposed solutions will work for all

Suggestion for use outside of Process Redesign Projects can be found here

Working up ‘user stories’ from various roles to illustrate the requirements

The team will consider each of the identified stakeholders, and have one or more sessions with each, to hear and capture their stories.

It is important to remember that we are gathering the stakeholder’s needs without promising or providing solutions at this stage. This is so we can build a picture of requirements for consideration when the conversations turn to how we can improve the process.

‘User stories’ take the form of

- As a … {role}
- I need … {requirement}
- so that I can … {goal}

Some of these roles and stories will have already been established by other teams, so these should be re-used rather than re-invented.

Customer research may have drawn out stories for the customer, which should be added at this stage.

Volumes and Usage profiles

The team should estimate, or gather available metrics that describe how the processes are currently used, including:

- Throughput - i.e. number of cases
- Channels - i.e. how customers access the service
- Profile - i.e. times of the year when the processes are popular, or spikes in when they are used.

Performance

The team should access the current performance using existing evidence where possible, either from available data or KPIs set by Management, to demonstrate how well the current processes are working.

This data can then be used along with the Customer Research of other organisations as well as the current Volumes and Usages to ascertain how we currently compare performance wise

Expectations

Adopting Principles

The Transformation Program will have set some principles that should be adopted consistently for improved processes. The team should indicate how/if each principle might apply to each process.

Volumes and Usage

The team should set some expectations for a transformed theme, highlighting:

- Channel Shift
- Reduced Failure Demand

At this stage, the team does not need to consider efficiencies from an improved process.

Gate Meeting held after approx. 2 weeks > Discovery Findings and Presentation

It is now time to report to the Project Team with the next Gate Meeting.
The findings from Discovery can be made in a presentation covering:

- Audience Groups and their needs
- Proposals for Reducing Demand
- Customer Research

- User Stories
- Volumes and Usages Profiles
- Performance and how this compares to Customer expectations or our peers
- Document key learning from Discovery to focus on during Alpha

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Validation and Review Check Point

Undertake the Validation and Reviews mentioned at the beginning of this document.

Alpha

Due to the bulk of the work occurring during Alpha, we deliver the work required in sets of 2-week timeboxes. This allows for the Agile Project Management philosophy to enable project planning with set timescales of delivery and interaction with Systems Developers.
You can find a list of all the tasks detailed in this section broken into 2 week timeboxes here

Review the triggers for the theme

The team will ensure that all triggers for the theme have been identified and refine them if necessary. This might be via a workshop for 'Customer Journey Mapping', which might draw out hidden processes. There also may be some processes with multiple triggers.

For example, a 'Lost Dog' theme may have triggers for:

- I have lost my dog.
- Have you found my dog yet?
- I have found my dog.
- I have more information about my lost dog.
- We have found your dog.
- Please pay for the cost of returning your lost dog.

The result will be a complete set of triggers, each of which will need to feature in a process.

Gather current metrics

An estimate of the number of cases, channels etc for each process was captured in the Discovery phase at the Volumes and Usage Profiles. The team should now gain more confidence in these metrics by digging deeper to make them more of an accurate representation where possible. This might be via a short period of capturing extra information as customers are served.

Establishing the legal basis and local policies

For many themes, there will be specific powers and/or duties that enable the processes to operate, and/or constrain what can be done. These should be listed.

Similarly, local policies may add further rules that need to be accounted for in the design.

Powers, duties, and local policies come together to define the constraints and rules that a new process must work within.
For example:

- a local policy may say that we won't collect rubble
- legislation may require that we give someone at least 12 days' notice before we remove an item.

Tools to find a legal basis for a theme.

Process Mapping

The Business Analyst will lead workshops to capture the '*as is*' processes (except for new processes) and propose new '*to be*' processes.
The Design Teams main purpose is to redesign the processes, they do not go into the technical detail that a Solutions Developer may need to build and deliver the solutions they are proposing. To mitigate the risk for delay when engaging with the Solutions Developers at Beta, we engage a Technical Business Analyst as the Design Team begin mapping their 'to-be.'
This means that the Technical Business Analyst can map the more detailed steps and information that the Systems Developers may need to build a potential solution at Beta. The Design team may propose more than one '*to be*' process where there are options.

Process maps are made up steps including

- activities
- decisions
- events
- wait times

Each step can have an associated cost and time.

For each process, there will be an optimum path, which is the desired sequence that leads to a satisfied customer, and low cost. The mapping should also capture how the process can deviate from the optimum path.
For example:

- the customer has not provided all the information - need to ask for more information
- we have run out of a commodity that is necessary - need to order more before we can continue

The team should consider each step, and ask, 'how can/does that go wrong?' 'how often does that happen?' 'what do we do when that happens?' and those that are significant should be recorded as further steps on the map, together with % likelihood.

The 'to be' maps and the ideas within them are a collaborative effort between the Design Team as a whole. The

Business Analyst will bring the teams ideas to life by building the ‘to be’ process map.

By Alpha Gate, each step on a ‘to be’ map, should be tagged with:

- whether it is Value Add, Essential Non Value Add or Waste, with the reasoning why the step remains if it is considered with Essential Non Value Add or Waste (see LEAN in engage modeller for more information)
- the persona that will carry it out
    - The Transformation Programme can advise on notional costs associated with each persona
- the capability necessary to support it
    - This may include integration to a computer system

The ‘as is’ and ‘to be’ processes can be simulated, using the volumes identified earlier, to produce indicative:

- costs
- times

The result will be:

- graphical process maps
- metrics for improved costs/times

Some useful Training and Best Practice Guides for Engage Process, which is the preferred tool of choice for Process Mapping at Sedgemoor, can be found here and here. Both documents were created by staff members.

Learning from the Process Maps

Capture blockers and dependencies assessing their impact – leading to a business case for change.

Some improvements to a process might not be possible due to a ‘blocker’. We encourage our Design Teams to use strong innovation in their approach, so blockers are likely and welcomed to challenge our current ways of working.
Blockers may include:

- Computer system restrictions
- Lack of a Capability
- Legal restrictions
- Data unavailable
- Incompatibility
- Partnership
- Working practices for other departments

The team should note blockers that they come across and report them to the Project Team.

However, the team should not wait to have the blocker dealt with. The process redesign should continue without the blocked improvement. It is then up to the Project Team to track and assess the blockers to plan when, and if, the blocker could or should be dealt with.

Dependencies

We also ask that our Business Analysts highlight any dependencies being assumed in order to provide their to-be process.
For example, if a new process is dependent on a certain piece of equipment being procured or another workflow changing their methods then this is not a blocker but a dependency.
It is then up to the Project Team to decide if the dependencies can be realised and therefore achieve the to-be process.

The difference between a blocker and a dependency is that a blocker stops play – you cannot move any further with your idea because of a major flaw. A dependency is something that may not be available yet or decided yet, but it is expected to be made available for the process to be delivered.

Assess risk decisions, and propose mitigations

Proposing a new process, with new ways of working, which is better for the customer, and more efficient, may introduce risks. Some example risks may be:

• Fraud	e.g. a customer may intentionally give incorrect information so that they are provided with a service that they do not qualify for.
• Privacy	e.g. we might disclose information to a person who does not have a right to it.
• Accuracy	e.g. we might provide incorrect information or decisions if our information, or that of our partners, is not accurate, or up to date.

The above list is not exhaustive of all potential risks. Risks that might be introduced by an improved process should be listed and quantified, together with proposals for mitigation.

The decision to accept a risk, can be referred early back to the Digital Transformation Programme.

Lean Thinking

The Business Analyst should use LEAN thinking throughout the process mapping to:

- highlight the Value-Add tasks for the customer, the business, or the task at hand
- reduce steps that do not add value to the customer, the business, or the task at hand, and are therefore waste
- highlight the Non-Value Add Essential tasks within the process and challenge whether they are still relevant

We define Value Adding tasks as those that directly add value to the customer, the business, or the task at hand. These are steps that are imperative and non-negotiable to provide the level of service we want to achieve, so

therefore it has a value to the customer or the business.

Non-Value Add Essential tasks are those that need to be done to enable a Value-Add task to take place and are commonly imposed by legal or regulatory reasons. All other tasks are considered waste.

We want to work towards reducing the waste and challenging the Non-Value Adding Essential tasks where possible to therefore result in a more efficient process with an established Value stream for the customer and the business visible.

To ensure that all stakeholders are engaged in deciding which tasks are Value Add, Essential Non-Value Add or Waste it is advisable that the Business Analyst and Change Agent hold a workshop with the end users of this process. However, this should be a conversation at pace as you will be potentially going through reasonably large process maps, so it is advisable to have a high-level decision maker present who can have final say if any disagreements occur.

To help the workshop attendees understand what may be classed as waste tasks there is this infographic available, alternatively a handy check sheet in excel. (Both resources obtained from Go Lean Six Sigma.

Selecting Personas

The team will consider which 'personas' are best placed to carry each step. Personas can be chosen from a list defined by the Transformation Team. We use the personas to ensure that the channel shift needed is happening between the 'as-is' and 'to-be' as well as having costs associated with each persona to help build the overall cost savings.

Choosing a Persona

Selecting Capabilities

The Digital Transformation programme will have put in place a set of 'Digital Capabilities' which are to be used when improving processes. Examples of Digital Capabilities may include:

- Content Management
- Identity Assurance
- Online Forms
- Consent Bank

The team will consider which digital capabilities can be applied to steps in the 'to be' process maps

Choosing Digital Capabilities

Tasks (both human and digital) APIs and methods

Some parts of a process may be repeated in other themes and processes.
For example:

- taking a booking
- making a payment

These sub-processes will form a list of reusable tasks and they should be recorded. A suitable task may already have been defined in a previous project. These should be mapped separately and included as a step in each map that applies for efficiency. Here is how we do it

For those tasks which are accessed digitally:

- the API should be referenced. If an API does not exist but will be created as a part of the process improvement, it will be listed as a dependency.

For those tasks that are carried out by a business unit:

- a brief definition of the service required will be created, and listed as a dependency

Handling Information

Information requirements

Most steps in a ‘to be’ process will require some information as input and will create some information as the output. These inputs and outputs are treated as ‘documents’ which contain data items. To ensure that we are using data efficiently and legally, we ask that the creation and movement of documents occur during the processes.

Documents used by processes should be recorded, together with their data life cycle, answering questions such as:

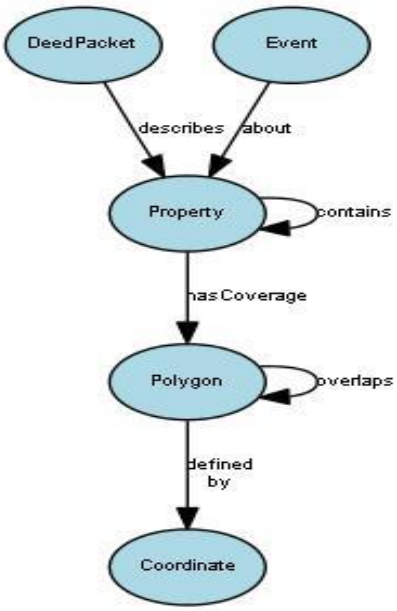
- What data items are contained in the document?
- Where does the data come from?
- How is the document stored? E.g. is it held in a computer system?
- When should the data be destroyed?

The ‘to be’ process maps should be updated to show where documents are created, updated, used.

Documents that need to be developed, such as integrations and data sharing, should be added to the dependencies report.

A Concept Model

It can be useful to layout a concept model, to explain the key concepts and how they are related. For example:



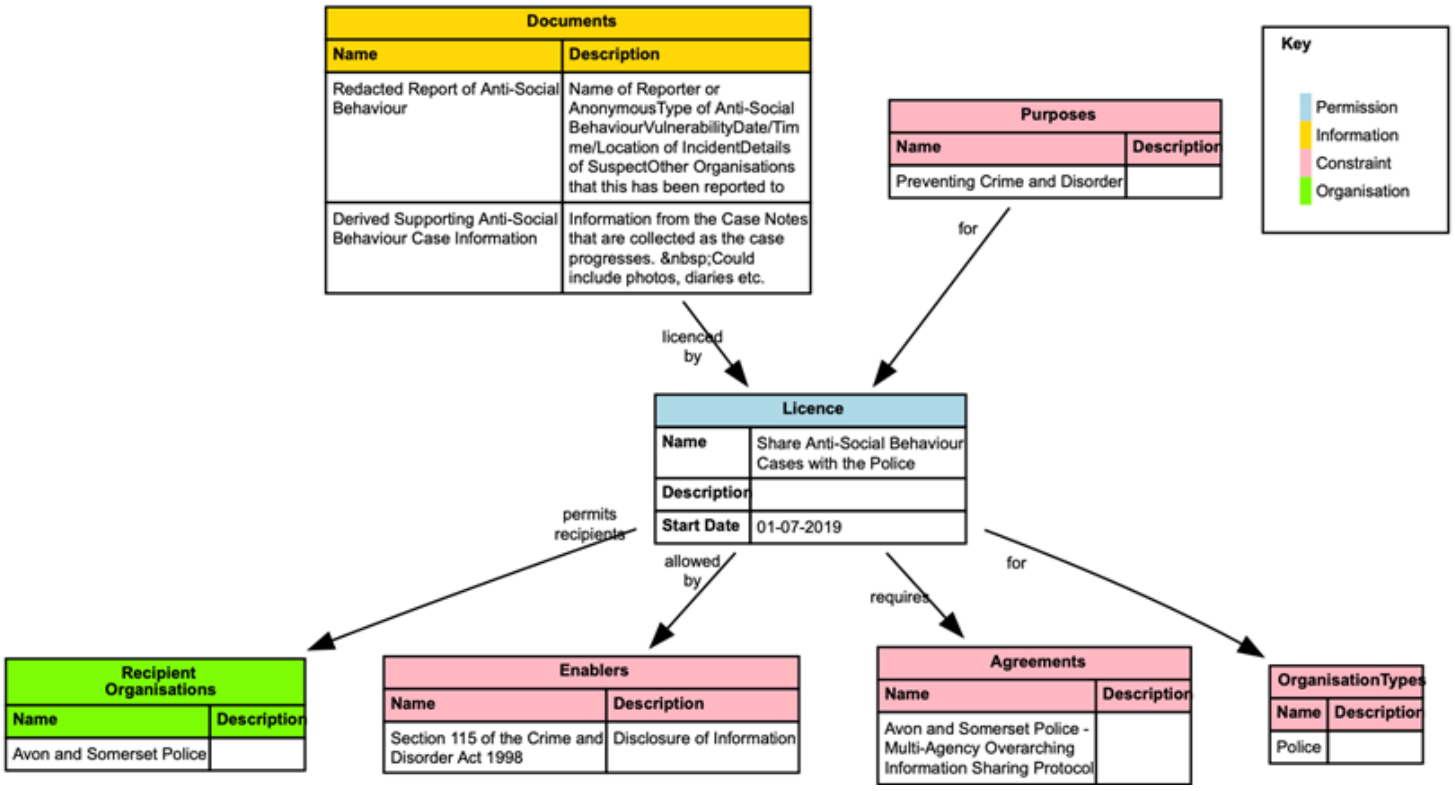
Data Flows and Licences

Where documents are passed between personas, or across organisations, there is a need to:

- ensure that data is used for legitimate purposes
- minimise data
- check the identity and rights of the people and organisations involved
- take a proportionate approach to confidentially, integrity, and reliability
- trust the behaviours of those receiving information

These assurances will be recorded as a series of ‘data licences’, which forms a register of processing activities.

For example:



Data Licences are then applied to each step in a process where data is shared, to define the terms by which the process can flow.

Some licences may not be in place, for example, a data sharing agreement has not been developed or signed. These ‘notional’ licences will be added to either:

- the dependencies report - if they can be put together in time
- The blockers report - if there is little prospect of the data sharing being established

Prototyping and Story Boards

At Alpha Gate you will be expected to provide some prototypes and/or a story board to demonstrate what you are asking the Project Team to buy into and help facilitate into delivered processes and solutions.

A prototype is an example of the end product, it is a workable example whereby a user can see what will be delivered and use it to help them either make a decision on whether the prototype meets the needs or help them visualise the prosed solution. A basic example of a prototype is an online form created in a test environment that can be shared with the Project Team to help them understand your proposal at Alpha Gate.
A storyboard is where you are selling the vision of your proposed processes and/or solution. You could use multiple media options such as PowerPoint or Animation software to produce your storyboard. A storyboard will highlight key information such as:

- What are the changes
- What Benefits will it bring
- The Customer Journey

At Sedgemoor we have an approved video animator to create our storyboards to ensure they are engaging, informative and fun for both the Design Teams creating them and for the Project Teams watching them at a Gate Meeting.
Making sure the proposed changes, benefits, customer journey and overall vision is clear will enable the Project Team to make a swift and informed decision.

Defining Eligibility

Some processes will have eligibility criteria which should be communicated and checked early before the customer is asked to continue.

Examples of eligibility include:

- age
- living in the area
- an existing account
- In receipt of a benefit

Form designs, scripts, instructions

Building on all the information collected so far, a series of prototypes can be built for:

- storyboards
- forms
- scripts
- instructions

Costings associated with the proposed new process

It is a requirement at Alpha to investigate and present any costs included with delivering the proposed new process. For example, if the business needs to purchase some new equipment or technology to achieve the new process then some key data should be gathered with a Costings Advisor:

- Initial costs
- Any ongoing costs/subscription payment
- Depreciation values

This information can then be compared to the expected financial and nonfinancial benefits of the new proposed process also being presented to allow the Transformation Programme to make an informed decision.

Gate Meeting held after each completed timebox > 2 weeks > Alpha Findings and Proposals Presentation

Much of the detailed information collected at this Alpha phase will be required to build a working solution in the Beta phase. The Transformation Team will want to be presented with the key findings and proposals at the close of this Alpha phase. These findings and proposals can be made in a presentation covering:

- Explain the Theme
    - Volumes
    - Legal Framework and Policies
- Problems with the Current Approach
- Proposals for Improvement
    - Principles
    - Capabilities
    - Prototypes
    - Storyboards
- Blockers (if any)
    - Reasons why greater improvements cannot be made at this stage
- Process Maps
    - To-be maps
- Information Flows
    - Documents
    - Data Licences
- Look back at Key Learnings from Discovery Gate and review
- Dependencies
    - What needs to be put in place to enable this project to move to the next stage
    - What are the costings and depreciation values associated with any of the dependencies?

Validation and Review Check Point

Undertake the Validation and Reviews mentioned at the beginning of this document.

Identifying Features and Refining User Stories

After each successful Alpha Gate meeting, the Design Team should spend some time performing housekeeping with the data they have collecting so far. The following ensures that once the Design Team engages with Systems Developers at Beta, some of the detail required to turn the “to-be” into delivered solutions will be ready and available in one location.

The selected ‘to be’ process maps should be used to draw up a set of requirements called the Features List. Anything included within the features list will define the Minimum Viable Product for System Developers to deliver in a series of sprints at Beta. It is good practice to take the original process map for the “to-be” and to collapse it showing you only the steps that are defined as a Feature or highlight a need for a Training Guide to be generated at a later stage.

Each of the Features highlighted should then be matched to its relevant User Story collected at Discovery so we can embellish the detail behind it and ensure that groundwork for future development and testing of solutions is set.
Please click here for guidance on how we ensure this is done efficiently.

Beta

As we hit Beta, more precision becomes necessary.

Defining a Dashboard

When we consider defining a dashboard, we are referring to a software-based performance dashboard which enables Management to have an at a glance overview of metrics such as caseloads, achievements, or failings to provide Performance Information and Trend Analysis.

Our hope is that by capturing relevant metrics it will allow the service areas to view current status as well as compare over date ranges such as last week/month/last year to provide context for the current performance, set Key Performance Indicators and future goals.

By defining the desired metrics at this stage we can ensure that the collection of the data that the service requires is considered, defined and tracked within the development which is about to take place in Beta to enable that reporting to happen.

To ensure we have a consistency in the information that is collected, we have the following as set metrics for each Dashboard. We then encourage more specific metrics to be defined and collected focusing on the needs of the Business Unit being redesigned. The set metrics we include are focused to general organisational goals of providing a better customer experience and a more digital environment:

- Number of Case Loads
- Unique Case Numbers
- Stage of Case e.g. New, in progress, Complete
- Outcome
- Time taken between each stage
- Was the case escalated?
- How was the case raised – phone, reception, online etc

The more specific metrics should be defined by the Design Team in consultation with the Business Units Management and Directors as appropriate to ensure that the most relevant information is captured for them and their goals.
Any potential benefits highlighted at the end of Alpha should be within these trackable metrics as possible to allow for easy benefits realisation tracking down the line.

Further detail can be added to the ‘to be’ processes including:

- capturing measurement points and metrics that can be presented on Dashboard to show how a caseload is distributed over key milestones
- capturing outcomes that can be analysed

System Design and Validation

During Beta we may need to engage with Systems Developers who will have their own ways of working outside of our own to build the new processes. The goal is to share our requirements with them as detailed above and remain available for any communication or support that is needed as they move through their own Product Design

Manual to deliver the product required.

At the end of each Alpha, the Design Team will have identified the Features for each redesigned process, as well as some of the detail behind them in terms of User Stories and Minimum Acceptance Criteria. It is now time to revisit that list and ensure all Features remain relevant and the information is ready to begin discussions with System Developers.
It is worth having the conversation at this stage to prioritise each item on the features list to ensure that deliverables reach live incrementally to give the biggest benefit to the Business and end users where possible.

Once the Features List is defined and agreed, a “handshake” meeting with the Information Systems team will need to take place to introduce them to the requirements. There is a guide available to ensure that Design Teams have enough of the right information available for Information Systems to start a development.

Working with the Systems Developers (or Information Systems Team)

Due to the nature of each project scope and contents being different to the next, we cannot clearly define how or when the input from the Design Team will be needed but this can be ascertained as communication is opened and a Features List and Dashboard Requirements has been presented as detailed above. It should be expected that the Business Analyst from the Design Team will attend a regular meeting with the Product Manager and Technical Business Analysts to review the Features and progress as Development moves forward, these are usually referred to as Product Backlog Sessions. The Business Analyst then feeds back as needed to the Design Team or Project Manager. The Product Manager and Project Manager also regularly communicate progress and highlight any blockers to ensure the development keeps moving in the right direction and remains on track. If the information has been collected sufficiently up to this point, then there should be no surprises added to the Features as we are during development and we will avoid the dreaded scope creep!
It is worth noting that in some cases Evolutionary Development will be required, whereby the Design Teams are asked to revisit earlier stages of Alpha or Discovery if the Systems Developers unearth new information or content as they progress through the Build and Development of your solutions. This cannot always be identified as the Beta work starts and may become apparent through ongoing sprint cycles of work.
Due to the relationship that has been forged between the Business Analyst in the Design Team and the Business Unit being redesigned, the Systems Developers and Technical Business Analysts are expected to field questions and requests for more information through them first where reasonably practicable. The Business Analyst may know the required information from the work they have already done or know the best way to find it. The Business Analysts can also act as a valuable conduit between the Business and Technical IS colleagues, the Business Analysts should be prepared to attend User Story Refinements meetings for example where needed.

Building a Service Pattern

A Service Pattern will capture the instructions, prerequisites, and expectations which should be communicated to a customer before they start a process. The intention is to:

- reduce requests for service that cannot be actioned
- reduce interactions that are aborted

The Design Team should decide and orchestrate what User Guide information the Customer may need to make a success of their new process and manage the Customer expectations of the new process.

Service Patterns should be approved by the Manager of the Business unit before any publication occurs.

Creating User Guides

Some steps or tasks in a new process may require a set of instructions as a User Guide and/or training material.

Each new process identified during Alpha should have a User Guide compiled by the Design Team, led by the Practitioner.

These should be short documents, under constant review to enable a user to quickly understand the new process being deployed to them.

We define what process or task needs to have a User Guide as any of the new processes which include human involvement.

For example, when looking at Freedom of Information Requests there would be a series of User Guides titled: How to check if an FOI request is valid, How to apply FOI Exemptions, How to determine which Service Area to send an FOI request to and so on.

User Guides should be approved by the Manager of the Business unit before any publication occurs to ensure they are correct and to standard.

Testing new processes

The Quality Assurance and Solution Tester will work with the Business Analyst to produce a Testing Plan for any new processes before they are deployed.
The tests need to be performed on the solution being delivered by all stakeholders in an ideal scenario, testing against what the build team deliver and with Customer trials.
The collection of Features and User Stories built by the Design Team as the work through the project should also include Minimum Acceptance Criteria for each User Story. This can then be used by the tester to build their testing plan.

Selecting a Beta trial

Ideally, new processes should be tested as a ‘private beta’, meaning that a selected group of real customers should be invited to use the new process.

Results from the trial should be collated leading to:

- improvements that can be made at this beta stage
- recommendation to fix process design faults by returning to the alpha stage
- recommendation to move to the ‘Live’ stage, capturing minor faults as a backlog of improvements

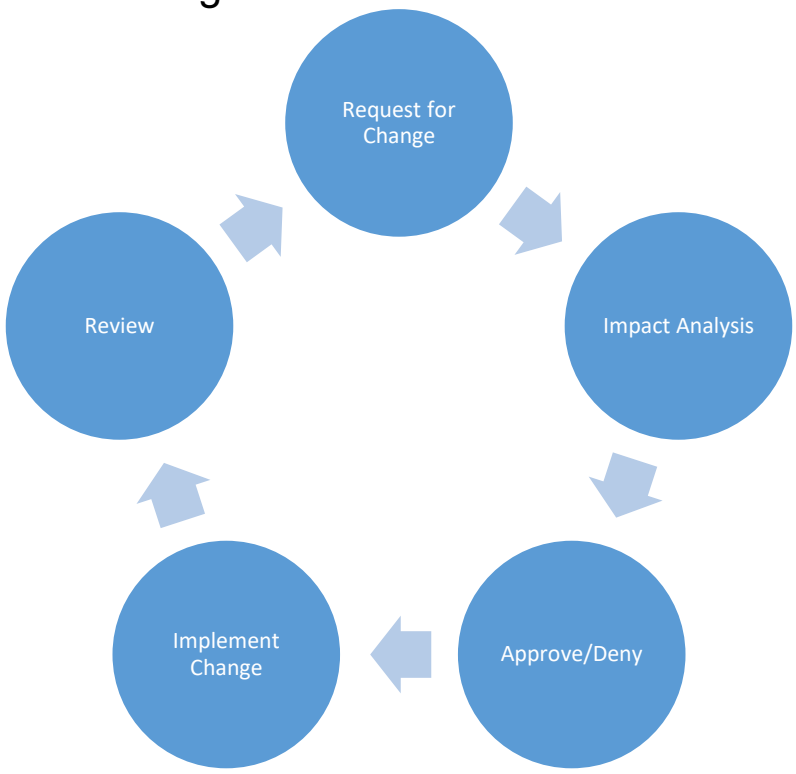
Change Control for Process Maps

Any changes to Process Maps which occur during the Process Redesign lifecycle, such as more information becoming available during the build which may change or remove a step in the process, must be versioned. Therefore, a Change Approval meeting must take place before any change to the original Process Maps handed over at the end of Alpha are made.

The Process Maps, once they are created, approved, and released into a live environment will need to have an ongoing schedule of change and maintenance applied by the Business.
The changes, whether pre or post live should be validated by a 'change control panel' made up of the business process owners along with the Business Analyst, customer services rep and a technical/IS rep who took part/are taking part in Process Design project.

- **Change log** a change log should be created where changes and developments are collated. These can be systemic, underlying structural changes or business process changes. They can also be regulatory, governance, obligation, or duty changes, where they impact how we must deliver a service.
    - The file structure on how to collate and store the changes should match the mapping file structure when it is defined.
- **Monthly / quarterly change approval** the change control panel should meet on a regular basis to discuss the changes. Representatives for each area should be provided with the list in advance - so they can either attend or note that there is no impact in their respect on changes being discussed.
- **Development scheduling** Changes rejected are sent back with the reason why they are not accepted - changes accepted are added to a schedule which is based on the overall council priorities, customer impact, business priority and practicality in terms of delivery.
- **Delivery log / cycle and associate updates** the management of the delivery must be communicated widely for changes implemented. This ensures that any area missed by the panel in terms of impact can provide feedback before go-live. This mitigates costly public and / or internal failures. The panel must validate these to ensure no additional impact if a further change is needed to ensure viability.
- **Release Notes / updates** Once fully approved, release dates of new versions should be provided in advance and expectations set as to when new functionality will be on-line.

Change Control Process Diagram



Gate Meeting held > Beta Findings and Proposals Presentation

The information collected at this Beta phase will be required for a decision to deploy the new processes for all customers. The Transformation Team will want to be presented with the key findings and proposals as the gate to this Beta phase. These findings and proposals can be made in a presentation covering:

- A demonstration of the new processes
- Customers who took part in the trial
    - How they were selected
    - How many took part
    - Feedback and Conclusions
- Evidence
    - appropriate metrics are being collected
    - problems that were reported in the Alpha stage have been addressed
- Recommendations
    - To move to live; return to an earlier stage; pause; abort?
    - Backlog of features that remain to be addressed

Process flow for releasing Solutions

To facilitate a smooth transition there will be some steps that our Design Teams go through to work closely with Sedgemoor Digital, Our Customer Panel and Digital Engagement.
The process to follow from sign off at Beta through to Live can be found here

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Validation and Review Check Point

Undertake the Validation and Reviews mentioned at the beginning of this document.

Live

Business continuity assessment and approach

As new Processes are released it is important for the Service to review the existing Business Continuity Assessment to ensure that it meets the new processes and solutions delivered

Service Ownership of Process and Training Post Go-Live

Prior to Go-Live we will support the Service in creating and introducing all materials such as Process Maps and User Guides as detailed within this Manual. However, Post Go Live the ownership transfers to the Service to allow the Programme to re-focus on its next project. A Process Owner within the Service should be identified by the Service to manage this moving forward.
The Service is expected to maintain the Process Maps, by regularly reviewing and updating them with any improvements made internally to enable continuous improvement.
The User Guides will also become the property of the Service Post Go-Live whereby they can amend and update as necessary, as well as taking ownership of any ongoing training needs that the wider Business may identify with their process. The Programme will assist in the initial training stages prior to Go-Live through chairing demos,

producing the User Guides with the Service, and producing Training Videos where necessary.
It is important that the Service keep track of any changes made by using the same Change Control practices outlined **here i**n the Manual.

Benefits Realisation Approach

Also referred to at the start of this Manual, a Benefits Management Framework which details how to manage benefits from Project Initiation through to Benefits Realisation is available here

Project Lifecycle Diagram