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Business Transformation Enablement Program

A Handbook for Practitioners

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Business Transformation Enablement Program (BTEP)

Practitioner Handbook

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Introduction

This guide is intended for practitioners working on projects using the BTEP Strategic Design and Planning Methodology. To make the best use of this handbook, the reader should first consult the BTEP Strategic Design and Planning Methodology document. This document is not intended to explain the methodology, but rather to act as a step-by-step guide for practitioner's already trained in the various design, planning and project management techniques in the BTEP Methodology.

By applying the BTEP Strategic Design and Planning Methodology, practitioners move through a carefully sequenced series of steps, from one "iteration" to the next, that involve information gathering and model development. The result is a steadily higher level of detail and increased "implementability" in designs that describe a new or re-designed business and the transformation plans required to put it into operation.

The numbered sections in this document correspond to the sequence in which main work products are developed in each design iteration. Each section describes what the work product is, how to build it, and how it is used. The document is formatted to allow room for practitioner notes in the margins. Practitioners should also have the GSRM Service Reference Patterns on hand for some of the activities described in this document, as well as the BTEP Glossary.

The *Rules, Guidelines, Tips* sections contain rule statements that make use of business rule syntax. Each statement contains one of the following "rule words":

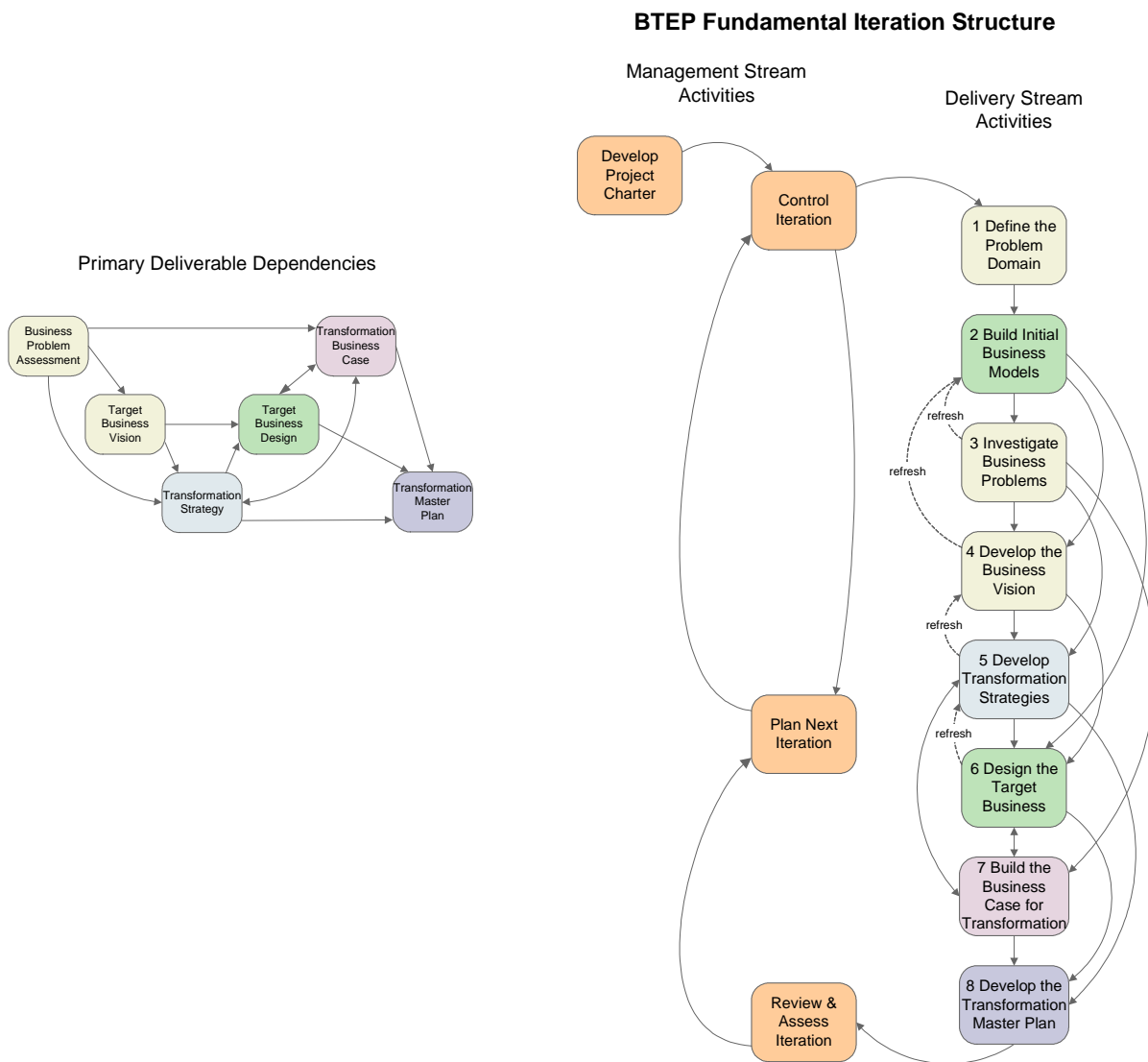
- Must (or, must not) – these are rules that *must* be followed (mandatory)
- Should (or, should not) – these are rules that *should* be followed where possible (guidelines or best practices)
- Could – these are suggestions or tips that may be helpful.

Each statement may be qualified by conditions, which start by either the word "if" or "when", and follow the rule separated by a comma. "If" is used when the qualification is continuous over time. "When" is used when the rule is enforced at a point in time. "Must" statements are always listed first, followed by "should" statements and then "could" statements. These rule words are also used in the *Properties, Notation, Tool Tips* sections with the same intent.

Work product examples in this document were built using MS VISIO, MS Excel and MindJet's MindManager tool. Softcopy of these examples and templates is available on request from the BTEP team at TBS. Practitioners are encouraged to use these specific tools as this will facilitate harvesting and reuse until such time as tool decisions are made for the GSRM Repository.

The BTEP Fundamental Iteration Structure

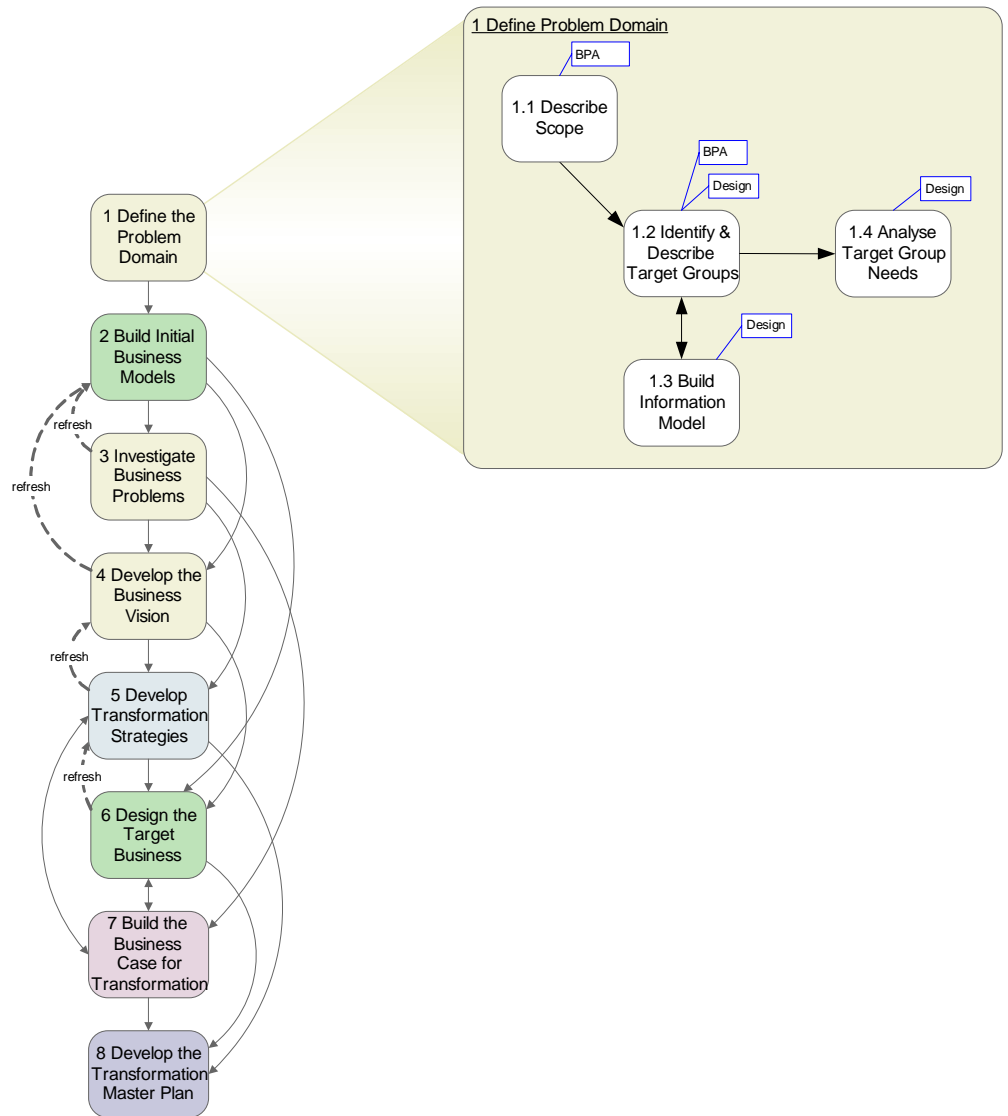
All iterations of BTEP Strategic Design and Planning have an underlying structure, no matter how early or late they occur in the life of the project or what the breadth or depth of the transformation initiative. This structure, illustrated in the diagrams below, reflects the natural order of discovery and development of the elements in rows 1 and 2 of the BTEP Framework. It also respects the dependencies between Primary Deliverables, which never change, illustrated in the diagram on the left. The numbered activities in the diagram on the left coincide with the sections in this document. This diagram appears at the beginning of each section, “zooming in” on the relevant step in the structure that the section describes.



The structure's process and corresponding work products have been tested in early adopter projects up to the Vision phase, which includes some activities through step #8. That is as far as this document goes. Some of the illustrative examples of work products used in the document are based on those developed in two early adopter projects: *Services to New Business Start-ups* and *Seniors Service Mapping*. Activities to build work products beyond the Vision phase (i.e., additional activities in steps #5 to #8) will be refined in later versions of this handbook as more testing is conducted, and early adopter projects go forward.

1 Define Problem Domain

Ideally, the scope of the problem domain will have been identified and described in the Project Charter during the Proposal Phase. However, it must be revisited to ensure scope is explicitly defined in terms of the Governments of Canada (G_oC) Strategic Reference Model (GSRM) and to ensure all project participants understand it. This is one of the Transformation Essentials of the BTEP Strategic Design and Planning Methodology, which assures alignment both horizontally and across jurisdictions from the outset. It forces each transformation project using the Methodology to start by determining its scope “footprint” on the G_oC Top Model (while at the same time, introducing GSRM concepts to the project participants). Reference “BTEP Template –Business Problem Assessment” for additional work tips.



1.1 Describe Scope

Start with the Program Field/Jurisdiction mapping done during the Proposal Phase, and documented in the Scope section of the Project Charter, and refresh as required. This can be documented using the leftmost columns of the G₅oC Top Model.

1.1.1 Example

This example shows the top model mapping for Services to New Business Start-ups. Each jurisdiction letter in any row indicates the existence of programs or services in that jurisdiction that contribute to the general need represented by that program field.

Services to New Business Start-ups mapped on the GSRM G _s oC Top Model		Jurisdiction
Public Program Fields	(Socio-)Economic Development	M R P F
	Science and Knowledge Development	
	Natural Resources Development	R
	Environmental Protection	
	Public Health	M R
	Legal, Collective, Democratic & Human Rights Protection	M R
	Social Development	R P
	Cultural Development	M R F
	Educational Development	
	Public Safety	M R P F
	Justice	M P
	National Security & Defense	
Provider Program Fields	Public Policy, Planning and Management Services	
	Corporate Policy, Planning and Management Services	
	Integrated Delivery Services	
	Communications Management Services	
	Human Resources Management Services	
	Financial Management Services	M P F
	Information Management & Technology Services	
	Supply Chain Management Services	
	Administrative Services	
	Facilities and Assets Management Services	
Professional Services		

1.1.2 Rules, Guidelines, Tips

- 1) Scope must be recorded against program fields as defined in the GSRM G_soC Top Model. The full top model template and descriptions of the needs met by each program field can be found in [Appendix A: GSRM G_soC Top Model Mapping](#).
- 2) Jurisdiction code values must be used to record the mapping, if the problem domain crosses multiple jurisdictions.
- 3) A check mark (✓) could be used to record the mapping, when the problem domain is comprised of only one jurisdiction.

Jurisdiction codes:

M - Municipal government
R - Regional government
P - Provincial government
F - Federal government

1.1.3 Properties, Notation, Tool Tips

The results of this mapping should be captured and consolidated in tabular format (using a spreadsheet tool) as shown in the example.

1.2 Identify & Describe Target Groups

The principal target group may have been identified during the Proposal Phase, and documented in the Scope section of the Project Charter. The initial BTEP methodology iteration will focus on the principal target group and the general

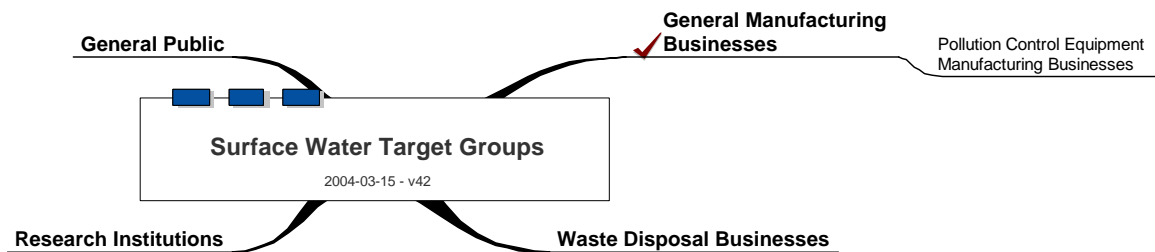
public. Other target groups can be identified and prioritized for inclusion based on urgency and business importance, or “parked” until a later iteration. If possible, use target groups already defined in the GSRM as a starting point.

Target groups are the populations with specific needs that a program has a mandate to address. The purpose of target group definition is to be able to identify and analyze the full reach and impact of a program and its services, and to show interactions between programs with the same target groups.

All target groups that are intended to experience the results of the program are identified, whether they experience those results directly (e.g. grant recipient), or indirectly (e.g. beneficiary of research resulting from grant), whether they would perceive those results as beneficial (e.g. neighbourhood residents) or otherwise (e.g. tax filers).

1.2.1 Example

In this example, the check mark (✓) indicates the principal target group.



Target Group Name	Target Group Description	Target Group Eligibility Criteria
General Manufacturing Businesses	Businesses manufacturing products in Ontario	Business must have a manufacturing facility located within the jurisdiction’s boundaries

1.2.2 Rules, Guidelines, Tips

- 1) The General Public must always be included as one target group holding society’s collective needs addressed by the program(s) in scope.
- 2) Target group eligibility criteria must be described by either intrinsic characteristics (e.g. gender, age, health status), or extrinsic characteristics (e.g. citizenship, residency), or combination of the two.
- 3) Target groups should have more than one member.
- 4) Needs (e.g. – in need of care, in need of economic assistance) should not be used as target group criteria. Needs are a separate and distinct concept in BTEP.

1.2.3 Properties, Notation, Tool Tips

The properties that must be specified for each target group, when it is fully described, are:

- Target Group Name – short name capturing the essence of the target group
- Target Group Description – short description of the target group

- Target Group Size – the approximate number of members (*optional for initial iteration*), and
- Target Group Eligibility Criteria – one or more intrinsic and/or extrinsic characteristics and required values (*optional for initial iteration*).

A mind map could be used to capture and organize the target groups, as shown in the example. The principal target group must be flagged in some way.

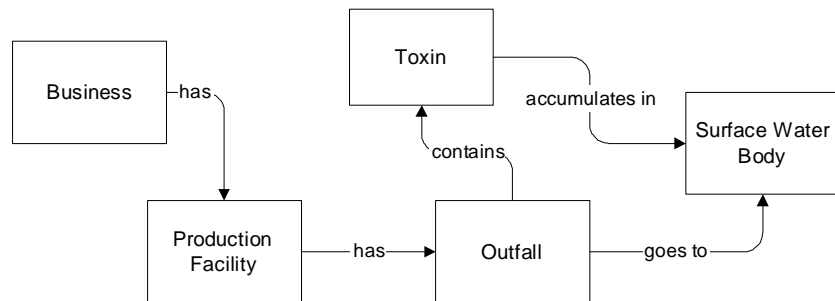
Properties for each Target Group could be captured in the notes area of the mind-mapping tool or in tabular format (using a spreadsheet tool) as shown in the example.

1.3 Build Information Model

Start with the principal target group as the first concept. Look for immediate surrounding concepts, including anything that participating jurisdictions or organizations might keep a file on. Revisit whenever a new concept or term arises that warrants adding to the model. If possible, use concepts already defined in the GSRM as a starting point. In practice, this model is continually updated as analysis progresses, adding new concepts as they are discovered.

This model shows the relationships or linkages between major concepts of interest to the business. It is intended to create a shared business vocabulary (i.e. semantic model), defining a community’s (as represented by project participants) agreement on important concepts and relationships between those concepts.

1.3.1 Example



Concept	Definition	Characteristics	
		Shared across all jurisdictions/organizations	Not Shared - specify jurisdictions/organizations
Toxin	Any substance defined as hazardous to inhabitants of the biosphere by science or medicine.	Causes harm to humans and biota	Causes mechanical degradation of water treatment systems. (General Manufacturing Business)

1.3.2 Rules, Guidelines, Tips

- 1) A sentence formed from two concepts and the relationship between them (in the direction of the arrow) must be held to be generally true by the community.
- 2) A relationship must be capable of interpretation as a connection of interest between two concepts, or more specifically as a link between an instance of the first concept and an instance of the second concept.
- 3) Relationships must not represent the flow of something between two concepts.
- 4) Specific organizations, positions and titles must not be included in the model.
- 5) Concepts that appear in the BTEP Glossary (e.g. service, service provider, service recipient, etc.) must not be included in the model.
- 6) Each concept should be capable of interpretation as a set of similar instances.
- 7) Cardinalities must not be specified, i.e. how many of any concept can occur for any other concept, or whether it is mandatory for all instances of a concept to participate in any stated relationship, must not be included at this stage of analysis. This type of work is done during the transition from row2 to row3.

1.3.3 Properties, Notation, Tool Tips

The properties that must be specified for each concept, when fully described, are:

- Concept Name – must be a noun or gerund
- Concept Definition – definition of the concept, and
- Concept Characteristics – additional constraints or descriptors that are true for only some jurisdictions or target groups (optional for initial iteration; in order to define the characteristics, it may be helpful to label those shared by all jurisdictions and organizations and those specific to only one or two jurisdictions or organizations as shown in the example)

This model must be represented as a diagram. A basic box shape must be used to represent a concept. The selected shape must differ from those used in other models, and must not be an oval, as that shape is reserved to represent a service. The shape must be labelled with the agreed name of the concept. A directed arrow must join a pair of concepts, if the two concepts are related. The direction of the arrow must signal the direction to read the relationship between the two concepts. The arrow must be labelled with the relationship description.

Properties for each concept identified should be captured in tabular format (using a spreadsheet tool) as shown in the example.

1.4 Analyse Target Group Needs

The initial iteration will focus on the needs of the principal target group within the scope of the problem domain and any correlated or balancing need of the general public. For example, if the program area is concerned with a target group member's need to be recognized as a legal driver, then the general public has a balancing need for protection from unsafe drivers. If scope needs to be narrowed, the needs can be rank ordered in terms of their classification against program fields, urgency and

business importance, with some needs “parked” until a later iteration. If possible, use target group needs already defined in the GSRM as a starting point.

A targeted need is a target group condition or circumstance that the program is obliged or mandated to respond to when it occurs. This exercise identifies a program’s targeted needs. A test of a targeted need is to ask the following question: *If a member of this target group presents this need, is the program obliged to respond in some way?*

The purpose of defining targeted needs is to determine the range of needs recognized by the program; to identify problems with respect to unmet or poorly met needs; for designing service outputs to address needs; for determining program performance metrics, and for aligning with other programs that share both target groups and needs.

Needs of individuals differ from those of collectives, i.e. businesses, other legal entities or organizations. Categories, described below, are used to further classify needs within each of these types. The categories aid in assessing completeness; analyzing unmet needs; understanding the needs as documented; and harvesting and reuse by future initiatives.

Needs categories for individuals:

- Basic physiological – needs such as water and food
- Safety and security – needs such as protection from physical harm
- Belonging (social) – needs such as affiliation with others
- Esteem – needs such as mastery of skills that gain respect of others and contribute to higher levels of self-respect
- Self-actualization – needs such as artistic expression, that maximize personal growth and potential

Needs categories for collectives:

- Resources – the need for resources to act
- Risk/threat mitigation – the need to protect against threats to the continued survival of the collective
- Mission fulfilment – the need to carry out the purpose for which the collective was formed

A target group named “Heads of State” looks like each member is an individual, but if they are considered a proxy for the government of their country, needs categories for collectives must be used.

1.4.1 Example

A target group where each member is an individual

For the General Public target group, needs categories for individuals are used because each target group member is an individual. Rows that represent categories with no needs identified are hidden for presentation purposes.

Area of Need: Public Program Fields	Need Types for Individuals				
	Basic Physiological	Safety and Security	Belonging (social)	Esteem	Self-Actualization
Target Group: General Public					
(Socio-)Economic Development	<i>catching fish to eat (aboriginal); water to drink</i>	<i>assurance of food supply; assurance of water supply</i>			
Public Health		<i>assurance that drinking water is safe; assurance that public beaches are safe for swimming</i>			
Cultural Development				<i>recreational use of surface waters</i>	

A target group where each member is a collective

For the General Manufacturing Businesses target group, needs categories for collectives are used because each target group member is a collective. Rows that represent categories with no needs identified are hidden for presentation purposes.

Area of Need: Public Program Fields	Need Types for Collectives		
	Resources	Risk/Threat Mitigation	Mission Fulfillment
Target Group Name: General Manufacturing Businesses			
(Socio-)Economic Development		<i>Avoiding litigation due to causing surface water degradation; Minimizing competition from environmentally unsafe but lower-cost manufacturers</i>	
Environmental Protection	<i>Knowledge of business's environmentally unsafe production practices relating to surface water</i>		
Public Health		<i>protecting the public and employees from the health hazards of water pollution</i>	
Public Safety		<i>protecting the general public and employees from the safety hazards of water polluting contaminants</i>	

1.4.2 Rules, Guidelines, Tips

- 1) Needs must be classified according to the public program fields from the GSRM G_soC Top Model.
- 2) Needs must be classified using needs categories for individuals as defined above, if each target group member is an individual. These are:
 - Basic physiological
 - Safety and security
 - Belonging (social)
 - Esteem, and
 - Self-actualization
- 3) Needs must be classified using needs categories for collectives as defined above, if each target group member is a collective (i.e. business, other legal entity or organization). These are:
 - Resources
 - Risk/threat mitigation, and
 - Mission fulfilment
- 4) Need statements should be phrased to acknowledge that the need “demands” a response from government. For example, consider a demographic target group, such as Seniors, all of whom have a need to be healthy. A well formed need statement showing demand for government response to this need might be “assurance that health care providers have knowledge about age-related health issues”.
- 5) Need statements should complete the following phrase “each target group member needs...”

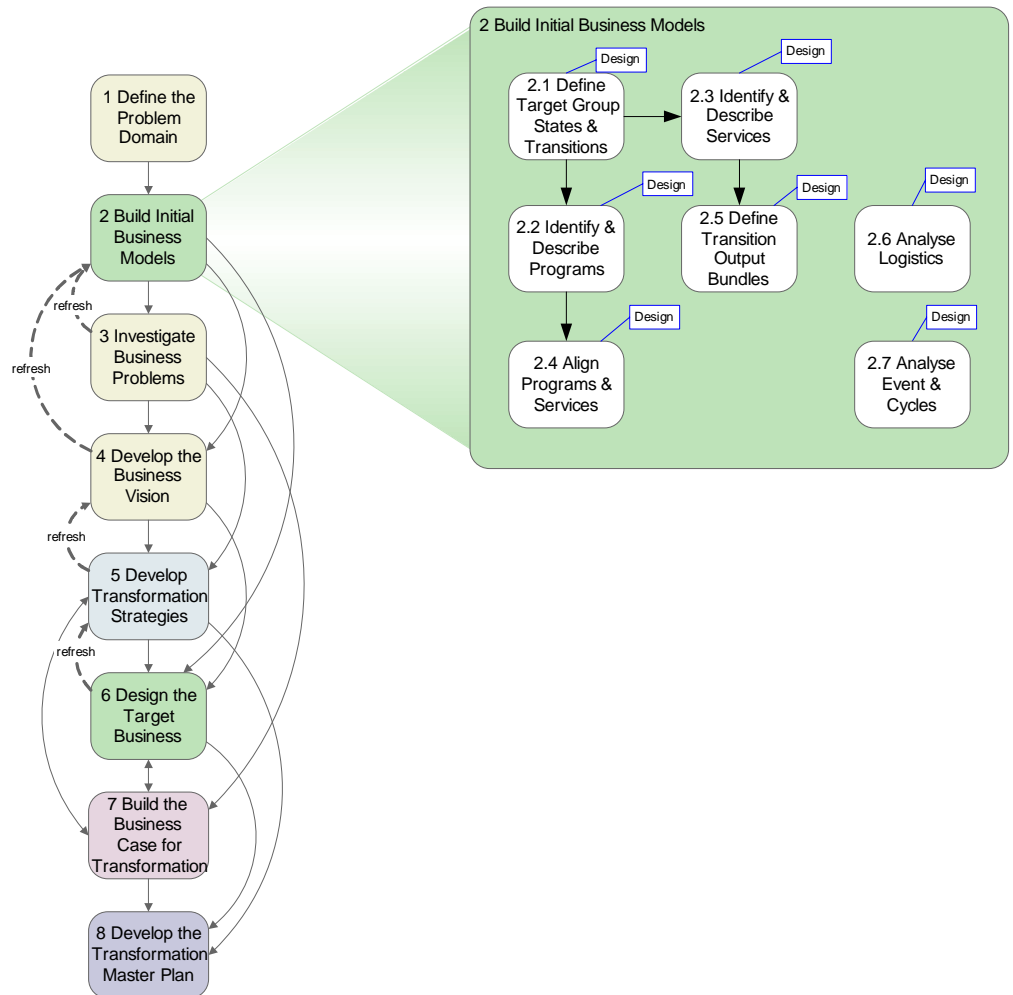
1.4.3 Properties, Notation, Tool Tips

Targeted needs for each target group identified should be captured and consolidated in tabular format (using a spreadsheet tool) as shown in the example.

2 Build Initial Business Models

BTEP Strategic Design and Planning incorporates models and modelling techniques developed for and proven for use in the public sector. They use public sector language. They make explicit the inter-relationships between important elements of the business, maintaining a direct and clearly apparent connection between the target group need being addressed, the service output, and all provider or supporting services.

In order to set the stage for problem analysis and developing a target business vision, the current business must be understood. If the current business is already documented using GSRM models, the appropriate pieces can simply be extracted. Where the current business is not documented, or is not documented in GSRM models, some “bootstrap” work is required to populate these models.



2.1 Define Target Group States & Transitions

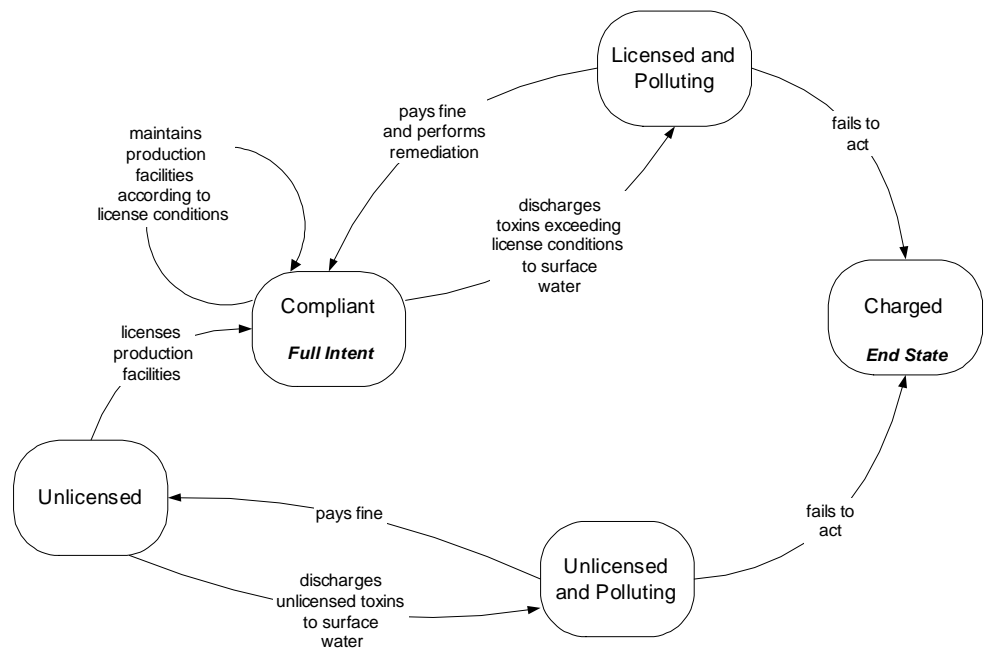
Develop a state transition model for the principal target group first, then for other target groups as they are selected for inclusion. If scope needs to be narrowed, the states can be rank ordered based on urgency and business importance, with some states “parked” until a later iteration. If possible, use target group states already defined in the GSRM as a starting point.

The Target Group State Transition Model illustrates periods or points in time when the status of a key target group member changes – either from the perspective of the target group member, or from the perspective of the program(s) involved. A state is an identifiable point in the life cycle of a target group member – each transition constitutes the “intent” of either the target group member or the program. A transition is a material change in this state. The purpose of this model is to understand the transitions experienced or desired by target group members.

CAUTION: Do not confuse a state transition diagram with either a data flow diagram or a work flow diagram. These diagrams offer two different views of what would take place during one of the transitions (i.e. “on the arrow”), resulting in the target group member changing to the next state or, depending on the program, detecting and preventing the target group member from moving to the next state.

2.1.1 Example

State Transitions for Target Group "General Manufacturing Business"



2.1.2 Rules, Guidelines, Tips

- 1) The name for each state must be an adjective.
- 2) The name for each transition must be a verb phrase, indicating what the target group member does or does not do to effect their transition to the next state.
- 3) One or more states must be marked as the target group member's "full intent" in the sense that this is what the target group member (or society) aspires to.
- 4) A target group member must only be in one state at a time. In the example, "unlicensed and polluting" and "licensed and polluting" show different preferred and non-preferred states being combined in a way that makes sense to the community. The "compliant" state equates to "licensed and not polluting", and the state "unlicensed and not polluting" is of no interest to the business.
- 5) One or more states must be marked as "end states" in the sense that the problem domain has no interest in states past this point. In this example, once the General Manufacturing Business has been charged, no further services are directed to it in this problem domain.
- 6) States that are not relevant to the problem domain must not be included.
- 7) States for concepts from the information model could be included if they are needed to distinguish clear target group states (e.g. a particular resource type or product)
- 8) States should be identified first from the perspective of the target group members, then from the perspective of the general public. The states of licensed and unlicensed arise from needs of the general manufacturing business, whereas the states of "polluting" and "charged" arise from needs of the general public.

2.1.3 Properties, Notation, Tool Tips

This model must be represented as a diagram. A basic box shape must be used to represent a state. The selected shape must differ from those used in other models, and must not be an oval, as that shape is reserved to represent a service. The shape must be labelled with the agreed name of the state. A directed arrow must join two states, if there is a valid transition between the two states. The direction of the arrow must show the direction of the transition. The arrow must be labelled with the name of the transition.

2.2 Identify & Describe Programs

Develop an inventory of current programs in the problem domain. If possible, use programs already defined in the GSRM as a starting point.

A Program is an accountable mandate to address recognized needs of eligible target groups. Each program aims to achieve specified outcomes for members of those target groups. The program achieves this by designing service outputs to provide direct outcomes to members of the target group that will contribute to the outcomes desired for the program. This exercise identifies all programs that contribute to meeting the targeted needs identified previously. (The step that follows identifies the services and their outputs.)

2.2.1 Example

Jurisdiction	P
Program Name	Provincial Environmental Protection – Surface Water Program
Program Fields	(Socio-)Economic Development; Environmental Protection; Public Health; Public Safety
Program Description	Regulates to reduce accumulation of pollutants in provincial surface waters to safe levels
Program Reach	Surface waters in the Province and surrounding water bodies through the agency of the Great Lakes Commission
Program Owner	Ministry of the Environment – Water Branch
Program Budget	
Program Age	

2.2.2 Rules, Guidelines, Tips

- 1) The name for each program must indicate the outcome the program is intended to achieve, and must end in the word “Program”.
- 2) Programs must be classified by the Program Fields defined in the GSRM. These are described in [Appendix A: GSRM G_oC Top Model Mapping](#). When classifying the program, the question to be answered is: *What general needs does this program address?* Determining that at least one service addresses a target group need under this classification should validate the answers.
- 3) The name for the program should reflect common usage in the community.

2.2.3 Properties, Notation, Tool Tips

The properties that must be specified for each program, when it is fully described, are:

- Jurisdiction – one code value to indicate the jurisdiction to which the program owner belongs
- Program Name – must end with “Program”
- Program Fields – one or more of the Program Fields identified in the GSRM
- Program Description – brief description of the program
- Program Reach – describe the extent of the program’s power to enforce its mandate under the laws and regulations of the government operating the program. This is usually but not always a geographic description.
- Program Owner – the organization in the jurisdiction that is accountable for delivering the services administered by the program.
- Program Budget – the annual budget allocation for the program (including amount of fund to be dispensed, if applicable)
- Program Age – the number of years the program has been in operation

Properties for each program identified should be captured in tabular format (using a spreadsheet tool) as shown in the example.

Jurisdiction codes:

M - Municipal government
R - Regional government
P - Provincial government
F - Federal government

2.3 Identify & Describe Services

If the scope of study is sufficiently broad, the first iteration may not identify services, or may identify one or two representative or sample services for each program to aid in understanding the program. In practise, this activity may be performed in parallel with “2.4 Align Programs & Services”.

A service produces an output that addresses one or more target group needs, thereby contributing to achieving the outcomes of one or more programs. Each service is administered by only one program. At this stage of analysis, we are concerned only with identifying the service and determining its service output type using the 19 service output types defined in the GSRM. Later steps will examine the set of processes inside each service that produce and deliver the service output. This exercise identifies all services and service outputs that contribute to meeting the targeted needs identified previously.

A step-by-step technique to identify and classify services is described in [Appendix B: GSRM Service Identification and Classification](#).

2.3.1 Example

Jurisdiction	P
Service Name	Outfall Inspection Service
Service Output Name	Outfall Inspection
Service Output Type	Finding
Service Description	Investigates an outfall as to level of specific pollutants emitted to receiving waters and determines whether the outfall is within licensed parameters or not.
Administering Program	Provincial Environmental Protection – Surface Water
Service Owner	Ministry of the Environment – Water Branch
Service Budget	
Service Volume	
Service Age	
Responds to Events	Request for Outfall Inspection; Spill
Locations of Service	MOE Field Offices
Estimated Reach	Field Office area boundaries and manufacturing facilities located within those boundaries

2.3.2 Rules, Guidelines, Tips

- 4) The name for each service must end in the word “Service”.
- 1) Each service must be classified by one and only one Service Output Type as defined in the GSRM.
- 2) The name for a service must not include the word “program”.
- 3) A named service must provide one and only one named service output.
- 4) The name for a service should indicate the direct outcome the service is intended to achieve.
- 5) The name for a service could be comprised of the service output name followed by “service”, as in the example.

2.3.3 Properties, Notation, Tool Tips

Jurisdiction codes:

M - Municipal government
R - Regional government
P - Provincial government
F - Federal government

The properties that must be specified for each service, when it is fully described, are:

- Jurisdiction – one code value to indicate the jurisdiction of the service’s administering program
- Service Name – must end in the word “Service”
- Service Output Name – must be singular
- Service Output Type – one of 19 types defined in the GSRM
- Service Description – brief description of the service
- Administering Program – the program that has the mandate and is accountable for the delivery of this service, to be selected from the programs identified previously or added to that list as required
- Service Owner – the organization or governance body in the jurisdiction accountable for delivering the service
- Service Budget – the annual budget allocated to the service
- Service Volume – the annual volume of the service (i.e. number of outputs produced per year)
- Service Age – the number of years the service has been offered
- Responds to Events - those events or cycles triggering service delivery (*refresh following development of events and cycles model*)
- Locations of Service - those geographical locations from which service is delivered (*refresh following development of events and cycles model*)
- Estimated Reach – describes the area for service delivery

Properties for each service identified should be captured in tabular format (using a spreadsheet tool) as shown in the example.

2.4 Align Programs & Services

The Program Service Alignment Model (PSAM) brings together and aligns all of the preceding work (i.e., target groups; needs; services; service outputs; and programs) around value statements.

Target group members must experience some value from the delivery of the service output. A value statement links the service output to the target group need. It is important for several reasons – it demonstrates understanding of client needs and perspectives, and it can be translated into a direct outcome of the service. An outcome is defined as a desired trend in the level of a target group need (which a successful program would presumably affect). Direct outcomes from each service contribute or accumulate towards program outcomes for the target group.

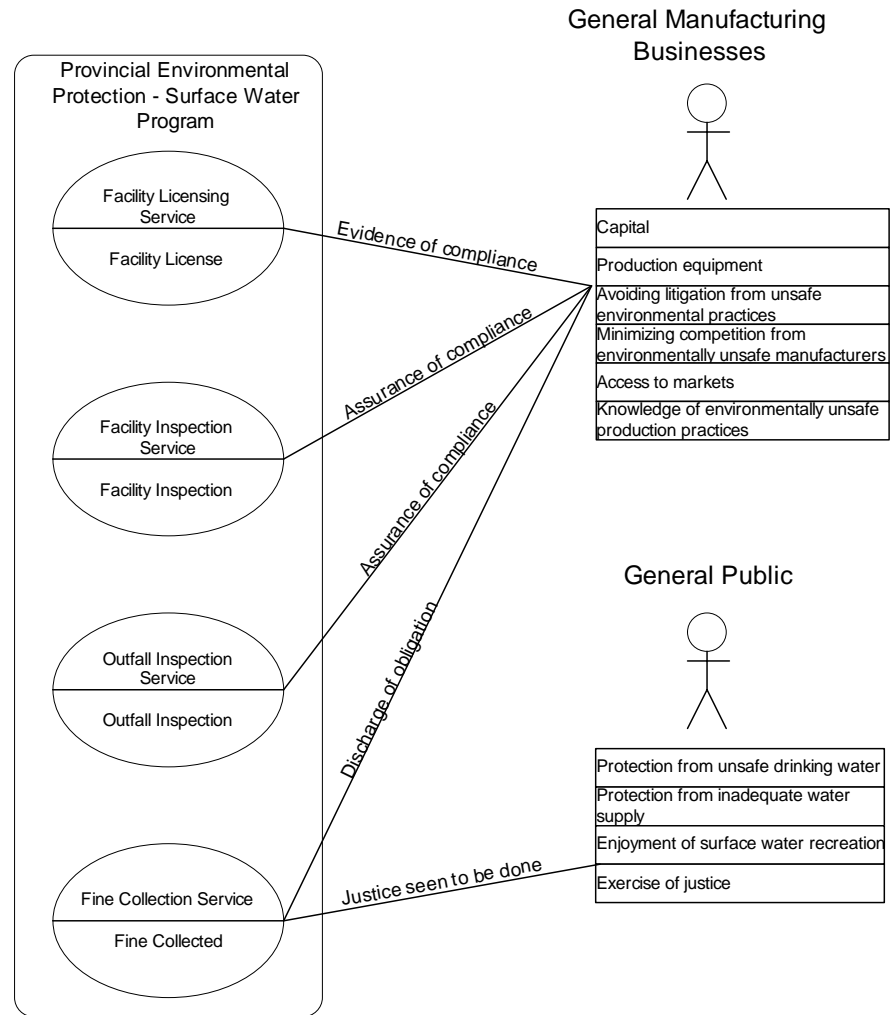
The PSAM is used to:

- Align multiple programs and services by analyzing their overlaps and gaps in terms of target groups and needs.
- Identify direct outcomes that are used in the Program Logic Model to make explicit the links from direct outcomes attributed to service outputs through to strategic outcomes.

2.4.1 Example

PSAM Graphic Format

This format is preferred for communication and collaboration. In this example, only one jurisdiction is represented.



PSAM Matrix Format

This format is preferred to gather, consolidate and analyse PSAM information,

making use of typical spreadsheet features to search for empty rows (needs not met by any service), empty columns (services with no value statements against needs), clustering of outputs from services against subsets of needs and so on.

Program		Provincial Environmental Protection - Surface Water Program			
Service		Facility Licensing	Facility Inspection	Outfall Inspection	Fine Collection
Service Output		Facility License	Facility Inspection	Outfall Inspection	Collected Fine
Target Group: General Manufacturing Businesses					
Targeted Needs	Capital				
	Production Equipment				
	Avoiding litigation from unsafe environmental practices	Evidence of compliance	Assurance of compliance	Assurance of compliance	Discharge of obligation
	Minimizing competition from environmentally unsafe manufacturers	Competitors are regulated			
	Access to markets				
	Knowledge of environmentally unsafe production practices				
Target Group: General Public					
Targeted Needs	Protection from unsafe drinking water				
	Protection from inadequate water supply				
	Enjoyment of surface water recreation				
	Exercise of justice				

2.4.2 Rules, Guidelines, Tips

- 1) Each service output must be linked through a value statement to one or more needs of one or more target groups.
- 2) Each value statement must be articulated from the perspective of the target group member.

2.4.3 Properties, Notation, Tool Tips

The graphic and matrix forms of this model contain exactly the same elements (jurisdictions, programs, services, service outputs, value statements, target groups and needs) and relationships (service to service output, service output to value statement to need, service to program, program to jurisdiction, and target group to need).

PSAM Graphic Form

Each target group must be represented by a stick figure, labelled with the name of the target group. Each target group's needs must be listed in a table, one need per row. The needs table should be placed below the target group stick figure.

Each jurisdiction must be represented by a square cornered rectangle, labelled with the jurisdiction name.

Each program must be represented by a rounded corner rectangle, labelled with the program name. Each program icon must be placed inside the appropriate jurisdiction icon.

Each service is represented by an oval with a horizontal centre line. The oval must be labelled with the service name above the centre line, and the service output name below it. Each service oval must be placed inside appropriate program icon (i.e. that of the administering program).

A directed arrow must join a service to a need, if that service output provides value to the target group member with respect to that need. The direction of the arrow must point to the need being met. The arrow must be labelled with a value statement that describes the value of the output in the context of the need addressed from the perspective of the target group member.

If the model becomes too large, it can be partitioned in a number of ways:

- As one diagram per target group, with the target group and needs in the centre of the diagram and the programs around the outside, OR

- As one diagram per service output or service output type, with the program(s) in the centre, and all target groups around the outside.

PSAM Matrix Form

Target groups must be represented by rows in the matrix. Target group needs must be represented by rows that follow the appropriate target group row. Services must be represented by columns in the matrix. A value statement must be placed in a cell, when the targeted need (row) is met by the service output (column). The value statement describes the value of the output in the context of the need addressed from the perspective of the target group member.

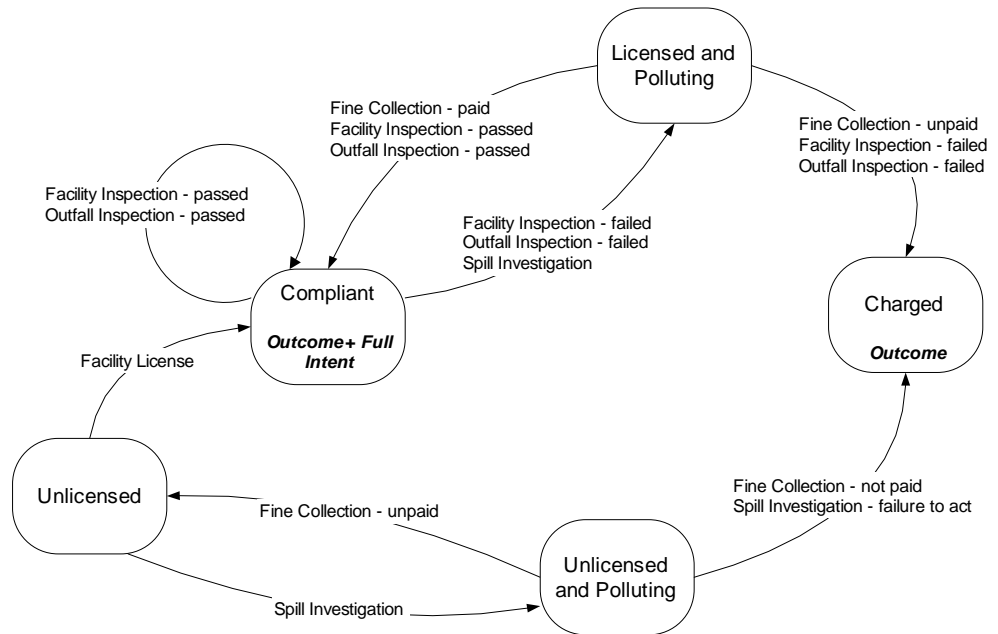
If the model gets too large, the spreadsheet tool's filtering mechanisms can be used to manage its complexity, and support printing by target group or jurisdiction or other criteria.

2.5 Define Transition Output Bundles

For transitions identified in the Target Group State Transition Model, identify specific service outputs that are offered to help make each transition. The purpose of this analysis is to understand the mix and range of services associated with each transition, and to identify opportunities for simplification, joining-up and alignment. This analysis also makes it possible to distinguish states of importance to target group members from states of importance to providers. When many providers are involved, they may identify many different “internal” states that add unnecessary complexity to service delivery.

2.5.1 Example

Transition Output Bundle Model
for Target Group "General Manufacturing Business"



2.5.2 Rules, Guidelines, Tips

- 1) This model must be built on the target group state transition diagram.
- 2) A service output must appear on the transition from one state to another if:
 - The target group member must be in the first state to be eligible to receive the service output, and
 - The service output acts to move the target group member to the second state OR detects that the target group member is making the transition to the second state OR prevents the target group member from making the transition to the second state.
 - Exception: any service output that is a general right or entitlement should appear only on the transition from a preferred state to non-preferred one. Although these outputs are available to everyone, they are primarily established to prevent the transition from preferred to non-preferred states (i.e. to ensure a basic level of right or entitlement for all target group members).
- 3) The same service output may appear in more than one transition bundle as long as it follows rule 2.
- 4) Service outputs that help or detect the target group member maintaining or sustaining that state must be placed on a transition from the state to itself. This transition should not be named. This is shown by the loops in the example.
- 5) Service outputs in each bundle should be prefixed with the jurisdiction code of the service that produces the service output, when the problem domain is multi-jurisdictional. *(This is not shown in the example because the scope was restricted to provincial services only).*

Practitioners should be biased towards including a service output on fewer rather than more transitions. In other words, if a service output could have a secondary or tertiary impact on a transition, it should not be included.

2.5.3 Properties, Notation, Tool Tips

This model must be represented as a diagram, following the same convention used for the Target Group State Transition diagram. The list of service outputs that facilitate, detect or prevent the transition should be listed as rows in a table placed below the arrow.

It is beneficial to analysis to present two versions of the diagram:

- 1) Service outputs in each bundle are colourized and sorted according to their output type.
- 2) Service outputs in each bundle are sorted according to the jurisdiction they are provided by.

This information could be collected by adding a transition row to the table used to identify and describe services. (Refer to Section 2.3.1 for this table)

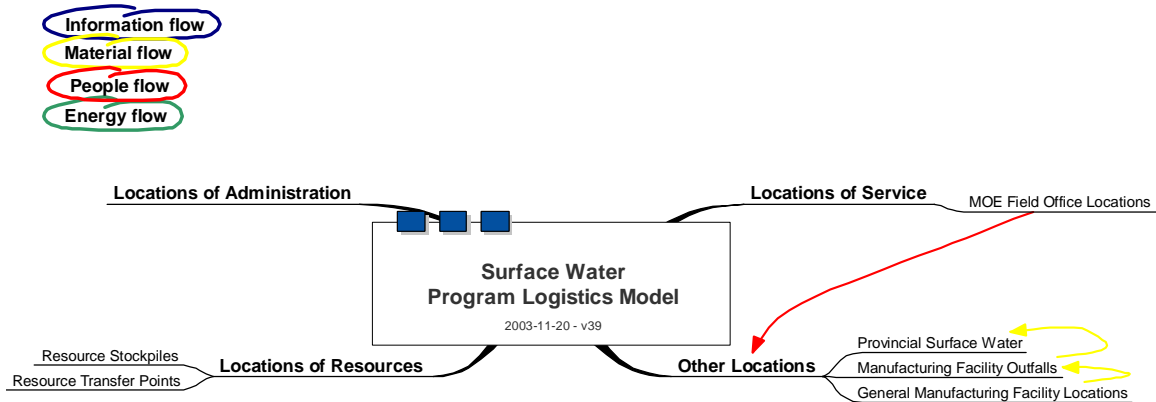
2.6 Analyse Logistics

In early iterations, this analysis need only be conducted where an understanding of the physical constraints of the program is necessary. For example, programs that deliver mail, energy, or information over various types of networks, and programs that deploy specialised resources (both people and materials) in response to various types of emergencies would have “out of the ordinary” physical constraints.

The Logistics Model expresses the spatial and geographic characteristics of the program. The purpose of this model is to establish an understanding of the physical constraints of the program to set the stage for (eventual) physical design (including technology). The typical location types in a government setting are: service points where service is available; administrative points for administration only; and resource locations where resources are made, maintained, warehoused, transferred, etc.

2.6.1 Example

...on next page



2.6.2 Rules, Guidelines, Tips

- 1) Only large scale location types premises and facilities should be identified, e.g. premises and facilities such as head office, service point, embassy, etc.
- 2) Small scale location types should not be identified, e.g. hub rooms, loading docks, etc.
- 3) Delivery channel type service points could be identified, e.g. telephone, Internet computer, etc.
- 4) Material flows should be included, when significant to the problem domain. For example, a transportation program has substantial people and material movement, and a telecommunications program has substantial information flows.
- 5) Routine movement of people, information, products, etc. should not be included at this stage of analysis.

2.6.3 Properties, Notation, Tool Tips

A mind map could be used to capture types of locations of interest to the program, as shown in the example. Links should be added between location types to indicate flows of material, information, energy and people.

Alternatively, this model could be represented as a diagram. A basic box shape must be used to represent a location. The selected shape must differ from those used in other models, and must not be an oval, as that shape is reserved to represent a service. The shape must be labelled with the agreed name of the location type. A directed arrow must join two location types, if there is a valid flow of information, material, people or energy between the two locations. The direction of the arrow must show the direction of the flow. The arrow must be labelled with type of the flow (i.e. information, material, people or energy) and a short description of what is flowing between the two locations.

Once this information is collected, revisit service descriptions to populate or refine "locations of service" for each service.

2.7 Analyse Events and Cycles

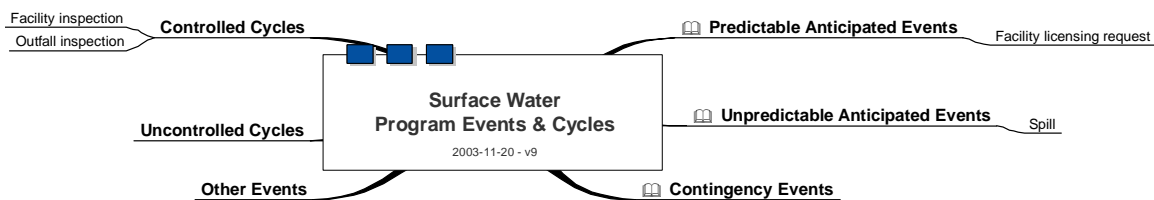
In early iterations, this analysis need only be conducted where the program has significant time-related behaviour, such as a tax program.

The purpose of the Events and Cycles Model is to understand how the program's services are triggered, and what they respond to. In later iterations, this analysis may be done at the service process level.

Events and cycles can be classified as follows:

- Predictable anticipated events whose occurrence and impact are completely understood (e.g. an order for a service).
- Unpredictable anticipated events whose impact may be understood but whose occurrence can only be approximated (e.g. a fraudulent act).
- Contingency events whose occurrence and impact cannot be predicted (e.g. an ice storm).
- Controlled cycles such as a planning and budgeting cycle.
- Uncontrollable cycles such as the business cycle (of the economy), or a cycle of drought.

2.7.1 Example



2.7.2 Rules, Guidelines, Tips

- 1) Events that services respond to in some planned fashion must be identified.
- 2) Events that require service processes to detect the event and respond must be identified.
- 3) Both real-world events (e.g. an ice storm) and program events (e.g. claims for damage) should be identified.
- 4) Links could be shown between events and cycles, if appropriate. (e.g. tax cycle, monthly source deductions due, quarterly instalments due, personal tax returns due etc.) .

2.7.3 Properties, Notation, Tool Tips

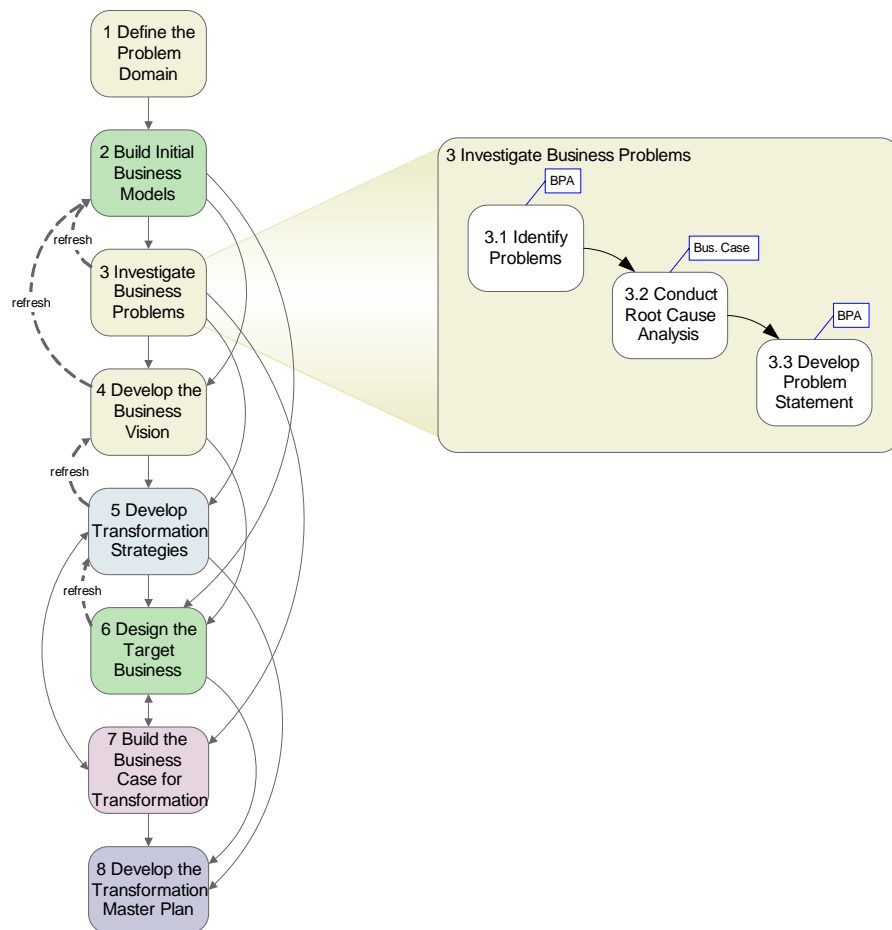
A mind map could be used to capture types of events and cycles recognized by the program, as shown in the example above.

Alternatively, events and cycles could also be captured in a tabular format, using a spreadsheet tool.

Once this information is collected, revisit service descriptions to populate or refine “responds to events” for each service.

3 Investigate Business Problems

Understanding the business problem is pivotal for successful transformation. Often, technology or work re-organisation “solutions” have been implemented into business situations without a sufficient understanding of the underlying business problem, which is akin to treating the symptoms of a disease but not curing the underlying ailment. Problem symptoms are identified based on the models of the business developed to this point. These are then analysed to determine root causes, which become input to the vision process. Reference BTEP Template – Business Problem Assessment for additional work tips.



3.1 Identify Problems

A problem occurs when there is a difference between what is intended and the actual situation. Problems are typically expressed in terms of their effects and impacts, i.e. observable symptoms or behaviour.

All models and information developed to this point are examined to identify problems in the problem domain, using the sample questions listed below. Once this approach has been exhausted, consider four perspectives to find any additional problems: Principal Target Group, General Public, Service Providers, and Stakeholders. (Identified problems are analysed in the step that follows this one, to determine their root causes.)

Target Group Needs

1. Is the need well understood?
2. Is the need being satisfied? What isn't being satisfied about that need?
3. Are there current or future expectation(s) about the level of satisfaction of the need?

Transition Output Bundle Model

1. Are all the states necessary i.e. does each state provide value to the target group member or to the program?
 - a. Does it appear that the program states have shifted the burden of government complexity to the target group member?
2. For each bundle, ask:
 - a. Are all the service outputs needed?
 - b. Do the service outputs in the bundle 'belong' together?
 - c. Are there interdependencies that could be simplified?
 - d. Are multiple jurisdictions providing the same output type in the same bundle?
 - e. Does the target group member have to apply for each service in the bundle?
 - f. Does the target group member have to supply much of the same information to each service in the bundle?

Program and Service Alignment Model

1. Are there any unmet needs? (empty rows in the PSAM matrix)
2. Are there needs that have many outputs directed at them? From multiple jurisdictions? Possible overlap.
3. Are there needs that have one or few outputs directed at them (i.e. sparsely filled rows in the PSAM matrix)? ...Caution: this may not necessarily be a sign of a poorly met need but rather an indication that few services are required to meet the need.
4. Are there services that are meeting one or no needs i.e. empty or sparsely filled columns in the PSAM matrix?

Logistics Model

1. Does the target group member know where to go for service? When delivery channels are added over time and across multiple organizations and jurisdictions, complexity in service access typically

increases suggesting a need to rationalize and integrate service points.

2. If there are extraordinary needs to move materials, does the current implementation align to appropriate transportation hubs?

Events and Cycles Model

1. Does the program need to respond to all the events and cycles?
2. Does each event demand a unique response?

If scope needs to be narrowed, rank the problems using a prioritization mechanism based on urgency and business importance. Lower ranked problems can be “parked” until a later iteration. Note that early spin-off projects may have a side benefit of resolving some of these “parked” problems, but they will not be the focus.

3.1.1 Example

See example in next section, Conduct Root Cause Analysis.

3.1.2 Rules, Guidelines, Tips

- 1) Each symptom should be stated as an event – i.e. a particular occurrence of something that happened at a particular place and time. If this is not possible, annotate the described symptom with one specific instance.
- 2) Symptoms could be classified by one of the following four perspectives where effects are felt most: Principal Target Group, General Public, Service Providers, and Stakeholders.

3.1.3 Properties, Notation, Tool Tips

A tabular format, using a spreadsheet tool, should be used to gather, consolidate and analyse problem symptoms. A mind map could also be used, as shown in the example in the next section.

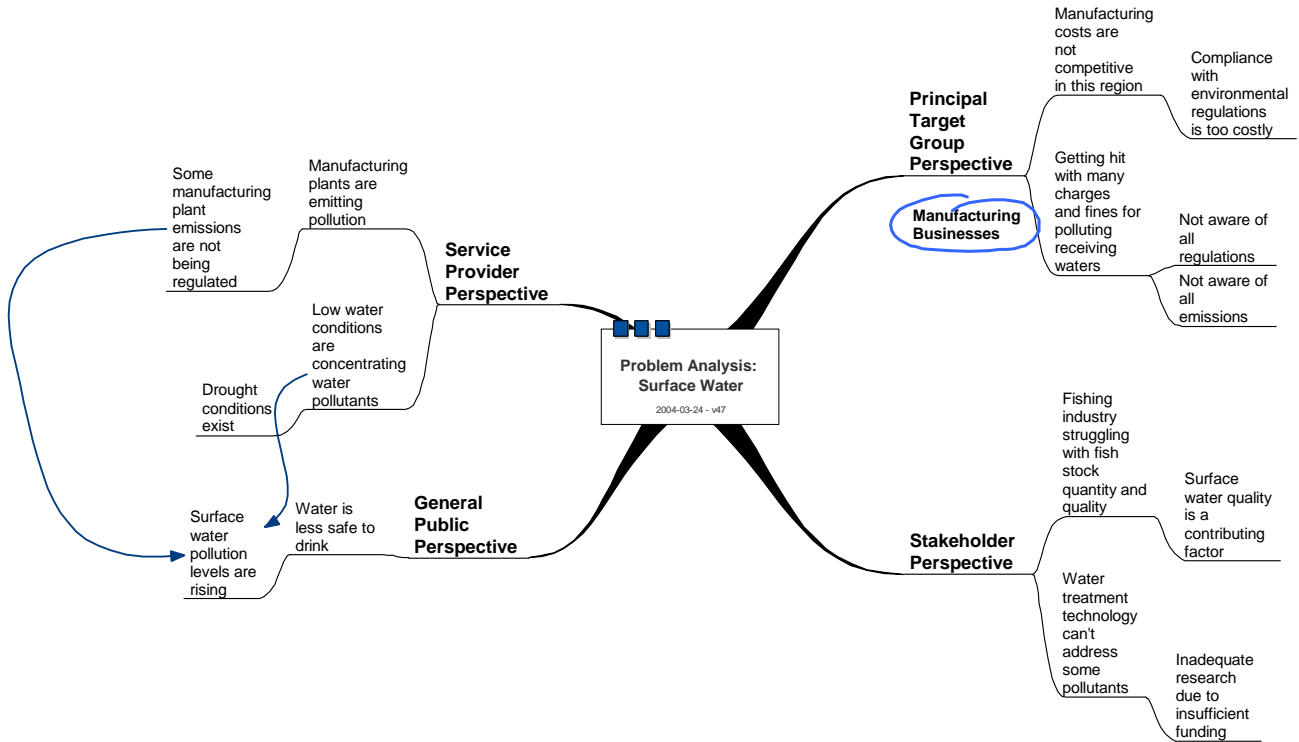
3.2 Conduct Root Cause Analysis

Root cause analysis is also known as the “5 why process” – typically, the question “why” is repeated 5 times to reach a root cause.

Conduct cause and effect analysis of the problem symptoms to identify root causes. A cause is the presumed reason and the answer to the question: *Why is this symptom occurring?* Causes may have sub-causes, but even the most complex problem typically requires fewer than 5 “levels” to get to a root cause. A root cause usually contributes to more than one symptom

If required, rank the root causes, using a prioritization mechanism based on urgency and business importance. Lower ranked root causes can be “parked” until a later iteration.

3.2.1 Example



3.2.2 Rules, Guidelines, Tips

- 1) Systemic problems should be identified. Symptoms of these include some of the following characteristics:
 - they are recurring problems that seem to elude solutions, reappearing when thought to have been solved
 - previous attempts to develop solutions inadvertently create other problems
 - obvious problem solutions produce non-obvious consequences
- 2) Root causes could be screened out from further analysis when the project's focus is a specific requirement domain or capability (e.g. interoperability, case management, information management). Inclusion or exclusion should be based on whether they lie within the project's scope and whether the solution to the problem lies within the project's transformation objective.

3.2.3 Properties, Notation, Tool Tips

The results of root cause analysis must be represented as a diagram. This could take the form of a mind map, as shown in the example, or an Ishikawa diagram (also known as cause-effect or fishbone diagrams).

3.3 Develop Problem Statement

The problem statement provides the impetus that, when coupled with the vision statement developed later on, will form the “high concept” for the transformation. The impetus is the reason for taking action, and the problem statement must be a simple and appealing “two liner” that describes the problem succinctly in a way that any project stakeholder or audience can immediately grasp.

The problem statement serves as a précis of the observed symptoms, problem (causes) and unmet needs identified by the problem analysis.

3.3.1 Example

Two examples are included, based on work products from early adopter projects.

Services to New Business Start-ups	
We are not currently meeting the needs of	<i>...list target groups affected by the problem</i> restaurant entrepreneurs
for	<i>...describe the desired need.</i> planning and opening a restaurant business, while meeting government requirements in a cost effective manner.
This is manifested by	<i>...observed symptoms</i> - the need to hire intermediaries to comply with complex regulatory and licensing requirements, - unpredictable wait times for licensing confirmation that cause delays in launching the business that exceed the financing capacity of the entrepreneur - industry lobbying for change - complaints to politicians
that are indicative of	<i>...problem causes.</i> - regulatory processes that are too slow and unresponsive to business realities - poor co-ordination across jurisdictions - entrepreneurs without necessary skills and/or knowledge of the regulatory and licensing process

Seniors Service Mapping	
We are not currently meeting the needs of	<i>...list target groups affected by the problem</i> Seniors
for	<i>...describe the desired need.</i> access to the right combination of services that will enable them to maintain or improve their state with respect to health, safety, adequate housing, engagement in their community and financial security.

This is manifested by	<p><i>...observed symptoms</i></p> <ul style="list-style-type: none"> - abused, lonely, and confused seniors (i.e., seniors “falling through the cracks”) - increasing wait times for beds in care facilities - abused, indifferent or burned-out caregivers - public resentment, concern and anger, as well as the perception that the Senior population is a growing burden on society
	<p><i>...problem causes.</i></p> <ul style="list-style-type: none"> - inadequate knowledge about Seniors’ unique needs and characteristics on the part of formal caregivers and professionals - lack of support (financial, resources, psycho-social, knowledge, legal) for both formal and informal caregivers - lack of collaboration between caregivers and professionals - bulk of resources being spent on maintaining Seniors that have started down the negative slope - unclear accountabilities among jurisdictions and organizations - so many services out there, so many service providers - too much information, too many contact points - lack of knowledge of the Seniors demographic by the General Public (i.e. only 7% of Seniors are in a “really bad state”; Seniors give more volunteer hours to the community than any other age group, etc.)
that are indicative of	

3.3.2 Rules, Guidelines, Tips

- 1) There must be only one problem statement produced for a transformation initiative.
- 2) The statement must be converted from the template into plain language and edited prior to publication in the appropriate primary deliverable(s) or usage in presentations external to the project.

3.3.3 Properties, Notation, Tool Tips

The following sentence template must be used:

We are not currently meeting the needs of	<i>...list target groups affected by the problem</i>
For	<i>...describe the desired need.</i>
This is manifested by	<i>...observed symptoms</i>
that are indicative of	<i>...problem causes.</i>

A tabular format in a word processing tool should be used to draft the problem statement, as this facilitates conversion of the statement to publishable quality.

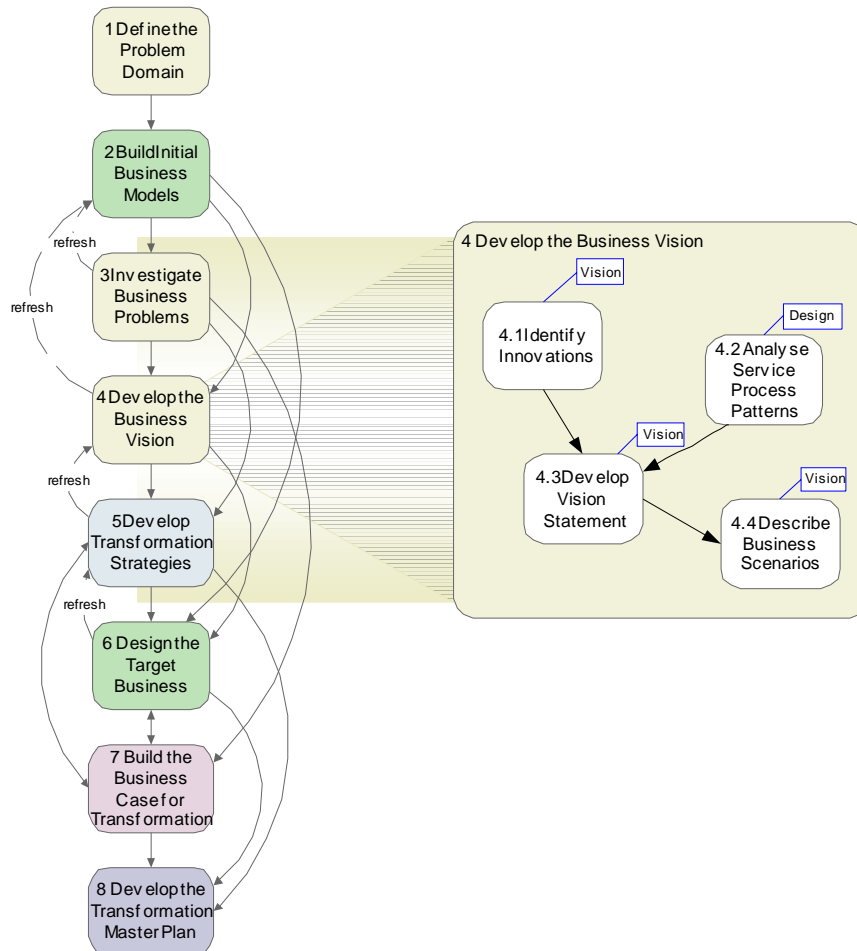
3.4 Refresh the Business Models

Before continuing to the next stage, refresh the business models and scope if required.

Examine the models against the prioritized problems and root causes, potentially dropping some target groups, targeted needs or transition output bundles (along with services and programs implicated only in dropped bundles) that are not mapped to the highest priority problems. These are “parked” until later iterations.

4 Develop the Business Vision

Describe the vision for the post-transformation steady state of new or improved business program(s) and the changed outcome expected. Reference BTEP Template –Target Business Vision for additional work tips.



4.1 Identify Innovations

All models and information developed to this point are used to seed brainstorming to identify innovative ways to meet the target group needs or administer the program. In addition, “blue-sky” brainstorming techniques could be used to find additional ideas following analysis of the models.

An innovation is a new process, capability, standard, method, tool or use of a tool, often contrary to established standards, processes or tools. A feature is a prominent or distinctive quality, behaviour or characteristic of the way the business would operate given a particular innovation.

Below are ways each model can be used to seed the brainstorming activity.

Problems and Root Causes

- ...find a way to deal with each problem and symptom that either reduces the severity of the problem, or avoids it altogether
- ...systemic problems often require corrective action through administrative, regulatory, legislative or policy change

Transition Output Bundle Model

- ...find opportunities to have the services in each bundle align across jurisdictions OR to have services of the same output type within a bundle align across jurisdictions
- ...find opportunities to reduce the number of outputs in a bundle
- ...find opportunities to bundle services of the same output type
- ...find opportunities to reduce the number of program states
- ...find opportunities to share the same registration process for some or all outputs in the bundle
- ...find opportunities to share information among some or all services in the bundle

Program and Service Alignment Model

- ...find potential to share, align or integrate services meeting similar needs
- ...find opportunities to consolidate or eliminate services: shut down redundant services, combine outputs to a single service provider where multiple jurisdictions are addressing the same need
- ...find opportunities to collaborate across organizations or jurisdictions
- ...find opportunities to update policy, e.g. to change the level of need being met
- ...find potential to change the reach of the program

Logistics Model

- ...find opportunities to share, align or integrate service points across organizations or jurisdictions

Events and Cycles Model

- ...find opportunities to share, align or integrate services that respond to the same event
- ...find opportunities to share, align or integrate services that operate on the same cycle and address the same target group

4.1.1 Example

Seniors Service Mapping initiative – excerpt		
#	Idea	Idea Trigger (where known)
3	Follow the path for health themes/trends to look at strategies or a think tank to flesh-out ideas for preventative services/programs	TOBM - relative number of services in bundles
4	Think tank for seniors (forward looking)	
5	“Join up”/integrate advisory encounter and educational and training services (all jurisdictions)	Service Process Reference Pattern
6a	Bundle advisory encounters and education/training encounters inter-jurisdictionally and with community stakeholders	PSAM
6b	Life events bundles, advance care planning, senior lifestyle education i.e., seniors seminar series – focus on the well senior to maintain wellness	TOBM
7	Integrated multi-jurisdictional/information provision for low income seniors; online; Integrated mail package	Problem analysis
8	One-stop service provision – inter-jurisdictional and across modes of service	Problem Analysis
9	When a CPP Disability client becomes a senior, refer them to health related services for seniors	
10	Share processing exceptions to service delivery (i.e., corrective action)	Service Process Reference Pattern
11	<p>Directory of programs/services in other languages & in other formats;</p> <p>Involve Faith leaders</p> <p>Involve retailers (pharmacy/grocery)</p> <p>Allow seniors to “profile” themselves to select modes of delivery. E.g., ‘I can’t see well anymore. Talk to me over the phone; don’t just send letters’.</p>	<p>Problem: Lack of knowledge of program services</p> <p>Root cause: lack of service provider collaboration</p>

4.1.2 Rules, Guidelines, Tips

- 1) All ideas should be recorded, no matter how far-fetched they may seem.
- 2) Each idea should be cross-referenced to the topic that was being studied when it arose, if applicable.

4.1.3 Properties, Notation, Tool Tips

Ideas should be captured in a tabular format, using a spreadsheet tool as shown in the example. This allows for subsequent analysis and linking to other work products.

4.2 Analyse Service Process Reference Patterns

If a majority of problems implicate services of a particular output type, or a particular output type is predominant in the problematic areas of all the models, then the pattern for that output type should be used, otherwise, this exercise can be carried out against the universal (also called level 1) Service Process Reference Pattern.

There are 19 Service Process Reference Patterns, one for each service output type defined in the GSRM. Each pattern contains all of the processes required to produce a service output of that type. Analysis using them allows project participants to find processes that can be shared, aligned or integrated across jurisdictions and organizations. The services in each pattern are classified as Planning, Provisioning, Delivery and Decommissioning. In early iterations, the focus of analysis is *provisioning* and *service delivery* processes only.

This analysis is performed on the services in the PSAM. Each process in the appropriate (selected by service output type) pattern is examined in turn to answer the following two questions:

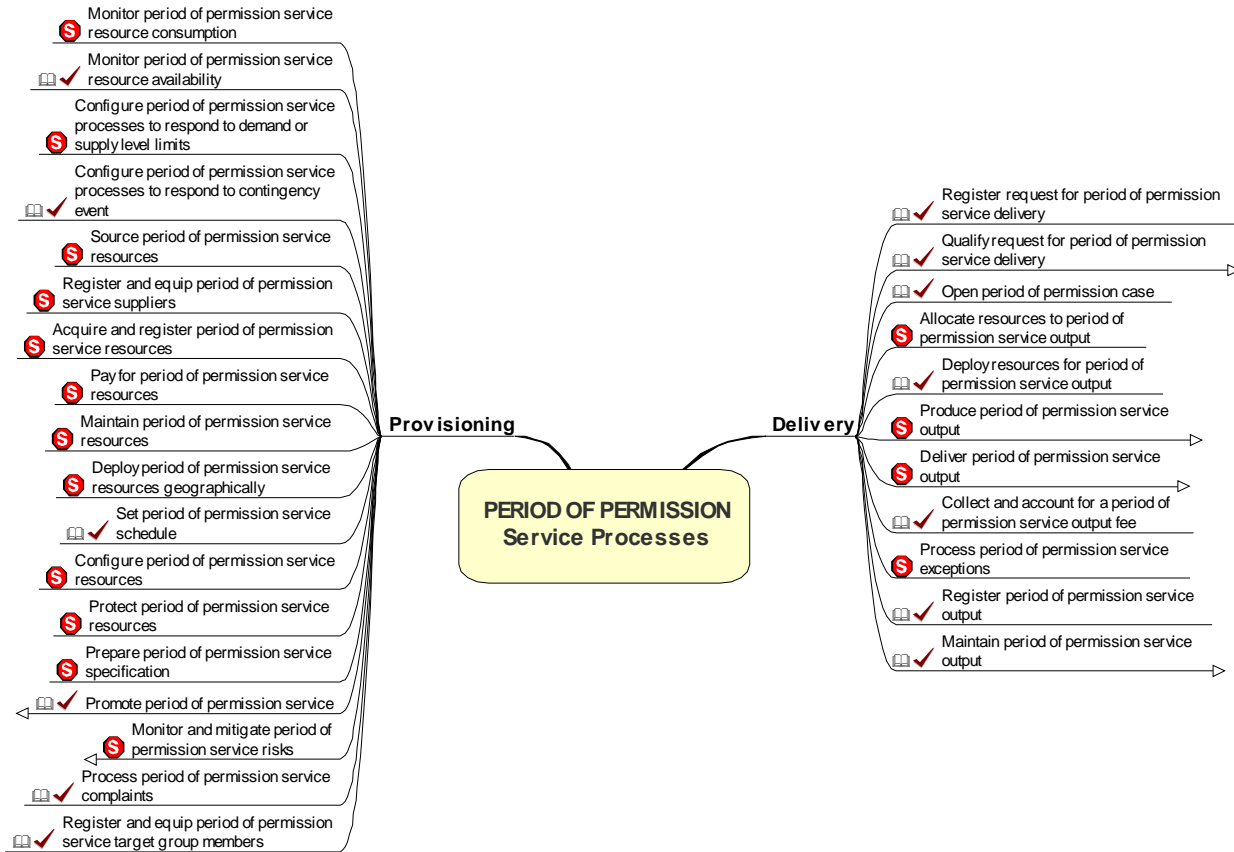
- If the process is carried out by two or more services in the PSAM, could a separate service be developed to perform the process or part of it on behalf of the original services?
- If the process uses some of the same key resources as other processes in other services (the same sort of information, the same kind of specialized equipment or specialized skills, etc.), could a separate service be created to supply those resources to the original services?

4.2.1 Example

Services to New Business Start-ups – Periods of Permission

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In this example the stop sign indicates the service cannot be shared whereas the check mark (✓) indicates the process could be shared, and the book icon indicates notes describing any constraints on the extent to which sharing is possible.



4.2.2 Rules, Guidelines, Tips

- 1) Each process in the provisioning and delivery portions of the service process reference pattern should be examined (i.e. the two questions posed).
- 2) For each process, both the answer and rationale should be recorded to each question.
- 3) A process must be decomposed into two or more sub-processes, and the questions posed for each part, if either question would elicit a “yes” response to part of the process.

4.2.3 Properties, Notation, Tool Tips

A mind map could be used to capture the results of this analysis, as shown in the example. The icon capabilities of the mind-mapping tool should be used to indicate whether a process is shareable. Decomposed processes must be added as new

branches. The rationale for each answer should be captured in the notes area of the mind-mapping tool.

Alternatively, the results of this analysis could be recorded in a tabular format, using a spreadsheet tool. In this case, the results could be linked to the table used to capture innovations.

4.3 Develop Vision Statement

The vision statement paired with the problem statement form the “high concept” for the transformation. This helps facilitate communication of the transformation to stakeholders and other audiences.

The vision is a big picture statement, describing a desired end-state (i.e. the transformed business or post-transformation steady state). It should be general in scope, non restrictive and go further than simply re-stating the current scenario with all problems solved.

4.3.1 Example

Services to New Business Start-ups	
	<p><i>Scoped-in target groups</i></p> <p>Restaurant entrepreneurs from the inexperienced to experienced</p>
who need to	<p><i>...scoped-in target group needs</i></p> <p>plan a successful business and navigate through the regulatory and licensing process, from the ‘anyone’ state to the ‘first legal sale’ state (i.e. door is open and they have served their first meal) meeting all applicable gov’t requirements in a cost effective manner</p>
will be able to	<p><i>...describe new outcome(s).</i></p> <ul style="list-style-type: none"> - open a restaurant, quickly and in a predictable timeframe while minimizing costs - navigate easily through government services and comply easily with government regulations - easily gain the knowledge to make an informed decision to either open a new business or opt out of doing so - open a restaurant that has a higher probability of success, e.g. is accepted by the general public.
This will be enabled by	<p><i>...business features</i></p> <ul style="list-style-type: none"> - providing a clear and complete service map for both in-experienced and experienced - relevant and timely information - decisive, complete and authoritative answers - responsive, consistent, published and predictable service standards

	- a transparent process
Made possible by	<p>...<i>innovations</i>.</p> <ul style="list-style-type: none"> - collaboration framework across and within jurisdictions - seamless inter-operations across and within jurisdictions - enhanced self help, customer perspective, customer capabilities, simplified customer centric process design
We'll know we've achieved this when	<p>...<i>sample performance measure(s)</i>.</p> <ul style="list-style-type: none"> - there is more self service and less reliance on intermediaries - there is increased industry satisfaction and less lobbying for change - the time required to start up new restaurant business is reduced - fewer complaints are made to politicians - there is increased economic activity in the restaurant sector - there is better compliance and reduced enforcement costs - we have achieved increased efficiencies for governments and entrepreneurs.

4.3.2 Rules, Guidelines, Tips

- 1) There must be only one vision statement for a transformation initiative.
- 2) The program's contribution to the vision must be made explicit, in the "enabled by" and "made possible by" portions of the template.
- 3) The sentence template must be used to develop the statement.
- 4) The statement must be converted from the template and edited into plain language prior to publication in the appropriate primary deliverable(s) or usage in presentations external to the project.
- 5) The universal (level 1) Service Metric Patterns could be used for help in choosing sample performance measures.

4.3.3 Properties, Notation, Tool Tips

The following sentence template must be used:

	Scoped-in target groups
who need to	...scoped-in target group needs
will be able to	...describe new outcome(s).
This will be enabled by	...business features
Made possible by	...innovations.
We'll know we've achieved this when	...sample performance measure(s).

A tabular format in a word processing tool should be used to draft the vision statement, as this facilitates conversion of the statement to publishable quality.

4.4 Describe Business Scenarios

Reference BTEP Template – Target Business Vision.

Note that the early spin-off opportunity template in the next section is patterned after the characteristics for a Business Scenario described in this document template.

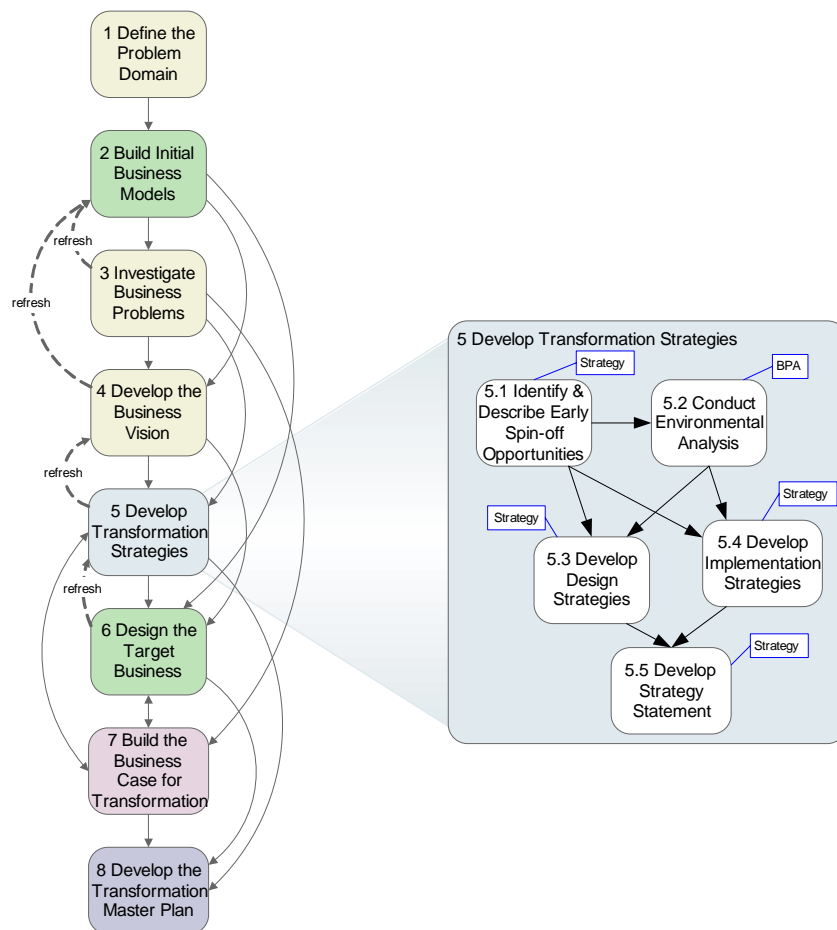
4.5 Refresh the Business Models

Before continuing to the next stage, refresh the business models as required based on new information developed during the vision activities.

If necessary, revisit scope, potentially “parking” some design elements for further analysis in a later iteration.

5 Develop Transformation Strategies

Describe what will be done to effect the transformation – to achieve the transformation of the business from its “as-is” state to the target state. The Transformation Strategy drives both target design and the development of the transformation master plan which is required for implementation. Design strategies will cover all aspects (columns) of the BTEP Framework (i.e., what, how, where, who, when and why) and implementation strategies will cover the aspects of budget, resources, timeframes and risk of the transformation.



5.1 Identify & Describe Early Spin-off Opportunities

In early iterations, Business Scenarios and Innovations form the basis for early spin-off opportunities. Criteria for these should be specified in the Project Charter. The following are candidate criteria for screening early spin-off opportunities:

- *Changes behaviour of service providers*

- *Significantly changes a client relationship (note that clients of provider programs are generally other government programs)*
- *Reduces steps and processes to achieve program outcomes*
- *Reduces response time, saves money*
- *Yields quick deliverables as well as contributing to longer-term goals, and*
- *Is not already in the works.*

Since each minor iteration delivers parts of, most, or all of the strategic design and planning deliverables at some level of completion, it is possible to spin-off projects to build or test out detailed design work in a tightly scoped area while iterations continue at the strategic level. In early iterations, these projects also serve to build momentum and buy-in for the overall transformation effort.

5.1.1 Example

Example from Seniors Services Mapping	
Opportunity Name	<p><i>Identify a name that describes the opportunity.</i></p> <p>“Client Record for Seniors Programs and Services”</p>
Opportunity Scope	<p><i>Provide a description of the scope of the opportunity. Things like the services provided or transition from one client state to another may be used to delineate the scope.</i></p> <ul style="list-style-type: none"> • Establish common eligibility and assessment records for utilization across programs and jurisdictions <p>A total of 140 services were identified which require clients to provide basic personal information in order to be accessed.</p>
Current Scenario	<p><i>Provide a description of the current business scenario within the opportunity scope. Describe how the service outputs are provided to facilitate the transition from one state to another.</i></p> <ul style="list-style-type: none"> • Collected multiple times, duplicated • Not consistent • Not efficient use of time
Current Problems	<p><i>Identify the current problems within the current scenario. Use the Output Transition Bundle definitions to identify the related problems.</i></p> <ul style="list-style-type: none"> • Design of application does not meet multi-user needs <ul style="list-style-type: none"> • Time consuming and expensive • Information repeated for client several times • Jurisdictions collect same information several times <p>From the senior’s perspective, having to provide this information over and over again is extremely frustrating.</p>

<p>New Scenario</p>	<p><i>Provide a description of the new business scenario within the opportunity scope. Describe how the service outputs are provided to facilitate the transition from one state to another.</i></p> <ul style="list-style-type: none"> • Collect once – use many times • Updates – user has latest info • Single collection of common info <p>This would mean collecting and making available to trusted seniors' service providers common information about the senior client, such as:</p> <ul style="list-style-type: none"> • Name; • Address, which may include residence address and mailing address; • Telephone number; • Social Insurance Number; • Health Care Number; and • Date of birth. <p>Information would be collected in a consistent manner, with common elements such as the above globally shared among trusted service providers, and additional elements collected, such as records of the “state” of the senior (e.g., their health or financial status) that may be shared by an even more restricted audience. (A trusted service provider would be one that would already have access to this personal information, but in his or her own separate records.) These additional elements would assist other service providers in understanding the senior's condition, and enable them to make more informed, proactive decisions about additional service offerings that could benefit the client and improve their status. In addition, changes to the client record such as change of address would only have to be entered once, and all service providers would automatically have this new information, obviating the need for the client to repeatedly inform all their service providers themselves.</p>
<p>What is changed</p>	<p><i>Identify the changes or differences between the current and new designs. For example, this may take the form of consolidated services, modified outputs, a new service or changed cycle.</i></p> <ul style="list-style-type: none"> • Client approves access and release of info • Information available to all service providers at varying levels of access

What is better	<p><i>Identify what is better in the new design. Focus on the outcome or value that is provided. This can be both to the ultimate public target group and to another service.</i></p> <ul style="list-style-type: none"> • Ongoing current and historical information on the individual senior <p>Creating one record on a senior, containing complete, up-to-date information that the senior and pre-authorized service providers can access (with the latter confined to degrees of detail aligned with their need to know based on the types of services they provide) would clearly reduce the burden on the senior; increase the likelihood that accurate information is being used, and support the proactive delivery of services that might not otherwise make their way to the clients who need them most.</p> <p>From an administrative point of view, there are clear economies of scale to be achieved in collecting and maintaining information. Information would be collected once, and used many times. Updates would be made once, and would be accessible to all service providers who have a right to know.</p>
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5.1.2 Rules, Guidelines, Tips

- 1) Ensure that each early spin-off opportunity meets the criteria set in the project charter.
- 2) The innovations identified earlier should be refreshed to indicate those that have been included for testing or development in an early spin-off opportunity.
- 3) The early spin off opportunity description should be converted from the template and edited in plain language prior to publication in the appropriate primary deliverable(s) or usage in presentations external to the project.

5.1.3 Properties, Notation, Tool Tips

The properties that should be specified for each early spin-off opportunity, when it is fully described, are:

- Opportunity Name – the opportunity name should be brief and should signal what is being changed
- Opportunity Scope – describe the scope of the opportunity by referencing appropriate models or element.
- Current Scenario – describe the way the program currently operates within the opportunity scope
- Current Problems – identify the problems linked to the current scenario, and their impact
- New Scenario – describe the way the program will operate once the opportunity is realized
- What is changed – contrast the new scenario to the current one, highlighting differences
- What is better – describe the changed outcome that the new scenario will provide

A tabular format in a word processing tool is best for capturing and maintaining early spin-off opportunity profiles, as this facilitates conversion of the description to publishable quality.

5.2 Conduct Environmental Analysis

An environmental analysis identifies barriers and obstacles to moving forward with a transformation, as well as current work or initiatives that the transformation could take advantage of.

In early iterations, this takes the form of a scan focused on finding barriers and accelerators that may affect early spin-off projects. It is not intended to be the definitive view of participant organizations' or jurisdictions' strengths, weaknesses or current situation. Project participants should complete this analysis based on what they know from experience, or from what they glean from conversations with their manager or management team. Note that many factors will be the same across all early spin-off projects.

In later iterations this scan will be deepened in support of specialized deliverables in the Business Case phase, for example Transformation Readiness Review and Operations Impact Assessment. Reference BTEP Template – Business Problem Assessment for additional work tips.

The assessment of the environment is comprised of a traditional SWOT analysis (strengths, weaknesses, opportunities and threats) conducted from internal *and* external perspectives, augmented by consideration of the values and trends at play both inside and outside the organization.

Below are types of elements that may have both positive and negative impact in any of the SWOT categories, as an aid to completing the environmental assessment.

Management	
Executive support	Is this opportunity one that your senior management is likely to support, especially given the cross-jurisdictional and multi-outcome aspects?
“On the radar screen”	Is solving this problem currently a priority for senior management?
Partnering experience	Has your management team had experience with initiatives that require partnerships across jurisdictions or across organizations within your jurisdiction?
Communications	Has your organization had experience in joint or shared communications with other jurisdictions?
Culture and Organization	
Organizational inertia	How will the staff react to introducing the change? (e.g., unwarranted enthusiasm through to complete denial and even sabotage?)
Planning focus	Where is the energy in your organization focused – on short-term results or longer-term development and

	incremental progress?
Risk tolerance	How does your organization handle change, new ideas and exploration of new and innovative ideas? Is willingness to change high, medium or low? Is this always the case or more a factor of current political, fiscal or union/management environment?
HR impediments	Will your HR situation (e.g. union/non-union environment), strategy (part-time, out sourcing, alternative service delivery) or practices (tele-work, job sharing) limit the ability to implement this opportunity?
Longevity	What is the likelihood that the initiative will outlive changes at the political and senior bureaucrat levels?
Feasibility	
Early returns	Is there a reasonable expectation of achieving savings and having a return on investment within a reasonable time frame?
Cost/benefit	Is the cost to implement high/low and the expected savings low/high?
Likelihood of achieving benefits	How certain are you of realizing the expected benefits (e.g., how will time/cost savings or improved client satisfaction be leveraged for use elsewhere)?
Scope	
Policy/legal Impediments	Are there policy or legislative barriers? What would have to be changed for the transformation to work within existing policies and legislation? What changes to current policy or legislation would be required to realize the proposed change?
Political barriers	Is the initiative susceptible to special interest groups who have a stake in perpetuating the status quo?
Number of stakeholders	Is there a large number of stakeholders who must agree to the changes (e.g., both through input to the design and through management decisions)?

5.2.1 Example

Surface Water Environmental Protection Program

Opportunity: plants could self-inspect and report water quality at plant outfalls		
	Internal Factors	External Factors
+	Strengths - would leverage specialized water quality problem-solving capabilities of the current program	Opportunities - supports current political theme of reducing regulatory interventions

-	<p>Weaknesses</p> <ul style="list-style-type: none"> - will require changes to current legislation but would reduce demands on limited inspection resources 	<p>Threats</p> <ul style="list-style-type: none"> - degree of compliance achievement would be critical - will cause backlash from the environmental advocacy community
Values	- government regulation is always to be balanced against its burden on the economy	
Trends	- many competing jurisdictions are reducing the environmental regulatory burdens	

5.2.2 Rules, Guidelines, Tips

- 1) Each factor must be classified in one of the SWOT categories: Strengths; Weaknesses; Opportunities; Threats; Values; and Trends.
- 2) Each factor could be classified by the Management, Culture & Organization, Feasibility and Scope elements described above as prompts.
- 3) Each factor could be flagged to indicate its impact, if the assessment includes multiple organizations or jurisdictions, e.g. “all, “region only”; “Industry Canada only”, etc.

5.2.3 Properties, Notation, Tool Tips

A tabular format in a word processing tool should be used to record the results of the Environmental Assessment.

5.3 Develop Design Strategies

Reference BTEP Template – Transformation Strategy.

Design strategies indicate what to do to the current (“as-is”) design, as described by the row 2 elements and models in the six columns of the BTEP Framework, for it to become the target (“to-be”) design.

Considerations for service design strategies (HOW column) are described in Appendix C: BTEP Strategic Design Strategies.

5.3.1 Rules, Guidelines, Tips

- 1) Design assumptions, principles, strategies and constraints must be identified for each of the six columns of the BTEP framework (i.e., what, how, where, who, when and why).

5.3.2 Properties, Notation, Tool Tips

A tabular format in either a word processing tool or a spreadsheet tool could be used to record strategies.

5.4 Develop Implementation Strategies

Reference BTEP Template – Transformation Strategy.

Implementation strategies cover the logistical aspects (budget, resources, timeframes and risk) of the transformation from the current (“as-is”) operation to the target (“to be”) design operating as steady-state.

5.4.1 Rules, Guidelines, Tips

- 1) Implementation assumptions, principles, strategies and constraints must be identified for each of four logistic aspects: budget, resources, timeframes and risk.

5.4.2 Properties, Notation, Tool Tips

A tabular format in either a word processing tool or a spreadsheet tool could be used to record strategies.

5.5 Develop Strategy Statement

The strategy statement complements the problem and vision statements developed earlier, by providing the “way forward”: distilling the essence of the strategy and presenting it so that any project stakeholder or audience can see how the transformation will be accomplished.

The strategy statement is a précis of the design and implementation strategies and how they link to environmental factors identified during strategy development.

5.5.1 Example

Services to New Business Start-ups – Enhanced Canadian Ontario Business Service Centre (COBSC) (early spin-off opportunity)	
To achieve the vision for	<p><i>...new outcome(s) from vision statement</i></p> <p>Restaurant entrepreneurs’ easily gaining the knowledge needed to make an informed decision to pursue opening a new business, this early spin-off opportunity will add regional and municipal services to COBSC, providing a one stop shop for integrated referral to services from all jurisdictions</p>
The project will leverage	<p><i>...accelerators and positive elements from environmental analysis</i></p> <p>Halton’s established centralized business information services (i.e. ‘Access Halton’)</p> <p>Ease of access to COBSC information by multiple channels</p>
through	<p><i>...appropriate design and/or implementation strategies</i></p> <p>aligning this initiative with existing successful initiatives in the same domain</p> <p>analysing existing COBSC business model which is designed to supply information on 1 federal and 13 provincial governments, and extrapolate to supplying information on 5,000 additional regional and municipal governments</p>
and mitigate	<p><i>...barriers and negative elements from environmental analysis</i></p> <p>more work to operationalize info package development</p> <p>service improvements may not be reusable/scalable to cover large # of jurisdictions</p>

through	that will need to be involved in full implementation.
	<p><i>...appropriate design and/or implementation strategies</i></p> <p>focus on current regional, provincial and federal participants with limited set of business requirements to prove solution value, while architecting to include other business sectors in future</p> <p>investigating whether a suitable municipality should be engaged in the initiative (i.e. one with no regional government)</p>
without compromising	<p><i>...values.</i></p> <p>Halton Region's value of sharing information in an open and timely fashion</p> <p>COBSC's position to provide multi-jurisdictional information via multiple delivery channels</p>

5.5.2 Rules, Guidelines, Tips

- 1) There must be only one overall strategy statement for a transformation initiative.
- 2) The statement must be converted from the template and edited into plain language prior to publication in the appropriate primary deliverable(s) or usage in presentations external to the project.
- 3) An individual strategy statement could be produced for each early spin-off opportunity, as shown in the example. Care must be taken to ensure these are understood as providing a staging step that will contribute to achieving the target business vision.

5.5.3 Properties, Notation, Tool Tips

The following sentence template must be used:

To achieve the vision for	...new outcome(s) from vision statement
the project will leverage	...accelerators and positive elements from environmental analysis
Through	...appropriate design and/or implementation strategies
and mitigate	...barriers and negative elements from environmental analysis
Through	...appropriate design and/or implementation strategies
Without compromising	...values.

A tabular format in a word processing tool should be used to draft the strategy statement, as this facilitates conversion of the statement to publishable quality.

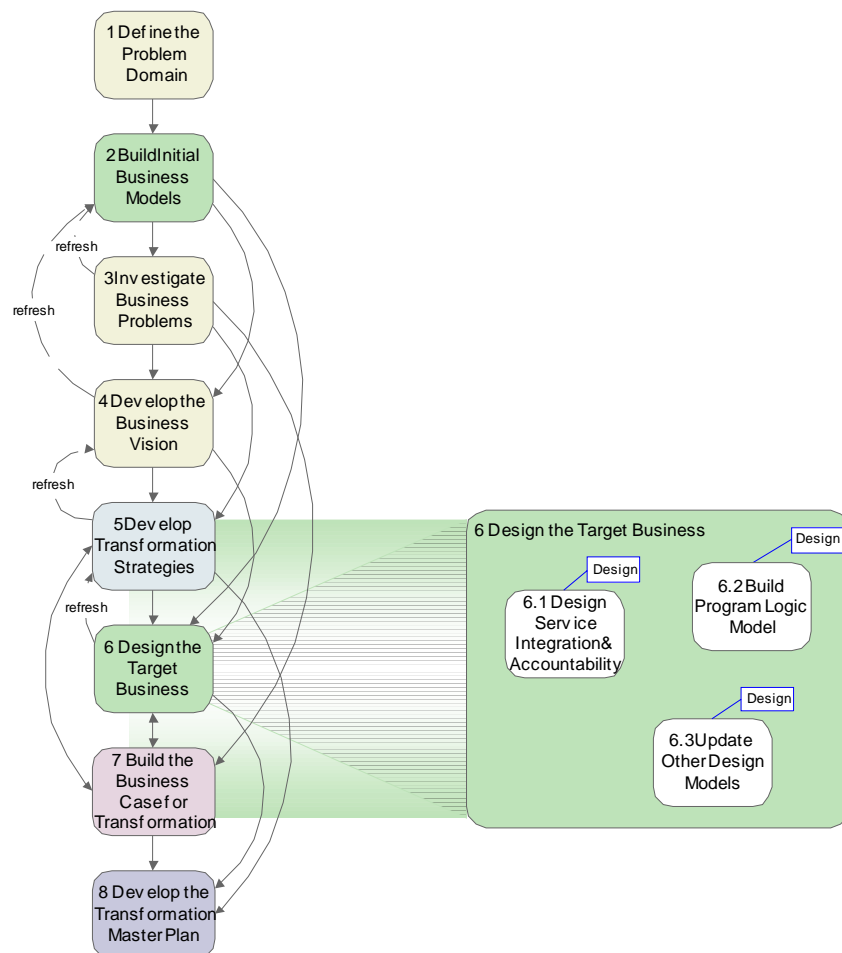
5.6 Refresh the Business Vision

If needed refresh the vision statement to reflect new information developed during the strategy activities.

6 Design the Target Business

The Governments of Canada Strategic Reference Model (GSRM) is the catalogue of business designs built using the public sector modelling techniques. It is gradually being populated as more transformation projects develop current (“as-is”) and future (“to-be”) designs for programs, services or organizations. Having the GSRM allows for the re-use of designs that support the same types of programs and/or services so that, over time, the rigour and consistency of designs and the speed with which they can be implemented will improve. Each transformation initiative extracts from the GSRM appropriate models as a starting point for design work.

In initial iterations, the focus of design is to identify and support scope definition and description of early spin-offs. Reference BTEP Template – Target Business Design for additional work tips.



The scope of business design during iterations of Strategic Design & Planning focuses on row 2 of the BTEP Transformation Framework and includes:

- 1) Implementing new programs

- 2) Aligning program boundaries and accountabilities
- 3) Aligning services with program mandates and goals
- 4) Implementing new public-facing services
- 5) Implementing services that join up other services
- 6) Implementing new business enablers
- 7) Eliminating service, process and resource redundancies
- 8) Re-using services, processes and resources
- 9) Implementing performance optimization framework
- 10) Re-aligning organization boundaries and reporting relationships
- 11) Introducing new service delivery channels
- 12) Re-designing service delivery network
- 13) Re-designing service delivery to align with events and cycles
- 14) Designing framework for collaboration across program, organization and jurisdictional boundaries
- 15) Aligning programs and services with collaboration framework

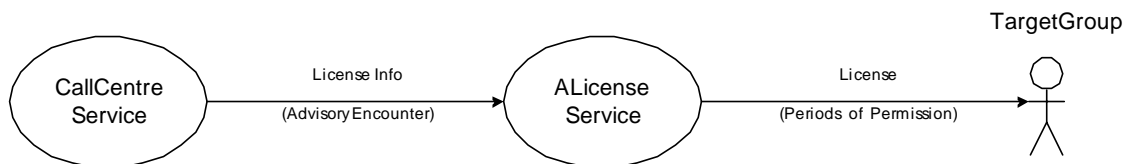
Designs for things like process and resource optimization are created in row three (applying an appropriate Systems Design & Planning methodology).

6.1 Design Service Integration and Accountability Model

The Service Integration and Accountability Model (SIAM) is associated with (or, takes its scope from) a PSAM. Where the PSAM depicts only the “target-group-facing” services, the SIAM depicts a formal view of a group of inter-related services in the scope of one or more programs. The service outputs, their service output type, and accountability for production of the service output are shown.

A service in a SIAM is considered to contain within it all processes required to produce its outputs other than those represented explicitly by other services in the model. In the example shown immediately below, the License

Service includes all processes to produce a license other than those supplied by the Call Centre Service.



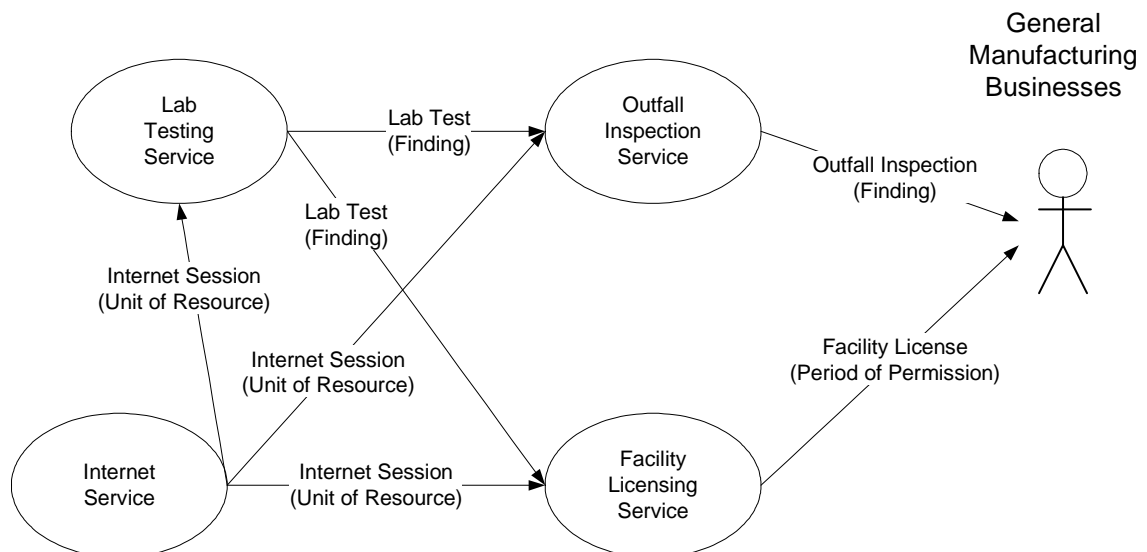
The directed arrow in a SIAM represents the final valued output of a service. The direction of the arrow shows the accountability for production of the output, i.e. the service at the base of the arrow is accountable to the service or target group that the arrow points toward. Each service output also signals that there is an explicit or implicit service level agreement to deliver that output. This is referred to as *horizontal accountability*.

Do not confuse a SIAM with detailed design models such as data flow diagrams or work flow diagrams. The arrows in a SIAM do not represent flow. Data and workflow will appear in the appropriate detail design model along with other inputs and outputs.

The purposes of the SIAM are:

- To articulate new services by identifying and rationalizing similar service processes in the program
- To partition the service processes in the program into services aligned with the service outputs defined in the PSAM. This partitioning enables service delivery design for the program, and can be transformed into an optimal design for information and applications.
- To define horizontal accountability relationships between services for the production of service outputs. These relationships form the basis of explicit or implicit service level agreements between providers. In a later stage of design, this agreement will be defined in terms of service performance measures adapted from the appropriate Service Metric Reference Pattern associated with each service output type.

6.1.1 Example



Surface Water Environmental Protection Program

6.1.2 Step by Step Procedure to Build a SIAM

- 1) Examine each service in the PSAM in turn.
- 2) Using the results of activity 4.2 (i.e., Analyse Service Process Reference Patterns), create a new potential service for each positive response to one of the two questions. This service will hold those service processes being removed from the original service and made common. This process is referred to as *hollowing out*, and the new potential service is referred to as a *provider service*. *If service process reference pattern analysis was conducted using the level 1 or universal Service Process Pattern, the specific level 2 pattern should be examined at this stage.*
- 3) As potential services are identified, the scope of analysis can be broadened to include those additional services – and they can themselves be hollowed out. *The number of iterations of this analysis should be pre-determined based on overall objectives for the iteration.*
- 4) Test each potential service for validity against the rules described in [Appendix B: GSRM Service Identification and Classification](#).
- 5) Describe each valid potential service according to the rules, guidelines and tips from activity 2.3 Identify & Describe Services. An additional property must be specified to distinguish existing (current) from planned (design) services.
- 6) Simplify the SIAM by grouping two or more provider services into a service group if all have the same output type, supply the same service output to the original services, and the processes they are replacing or supplementing in the original services are all from the same phase of the original services' life cycle (e.g. delivery, provisioning, planning, etc.). In other words, if the same service processes are hollowed out from more than one service, combine them into a service group.

6.1.3 Rules, Guidelines, Tips

- 1) The services and target groups from the PSAM must all be included on the SIAM.
- 2) At least one service in the SIAM must supply a service output to either a public target group or a generic service group (with a name like “Any Government Service”) to illustrate the complete chain of accountability.
- 3) Each service output must be classified as one of the 19 GSRM service output types to correctly “level” the service. See [GSRM Service Output Types Defined](#) in Appendix A.
- 4) Each service must supply one and only one service output. Over time, the service supplies many of the same service outputs.
- 5) Each service must supply its service output either to one or more target groups or to multiple other services.
- 6) A service group should be used to simplify the model, when the diagram includes multiple services that all a) have the same output type, and b) supply the same service output to the same services or target groups. A record must be kept of the services that are represented by the service group.

- 7) A service may supply its service output to only one service group, because the service group represents multiple services.
- 8) An initial SIAM could be built for each early spin-off opportunity, during early iterations.

6.1.4 Properties, Notation, Tool Tips

This model must be represented as a diagram. As in the PSAM, each target group must be represented by a stick figure, labelled with the name of the target group. Each service is represented by an oval. There must be no horizontal centre line on the ovals in the SIAM, and the oval must be labelled with the service name only. The service oval must be shaded in grey-scale, if it represents a service group.

A directed arrow must join a service to another service or to a target group, when that service is horizontally accountable to the second service, or to the target group. The arrow must point to the service or target group to which the service is horizontally accountable, i.e. the service at the base of the arrow is accountable to the service or target group that the arrow points toward. The arrow must be labelled above the line with the name of the service output, and below the line with the service output type. The service output type must be the exact name of one of the 19 service output types defined in the GSRM.

6.2 Build Program Logic Model

If possible, because there is a finite set of strategic outcomes at the top level of government, use an existing Program Logic Model from the GSRM and build on it. The Project Charter should provide guidance to establishing the strategic outcomes that are in scope of the transformation initiative.

The Program Logic Model (PLM) demonstrates the relationship between services and service outputs and government outcomes. In some cases, the PLM expresses logical relationships, and in other cases, the PLM expresses the analysis, experience and judgment of the program owner. Most program logic models are a combination of both. Program logic models give guidance on what statistical or empirical evidence needs to be gathered to determine if programs are effective.

An outcome is defined as “a desirable trend in the level of a target group need”. Specific target groups and needs are defined in the PSAM. A program logic model forms a kind of equation for gathering data over time that determines how completely a change in one element in the model (e.g., Service output) can account for changes in other elements (e.g., middle or strategic outcome).

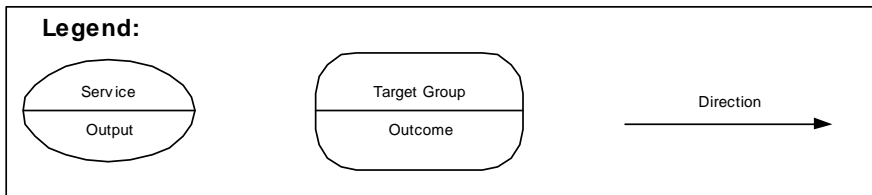
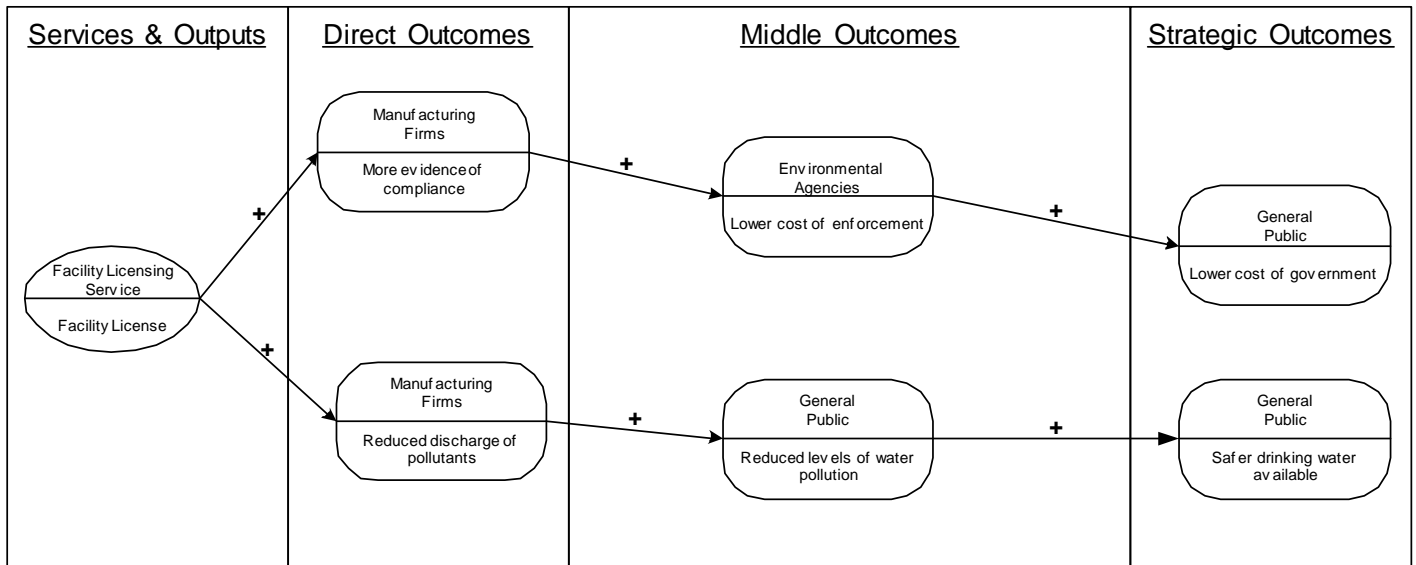
A direct outcome is an outcome that is solely attributable to the impact of the output from a single service. In the example below, an increase in facility licenses will result directly in more firms being able to demonstrate compliance, and a reduction in quantity of pollutants discharged to surface and ground waters from the licensed facilities.

A strategic outcome is the ‘last word’ expressed by the program or the jurisdiction in terms of desirable trends in level of target group need for the largest possible target group, the most comprehensive or highest level of need, etc. For the Federal government, these are the Results Based Management “Strategic Outcomes”. *Canada's Performance* is the President of the Treasury Board's annual report to

Parliament on government performance against these strategic outcomes.
(http://www.tbs-sct.gc.ca/rma/krc/so-rs_e.asp)

The PLM is complete when all direct outcomes are linked to the strategic outcomes. One or more *middle outcomes* are added when the direct outcome does not address the entire strategic outcome. Each link is labelled to indicate whether the outcome has a positive or negative impact respectively on the next outcome in the chain.

6.2.1 Example



Surface Water Environmental Protection Program

6.2.2 Rules, Guidelines, Tips

- 1) All service outputs from the PSAM must be included in the PLM, when the PLM model is complete.
- 2) One direct outcome must be identified for each value statement in the PSAM, when the PLM model is complete.
- 3) All service outputs should be included in the PLM in early iterations, when the scope of the problem domain is small.
- 4) All new service outputs, or service outputs that will be affected (changed, improved, etc.) by transformation should be included the PLM in early iterations, when the scope is large.
- 5) Only new or changed service outputs affected by early spin-off opportunities could be included in the PLM in early iterations, when the scope is large.

6.2.3 Properties, Notation, Tool Tips

This model should be represented by a diagram. Each service included in the PSAM must be copied into this model, using the same notation. A basic box shape must be used to represent an outcome. The selected shape must differ from those used in other models, and must not be an oval, as that shape is reserved to represent a service. The shape must be labelled with the agreed name of the outcome.

Each outcome must be labelled as: direct; middle or strategic. A directed arrow must join two outcomes, if the first outcome contributes to the second outcome. The direction of the arrow indicates the contribution. The arrow must be labelled with a plus (+) or minus (-) sign, or the words “plus” or “minus”, to indicate the impact of the contribution on the next outcome.

6.3 Update Other Design Models

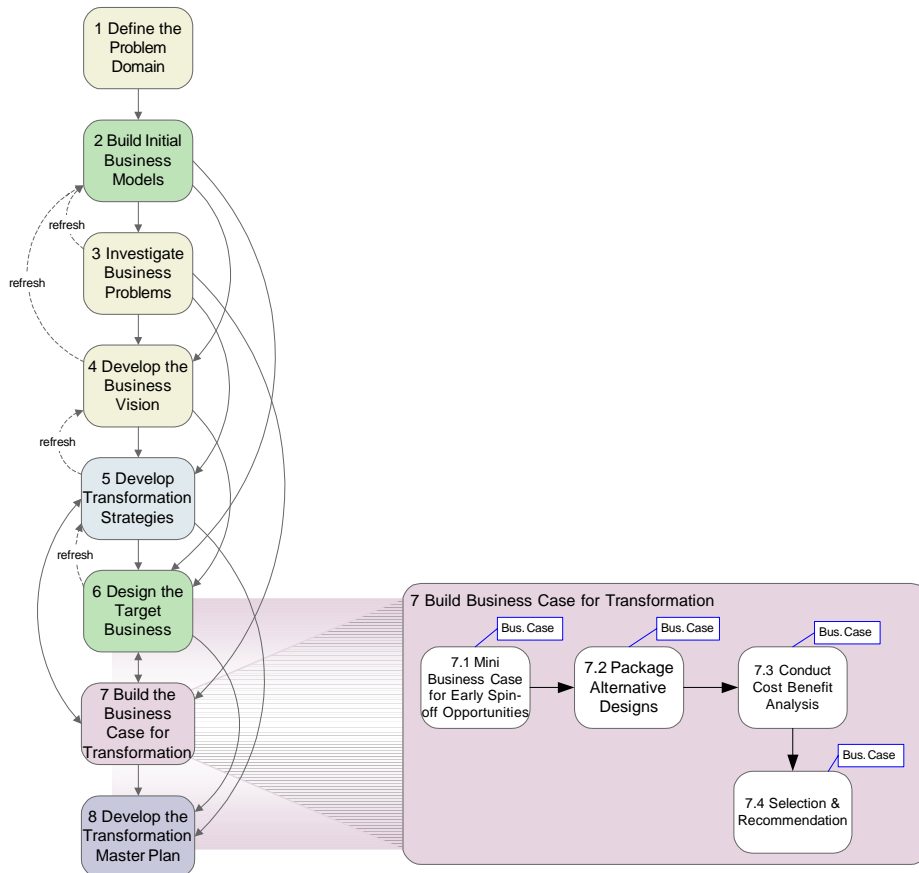
Update all Row 2 design models to be complete and consistent with each other, and refresh the GsoC Top Model Mapping. Row 2 design models include: Information Model, Program Service Alignment Model (PSAM), Service Integration and Accountability Model (SIAM), Logistics Model, Target Group Model, Events & Cycles Model, Transition Output Bundles Model, and Program Logic Model (PLM).

6.4 Refresh Transformation Strategies

Before continuing to the next stage, refresh the transformation strategies as required based on new information developed during design activities.

7 Build Business Case for Transformation

The Transformation Business Case provides the information needed to determine whether the transformation is a worthwhile investment. Reference BTEP Template – Transformation Business Case for additional work tips.



7.1 Mini Business Case for Early Spin-off Opportunities

In order to quickly assess and recommend one or more early spin-off opportunities, a “mini business case” can be used to compare them in four categories: Benefits, Costs, Time and Risk.

Develop a value scale for each of these categories appropriate to the transformation initiative and the organizations and jurisdictions involved, and score each opportunity against the four categories. Using a tri-level scale of High, Medium and Low might work where these can be defined based on criteria specific to the opportunity. Alternatively, the same categories can be used to rank order the

opportunities – simply assign the value relative to the other opportunities being assessed rather than applying a value scale.

Benefits should be supported by referencing the Program Logic Model. Cost, time and risk can be assessed through analysis of the SIAM and the number, complexity and reach of new or changed services in the scope of the opportunity.

7.1.1 Example

In the example below, colours were used to ‘rate’ each opportunity in each category. This made it easier to compare the opportunities where ‘green’ represented greater benefits, lowest cost, least time and lowest risk, i.e., ‘green’ was more desirable than the two other colours.

Mini Business Case Criteria	Opportunity 1	Opportunity 2	Opportunity 3	Criteria Values
	Client Record for Seniors Programs & Services	Senior's Common Mail out	Collaborative Case Management	
Benefits (from Seniors Perspective)	G	Y	G	Red --> little improvement
				Yellow --> some improvement
				Green --> significant improvement
Cost (to implement)	Y	G	Y	Red --> \$100M plus
				Yellow --> \$10M - \$100M
				Green --> \$10M or less
Time (to implement)	R	G	R	Red --> 2 years plus
				Yellow --> 1-2 years
				Green --> 1 year or less
Risk (to implement)	Y	G	R	Red --> big + likely to materialize + hard to mitigate
				Yellow --> big or likely to materialize or hard to mitigate
				Green --> small or easily mitigated risks

7.1.2 Rules, Guidelines, Tips

Reference BTEP Template – Transformation Business Case for additional work tips.

7.1.3 Properties, Notation, Tool Tips

Work products in support of the Transformation Business Case are best developed using standard word processing and spreadsheet tools.

7.2 Package Alternative Designs

Reference BTEP Template – Transformation Business Case.

An alternative design is made up of a group of opportunities that have been identified either in the current iteration or in previous ones. Some of these

opportunities may even have become spin-off projects from previous iterations. All opportunities should be considered during this packaging exercise.

Criteria that may be considered when packaging these opportunities into alternative designs include:

- Dependencies (if one Opportunity A could not be implemented without first implementing Opportunity B);
- Contributing to the same outcome or having similar objectives;
- Pertaining to similar target groups and/or target group state transitions;
- Similar service types;
- Facing the same implementation barriers (e.g., legislative) or accelerators; and
- Similar risks.

One opportunity can be included in more than one alternative design. For each iteration, it is probably best to have approximately 2-5 alternative designs.

7.3 Conduct Cost Benefit Analysis

For each of the alternative designs identified, conduct a cost benefit analysis taking into account costs, benefits and risks.

When assessing the costs, calculate the total cost of ownership which will include costs for development, implementation as well ongoing costs incurred following implementation. This could be shown as a chart displaying the cost profile over time.

Benefits can be expressed in terms of improved outcomes and efficiencies that will result from implementing each of the alternatives. The outcomes will need to be tied to the program logic model and stated in a way that aligns with results based management (RBM). It will also prove beneficial to highlight the link to the original problems that led to the identification of the opportunities included in the alternative design. Efficiencies expected from each alternative design could come in the form of time or cost savings. It is crucial that the strategies required to realise the efficiencies be adequately explained. For example, if you expect to reap savings of 10% from efficiencies that will be realised concerning a one-person job, then ensure that there is a strategy in place to address how this 10% will be achieved since it is not possible to reduce a staff complement of 1 by 10%.

Identify all risks associated with each alternative design during the design and implementation phases of the project life cycle. There may also be risks to realizing the benefits (e.g., can jobs be cut?). Other standard project management assessments may need to be performed to identify potential risks. These include the following:

- Preliminary privacy impact assessment (PPIA) for privacy-related risks
- Preliminary threat and risk assessment (PTRA) for security-related risks
- Operational impact assessment (OIA) for operational risks

- Business impact assessment (BIA) for disaster recovery considerations.

7.4 Selection and Recommendation

Once all the alternative designs have been assessed, select and recommend an alternative design based on the information presented in the cost benefit analysis.

To make the selection, you will want to consider your findings from the cost benefit analysis as well as the results of the business and operational impact assessments and the transformation risk assessment.

The recommendation could range from recommending approval for full project implementation to recommending a more detailed requirements analysis be done to validate some key business case components.

When recommending a specific design alternative, there may also be an associated recommendation on who should have responsibility for managing the implementation (i.e., Project Manager) and who should be accountable (Project Sponsor). Recommendations relating to governance will be especially important for cross-government projects.

It is also recommended that an outline for a proposed implementation plan be provided for the recommended high level next steps. Enough detail should be provided so that those approving the business case understand the resources they must allocate (people, dollars, time) to complete the recommended next steps of the project. The strategies must detail how the benefits will be realized and/or harvested.

7.5 Refresh Business Design and Transformation Strategies

Before continuing to the next stage, refresh the business design and transformation strategies based on the recommended design alternative.

If necessary, revisit scope, potentially “parking” some design elements for further analysis in a later iteration.

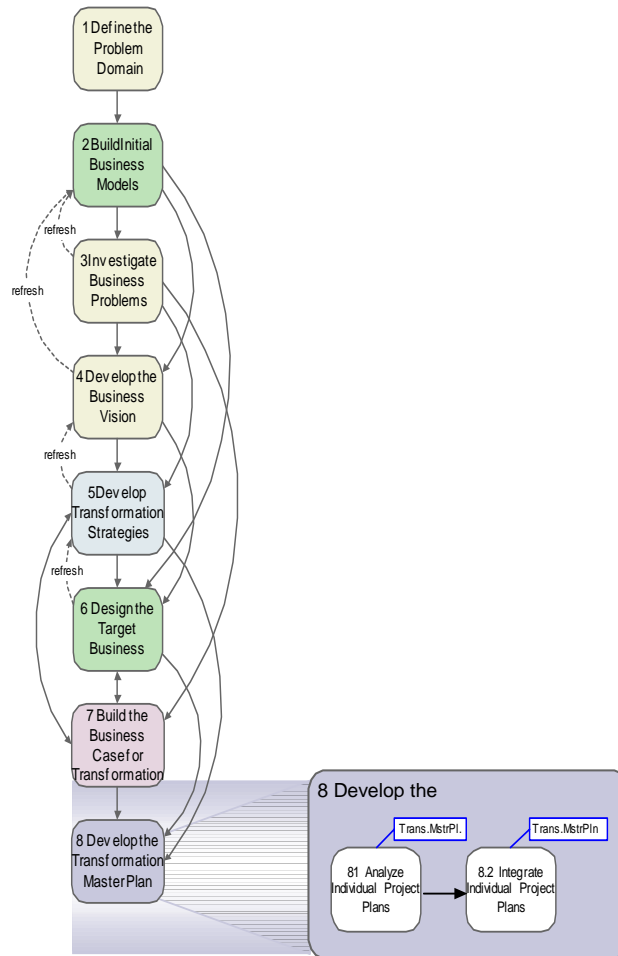
8 Build the Transformation Master Plan

The Transformation Master Plan describes how the transformation will be carried out. Reference BTEP Template – Transformation Master Plan.

This Transformation Master Plan incorporates all the projects that make up the selected alternative design. Although each of those projects will have its own project plan, charter, business plan, budget etc..., this Master Plan is the overarching plan for the whole transformation initiative. Its scope should include the following project types:

- *Opportunities identified in previous iterations that have since become projects in progress and have been included in the alternative design;*
- *Opportunities identified in previous iterations that had been initiated as a project but now need to be halted as a result of implementing the selected alternative design (the plan should show the transition required to bring this project to a close);*
- *Opportunities identified in the current iteration and that have been included in the selected alternative design; and*
- *Any projects that are external to the alternative design but are related (e.g., because of design considerations (reuse), or logistical considerations such as conflicting milestones or other implementation factors). These projects are the only ones whose control is outside of the transformation initiative but could nevertheless have an impact on its success.*

This Transformation Plan will ensure each of these projects is adequately monitored and aligned for a successful implementation.



8.1 Analyze Individual Project Plans

All projects considered part of this transformation initiative must be taken into account when building the Transformation Master Plan. The first step is to gather the individual project plans for the selected opportunities and related projects.

Projects that were initiated as opportunities from previous iterations will already have project plans that are ready to be or are already integrated into the Transformation Master Plan.

Related projects, external to this initiative but included because they could have an impact on the design and/or logistics, will also have project plans ready for integration.

Project plans will need to be developed for the new opportunities selected for implementation during the current iteration.

For those projects that may now need to be stopped (i.e., opportunities selected from previous iterations that no longer make sense pursuing given the direction of the transformation) will need a transition plan to bring them to a close. This transition plan is included in this overall transformation plan.

8.2 Integrate/Consolidate Individual Project Plans

The Transformation Master Plan will incorporate all of the individual project plans identified and analyzed in the previous step. When defining this overarching plan, the following will need to be considered:

- Identify dependencies, constraints, or conflicts (e.g., conflicting milestones and priorities, dependencies between activities of different projects) between the individual plans;
- Determine the overall transformation budget level, outcomes, and deadlines;
- Develop overall governance organization and resourcing plan;
- Develop standard project management tools to ensure easier coordination of multiple project plans (e.g., a transformation communication plan, transformation monitoring and control, reporting cycle, risk management plan, etc...).
- Develop supporting process plans which would include transformation projects priority plan, sustainability plan, and a problem resolution plan.
- Develop the Transformation close out plan.

Refer to the BTEP Template – Transformation Master Plan for more details on the plans that may be required for the successful completion of the transformation initiative.

Appendix A: GSRM G_soC Top Model Mapping

GSRM G_soC Top Model mapping provides the at-a-glance “footprint” of a transformation project’s area of study on a standard single page framework, showing the project’s sphere of interest quickly, accurately and succinctly.

Introduction to the GSRM G_soC Top Model

The Governments of Canada Top Model, one of the Government Strategic Reference Models, provides a reference model for classifying government services and enduring public and provider needs. The purpose of this mapping is to develop a common understanding and alignment of the scope or range of desired outcomes (needs addressed) and outputs provided by the program(s) being modeled, using a standard framework, as shown below:

GSRM G _s oC Top Model		Service Output Types																			
		Supply capacity to act			Enhance capability to act				Facilitate & influence action			Regulation action				Core					
		Funds	(Units of) Resource	New Knowledge	Care & Rehabilitation Encounters	Educational & Training Encounters	Recreational & Cultural Encounters	Movements	Advisory Encounters	Matches, Referrals & Linkages	Advocacy and Promotional Encounters	Periods of Agreement	Periods of Permission	Findings	Rulings & Judgements	Penalties & Periods of Sanction	Periods of Protection	Interventions	Rules (laws, policies, strategies, plans...)	Implemented changes	
Program Fields																					
Public Program Fields	(Socio-)Economic Development																				
	Science and Knowledge Development																				
	Natural Resources Development																				
	Environmental Protection																				
	Public Health																				
	Legal, Collective, Democratic & Human Rights Protection																				
	Social Development																				
	Cultural Development																				
	Educational Development																				
	Public Safety																				
	Justice																				
National Security & Defense																					
Provider Program Fields	Public Policy, Planning and Management Services																				
	Corporate Policy, Planning and Management Services																				
	Integrated Delivery Services																				
	Communications Management Services																				
	Human Resources Management Services																				
	Financial Management Services																				
	Information Management & Technology Services																				
	Supply Chain Management Services																				
	Administrative Services																				
	Facilities and Assets Management Services																				
	Professional Services																				

GSRM Program Fields Defined

Public and provider program fields, defined as broad areas of need, form the rows of the model. Public program fields are identified by the public needs recognized by the government, and provider program fields are identified by the needs of provider organizations that serve the public and that are recognized by the government.

Public program fields are used to classify major business modeling elements¹ such as organizations, programs, services, service processes and business information according to the needs they address, using the following definitions:

Public Program Fields	Recognized Public Needs
(Socio-)Economic Development	Need to organize, work, trade and prosper Need for protection from economic crimes
Science and Knowledge Development	Need for new knowledge
Natural Resources	Need to use/consume natural resources Need to sustain/renew natural resources
Environmental Protection	Need to enjoy and rely on the natural environment
Public Health	Need for protection from illness and disease
Legal, Collective, Democratic & Human Rights Protection	Need for recognition and protection of legal, collective, human, and democratic rights and freedoms
Social Development	Need to overcome disadvantages Need to help others and share prosperity and community
Cultural Development	Need for preservation of identity, history, tradition, values
Educational Development	Need to develop human capabilities
Public Safety	Need for protection from natural and built hazards Needs for protection from violent crime
Justice	Need for fair and just treatment Need to sanction (punish) law-breakers
National Security & Defence	Need for protection from insurrection, terrorism, international threats and defence of freedom

¹ Any particular element may be classified under several program fields.

Similarly, provider program fields can be used to classify business-modeling elements according to needs addressed with the following definitions:

Provider Program Fields	Recognized Provider Needs
Public Policy, Planning and Management Services	Need to address public needs and accomplish public goals
Corporate Policy, Planning and Management Services	Need to shape the enterprise to accomplish public goals
Integrated Delivery Services	Need to integrate service delivery from different program fields
Communications Management Services	Need to communicate with the public and with providers including the government
Human Resources Management Services	Need to deploy and steward the government's human resources
Financial Management Services	Need to deploy and steward the government's financial resources
Information Management & Technology Services	Need to deploy and steward the government's information
Supply Chain Management Services	Need to ensure supply and conserve the government's resource expenditures
Administrative Services	Need to deploy and use the government's resources, facilities and assets
Facilities and Assets Management Services	Need to maintain and steward the facilities and assets entrusted to the care of the government's
Professional Services	Need to comply with laws, regulations and best practices as an enterprise

Program fields provide a complete, consistent and normalized classification of business modeling elements according to the needs addressed by the element. The G_soC Top Model relates outcomes to needs by defining outcomes as desired trends in the level of need; an example of this is the public's need for protection from violent crime (public safety program field) is closely related to the outcome of improved public safety, measured by a reduction of time in the number and consequences of violent crime. Thus, the G_soC Top Model also relates business elements to outcomes.

GSRM Service Output Types Defined

Service output types, defined as a grouping of different service outputs that have similar properties, form the columns of the G₃oC Top Model. Service output types classify major business elements (organizations, programs, services, processes, information) according to the outputs they are associated with, as defined in the following table:

	Service Output Type	Service Type
Supply capacity to act	Funds	Acquiring and providing financial resources
	(Units of) Resource	Providing resources such as goods, equipment, accommodations (apart from funds and human resources)
	New Knowledge	Conducting research
Enhance capability to act	Care & Rehabilitation Encounters	Providing care & rehabilitation to people and things
	Educational & Training Encounters	Providing education and training experiences
	Recreational & Cultural Encounters	Providing recreational & cultural experiences
	Movements	Moving people and things
Facilitate & influence action	Advisory Encounters	Providing information & advice
	Matches, Referrals & Linkages	Brokering, referring, connecting, matching
	Advocacy and Promotional Encounters	Influencing, advocating, persuading, promoting awareness
	Periods of Agreement	Creating collaborations, negotiating agreements, settling disputes
Regulation action	Periods of Permission	Regulating, licensing, permitting, certifying, identifying, authorizing
	Findings	Inspecting & investigating
	Rulings & Judgements	Applying rules & dispensing justice
	Penalties & Periods of Sanction	Enforcing compliance, meting out punishment, penalizing
	Periods of Protection	Monitoring, warning, guarding, storing, eliminating threats, reducing risks
	Interventions	Intervening, responding to threats & emergencies, giving aid, restoring order
Core	Rules (laws, regulations, policies, strategies, plans, designs, standards)	Creating and changing rules
	Implemented changes	Changing existing organization, practices, systems

Each service output type is related to a distinct pattern of service processes and performance metrics. More information on these can be found in the Service Reference Patterns.

Map to the GSRM G_soC Top Model

This mapping is done initially in support of Project Charter development in the Proposal phase. The mapping should be continually updated through iterations of development of the BTEP deliverables and models as scope is refined or broadened, so that the “footprint” of the project’s area of study is always available.

Example: Surface Water Environmental Protection

The mapping indicates the example programs provide regulatory outputs in the form of licenses, certificates, etc. (periods of permission), and inspections, investigations, etc. (findings) to address environmental protection, public safety and public health needs. The programs also collect fines (penalties) to address the needs for justice. Note that this example has only one jurisdiction represented, so jurisdiction codes were not used.

GSRM G _s oC Top Model		Service Output Types																		
		Supply capacity to act	Enhance capability to act	Facilitate & influence action	Regulation action			Core												
Program Fields		Funds	(Units of) Resource	New Knowledge	Care & Rehabilitation Encounters	Educational & Training Encounters	Recreational & Cultural Encounters	Movements	Advisory Encounters	Matches, Referrals & Linkages	Advocacy and Promotional Encounters	Periods of Agreement	Periods of Permission	Findings	Rulings & Judgements	Penalties & Periods of Sanction	Periods of Protection	Interventions	Rules (laws, policies, strategies, plans,...)	Implemented changes
Public Program Fields	(Socio-)Economic Development												✓	✓						
	Science and Knowledge Development																			
	Natural Resources Development																			
	Environmental Protection																			
	Public Health												✓	✓						
	Legal, Collective, Democratic & Human Rights Protection												✓	✓						
	Social Development																			
	Cultural Development																			
	Educational Development																			
	Public Safety												✓	✓						
	Justice																✓			
	National Security & Defense																			
	Provider Program Fields	Public Policy, Planning and Management Services																		
Corporate Policy, Planning and Management Services																				
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Human Resources Management Services																				
Financial Management Services																				
Information Management & Technology Services																				
Supply Chain Management Services																				
Administrative Services																				
Facilities and Assets Management Services																				
Professional Services																				

Step by Step Procedure

- 1) Review all program fields and identify whether there is at least one output provided in the program field context that would help the principal target group member to make any of the transitions in scope.

- 2) For each program field identified, identify every type of output offered in that program field context that would help the primary target group member to make any of the transitions in scope. Individual services are not identified – only the fact that outputs of a particular type are offered.
- 3) For both steps above, mark each cell with the appropriate jurisdiction code, where any jurisdiction offers at least one output that:
 - is available only to principal target group members as defined; OR
 - is typically taken up more often by people making in-scope transitions in the target group state model than at other times in their; OR
 - is a focus or priority of the jurisdiction to achieve better outcomes related to the principal target group.
- 4) A check mark (✓) could be used to record the mapping, when the problem domain is comprised of only one jurisdiction, as shown in the example.

Jurisdiction codes:

M - Municipal government
R - Regional government
P - Provincial government
F - Federal government

Properties, Notation, Tool Tips

This model must be represented in tabular format as shown in the example. It could be recorded in either a word processing or spreadsheet tool. Service output colours should be used as shown in the example. The order of rows (program fields) and columns (service output types) must be the same as shown in the example. Empty rows and columns could be hidden, when publishing or presenting the results of the mapping.

Appendix B: GSRM Service Identification & Classification

First, find the service outputs

There are many “outputs” produced by government processes. These outputs are conveyed to the public and to other providers, but only some of them are service outputs. The characteristics of an output that mark it as a service output, thus pointing to the service, are as follows:

The biggest challenge in defining services arises from the practice of thinking of a service as a group of related activities instead of an unspecified means of producing an output. In the BTEP methodology, the first consideration in service definition is definition of the output, making the activities to produce it a secondary consideration.

Output: the proposed output must be classifiable as one of the 19 types of service output defined by BTEP (described below).

Final: the proposed output when produced must achieve closure from the perspective of both the provider and recipient. This means that their engagement with each other moves to a different state in which production of the output is no longer a mutual objective or their mutual intent. This concept does not preclude engagement activities after the output is produced

Valued: the proposed output must represent the highest and best value achievable by the recipient expressed in terms of the recipient’s need being recognized by the provider. There may be many intermediate outputs produced by the provider (example: an application form or inspection) on the way to the valued output. The concept of achieved value does not preclude cases where for any reason production of the intended output stops short of completion (example: the recipient does not qualify to receive the output).

Other useful terms for a service output are the “service delivery unit” or “unit of delivered service”.

Next, identify the service

If the proposed output passes the preceding tests, the service proposed to produce it should be tested as follows (these tests are applied to the service during service integration and alignment design):

Repetitive: the proposed service must produce the same output, and only that same output, repeatedly.

Two or more independent recipients: the proposed service must have two or more potential recipients who are independent of each other in terms of their motivation and ability to take up the service’s output.

Independence from other services: the proposed service must be independent of all other services, meaning that if any other service disappears for some reason, the service in question continues to exist and remains unchanged in terms of its output.

Service Identification Considerations:

- 1) Identified service includes incomplete service delivery: A service identified using the BTEP definition encompasses the case where the service goes to completion (i.e. produces and conveys an output) and all cases where the service does not go to completion (i.e. stops short of the final output, because for example the recipient is found to be ineligible to receive the output). The service's processes are presumed to address all circumstances leading to either result, therefore do not create a separate service to address exceptions.
- 2) Recipient may not desire the identified service: The BTEP definition encompasses situations where the recipient seeks or requests the output, and where the recipient does not seek or request the output directly. For example, an "arrest" is a valid output of a police patrol service (type: intervention) – treat this like any other output.
- 3) Service outputs can have optional features: Similar to buying an appliance or automobile, service outputs can have optional features, requiring "configuration" and optional processes before delivery. Avoid identifying different services to distinguish alternate output configurations.
- 4) Identified service can include some output variations: When two separately identified outputs appear similar in most respects, there may or may not be two services. Two services should be identified if a) the outputs are produced by different organizations, jurisdictions, or for different purposes (for example in different program fields or under different types of legislation or regulation) or b) if there are material differences in the processes and/or types of resources used to produce the two outputs. Otherwise only one service should be recognized.

Examples:

- a regular passport vs. a frequent traveler passport (double the number of blank pages) – one service
 - a license to catch fish vs. a license to hunt deer – two services due to different jurisdictions
 - a private pilot's license vs. a commercial pilot's license – two services due to different processes and resources.
- 5) Information outputs (type: advisory encounters) can have great variation: Services producing advisory encounters (advice, information products, etc.) are extreme examples of output variation. The key to determining what services to recognize is to identify the scope of the information sources being used to provide the service and use this in the definition.

Examples:

- one service offering advice and consultation on starting a small business may address a wide variety of topics within the general scope of small business operation
- a service providing information about government services for seniors may address a wide variety of topics within the general scope of services of interest to seniors

- a service to provide information about government programs and services in general may address access information about all programs within one jurisdiction

Finally, determine the GSRM Service Output Type

For each service, confirm which *one* service output type best classifies the output it produces. This helps to avoid the trap of listing all the transactions with a client that are related to that service. For example, a license may require that an application form be completed first, but if you decide that the final valued output from the client's perspective is the license (service output type: period of permission) you can disregard the application transaction (it is a process carried out by the service, and is addressed in a more detailed model).

The table on the following pages lists the 19 GSRM service output types that classify all public sector services in the leftmost column in the table, along with identification of a unit of output, or single output from a single service delivery occurrence. Description of the type of service that delivers the service output type and the typical usage of the service output type by the recipient are included in the second and third columns to aid in understanding the output types. Most of the high-level service output types can be further subdivided into more specific service output types, examples of which are found in the fourth column. The two rightmost columns contain simplified definitions of the service provider's essential accountability and function, as a means of testing your classification of the service output.

Reference the Service Reference Patterns for further information about the service output types, and their corresponding Service Process Reference Pattern and Service Metric Reference Pattern.

Service Output Type Table

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Accountability	Provider's Essential Function
<p>Funds An amount of money</p>	<p>Services that acquire or dispense money.</p>	<p>Outputs of this type are used to give the recipient the power to act on the intended purpose of the funds request, or to fulfill their obligation to provide funds</p>	<p>Fixed (standard terms) contribution (e.g. fee collection); fixed grant (non-repayable); variable contribution (e.g. tax collection); variable grant; emergency fixed contribution; emergency fixed grant; emergency variable contribution; emergency variable grant</p>	<p>Appropriate use</p>	<p>Dispensing/collecting</p>
<p>(Units of) Resource A unit of resource</p>	<p>Services that acquire or dispense units of resource or periods of use of a resource (<u>includes</u> labour, energy, land, facilities, movable assets, supplies, but <u>excludes</u> funds, information, rules – the latter are treated as distinct types of service outputs).</p>	<p>Outputs of this type are used to equip the recipient to carry out activities whose purposes are consistent with the terms under which the resources are provided.</p>	<p>Emergency consumable (e.g. drug); Equipment for use (e.g. computer); Period of scheduled labour; Period of unscheduled labour; Provide Immediate standard revocable tracked resource from stock; Routine consumable (e.g. water supply); Space for disposal (e.g. land for sale); Space for use (e.g. rented building for accommodations)</p>	<p>Appropriate use</p>	<p>Conveying</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Account-ability	Provider's Essential Function
<p>New Knowledge New knowledge (<i>can also be called intellectual property</i>)</p>	<p>Services that conduct research <i>... and produce information that was not known or derivable through computation or procedural means.</i></p>	<p>Outputs of this type are used to advance the public good, solve a problem related to the public good.</p>	<p>No subtypes identified to date</p>	<p>Innovation</p>	<p>Discovering</p>
<p>Care & Rehabilitation Encounters A care & rehabilitation encounter</p>	<p>Services that provide social or medical care or rehabilitation to people, or repair, upgrade, maintain or renovate property and natural features.</p>	<p>Outputs of this type are used to improve the quality of life and health of people, or extend the lifespan and usefulness or appearance of things.</p>	<p>Response to an emergency care/rehabilitation requirement; Response to a non-emergency care/rehabilitation requirement</p>	<p>Restoration</p>	<p>Maintaining</p>
<p>Educational & Training Encounters An educational & training encounter</p>	<p>Services that provide educational and training experiences to people.</p>	<p>Outputs of this type are used to improve the capabilities of recipients</p>	<p>Pre-designed repeatable education/training course; Custom education/training designed at time of request</p>	<p>Learning</p>	<p>Teaching</p>
<p>Recreational & Cultural Encounters A recreational & cultural encounter</p>	<p>Services that provide experiences of a recreational or cultural nature to people.</p>	<p>Outputs of this type are used to improve quality of life, create enjoyment, better health, personal growth, pride in heritage, awareness of civic role, etc.</p>	<p>Pre-designed repeatable recreational/cultural encounter; Recreational/cultural encounter designed at time of request</p>	<p>Values expressed</p>	<p>Presenting</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Account-ability	Provider's Essential Function
<p>Movements</p> <p>A movement of a person or resource</p>	<p>Services that move people and resources from point to point (includes energy, moveable assets, supplies, funds, information). <i>At one extreme, energy, materials and people are moved; at another extreme, information in the form of letters, email and messages are moved.</i></p>	<p>Outputs of this type are used to overcome the barriers of geography and distance.</p>	<p>Scheduled transport and standard route (e.g. subway service; pipeline); Scheduled transport and custom route (e.g. limousine service, postal service, email service); Scheduled custom transport and route (e.g. military transport service; shipping service); Immediate standard transport and custom route (e.g. own vehicle); Immediate custom transport and custom route (e.g. Apollo moon shot)</p>	<p>Delivery</p>	<p>Transporting</p>
<p>Advisory Encounters</p> <p>An advisory encounter (<i>can also be called an information encounter</i>)</p>	<p>Services that provide an encounter during which data, information and/or advice is conveyed to a party or a system. <i>At one extreme, a lawyer advises a recipient; at another extreme, a recipient acquires information from an online database, publication, etc.</i></p>	<p>Outputs of this type are used to inform.</p>	<p>A standard advisory encounter is any advisory encounter where information is supplied from a database or through a prescriptive (computational, finite) analysis (either self-determined by the recipient or determined by the provider). A custom advisory encounter is any advisory encounter where information is supplied after a skilled but non-prescriptive analysis of the recipient's requirements.</p>	<p>Information quality</p>	<p>Advising</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Account-ability	Provider's Essential Function
<p>Matches, Referrals & Linkages A match, referral or linkage</p>	<p>Services that match, refer or link one party (requestor) to another party (responder). The provider has an explicit or implicit duty to both parties in the match.</p>	<p>Outputs of this type are used to assist two or more parties to meet their mutually interrelated requirements.</p>	<p>Prescriptive (computational) match between a requestor and known and finite range of responders; Non-prescriptive match between a requestor and an unknown or partially-known range of responders - may require locating additional responders as part of service delivery</p>	<p>Duty to both parties</p>	<p>Matching</p>
<p>Advocacy and Promotional Encounters An advocacy or promotional encounter</p>	<p>Services that advocate or argue for positions, or market government policies, programs and services, by influencing, persuading, or increasing awareness in people.</p>	<p>Outputs of this type are used to bring about a change in behaviour, decision, action, etc.</p>	<p>Pre-designed repeated encounter such as courtroom arguments or media exposures; Encounters designed at time of request or delivery such as direct persuasion</p>	<p>Persuasion</p>	<p>Advocating</p>
<p>Periods of Agreement A period of agreement</p>	<p>Services that resolve disputes and/or create agreements between parties.</p>	<p>Outputs of this type are used to reduce or eliminate unproductive or harmful activities, and enable new or continued beneficial activities.</p>	<p>Immediate response, as for example in dispute resolution in potentially harmful circumstances; Routine response, as for example in agreement renewals</p>	<p>Commitment of all parties</p>	<p>Negotiating</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Account-ability	Provider's Essential Function
<p>Periods of Permission A period of permission ... <i>granted by an authority.</i></p>	<p>Services that express government authority by granting permission for a period of time to engage in activities, possess or control property or resources, or hold status, authority or privileges.</p>	<p>Outputs of this type are used to grant rights and privileges and regulate activities.</p>	<p>Recognition of revocable privileges or status, e.g. pilot's license, landed immigrant; heritage site; recognition of inalienable rights, e.g. citizenship, marital status; Immediate permission granting special powers, e.g. deputizing; Immediate permission for an irreversible action, e.g. search warrant</p>	<p>Ensuring entitlement</p>	<p>Granting</p>
<p>Findings A finding</p>	<p>Services that inspect, investigate and analyze to uncover information and prepare findings and recommendations <i>...consistent with criteria and constraints such as the law, policy, approved standards and guidelines, etc. or consistent with credible opinion.</i></p>	<p>This output type is used to recommend further action or not, usually to an authority with the power to act.</p>	<p>Repeatable and periodic finding following a prescribed procedure, e.g. safety inspection; purchase recommendation; Finding prepared to a specified requirement, e.g. crime investigation</p>	<p>Diligence</p>	<p>Investigating</p>
<p>Rulings & Judgements A ruling or judgement</p>	<p>Services that apply rules and dispense impartial decisions.</p>	<p>This output type is used to ensure fairness and justice</p>	<p>A routine ruling, e.g. scheduled court case; An emergency ruling, e.g. a declaration of war</p>	<p>Fairness</p>	<p>Judging</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Account-ability	Provider's Essential Function
<p>Penalties & Periods of Sanction</p> <p>A penalty or period of sanction</p>	<p>Services that sanction, force compliance, mete out punishment and apply penalties.</p>	<p>This output is used to enforce compliance.</p>	<p>Standard pre-determined penalty, e.g. a fine, firing; Penalty determined according to criteria or specification, e.g. a prison sentence; Non-revocable standard sanction, e.g. loss of citizenship; Non-revocable custom sanction, e.g. provisional duty imposed following a SIMA decision (Special Import Measures Act)</p>	<p>Ensuring compliance</p>	<p>Enforcing</p>
<p>Periods of Protection</p> <p>A period of protection</p>	<p>Services that guard people and resources from threats. (Includes land, facilities, movable assets, supplies, funds, information). <i>This service type provides proactive protection such as monitoring, warning, guarding, storing, eliminating threats, and reducing risks. Protection is delivered in the form of surveillance and guarding of people and property against real or perceived risk, violence, crime, accidents, natural or man-made hazards, and includes the stewardship measures necessary to ensure its continuance.</i></p>	<p>This output type is used for to ensure the continuance of the state and society by safeguarding people and property from potential threats</p>	<p>Scheduled guarding, standard threats to people or property, e.g. building security; Scheduled guarding, tailored to specific threats, e.g. police escort; email spam prevention; Emergency guarding against standard threats, e.g. fire alarm; Emergency guarding against known and unknown threats, e.g. quarantine order, curfew</p>	<p>Vigilance</p>	<p>Guarding</p>

Service Output Type & unit of output	Service Type Description	Service Output Type Usage	Service Sub-type examples	Provider's Essential Accountability	Provider's Essential Function
<p>Interventions An intervention</p>	<p>Services that intervene, respond to threats and emergencies, give aid, and restore order. <i>This service type provides reactive protection such as intervening, responding to threats and emergencies, giving aid, and restoring order. Reactive protection is delivered in the form of an alleviating response to a specific request for assistance for people or property experiencing real or potential risk, violence, accidents, natural or man-made hazards; and includes the stewardship measures necessary to ensure its continuance.</i></p>	<p>This output type is used to ensure the continuance of the state and society by intervening to remove or reduce manifest threats or mitigate their impact.</p>	<p>Pre-defined intervention, e.g. fire suppression; Intervention designed to specific requirement, e.g. military intervention</p>	<p>Readiness</p>	<p>Intervening</p>
<p>Rules (laws, regulations, policies, strategies, plans, designs, standards) A rule</p>	<p>Services that create or amend laws, regulations, policies, strategies, standards, plans and designs.</p>	<p>This output type is used to govern.</p>	<p>Regular rule making, e.g. a law, a policy, a plan; Emergency rule making, e.g. emergency measures actions</p>	<p>Reflecting mandate</p>	<p>Formulating</p>
<p>Implemented changes An implemented change ... <i>may also be called a project</i></p>	<p>Services that create new, or bring about changes to existing, organizations, programs, services, practices, systems and property.</p>	<p>This output is used to establish a different operation of the organization.</p>		<p>Mitigating risks</p>	<p>Implementing</p>

Appendix C: BTEP Strategic Service Design Strategies

Service design is one facet of the target business design that will be driven by “HOW” (column 2) Design Strategies. Four considerations for service design are presented below, each describing the nature of an approach to service design, and the type of results expected from applying the approach. These are provided as an aid to developing column 2 design strategies.

Integration

- Joining up/melding services - replaces one or more existing service outputs with a new higher-valued output (from the client’s perspective)
- Managing the client’s interaction as a “case” – maintaining information on client interactions/transactions across multiple different services, suggesting or directing the sequence of interactions, re-using information from one service or interaction to make subsequent interactions more convenient (where permitted by legislation)

Both of the above:

- Operate on both “front-line” (public-facing) services and internal (provider-facing) services

Results

- Relationship management
- Specialization – e.g. combine related decisions
- Economies of scale (distinct services likely shared some common requirements that would have been implemented twice)

Consolidation

- “Hollow out” existing services to create common provider services thus gaining economies of scale (find the many common requirements housed in multiple services, i.e. service processes & intermediate outputs)
 - Does not operate on front-line services – same public outputs are still produced
 - Gives best shot at optimization at row 3

Results

- Economies of scale: constructs consolidated support services to supply common requirements or produce common intermediate outputs

Standardization

- Similar services use same rules, processes, resources etc. (“systematic organization”)

Results

- Consistency: services with common requirements use SAME processes, follow same business rules, produce same intermediate outputs, use same types of resources

Accountability

- Fix broken or missing accountabilities (horizontal and vertical)
- Create effective program and services accountability metrics based on patterns
- Consistent application of principles of horizontal and vertical accountability

Results

- Improved quality of outputs (horizontal accountability)
- Improved effectiveness and efficiency of outputs (vertical accountability)

Impact of design strategies on performance measures

The Service Reference Patterns provide some guidance on how to assess performance in terms of efficiency, quality and effectiveness.

*The handbook of Service Reference Patterns defines **efficiency** as the value of the service output with reference to the costs of the inputs required to produce it. The metrics used are average unit cost and average per capita cost.*

It looks at quality in terms of comparing features of the service output with a rule for that feature. It considers metrics such as responsiveness, accuracy, availability, compliance, and reliability.

Effectiveness gauges the contribution of the service to the population-level outcomes or programs the service is designed to support. It can be measured independently of service efficiency and quality and takes into consideration metrics such as outcome achievement, take-up rate and risk/contingency.

Please refer to the Service Reference Patterns for more information.

Note: at present, the ratings in the chart below are relative only within a row i.e. the H in efficiency for standardization is not equivalent to the H in efficiency for BPR.

Design Strategy	Performance Improvement		
	Efficiency	Quality	Effectiveness
Integration	?	?	H
Consolidation	H	M	L
Standardization	M	H	L
Accountability	L	M	H
Business Process Re-engineering	H	M	L

**BTEP Strategic Design & Planning Methodology
Methodology Improvement Form**

If you would like to suggest an enhancement to the methodology, or if you find a specific error in any element of it, please complete this form and send it to BTEP@tbs-sct.gc.ca.

Corrections

For specific *corrections*, be sure to indicate the name and version number of the document and provide as much detail as possible (e.g., identify the affected phases, activities, work products, and/or deliverables; identify page numbers and/or submit copies of the page(s) containing errors, if more appropriate).

Document Name & Version	Page #	Description of suggested correction

Suggested Enhancements

For suggested *enhancements* or *extensions*, please provide as much detail as possible, possibly including a sample of the new/changed work product, a description of how it fits with existing work products, and any rules or steps needed to produce the work product. In addition, please describe the nature and scope of the use of the work product today to the best of your abilities. If the enhancement refers directly to a document, please provide the document name and version #.

Please provide the following information about yourself so that we may contact you for clarification on your suggestion.		
Name	Department/Ministry/Company	Position/title
Phone # (incl. area code & extension)	E-Mail	Date submitted
Briefly describe the project for which you were using BTEP		

For BTEP use only:		
Date request received	Request #	Action taken: