An Implementation Guide for Process Redesign in Government Departments

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Section 1

Introduction

Today there is an all-pervasive need to build capability to deliver high quality service at a minimal cost. This need exists in all kinds of institutions, be it governmental, private or those in the voluntary sector. Therefore, it is necessary to develop ways and means of working that will ensure a reliable performance of superior quality at a minimal cost. "More with less" has become the mantra in government departments at national, state and local levels as they are face the mounting fiduciary pressures on one side; and need to deliver better quality service to their stakeholders, on the other. But most government departments are finding it difficult to meet these changing demands. The reason being many of them are encumbered with structures and processes which are rooted in the past and aimed at demands of yesteryears. In order to serve the citizens better, government departments will, therefore, have to redesign their processes. The redesigning of the processes, when carried out by leveraging contemporary technologies, can provide high "customer" satisfaction.

If we examine the case of e-Seva, introduced by the government of Andhra Pradesh, we can see how the redesigning of processes, along with IT, can greatly improve the performance, efficiency and transparency of various department(s). In several departments, we come across small and large changes in work processes that have yielded dividends.

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This manual is aimed at providing an action framework for carrying out a process redesign in any Government department, with or without the help of any external facilitation. The manual provides:

(a) a step-by-step explanation of how a process redesign exercise is carried out ;

(b) sufficient tools and techniques that are explained which can be directly applied; and

(c) examples and cases, wherever necessary, to help practitioners in the actual application.

A pictorial representation of various steps involved in the methodology is provided in Figure 1.

Process redesign is fundamentally common sense centric; hence, at any point in the design or the implementation process, doubts are felt, appropriate modifications to the methodology can be made.
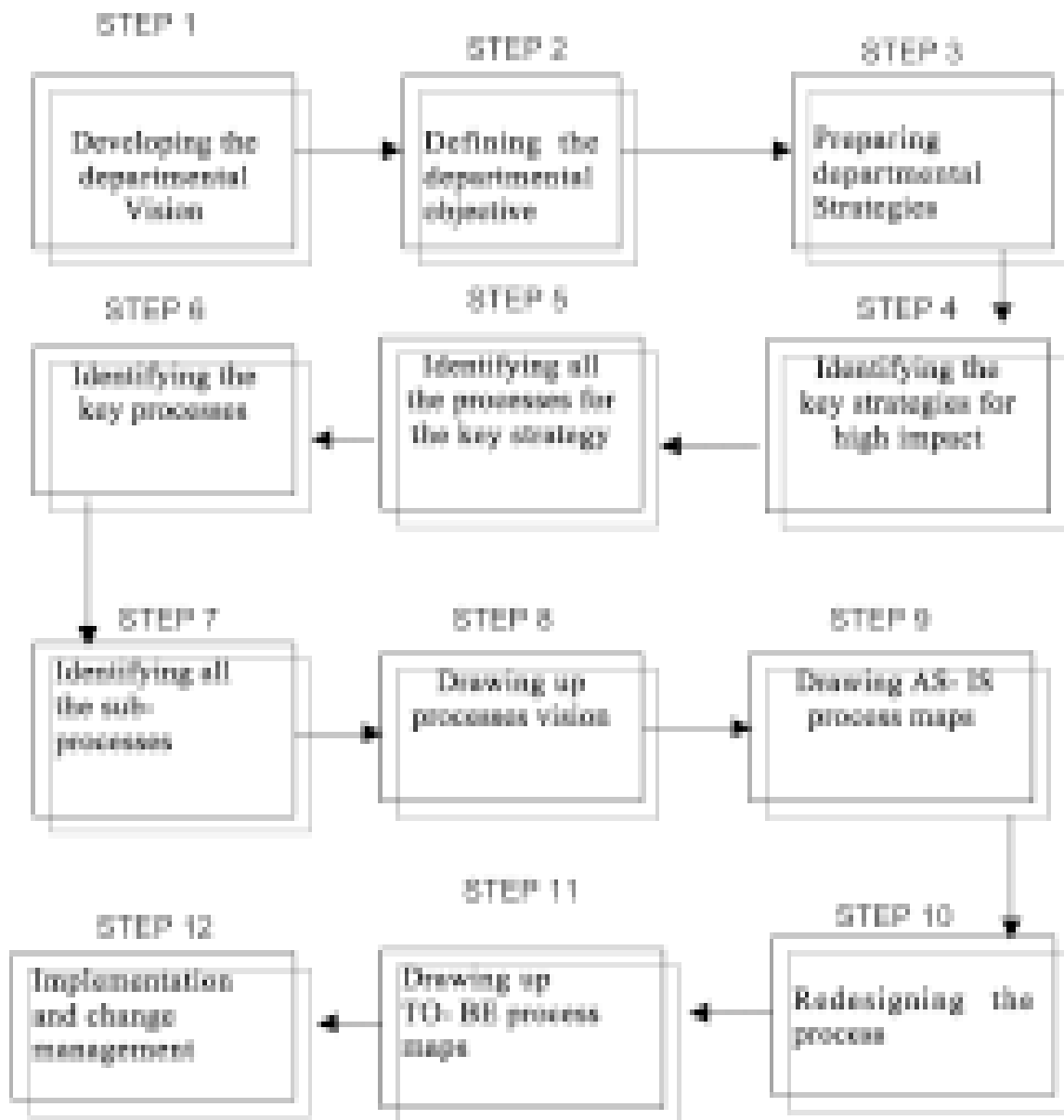
Figure 1. Steps Involved in Process Redesign

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Section 2

An Outline of Methodology

The manual provides for methodologies both, a comprehensive drill down as well as "partial-area" solution for carrying out the process redesign.

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The methodology for carrying out the process redesign is simple, yet comprehensive: covering the vision, objectives, strategies and finally processes. Depending on the need of the department or section, a decision about how much of the methodology has to be used can be assessed. For instance, if the department can devote sufficient time and resources, it may have to take the comprehensive view, starting from Vision. On the other hand, if there are issues and concerns (process-related) which need to be quickly addressed appropriate portions of the methodology can be used. The manual, thus, provides for methodologies both as a comprehensive drill down as well as "partial-area" solutions/techniques for carrying out the process redesign.

Before explaining the methodology, therefore, it is necessary to define and explain the following terms, especially in the context of this manual.

Larger purpose or vision of the department: A Vision is a broad or a vivid statement of the future of the department/organization. The Vision statement captures basically who or what the department stands for and what it wants to be in the future.

Objective: An objective is the concretized portion of the Vision; it is a desired state, which the department wants to achieve. For example, objective would indicate the number of new citizens that it wants to serve, new geographical locations it wants to reach etc.

Strategy: This represents the action or set of actions that a department may have to execute in order to achieve the objective.

Process: A process is a collection of activities which when taken together adds value to a customer, either internal or external. For example, if you have to purchase an item, there are several activities involved in it: preparing the RFP (Request for Proposal), preparing the tender documents, collating information about probable vendors, analyzing competitive bids, placing of the purchase order and finally procuring the material/item. All these are activities by themselves do not add any value to the customer (here it is the internal customer who would have requested for the item/material). Now the entire set of activities together is called a Process - the 'Procurement Process'.

A department delivers services to its customer (citizens) by executing a number of such processes.

Sub-Process: A sub-process is a part of a process. It has to be noted that a sub-process is not an activity. For instance, with reference to our procurement example, tendering could be a sub-process, where preparing the RFP, tender document and mailing the tender document to all the bidders could be the activities therein. Depending on the complexity of the process, there may be two or more sub-processes. However, it is not necessary that all processes should have sub-processes.

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MoP: Measure of Performance (MoP) is the metric on which a process is measured. The MoP is the key characteristic of a process. Without MoP a process is as good (or bad) as an activity. Though there could be any number of dimensions on which a process is measured, the common ones are:

- Cost
- Quality
- Cycle Time, and
- Satisfaction.

For instance, for the procurement process, the MoP could be cost and cycle time.

Process Mapping: This is the method by which a series of activities involved in the process are mapped or captured. After capturing the activities they are usually presented in a graphic form, and this document is known as a 'process map'. The information to be captured in a process map, both in terms of extent as well as detail(s), will depend on the purpose of mapping. Usually, the process should have information about:

- people involved in the process and the activities they perform
- the document and information flow across the process
- the probable points where a cost or a delay or a failure may be occurring (those which are not intended to)
- activity volume or transaction volume
- information technology - purpose and level of deployment

AS-IS Map: A process map which captures the present way of doing things is known as an 'AS-IS Map'. When an AS-IS map is prepared, all relevant information should be captured as explained.

TO-BE Map: A process map which elucidates as to how things/activities are to be done/performed in a given process is termed as 'TO-BE Map'.

2.1 Steps Involved in the Methodology
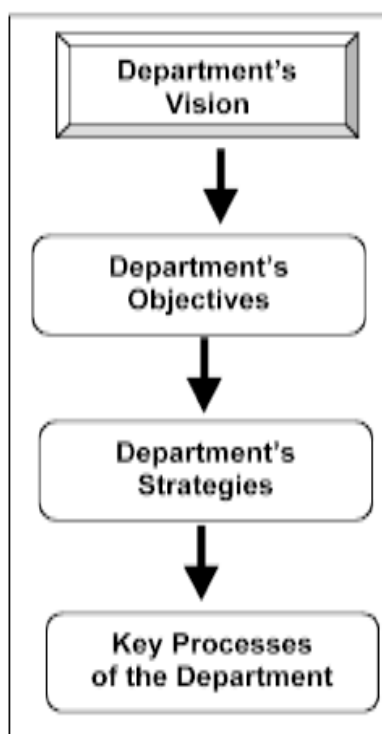
The methodology, in principle, consists of the following steps:

a. Developing the vision

b. Culling out the objectives

c. Drawing-up the strategies, and

d. Designing the processes.

To what extent each of these aspects has to be looked into, will depend on the degree of change that is proposed to be brought about. If a comprehensive change, covering all aspects is what the department aims at, then it would have to start from the vision onwards. Every department may not necessarily have to start from the point of Vision; some situations may warrant that the department start directly looking at the processes, after preparing some kind of draft document on the vision, objectives and strategies. The word 'draft' here implies a quickly arrived group consensus on these issues.
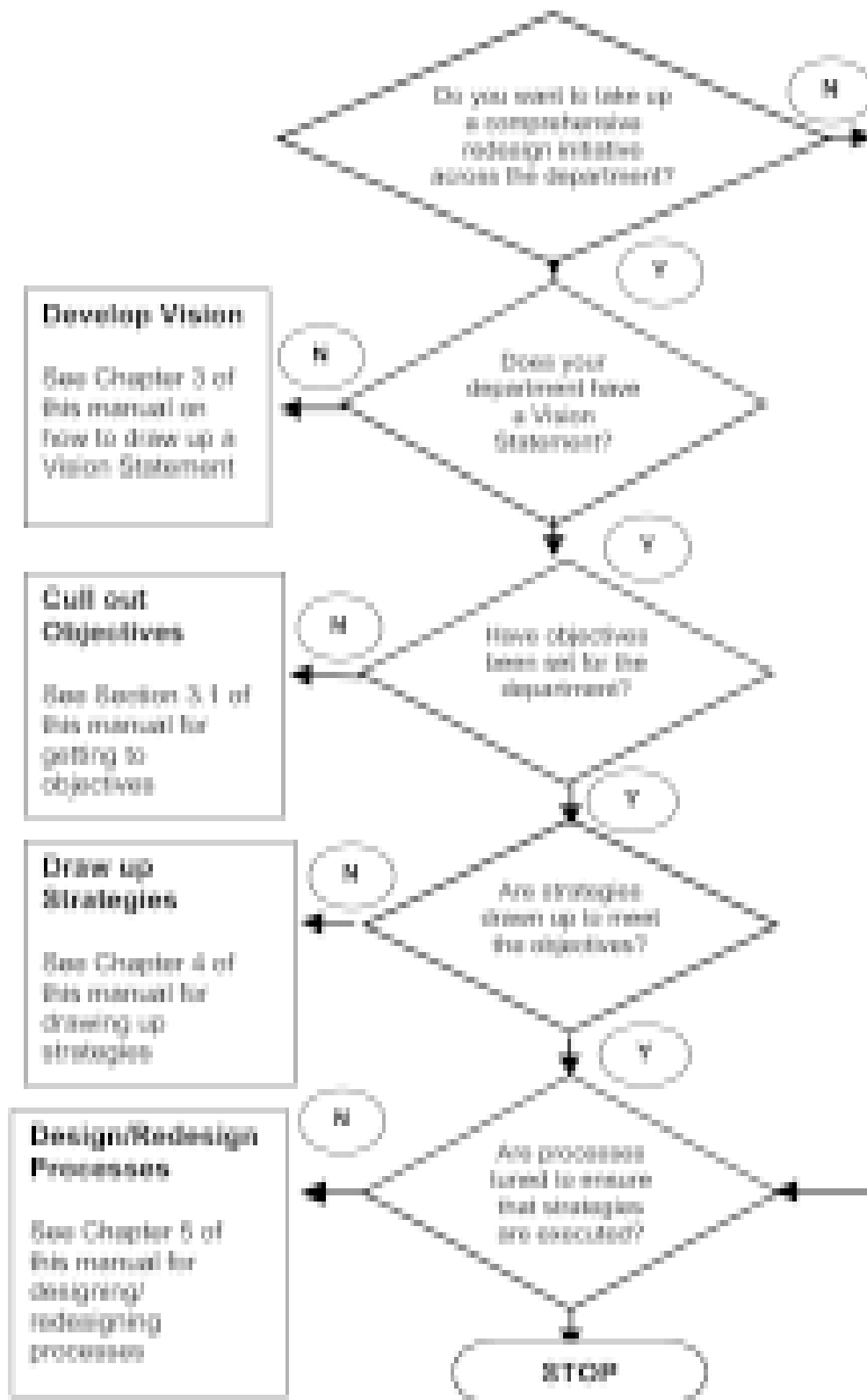
Figure 2. From Vision to Process Redesign – A Flow Diagram

A simple analogy, for the above, can be established with that of an individual. What a person wants to be can be termed as a Vision; usually this is vague and non-specific. Converting this into something specific and concrete is the objective. For example, "wanting to achieve career success" can be a Vision, while what exactly is meant by career success would constitute the objective. For instance, the objective may be "becoming a section head in five years". One of the strategies could be to "enhance educational qualification for this purpose".

"Identifying the right programme to enrol" could be one of the processes for achieving this strategy. Thus, once the Vision is identified it is possible to draw up the objectives, strategies and processes.

VISION
Want to achieve career success

Objectives
"Want to reach position x in 5 years"

Strategies
"Enhancing educational qualifications"

Processes
"Applying for appropriate programme"

Figure 3. An example for drawing Process from Vision

Apart from understanding the linkages between the various steps involved in the process redesign, the above example also helps illustrate as to what happens when the whole methodology is not followed. For instance, a person may take up the process of enrolling for a programme, without necessarily having a Vision to achieve career advancement. But, by starting with the vision and following a more rigorous approach, a person substantially increases the possibility that his/her initiative will be more focused and effective.

Section 3

Departmental Vision and Objectives

A Vision statement is by definition, a vivid statement of the future, a compelling description of what the organization/department is and what it wants to be in future. Though, many private organizations and larger entities like States have had Vision statements, it is only in the recent times that government departments also have started drawing up similar document. Though, it is not necessary that an organization should have Vision statement in order to carry out a process redesign study, it is suggested that for a comprehensive department wide redesign, a vision would be of great help.

In a departmental or an organizational context, with reference to Vision, one of the following states can exist:

    a.   Vision statement is drawn up and is communicated to all.

    b.   Vision statement is drawn up, but is not communicated to all. That is, not every one in the department is sure as to what the Vision is all about.

    c.   Vision statement is not drawn; however, most of the people in the department are aware of what it is. In other words, most people are aware as to what the department stands for and where it is headed, but the same has not been articulated and communicated.

    d.   Finally, the kind of scenario, which exists in most departments, in the absence of a vision statement - neither articulated nor communicated and known.

In this section of the report, we shall essentially deal with a quick method for drawing up the vision and a few guidelines for effectively communicating the Vision.

3.1 Steps Involved in Developing a Vision

There is no fixed methodology or a process, which exists for developing a Vision statement for a department or organization. However, some broad guidelines can be established without undermining the fact that many of these steps are and will be very 'context' and 'culture' specific to the particular organization or to the department.
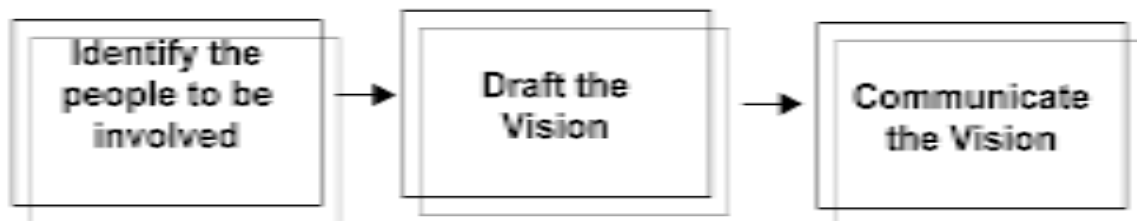
Figure 4. Steps Involved in Drawing up of Vision

1. **People Involved in Drafting the Vision:** The people involved in drawing up the Vision statement should include:

   - Senior functionaries of the department and/or government. For instance, for some departments it may be necessary to involve functionaries at the levels of Commissioner or Secretary to the government.

   - People with adequate knowledge of the department, in terms of the services that it offers, the constituents it serves, its historical basis etc.

   - People who are able to take a bird's eye view of the department. That is, they should be objective and clinical in their approach to the visioning process.

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- People who are able to anticipate the issues/concerns of the citizens/ service recipients. This should be done both from the present as well as future timeframes.

Depending on the size of the department, the number of people to be included has to be judiciously ascertained. Wherever possible, it is

> *When drawing up the team for the Visioning process, one of the primary considerations should be variety and multiplicity of perspectives that the group can generate.*

advisable to include some of the citizens/service recipients. It is advisable to have a group not larger than 20-25 for ensuring effective utilization of time and intellectual resources.

2. **Drafting the Vision:** Once the group(s) has been formed, the need would then lie in establishing some ground rules based on which the group would be able to develop the Vision statement. Though, no guidelines per se may exist in the making of a Vision statement, the following criteria need to be adhered to:
   - Brief and memorable
   - Inspiring and challenging
   - Appealing to all stakeholders
   - Descriptive of the ideal
   - Idealistic, standing above the commonplace, and
   - Enduring

In formulating the Vision, some lead questions could be used, such as

- Who are the recipients of our service?

- What do they expect from us?

- What will they need in the future?

- How do we want the department to be seen by the community?

- What technology and technical expertise do we need to provide the service?

- What kind of collaborative relationships do we need to create?

- How can we organize ourselves to provide better services to the citizens?

The answers to these questions will help the group in structuring their thoughts and guiding the formulation of the Vision. It should be remembered that these are just indicative questions and not necessarily the only ones that the group has to consider.

After arriving at some broad directions on the above issues, the group would then have to take up a Wordsmithing exercise. As described in the box in the next page, Wordsmithing is a process of arranging words and phrases in a manner which will convey the required message (in this case 'Vision') in a forceful manner. For effective Wordsmithing, care has to be taken to ensure that the group is evenly representative in terms of background & experience. At the same time, the group should be homogeneous when it comes to knowledge and understanding. If a group is highly heterogeneous in terms of knowledge it would lead to varied interpretations of the above mentioned issues. Therefore, arriving at a consensus, in such a situation, on the constituent words in the Vision statement may become difficult.

The ' WHAT IS' AND 'HOW-TO' Tool Kit
WORDSMITHING

Wordsmithing is more of an art than a science and, therefore, would require a delicate balance between using standard tools and procedures and applying individual experience and creativity. There is no specific definition per se for this term but it can broadly be understood to mean arranging of words and phrases in a manner which would convey a message to achieve a desired impact.

Using the following methodology may yield better results, especially when crafting a Vision statement:

1. Ask the participants to write down either individually or in smaller groups, six to seven words which would form the key words while answering the questions about who they are (i.e. the department), what they stand for, what do they want to be seen for, now and in the future, who their customer or service recipients are etc.

2. Collate the words and phrases that each group comes up with.

3. Find the most common or similar words used by groups. These are words or phrases that many would like to see or appear in their Vision statement.

4. Arrange those words, using appropriate propositions, and other connecting words or phrases to make a meaningful statement.

5. Ask the groups to debate on whether the statement captures (1) all the required elements (2) they (words) are properly sequenced and finally, (3) the statement as a whole is meaningful and, more importantly, (4) is it effective.

6. This would be the Vision statement

Figure 5. 'What' & 'How' of Wordsmithing

3. Communicating the Vision

Once a Vision is created, it must be communicated and articulated effectively so that it becomes the shared Vision for everyone in the organization. There is no standardized methodology for communicating the Vision. The following, however, could be used in this process:

a. Ensure that every employee receives a copy of the Vision statement. This could be done either through the

> *In many instances, the Vision statement may be articulated, but is not communicated to all the required stake holders. A Vision statement can be effective only when it is properly communicated*

inter-communication memos or through e-mails or through any other similar format which reaches out to everyone.

b. Arrange meetings and/or interactive sessions where groups of employees can participate in discussing and debating the Vision and its contents. These meetings could be chaired by the senior most person of the department and who would also be able to clarify issues or emphasize on particular points or areas. Ask the members to reflect on what the Vision is to them as individuals in terms of focus/thrust areas.

c. Create posters, wall hangings where the Vision of the organization is spelt out. Place these posters or hangings where maximum number of employees would view it. If the department has extensive public or citizen interface points, these locations could also have the Vision displays.

The first two steps can be taken up immediately after the department finalizes its Vision statement. It is the departmental imperative that every employee is aware of this Vision. With the availability of modern Information Technology tools, such as intranet and internet, it is possible to communicate the Vision statement, not only to the internal stakeholders but also to the external community at large. But creating a Vision and initiating steps to realize the Vision are major initiatives and, therefore, like any other change initiative would require widespread communication process.

3.2. Objectives

Having developed the vision for the department, the next step would be to develop the objectives, in line with the Vision. Here it should be noted that the Vision usually is time-independent (at least in short or medium terms), while the objectives, may have to be reviewed and redrawn from time to time. As mentioned in the previous section, Vision of the Department is a statement which broadly defines what the department is, whom it serves, what it would like to achieve etc. Consequently, the strategies and processes will also be (re)drawn, whenever the objectives have been redefined.

Setting of the objectives is the method by which the Vision is translated into some concrete form. To elucidate this point, let us look at an example of Vision of a municipal corporation of a town, say ABC, whose population is divided among various ethnic and religious groups and which has rich cultural and religious heritage to be protected.

"To provide community leadership which recognizes that everybody matters and which encourages and

> *Cull out meaningful and quantifiable objectives from the Vision, in such a manner that the objectives when achieved would help realize the Vision.*

supports strong and inclusive communities. Whilst respecting and protecting our citizens, their culture & heritage and historical monuments & environment, Municipal Corporation of ABC will willingly embrace change that is of benefit to the town and its residents, by providing effective and efficient services"

Based on this Vision, the following category of objectives can be culled out:

    a.   Establish a safe, secure and healthy community.

    b.   Promote a thriving, caring and inclusive community.

    c.   Protect and improve the environment.

    d.   Provide all services efficiently and effectively.

It can be seen that each of the major aspects or key issues in the Vision have been identified as an area for which objectives would have to be drawn. For instance, in the area, "provide all services efficiently and effectively", the objective(s) could be, e.g., -

    a.   Achieve the electronic service delivery target of 100% for all services by 2005

    b.   Ensure that the charging and collection policies are fair and consistent and that the overall citizen satisfaction level pertaining to collection process is no less than 95%

The objectives are, thus, quantifications of specific issues which form the core of the Vision statement.

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Section 4

Departmental Strategies

While Vision is long term in nature and serves as a guiding light, the strategies are the road-maps to get to the destination. Usually, departments or organizations which are progressive in nature, may invest a lot of time and energy in drafting the Vision but many of them fail in developing appropriate strategies that would enable them to achieve the vision. For sustained success, it is necessary to invest equally in creating the Vision, crafting the strategies and then executing them. As Sun Tzu pointed out several centuries back, "Without tactics, strategy takes a very long time to reach victory. And without strategy, tactics only produces some noise before the inevitable defeat".

Strategies that an organization/department draws can be related to the following factors. Often, a combination of these strategies would be required to achieve the Vision:

- People
- Processes
- Technology, and
- Systems (IT)

Each of these elements is equally important and has vital roles to play. The absence of an appropriate strategy in any one of the above areas may not necessarily mean that the Vision would not be accomplished altogether; however, it would be a serious handicap to the organization/department in providing a sustainable service.
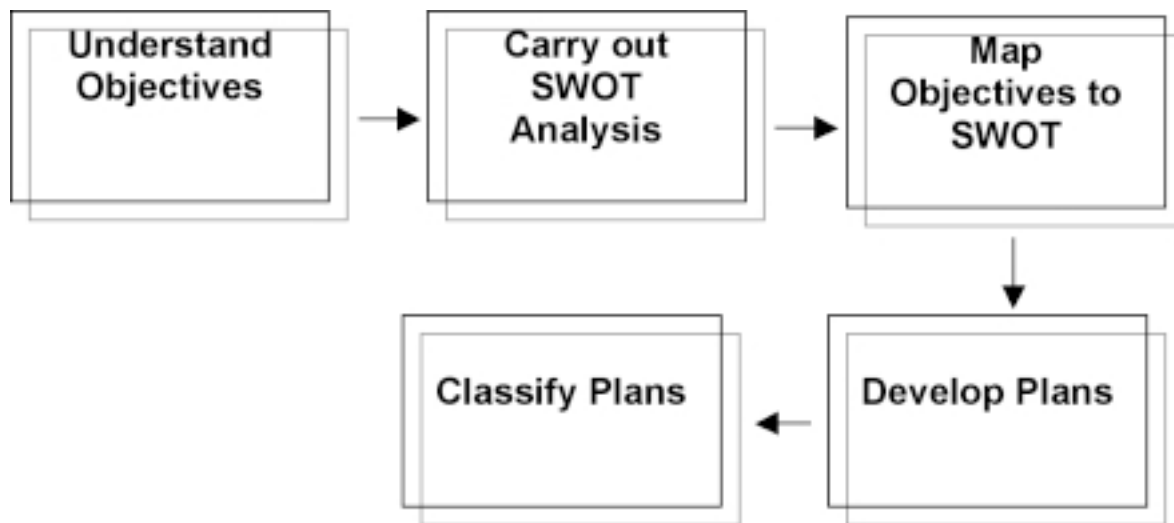
Figure 6. Steps Involved in Drawing up Strategies

For instance, a government department may not have found the need for wide usage of Information Technology (IT) earlier. But with the advent of Internet technologies it may find that it will be able to provide better service to its constituents, by leveraging on the potential benefits that this technology has to offer. However, the ability of the department to leverage IT will not become a reality, until and unless a clear-cut strategy is developed and executed. It has to be noted here that process refers to the way things are organized and executed in the department. And technology refers to the particular area or domain in which it is to be used, for example, mining equipment would be a part of the technology area to be considered when analyzing the mining industry. In this portion of this report, development of strategies, its linkages with Vision will be dealt with.

4.1 A Methodology for Strategy Development

In this section of the report, we discuss the general framework for development of strategies from Vision. Though, it may be difficult to construct a template which would be applicable to all departments/organizations under all sets of conditions, it would be, however, worthwhile to take into consideration certain critical points when drawing strategies.

Step 1 - **Understand the Objectives:** Before drawing up the strategies, it would be useful to revisit the objectives. This is essentially to make sure that there is an unambiguous clarity in understanding the objectives, failing which the strategies drawn up would be either inaccurate or ineffective. A fundamental requirement for the objective is that it should be specific and should be measurable. As far as possible, even qualitative objectives should also be converted into quantitative parameters whereby the group will be able to focus its resources on specific areas.

Step 2 - **SWOT Analysis:** The Strength, Weakness, Opportunities and Threats or the SWOT is a group-based analysis which primarily evaluates the capabilities of the department both in the present context as well as immediate future. The SWOT analysis will throw up, what the Department can do well (strengths), what it cannot do too well (weaknesses), what it can leverage out (by means of its strengths) in the future (opportunities) and what it will have to look out for or brace itself to (threats). The following Box in Figure 7 shows a template for carrying out a SWOT. It is recommended that a Departmental Diagnosis be conducted (Refer to Annexure 1), as part of this step. Not only will this diagnosis help in the SWOT but also would help in other aspects of strategy formulation.
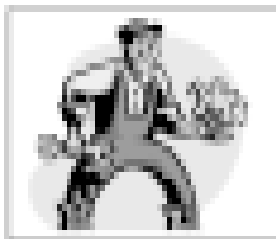
> **"WHAT IS & HOW-TO" Tool Kit**
> **SWOT**
>
> *SWOT: The Strengths, Weaknesses, Opportunities and Threats is a diagnostic tool for capability evaluation, both present and future.*
>
> *This exercise should preferably be carried out in small groups of 20-25 people*
>
> Step 1. Split the group into smaller sub-teams of around 4 or 5 members each
>
> Step 2. Ask each group to fill in the sheet, the format of which is given below.
>
> Step 3. The group has to be informed that the Strengths and Weakness should be considered from the present day perspective, while Opportunities and Threats could be on a future (immediate) timeframe
>
> | | Present Perspective | |
> |---|---|---|
> | Strengths | | Weakness |
> | ◄———————————————► | | |
> | Opportunities | | Threats |
> | | Future Perspective | |
> | ◄———————————————► | | |
>
> Step 4. Once the groups have filled in the sheets, compile the list taking into consideration only those most cited in any of the areas.
>
> Step 5. When there are contradictions, i.e., whether an area is strength or a weakness, then ask the group to decide, based on earlier examples and historical data.

Figure 7. 'What' & 'How' of SWOT

Step 3 - **Map the Objectives to the SWOT:** Having identified the objectives and also the SWOT of the department, the next step would be to correlate the objective and SWOT. That is, in order to address some of the objectives, it will be necessary to leverage on strengths, while for some other objectives, there would be a need to address weaknesses/gaps. This process also can be used to identify resource allocation - men, money or material.

Step 4 - **Develop Plans:** The process of developing the plans, or other-wise strategizing, consists of developing road-maps and game plans for achieving the objective. The plans for those objectives under the Strengths category would be different from those under the Weakness or gap area, in that, the sequencing order for implementation would be drawn up differently.

Step 5 - **Classify the Strategies/Plans:** Not all strategies/plans that are drawn up have an equal bearing on the vision of the Department or the organization (i.e., there are certain strategies which impact the vision to larger extent than others). One of the key aspects to be considered when implementing strategies is to identify those strategies which have a greater effect on vision. After identifying the same, it will be necessary to classify them based on the level of control that the Department can have on implementing the strategy (i.e., there are some strategies which involve internal processes to be addressed to a great extent). On the other hand, there are other strategies which would require processes external to the department that are to be redesigned. For instance, strategy pertaining to design and delivery of extension work, by the Agriculture or the Fisheries Department may require redesigning a number of internal processes. The above mentioned steps would help in identifying and sequencing (for implementation) the strategies that the Department would have to execute in order to achieve the objectives, hence, the Vision.

Section 5

Process Redesign

It is not sufficient to have a Vision and the strategies in place. Equally important will be to have the right processes which would enable implementing strategies and achieving the Vision. Let us take the example of disease management.

Vision: Total eradication of congenital diseases.

Among the different objectives to achieve the above Vision, let us say that one objective is to eradicate "one of the congenital diseases" in a stipulated period of time.

Among the different strategies to achieve the above objectives, let us say that one strategy is to "Educate the population about the disease."

Among the different processes to achieve the above strategy, let us say that one process is that of "Media identification for the purpose of educating the population." The probable activities involved could be scanning various media, evaluating the efficacy and the reach of each of the media, the costs involved, the time for content development etc.

Process redesign is about analysing the activities and reconfiguring them so as to ensure that required objectives are met which, in this example, is about reaching the entire target audience.

There are six steps involved in the redesign process:

1. Key Process Identification
2. Process Visioning
3. AS-IS Process Mapping
4. Redesigning the Process
5. Drawing up the TO-BE Process
6. Implementing Change Management effectively.

The sixth step, effective change implementation, is not a single step as such but is a process in itself. We shall discuss that aspect in detail in the later part of this manual.

The six steps involved in the redesign process, along with a brief explanation of each step are shown in Figure 8.

Figure 6: Stages involved in Process Redesign

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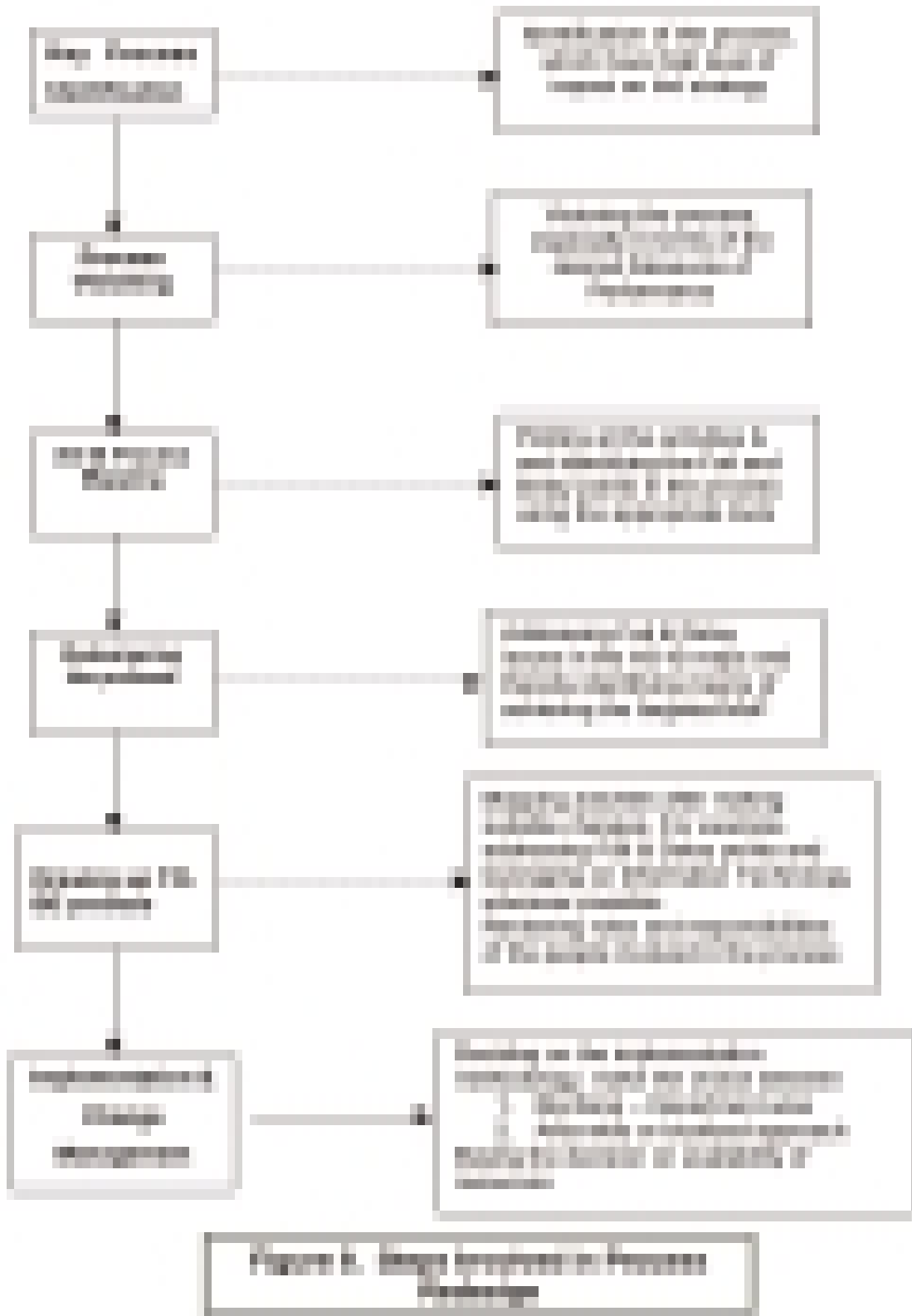
Step 1 Key Process Identification

All the strategies that an organization or department develops will not have equal impact on the Vision. While, some may tend to have a greater impact others may have lesser impact. It should be noted that the words greater and lesser are relative

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HOW-TO' Tool Kit

For Key Process Identification

The following guideline could be used in identifying the key processes. Carry out these steps in small groups of no more than 10-15 people.

1. Write down the key strategies of the organization that have been drawn up to actualize the Vision.

2. Arrange the strategies in the descending order of impact. If the group feels that there are two or more strategies which are equally important, then the group consensus should be used to arrive at the final list. In arriving at the consensus, the group should look into the parameters which a particular strategy addresses. For instance, the strategy of disintermediating the supply of an item (say agricultural commodity) would address the issue of cost (primary impact) and the offtake (secondary impact). Thus, if the Vision of the organization/department is providing more affordable produce, then this strategy would rank higher, as against a strategy which addresses, say, either quality or off-take.

3. For the strategies to be taken up for implementation, write down all the processes. It is possible that more than one strategy can be identified in the list and that for each of the strategies there could be multiple processes involved.

4. Write down all the processes (for a strategy).

5. Arrange the processes in the descending order of importance. Again, as in the case of strategy, the strategy's objective and the process MoP have to be looked into. For instance, if the strategy is related to cost, all processes, which have cost as their main MoP will rank higher than those, which may have other MoP parameters (such as quality or time etc).

6. From the above list, depending on the resource(s) availability the group may decide to take up one or more processes (in the order of importance) for redesign.

Figure 9. 'What' & 'How' of Key Process Indentification

and are not to be construed as meaning important and unimportant. The need to prioritize the strategies usually becomes necessary as departments/organizations have limited resources and, therefore, would like to utilize them so that the results are higher and quicker.

Taking the same example above, i.e., total eradication of congenital diseases, some of the probable strategies could be drawn up in the areas of increasing reach and availability of medicine/vaccine to remote locations, employing the required personnel for carrying out the initiative and educating citizens on the entire programme. Therefore, for the issue - 'problems pertaining to reach of vaccines,' it can quickly be seen that all the above strategies are equally important for the department. However, if the department has to carry out some kind of prioritization of the above, it would have in the pecking order, educating citizens on the lower side and availability of medicine/vaccine on the higher side of the impact scale. Having identified the key strategies the next step would be to identify the key processes. Just as in case of strategies, in case of processes too, all processes may not support key strategy to the same extent. Some may be core to the strategy while some others may be supporting. Continuing with our example, ensuring vaccine availability at the remotest point may have the following processes associated with it:

- Domestic sourcing
- Imports, and
- Logistics of distribution.

And all these may not be equally important, i.e., logistics of distribution may be more important than process pertaining to imports.

Step 2 Process Visioning

Just as the departmental Vision directs every one in the organization towards a common objective, the process Vision also sets the direction for process. It is important resources deployed and people engaged, work towards the process Vision. In this section we shall see how the process Vision has to be developed. It should be noted that the ability to visualize the process is in fact as important as Visioning for the organization itself. The process Vision has to be set in such a way that when achieved, along with key processes constituting the strategies, the Vision of the organization will be realized. So, utmost care should be taken in crafting the process Vision to avoid the risk of under setting it or over setting it.

Step 3 'AS-IS' Process Mapping

The process of improvement cannot be carried out until and unless the present state (of activities and process) is fully understood. In order to gain this understanding, it is necessary to plot the activities as they are being carried out in the present way/ method of working. This method of graphical representation of activities is known as mapping and helps in analyzing the process from multiple perspectives. One of the most commonly used methods for process mapping is flow-charting. As the name indicates, a flow chart is a graphical and textual representation of the activities in the sequence they happen (flow) using standardized symbols (see the following Figure). One of the advantages of a flow chart is that it allows for easy understanding of the whole process and the related activities associated with it. Moreover, because of the usage of standard symbols, the flow chart method will be an ideal communicating methodology about the process information.

HOW-TO' Tool Kit

Process Visioning & Process Objective

The following guideline can be used for carrying out Process Visioning (carry out these steps in small groups of no more than 10-15 people)

1. Write down the key process or processes for a strategy. If it is decided that more than one strategy has to be looked into, then all the key processes for each of those strategies should be captured.

2. Arrange the process(es) in the descending order of impact, i.e., the process with highest impact is ranked at number one.

3. Identify the Measure of Performance (MoP) for the process (es). This refers to what dimension(s) of the process is to be measured, cost, quality, time, service level, customer satisfaction, innovation etc.

4. Identify the present level of MoP. For example, if the process relates to launching of new initiatives (say tribal area electrification) the present time (in days/weeks/months/years) it takes for launching the drive.

5. In case the group does not have this information, a group consensus methodology can be used. The group may use its own experience and wisdom in arriving at this quantitative figure.

6. The desired MoP has to be identified. In other words, determine as to what will be the MoP when achieved that will ensure that the Vision of the department will be realized. NOTE: As there will/may be multiple processes for a strategy and multiple strategies for the Vision, the MoP has to be chosen keeping this fact in mind.

7. The desired MoP will be the objective for the process. For establishing the desired MoP, the group shall ensure that the targeted MoP dovetails with the requirement of strategy and Vision.

8. NOTE: In the case of Process(es), Visioning is a way of arriving at the objective which is actually more important.

Figure 10. 'What' & 'How' of Key Process Visioning

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'HOW TO' Tool Kit

Symbols Commonly Used in

Flow Charting

The following are the symbols used in process of flow charting

Activity	Delay
Decision	Data Base
Document	Terminate
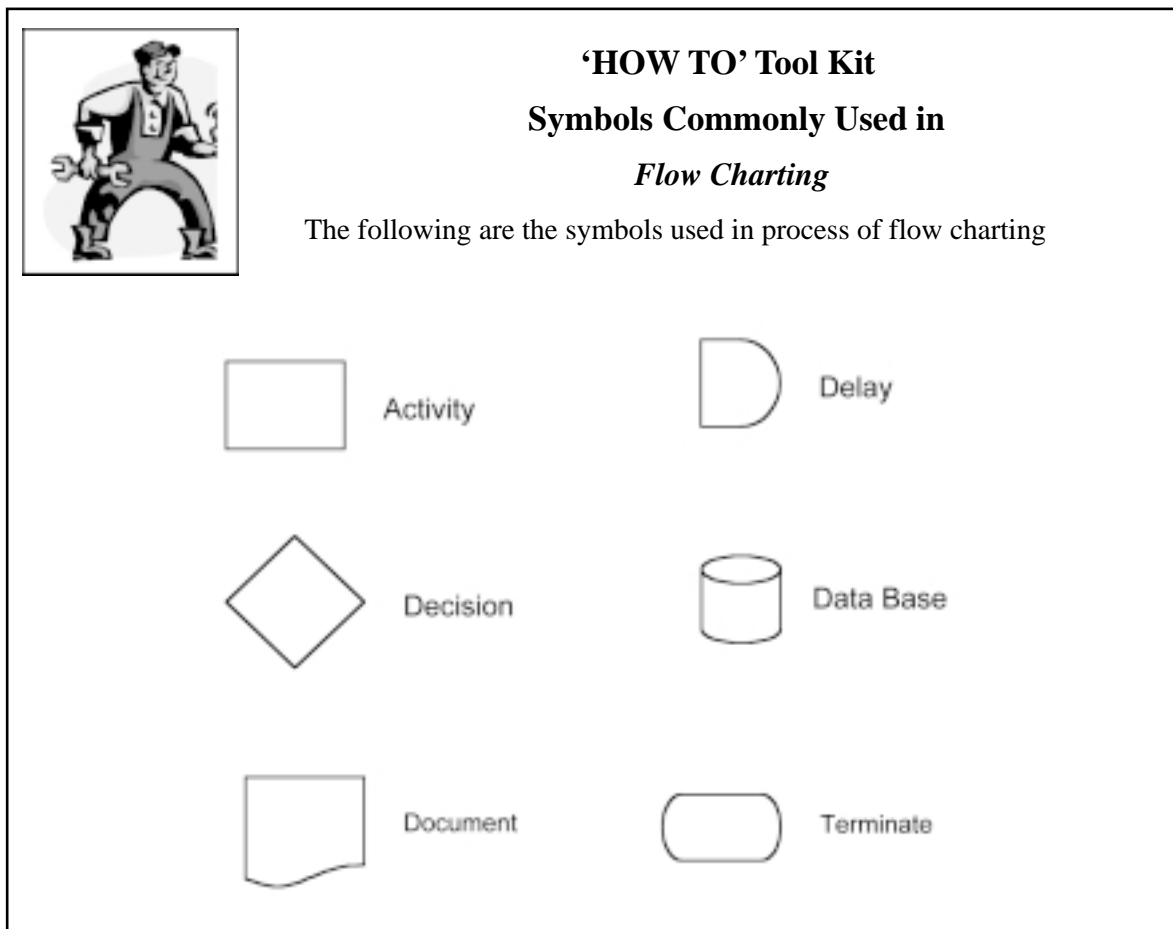
Figure 11. Symbols Used in Flow Charting

The following are the steps involved in the preparation of flow chart:

- First, decide on the level of details the flow chart is to represent.

- List all the activities in the process.

- Draw the flow chart using the standard symbols.

- Identify at each activity level the various factors which cause Delay and Fail i.e., points where an activity could be delayed or may not be getting executed/performed properly.

- Add time element, if the time dimension is an important aspect.

- Capture flow of information and documents, along with the activities.

As an example, the flow diagram (only a part and modified for purpose of illustration) for pension payment process is shown in the Figure given below. When drawing the AS-IS flow maps, there are a couple of points that have to be noted:

a. Get as much information as possible. However, if some information is not available, make appropriate assumptions. The group can use its knowledge and judgement when arriving at these assumptions.
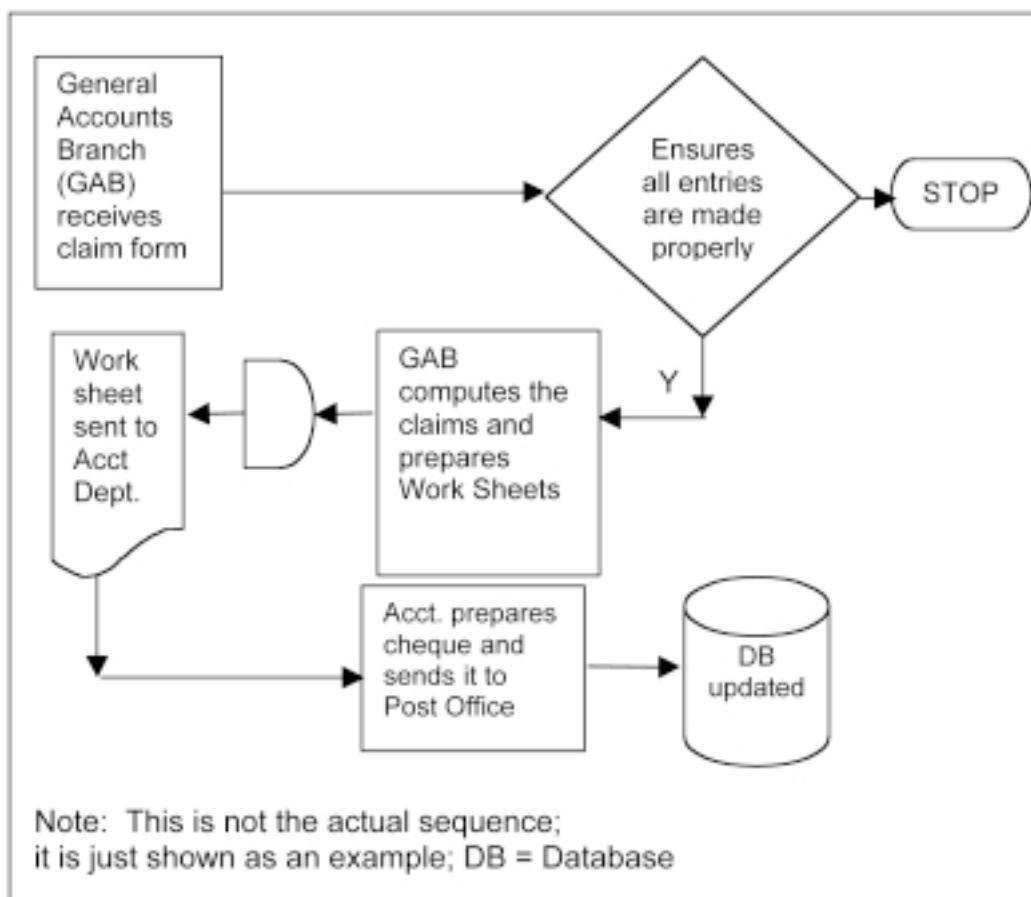

Note: This is not the actual sequence;
it is just shown as an example; DB = Database

Figure12. Example of Flow Charting – AS-IS

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b. Map the data and information and also document flow in the process.

c. Use appropriate tools (as and when necessary) for collecting data. One of the most commonly used tools is check list. A brief description of this tool and how to use it is given in the How to Tool kit below.

'WHAT IS' & 'HOW TO' Tool Kit

Checklists

Checksheet: A check sheet is used for recording and organizing data.

There are essentially three kinds of check sheets:

(a) recording check sheet

(b) checklist check sheet

(c) locational check sheet.

Depending upon the purpose for what the checksheet is used, the type of checksheet to be used varies. For instance, if the need is to count how many times something happens in a pre-specified category, then a recording checksheet is used. For example, if the various types of delays or errors in a service delivery are listed down, then the checksheet helps keep tab on which delay/ error is occurring and how many times. The checklist - check sheet, on the other hand, is used as a list of items which have to be addressed in a pre-determined manner. This can be classified further into ordered and non-ordered or free checksheets. In the ordered checksheet, the order is pre-determined and the items have to be checked only in the order specified. For example, in the case of a launch of a new service, the order is pre-determined, whereas, in the case of an ordinary domestic shopping list the order is not important. The third variety of checksheet is the locational checksheet and this is used to determine the relative location of any incident - error, accidents etc. For developing a locational checklist, a picture map or a graphic layout of the area under scrutiny is required.

Figure 13. 'What' & 'How' of Check Lists

Before commencing the actual redesign process, it will be necessary to capture all the information about the AS-IS Process and a template that can be used for this purpose is provided in Annexure 2.

Apart from collecting information about the activities, data and document flow, it is also important to gather information with regard to people and their responsibilities. One of the main dimension on which most of the departmental or for that matter any process is analysed, is time. And, time as an element in the process execution gets stretched usually because of lack of clear demarcation of responsibilities. Hence, in the AS-IS process maps information has to be collected about the responsibility of various people across the process, i.e., who is responsible for what. And a methodology for doing this is by administering a Job Content Diagnosis instrument/ form. A copy of this form is given in Annexure 3. The information that is captured in this form pertains essentially to:

a. Qualification

b. Experience

c. Roles and responsibilities - the actual duties being carried out and activities performed in the present job

d. Activities performed on various time frames - i.e. daily, weekly and monthly, and

e. Duties and responsibilities of those reporting (to the incumbent) i.e., subordinates.

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Step 4 Redesigning the Process

Before commencing the redesign process, it is important to ensure that most or all of the information pertaining to the AS-IS condition of the process is collected. As mentioned earlier, this information essentially pertains to:

a. Activities - flow and volume (i.e. the volume of transactions)

b. Present measure of performance

c. People and their responsibilities

d. The Information Technology used (if any)

In case, the key process/es which is/are being redesigned has multiple sub-processes, then this information has to be collected for all the sub-processes. For capturing, in summary, all the above information, Process Information Sheet can be used (refer Annexure 2). After ensuring that the required information is available, the redesign process can be commenced. The redesign process will consist of the following steps -

(i) ***Opportunity Identification or Improvement Area Identification:*** The opportunity or improvement area identification is done with respect to the MOP. Suppose the process Vision is to improve the cycle time for a service delivery, then all activities in the process or the sub-process should be closely scrutinized from the time perspective. In order to do this, the group should :

a. List down all the factors that are responsible for negatively impacting the MoP. That is, if the MoP is on time dimension, then all delay factors should be listed down. Likewise, if the MoP is cost, then all cost adding areas/ factors should be noted

b. These factors should then be prioritised. Here the group could use tools⁄ techniques such as Pareto analysis or the 80-20 rule, (please refer to the box below

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'WHAT IS' & 'HOW TO' Tool Kit

Pareto Analysis

Pareto Analysis: This is a tool or technique used for identifying the vital few, from a list of many. This tool was developed by Pareto and is also referred to as 80-20 principle.

The following steps are involved in carrying out a Pareto Analysis

1. List all improvement/development/opportunity areas or problems.

2. Collect qualitative data for each of these areas. For instance, if the issue is delay caused in attending a patient, then list all factors which cause the delay; also indicate time for each of those delays. Where qualitative data is not available, then group consensus can be used to arrive at some broad approximation.

3. Arrange the above list in the descending order. Continuing with the same example above, the reason or cause for maximum delay is ranked or listed first and that causing the least problem ranked last.

4. Compute the cumulative values for the list. If, say Reason 1 causes a 10 min delay and Reason 2, 20 and Reason 3, 30; then the corresponding cumulative values would be 10, 30 (20+10), 60 (30+30) for Reason 1, Reason 2 and Reason 3, respectively. NOTE the last cumulative value will give the total delay arising from all reasons.

5. For each of the individual reasons, compute the percentage with respect to the total. That is, (from the example above), the percentage entry for Reason 1 would be 16.66 % (10/60 x 100).

6. Identify the values which account for 80% of the total, starting from the top. These would be the list of the "vital few".

A more detailed example of how to use the Pareto is presented in Figure 15.

Figure 14. 'What' & 'How' of Pareto Analysis

Stage 1

Error Category	Frequency	Percentage
Inadequate skills	10	20%
Delivery methods	15	30%
People attendance	3	6%
Frequent visits	22	44%
	50	100%

Stage 2

Error Category	Frequency	Percentage
Frequent visits	22	44%
Delivery methods	15	30%
Inadequate skills	10	20%
People attendance	3	6%
	50	100%

Stage 3
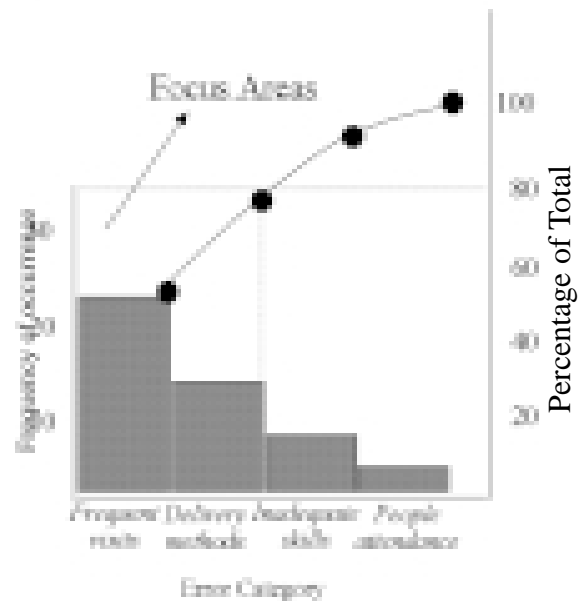
PARETO DIAGRAM

Figure 15. Pareto Diagram

c. The group then can identify the "vital few" issues which it wants to address for the purpose of redesign.

From the list identified above, it will not be possible to undertake an improvement or redesign of the process, until and unless we understand the reasons or the causes for these problems.

In our discussion, we have used the terms problem and development of improvement area synonymously for purpose of convenience. When we are trying to understand the reasons and problems, it may be necessary to look at all the reasons, rather than only those that "meet the eye". A good tool/technique that can help in this process is known as 'Root Cause Analysis diagram,' which is also known as the 'fish bone diagram' or the 'Ishikawa diagram' (named after the person who developed it). As the name indicates, this technique helps in identifying the fundamental causes for the problem. Usually, in trying to get to the root cause, the problem areas are divided into those pertaining to four M's - men, material, methods and machines (refer to the What is and How to Tool Kit: Root Cause Analysis, below). This technique has several advantages:

a. It helps in graphically representing all issues/concerns related to the main problem or focus area.
b. It enables one to drill the problem to the minute levels of detail.
c. It divides the concern areas into broad categories, thereby, enabling solution identification process.

Having identified the root cause, the next step would be to develop solutions or alternate methods of working. In order to bring about more than average kind of improvements, it will be necessary to ensure that the suggestions for improvement

are not routine, run off the mill ideas. One of the tools that can help in this process (of developing new and unique ideas) is brainstorming. This is a tool or a method which helps the group to come up with a wide range of suggestions/ideas in a short span of time. This technique, which is one of the most widely used methods for idea generation, has number of advantages:

a. It is simple and easy to use

b. It can be carried out in small groups in a short period of time.

c. Wide range of ideas is generated

d. Since the group works on a principle of cross fertilization (see box in figure 16) there is scope for better and improved ideas, and

e. Some of the wild ideas that may appear 'wild' at a first glance when implemented may actually give quantum improvements

'WHAT IS' & 'HOW TO' Tool Kit

Root Cause Analysis

Root Cause Analysis: This tool/technique is also known as the fish bone diagram or the Ishikawa diagram and is used for problem analysis.

The following steps are involved in carrying out a Root Cause Analysis

1. State the main cause of concern which needs to be analyzed.

2. Write that statement (from point 1 above) in a Box, placed at right hand end of a horizontal line (refer figure below).

3. Write the causes of the problem for each of the heading shown i.e. men, material, methods and machines.

4. It is possible that for some of the problems, there may not be causes under each one of the mentioned categories.

5. If for any of these concerns, there is a need for further drill down, then those causes should also be represented on the 'fish bone diagram'.
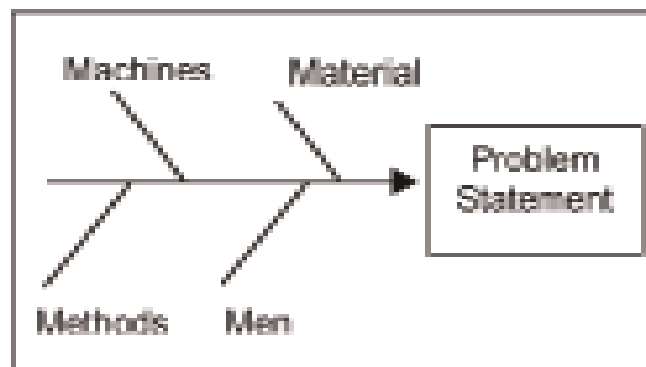
A more detailed example of Root level Analysis is presented in Figure 17.

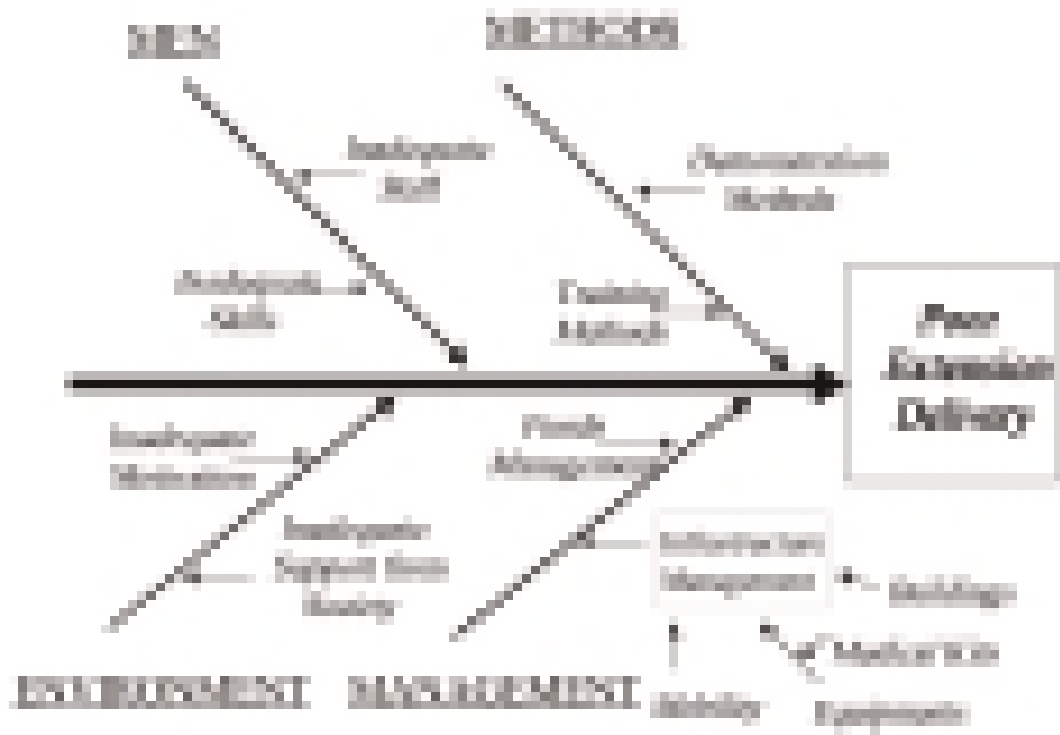**Figure 16. 'What' & 'How' of Root Cause Analysis**

Figure 17 – Fish Bone Diagram

There are a number of variants or ways in which brainstorming can be carried out, but irrespective of the method by which it is carried out, the following are some of the ground rules -

a. **Freewheeling:** This rule implies that every one within the group is allowed to think freely and come up with ideas. The feasibility of the idea should not be considered at this stage of the process.

b. **Postpone Judgement:** The group members are not to pass judgment on ideas until the completion of the brainstorming session. Discussion and evaluation of ideas, during the brain storming session is not to be allowed.

c. **Quantity:** The success of the brainstorming session will greatly depend on the number of ideas that are generated. Greater the number of ideas, higher is the possibility of coming up with a new or unique solution to the problem.

d. **Piggyback:** This is another important ground rule for the purpose of brainstorming. It should be emphasised in the brainstorming session that other's ideas are to be used as springboards to generate new ideas. In this way it will be possible to develop concepts which get built systematically by more than one individual.

e. **Wild Idea:** This is an important aspect of the brainstorming session. The group is asked to come up with an idea which is totally out of the box, lateral, something which if found viable and implementable, would lead to quantum improvements.

After the ideas have been generated, classification of the same has to be done. In some cases, it may be important at this point to look at some benchmark data. This

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would enable one to fine tune the ideas or improve upon them so as to achieve higher levels of performance. In classifying the ideas, there are two factors which have to be considered:

a. the level of impact, and

b. the difficulty in implementation.

Not all ideas may impact the Measure of Performance (MoP) to the same extent. Likewise all ideas, may not be easily implementable due to a variety of reasons, cost

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'WHAT IS' & 'HOW TO' Tool Kit

Brainstorming

Brainstorming: This is tool or a technique which is used to generate quantitatively large and qualitatively wide variety of ideas, from small group of people in a short interval of time. The optimal group size for carrying out a brainstorming session is around 20.

The following steps are involved in carrying out brainstorming sessions:

1. The problem/issue/concern is written down.
2. The group is initially told about the ground rules for the brain storming i.e., freewheeling, quantity, piggyback and wild idea (see main text).
3. Ideas that the group members generate are written down. No sequencing or classification is done at this point of time.
4. The wild ideas generated by the group are written down separately.
5. Classification: After it is ascertained that the group has come up with all probable ideas that it can think of, the classification process is carried out. Here the group that carries out the classification process may or may not be the same as the one that did the brainstorming.
6. The classification categories can be different depending on the situation. The following criteria can be used (see main text for an alternate method).
   - Excellent. Definitely will work and can be implemented immediately.
   - Interesting. Will possibly work or may require further analysis to decide if it will work. Needs more investigating. May work in the future.
   - Not worth pursuing. Will not work.

Figure 18. 'What Is' & 'How To' Tool Kit

being the most important one. Therefore, in classifying the ideas, the matrix shown in the figure given below can be used, where both the level of impact and the difficulty of implementation have been broken into three levels. As will be discussed in the later section of this manual, those ideas which fall in the immediate category should be taken up for implementation.

Figure 19 - Implementation Difficulty & Impact Matrix

Having looked at the problems/concerns in the AS-IS process, and having generated requisite solutions through the brainstorming session, the next step in the redesign is to look at people and their responsibilities. The information collected in the Job Content Diagnosis is collated and analyzed. The methodology for carrying out an analysis for responsibility overlap and activity clubbing is explained in the 'what is' & 'How to' Tool Kit Comparative Job Content Analysis Worksheet, box in the following figure.

'WHAT IS' & 'HOW TO' Tool Kit

Comparative Job Content Analysis Worksheet

Comparative Job Content Analysis Worksheet: The comparative job content analysis worksheet is used for analyzing activities and responsibilities of various people along a process or a sub-process.

The following steps are the steps for preparing a Comparative Job Content Analysis Worksheet.

1. All filled in Job Content analysis sheets, from various people involved in the process/ sub-process should be collected. (Refer Annexure 3. for the Job Content Analysis sheets)

2. The names of all the employees involved in the process or the sub-process should be captured. This information can be entered in a spreadsheet, such as MS Excel - the names appearing along a column.

3. The list of all the activities involved in the process/sub-process should be captured. This list of activities should be unique in meaning and all repetitions should be dropped or eliminated. This information can be entered in the same spreadsheet as mentioned above; the various activities appearing as row entries.

4. For each individual involved in the process, tick those activities that he/she is performing. Repeat the same for all the personnel involved in the process.

5. Prepare a grid, as shown in the following figure.

6. Scrutinize the populating pattern along the rows and columns. A densely populated column, indicates too many people involved with a particular activity. And a densely populated row indicates too many responsibilities for a single person.

'WHAT IS' & 'HOW TO' Tool Kit
Comparative Job Content Analysis Worksheet

	Activity 1	Activity 2	Activity 3	Activity N
Person P1	✓			✓
Person P2		✓	✓	✓
Person P3			✓	
Person P4			✓	✓
Person Pn		✓	✓	✓

Likewise, a sparsely populated row indicates lesser responsibilities for a particular individual in the process.

Figure 20 – 'What' & 'How' of Job Content Analysis Worksheet

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The various tools used in the redesign process, till this point can be summarized as follows, i.e., in terms of their usage:
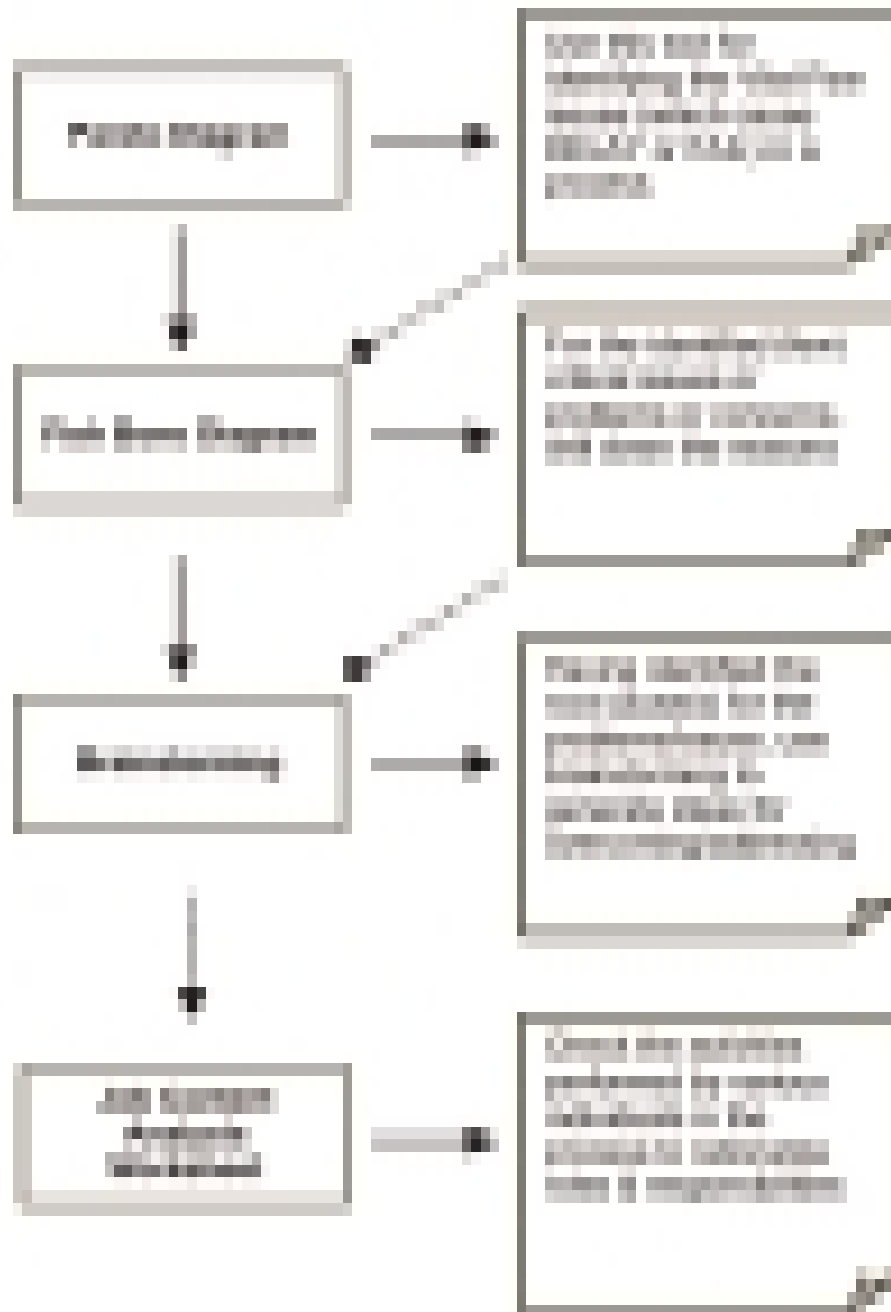

Figure 15: Summary of Usage of Tools in Redesign Process

The next step in the redesign process will be to look at the information technology and how it would impact the measures of performance of the process or sub-process. The following questions will help in the process of identifying the role, and the impact of information and communication technology:

a. What activities in the process are supported by automation?

b. What is the type of technology that is employed for the purpose of automation?

c. What is the level of impact of the automation on the measure of performance of the process?

d. Keeping in view the developments in information and communication technology, what are those activities which can be automated? In answering this question, one of the main considerations would be to look at the degree of human interaction in the process. Usually those activities which happen behind the line of visibility (that is away from the customer) and which are data/document-intensive would be amenable to automation and use of technology. Also, geographically dispersed activities, which require integration, can be closely scrutinized for purpose of application of information and communication technologies.

It will quickly become obvious, that most activities in the government departments can be automated and their efficiencies increased by usage of contemporary technologies. However, cost would be a main consideration in evaluating the application of such solutions. Apart from cost, the group would also have to consider the following aspects when considering information and communication technology solutions:

Security: This would be a main issue, especially for those activities which either have confidential information processing or where monetary matters are being transacted.

Scalability: Many times the solution identified for a particular problem will seem the best for a given situation (configuration of activities). However, when the volume of transactions goes up or when the process gets reconfigured, the system will also have to be changed. The group would have to keep this in view and study and consider those applications which are scalable.

Reliability: The group would also have to choose a solution which offers reliability, especially, if the process that is being automated is mission critical.

Integration: The issue of integration would also have to be looked into, if there are multiple methods of automation that are either currently being used or may be used in future.

Step 5 Drawing up the 'To-Be' Process

Once all the required information about the AS-IS process and the analysis of the issues pertaining to activities, people and technology have been collected, the TO-BE process can be drawn up. The mapping methodology of the TO-BE has to be carried out on the same lines as the AS-IS process (methodology of drawing, usage of symbols etc). In the TO-BE process, two different kinds of scenarios usually occur (vis-à-vis the AS-IS process):

    a.   One or more activities can be totally eliminated

b. The delay element in the activity may be addressed through process modification or usage of technology.

For instance, in the example of cheque disbursement that was cited in the AS-IS process, it is possible that the delay element can be eliminated by making appropriate changes in the information technology. The changes could be such that worksheet upgradation and subsequent cheque generation are both carried out simultaneously. In this case, the activity of worksheet generation and sending it would be eliminated. Alternatively, the group could have identified a solution for the delay, where the activity may not be eliminated but may only be reconfigured.
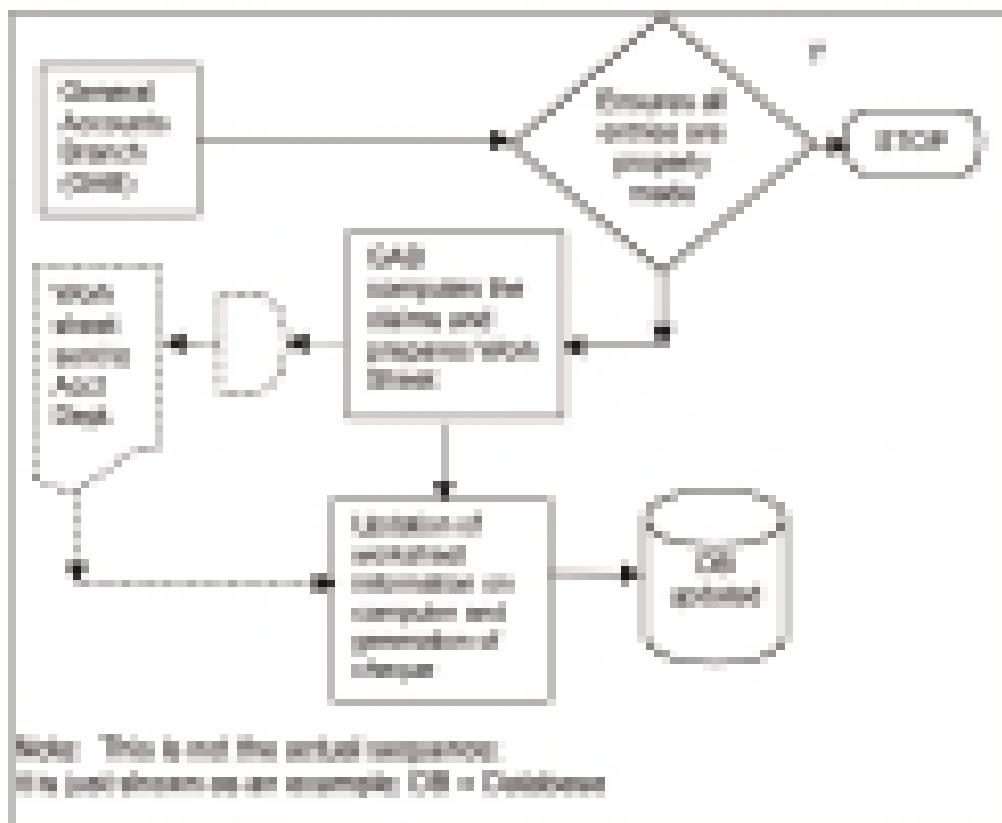
Figure 22. Example of Flow Charting - TO-BE

Needless to say, the choice of option between elimination and reconfiguration would depend upon:

a. The level of difficulty of implementation and impact of the idea, as presented earlier

b. The roles and responsibilities in the reconfigured stage, (it should rationalize, if possible, the activity - responsibility matrix.), and

c. The Information and Communication Technology that can be used

Once the changes in the activities (elimination or reconfiguration) have been made, they will necessarily have an impact on people and their responsibility. For instance, in the example above, the person responsible for computation of claims would, have to take additional responsibility of upgrading the worksheet and generating the cheque. Consequently, once the TO-BE process has been drawn up, a new matrix for roles and responsibilities also has to be developed. And, the changes in the Job Profile or Job Chart for the various positions, due to the changes in the process should be captured accordingly. A template for capturing this information is provided in Annexure 4. An important aspect of formulating this position-description-document is the key result area(s). The key result areas should be developed in such a way that they dovetail with the performance requirements or MoP of the sub-process/process.

'WHAT IS' & 'HOW'HOW TO' Tool Kit

Developing Key Result Areas

Key Result Area (KRA): Key Result Area may be defined as an index for an individual, which is used for measuring and monitoring the performance.

The following steps are the steps for deriving (or relating) KRAs with Measures of Performance:

1. Identify the Measure of Performance (MoP) for the process. If the processes have multiple sub-processes, drill down the MoPs for all the sub-processes.

2. Identify the people involved in each of the sub-processes.

3. Do not consider for purpose of allocation of KRA, all those people involved in the support activities for that sub-process. For instance, security personnel in the sub-process of identifying doctors in the vaccination programme can be treated as support.

4. Identify for the sub-process, the various hierarchies in which people are involved.

5. If all the personnel involved in the sub-process are of the same rank, with similar responsibilities, the MoP can be divided amongst them.

6. If the personnel involved in the sub-process are of different rank, then the appropriate distribution of the KRA has to be done, such that those with greater responsibility in executing the activities get higher value of the KRA. It should be noted that the greater responsibility may or may not be directly related to the hierarchical position in the department.

Note: Key Result Area refers to the area as such, while Key Performance Index (KPI) may refer to a particular aspect of the KRA. For instance, recruitment could be a Key Result Area, whereas new methods of testing for recruitment could be a Key Performance Index. As a general heuristic, it can be assumed that the KRA to KPI could have a one-to-one or a one-to-many-relationship. In the above steps, KRA has been used; but where required the appropriate KPI should be considered.

Figure 23. Developing Key Result Areas

The last but not the least important component or input required in the redesign process is the feedback from the service recipients or citizens, as the case may be. Depending on the type of process that is being redesigned, the type and intensity of the feedback can vary. In some cases, another important aspect that has to be considered is the educational level and background of the people. The feedback instrument and the methodology of administering it would greatly influence the information gathered and, thereby, the redesign of the process itself.
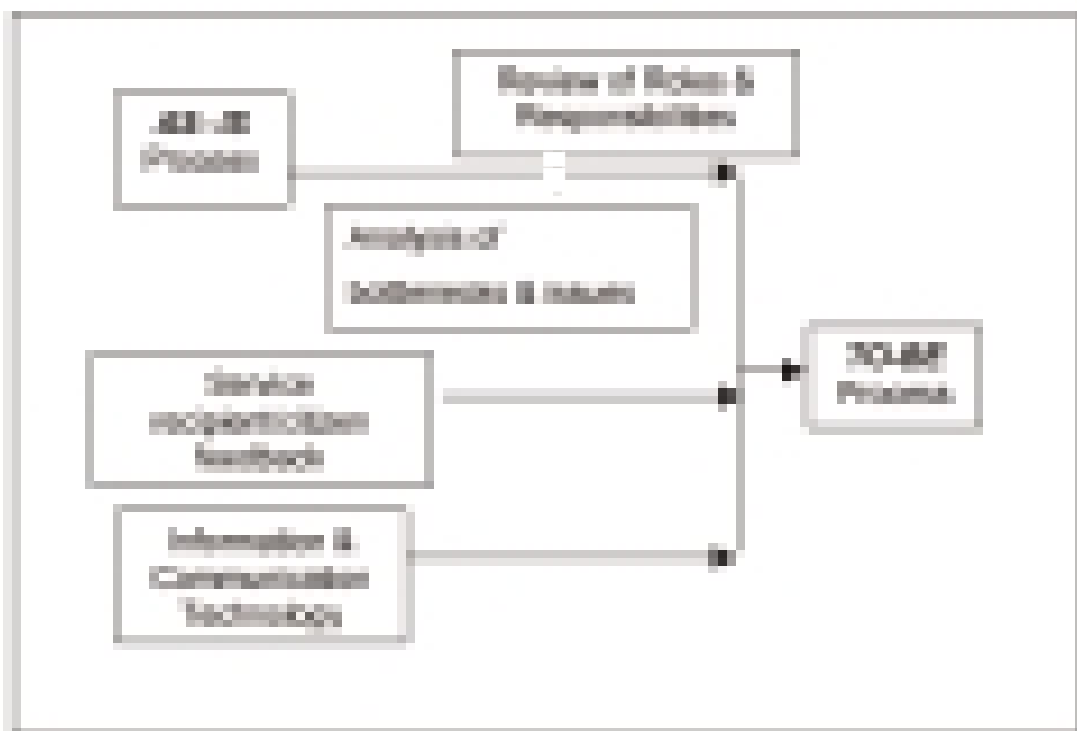
Figure 21 - Various Inputs for Drawing up TO-BE

Step 6 Implementing Change Management Effectively

Once the TO-BE design has been formulated and also discussed and deliberated upon all probable issues that may arise during implementation, the next step would be its effective implementation. In taking up the implementation of process redesign, there are two approaches -

a. **Big bang approach:** where all the processes which have been studied and redesigned are simultaneously taken up for implementation.

b. **Incremental approach:** in this method, one or two processes are initially taken up for implementation in a phased manner. After taking up these processes for implementation, the Department can then decide to either take up the remaining problems altogether or sequentially, based on the time and resource availability.

The choice for the above approach should be made based on the following -

a. **Time availability:** Does the department have the luxury of time to take up processes in a sequential manner?

b. **Resource availability:** Here the resources refer to both men and material. Does the department have the required resources to take up the process (altogether) for redesign? The phrase resource availability here connotes the resources that can be deployed for this redesign exercise. Most times, the department may have the resources, but they many not be able to engage them in such interventions. It is in these cases, that the departmental head should make a decision about using external resources (facilitators) for this purpose.

c. **Readiness:** It is possible that the required time and resources are available, but the departmental readiness may be low. There could be a number of reasons for this; lack of readiness is often an important reason in the absence of any perceived need for change.

Having made a choice on the type of approach that the department would like to take, that is incremental or big-bang, the implementation process can be initiated. But, whatever approach is adopted, one of the crucial aspects that will have to be given careful consideration is the communication plan. For process redesign exercise, especially, of the type where it is department wise, it becomes necessary to draw up comprehensive communication strategy. By using the word 'strategy' here, the emphasis is on the need for adopting an approach that is spread over time, as against a one-off exercise. Some of the probable issues at various stages of the communication process are given in Figure 25.

Apart from communication, people development (in terms of both hard skills and soft skills) is an important aspect of the change management process. The redesign process, as was mentioned earlier, usually will call for people to take up additional roles and responsibilities - not necessarily those of others, which will entail re-skilling. Until and unless adequate measures are taken to address the attendant training and people development aspects, the redesign process is bound to fail. This is essentially because without the requisite skills, people who will be manning the process will not be able to perform and deliver to the required levels of performance. As a part of the change management programme, it will be necessary to draw up the required training calendar well in advance, i.e., immediately on finalizing the TO-BE processes. A template for the training need identification is given in Figure 26.

'HOW TO' Tool Kit
Communication Plan

Communication Plan: This is a document that is prepared along with rollout plan or the implementation plan, wherein the rationale, message, the target audience, the mode and the frequency aspects of the communication process are drawn out.

Element	Communication Aspect	Meaning & Scope
WHY	The Rationale	☞ What is the underlying reason for change ☞ What is the need for change in the way it is being intended
WHAT	The Message	☞ What is the extent or dimensions of change with respect to peoples' roles & responsibilities, processes, technology etc. ☞ What is/are the probable impact on major constituents
WHO	The Audience	☞ Who are the probable constituents who may be imparted the change ☞ Who should be responsible for communicating the change
HOW	The Mode	☞ What channels of communication are to be used (written, oral, multi media etc.) ☞ What channel for "what message
WHEN	The Frequency	☞ What should be the timing of the communication ☞ What should be the frequency

Figure 25. Communication Plan

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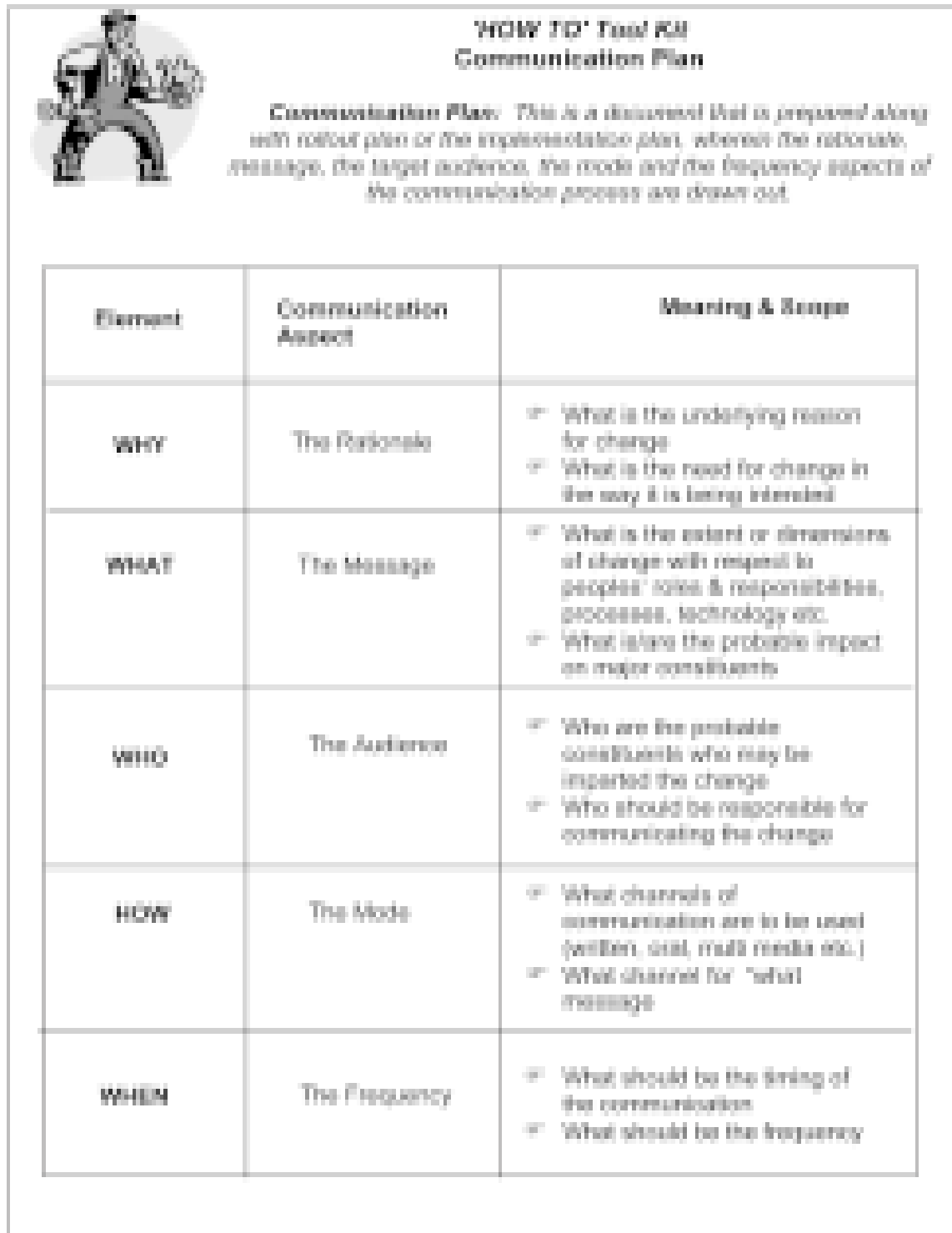
'HOW TO' Tool Kit
Training Need Identification

For **TO-BE** Process

The training need identification can be done using the format given below

People	Responsibilities Under		Additional Knowledge & Skills reqd. for TO-BE	Date/ Schedule of Training for additional Knowledge & Skills
	AS-IS	TO-BE		

Figure 26. Training Need Analysis

Section 6

Conclusion

As demands from citizens and other service recipients are going to increase in the coming years, government and the various departments will have to re-examine at the way they organize and work. Process redesign is a simple and easy to implement approach to increase efficiency, decrease costs, and improve overall customer/citizen satisfaction levels. This approach has number of advantages:

a. The methodology enables the department to take a close and clinical look at the various activities it performs.

b. Though focused on activities, the methodology has strategic connects and can easily be related to the Vision and mission of the department.

c. Since processes are identified based on the strategy and the corresponding MoPs are then developed there is a tangible way in which strategy can be monitored.

d. Not only does the proposed method enables streamlining of activities but also helps in redrawing and redefining the roles and responsibilities of people involved. Thus, helps improving efficiencies and reduce cycle times.

This approach has advantages from a number of angles, most important being operational or activity-level focus. As procedures in many governmental departments are rooted in historical factors, this method would be very useful for eliminating wasteful activities and improving efficiency.

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Annexures

Annexure 1

Department Diagnostic Questionnaire

Purpose of this Questionnaire/ Instrument	• This instrument essentially helps in evolving an overall/macro view of the department from multiple perspectives which include environment, processes, financials, external service recipients etc.
To be Administered to	• All senior level personnel in the department and those who have a macro level understanding of the various issues.
Where it is used in Process Redesign	• The information from the instrument is collected and collated usually at the start of the redesign exercise either during visioning or strategy development stage.

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Name of the Department:

Address:

A. Department Details	
Ministry to which the department belongs:	
Date of establishment	

1. Does your department have a Vision statement? If so, what is it?

2. As seen by you what are your departments S.W.O and T.

Strengths	Weakness
Opportunities	Threats

3. In what way do you think customers and citizen's requirement changing? Which of their present needs are not adequately met by the department? In what way might the need change in future?

4. What are your department's objectives in the immediate future? Have you drawn up any strategies for meeting your objectives?

B. Information Technology

1. Do you think that the present IT infrastructure is sufficient for supporting your present level of operation? If no, please list the changes that are required.

2. What is the hardware that is presently available?

3. What is the software that is presently available?

4. What percentage of your workforce has access to PCs/terminals?

5. Is citizen a part of your IT network, i.e., is your IT designed in such a way so that information can be accessed by citizens? If no, would you like citizens to have access to the information that he/she may require? If so, what do you think would be the most appropriate way of doing so?

6. Is there any other information that you would like to provide about IT which you think may be of help to your department?

C. Department Process Analysis

1. List the three (3) most important processes in your department.

a)

b)

c)

2. Do you have information about the processes listed above?

Process description	Manual/automated	Time taken

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3. Of the processes cited above which is the process that affects your service the most?

D. Department Structure and HR

1. Profile of the Employees

a) Total number

b) Average Age

c) Education Level

2. Is training need assessment carried out regularly across the department? What is the basis for carrying out the training assessments? Based on this, is training provided to employees?

E. Financial Analysis

1. What is the department's annual budget?

2. What are the present sources of income for the department?

Annexure 2

Process Information Sheet

Purpose of this Instrument / Form	• This form captures the essential details of the process under consideration for redesign, such as Measures of Performance, Volume of activity, people involved and Information Technology deployment.
To be Administered to / prepared for	• This document has to be prepared for all the processes/sub-processes which has/have been identified for the redesign exercise.
Where it is used in Process Redesign	• The information from this document is used in the mapping of the AS-IS process.

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Core Process :
Sub Process :

Process Objectives

Inputs Required

Output of the Process

Measures of Performance	
Targeted	Present

Information Systems Requirement

Volume of Transactions

Non-regular	Regular

Dependencies

Organization Structure for this Sub-process

Annexure 3

Job Content Diagnosis Questionnaire

Purpose of this Questionnaire	• This questionnaire primarily captures information pertaining to the activities being performed by the present incumbent in a job. • The instrument also helps in capturing the activities performed by the immediate subordinate (of the person filling the questionnaire) as observed/perceived by the incumbent.
To be Administered to	• All those personnel involved in the process and who have definite roles & responsibilities.
Where it is used in Process Redesign	• The information from the questionnaire is collected and collated along similar information obtained from other individuals involved in a particular process or sub-processes.

Instructions

1. Please read the questionnaire carefully

2. Fill the questionnaire giving precise, clear and complete details

3. You may use additional sheets, wherever necessary

Personal Data		
1. Name		
2. Age		
3. Designation		
4. Division/Department		
5. Section		
6. Location		
7. Qualification		
	Years	Months
8. Length of service with department		
9. Length of Service in the Present Position		
10. To Whom do you Report Name(S)	Job Title	
11. Who Reports to you		

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Name(S)	Job Title

12. Mention in detail the nature of your work in the department/section in terms of:

Your direct responsibilities

Direct responsibilities of subordinates reporting to you

Any special tasks you perform from time to time?

Kindly indicate the key result areas (KRA's)/objectives/targets/goals associated with your job. Mention quantitative figures, wherever possible

13. List the Meetings/Committees you attend as a routine indicating the purpose of the meeting, your role in it and the frequency

Meeting/ Committee	Purpose	Role	Frequency

14. List the reports you receive, their purpose, frequency and distributing departments

Report	Purpose	Frequency	Dist. Department

15. List the reports you prepare, their purpose, frequency and distribution (to whom you send)

Report	Purpose	Frequency	Dist. Department

16. Nature of decision making

Decision taken by self that needs superiors approval	Decisions taken by self that do not need superiors approval

Date: Signature

Annexure 4

Job Descriptions

Purpose of this Instrument/Form	• This form captures the essential roles and responsibilities of a particular position/job • Along with the roles and responsibilities, the format also has provision for recording the Key Result Areas for the position/job
To be Administered to/Prepared for	• All those personnel involved in the process and who have definite roles & responsibilities
Where it is used in Process Redesign	• After the process has been redesigned, it may be necessary to recast the roles and responsibilities of those involved (some or all), in the process. Also, it will be necessary to ensure that the Key Result Areas for the individuals are drawn up so as to be in tune with the redefined Measures of Performance of the Process • Based on the information provided in Job Description, it is possible to get an understanding or measure of the work load for a particular position, the internal and external interface that it (position) warrants and also the authority/decision making that is vested therein (in the job).

Job Title	Procurement Officer	Department	Department of Fisheries
Reference		Section	Procurement/Purchase

A. Purpose and Scope

This section describes the purpose and scope of the job.

e.g.,

- To be responsible for procurement of packing material for fish farmers in districts and meeting the requirements of cost, quality and delivery schedules

- To continuously evaluate alternate materials/methods (of procurement)/ suppliers for achieving cost advantage.

B. Duties and Responsibilities

This section describes the duties and responsibilities, which the incumbent needs to perform in this job.

e.g.,

- Plans purchase for packing material

- Coordinates with district headquarters to understand the requirements for purchase

- Sending enquiries and receiving quotations from various suppliers

- Preparing comparative statements based on quotations received from suppliers

- Coordinates and follows up with suppliers for packaging material to ensure schedule compliance

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C. Dimensions

This section describes the numerical values of the various quantifiable aspects of the role and responsibilities

e.g.,

- No. of Purchase Orders release: 1000/year
- Value of purchases : Rs. 2 Crores/month
- Items for Purchases:
- Packing Materials : 70 - 80 (approx.)
- Vendors/suppliers: 200 plus

D. Authority

This section describes functional and administrative authority as per the current delegation of powers

e.g., Purchase order release, cost finalization

E. Work Contacts

This section describes the internal and external contacts/communications, which need to have in the process of performing the job

e.g.,

- Internal : Accounts Officer, District Technical officer
- External : Suppliers, Transporters.

F.   Reporting Relationship

This section describes the reporting structure required for this job in terms of reporting on daily activities and as well on monthly targets.

e.g.,

- Reports functionally/technically to the Deputy Director-Marine: Deputy Director -Inland; and Deputy Director-Brackish and
- Reports administratively to the Deputy Director-Purchase

G. Supervisory Responsibilities

This section describes the responsibility for his subordinates.

e.g., Responsibilities of Purchase Assistant

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Key Result Areas (KRA's)

Sl.No.	Areas	Year	Measurement Criteria	
			Unit	Value
1	This section describes the performance indicator on which incumbent performance level/target is fixed and taken into consideration at the time of appraisal e.g., *Cost Savings through:* • Cost reduction after negotiation with suppliers • Reduction in inventory carrying cost		 Rs. Rs.	
2	Developing new suppliers (in case of single source/ alternate suppliers)		Rs./Nos.	

Signature   Signature of the superior

Date: Date:
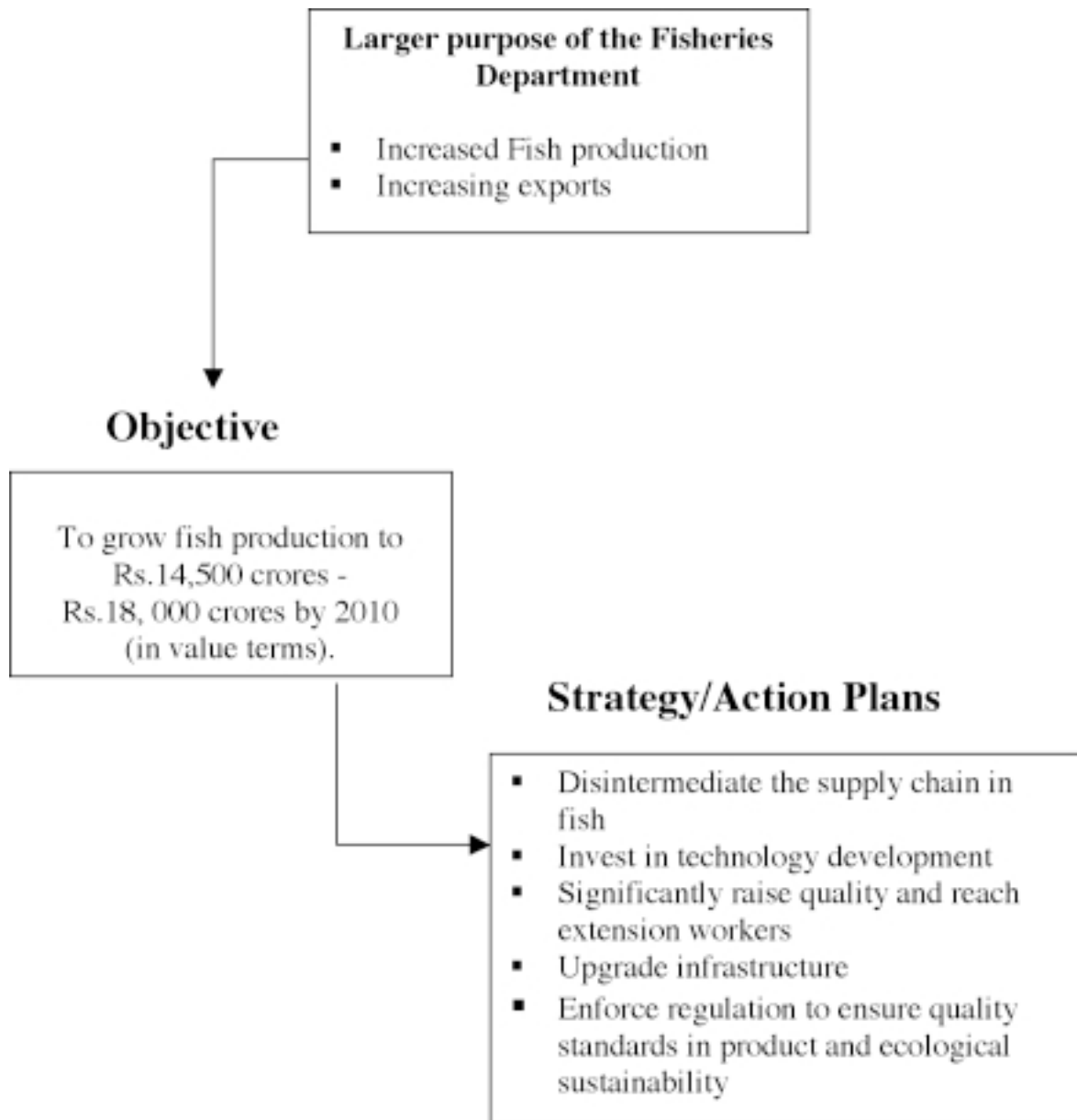
Case Study

Department of Fisheries
Government of Andhra Pradesh

Background to the Assignment

Department of Fisheries (DoF), Government of Andhra Pradesh, is the apex body catering to the various needs and requirements of the fish farmers in the State. The Department is involved in number of activities ranging from direct support to providing seeds and other inputs to welfare activities. Keeping in view the significant contribution of DoF to the economy and also the potential for growth in future, it was decided by the Government to take up initiatives which would address some of the present bottlenecks. The department took consultancy assistance to draw up strategies which would enable quantum growth of this industry during the next 5 - 7 years.

The process redesign exercise was carried out to address issues for implementing the strategies emerging from the above initiative.

Larger purpose of the Fisheries Department

- Increased Fish production
- Increasing exports

Objective

To grow fish production to Rs.14,500 crores - Rs.18, 000 crores by 2010 (in value terms).

Strategy/Action Plans

- Disintermediate the supply chain in fish
- Invest in technology development
- Significantly raise quality and reach extension workers
- Upgrade infrastructure
- Enforce regulation to ensure quality standards in product and ecological sustainability

- Larger purpose vision, objective and strategies have been derived from the records of the Department of Fisheries (DoF)

Process Redesign

Strategy identified for process re-design

- Significantly raise quality & reach of extension workers.

Reasons for choosing this strategy

- In discussions with senior officials of the department, it was concluded that the implementation of this strategy has significant impact on the objective.
- This strategy has processes which are mostly internal to the department.

Step 1 Key Process/Processes Identification

1. Designing of the Training Calendar
2. Delivery of Extension programme to fish farmer
3. Administrative work in Extension activity

Choice of Key process for further work

- Delivery of Extension programme to fish farmer
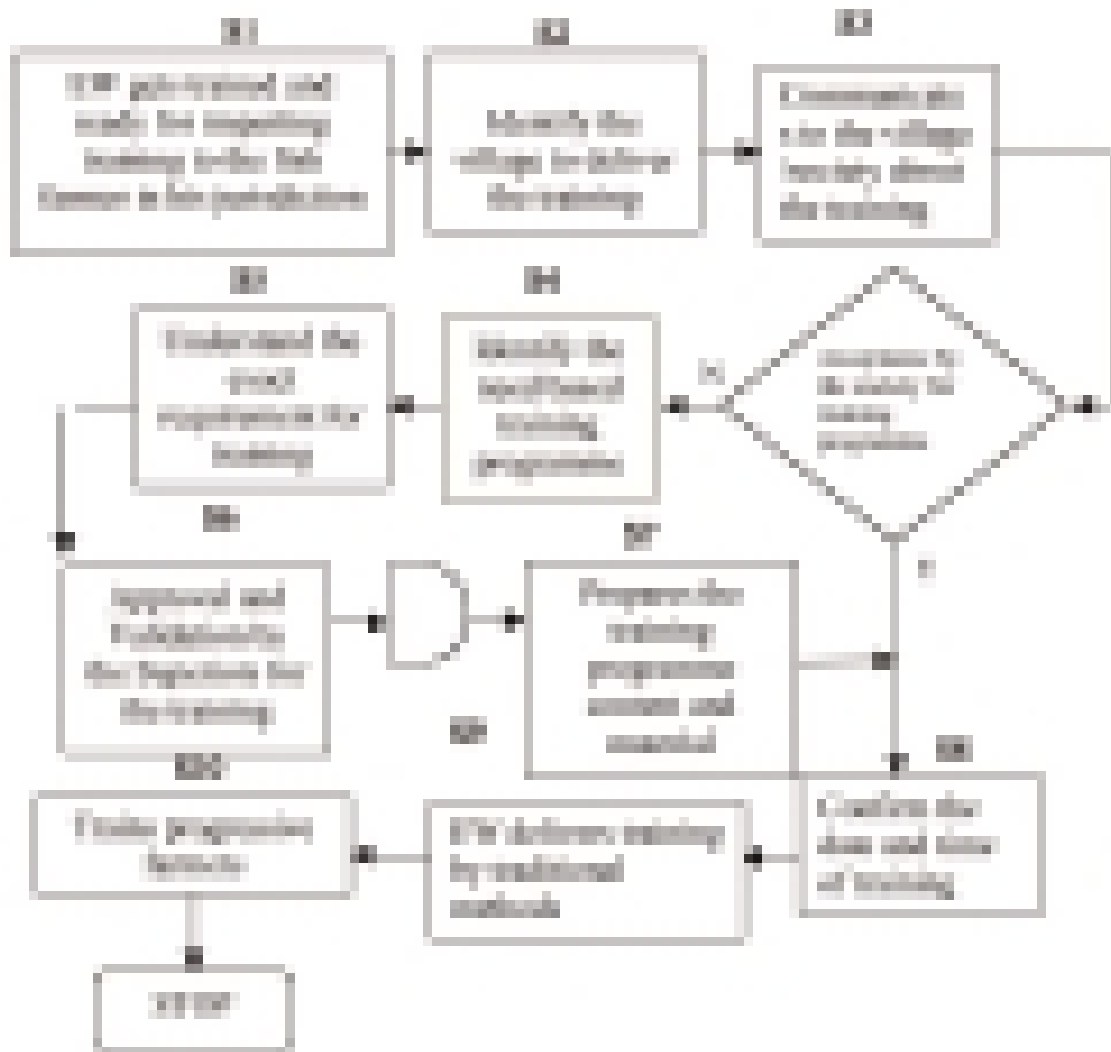
Step 2 Process Visioning

> **Vision:** To improve the livelihoods of the fish farmers in holistic manner by providing the right knowledge at the right time to the fish farmers on economic, educational, best farm practices and health needs in order to have bright future.

Step 3 AS-IS Process Mapping

(Process: Delivery of extension programme to fish farmer)

EW - Extension Worker

Stage wise Fail/Delay factors identified

| S1	S6
	• Inability to take decision on time by extension worker • Waiting for superior approval
S2 • In the process of identifying the society, Extension Worker delays the programme	S7 • Communication with the internal∕ external sources for material preparation delays the process
S3 • Communicating through unskilled worker also delays the programme • Inability of unskilled worker to explain the programme	S8
S4	S9
S5	S10 • Inadequate resources makes extension worker choose only selected farmers • Not able to provide extension on time to all the fish farmers

Step 4 Redesigning Process

Factors responsible for negative impact on Measures of Performance (MoP)

- Time
- Infrastructure
- Inadequate manpower
- Inadequate skills.

By using the Pareto diagram (80/20) rule, if we prioritize the factors negatively impacting the MoPs, we arrive at the most critical issues.

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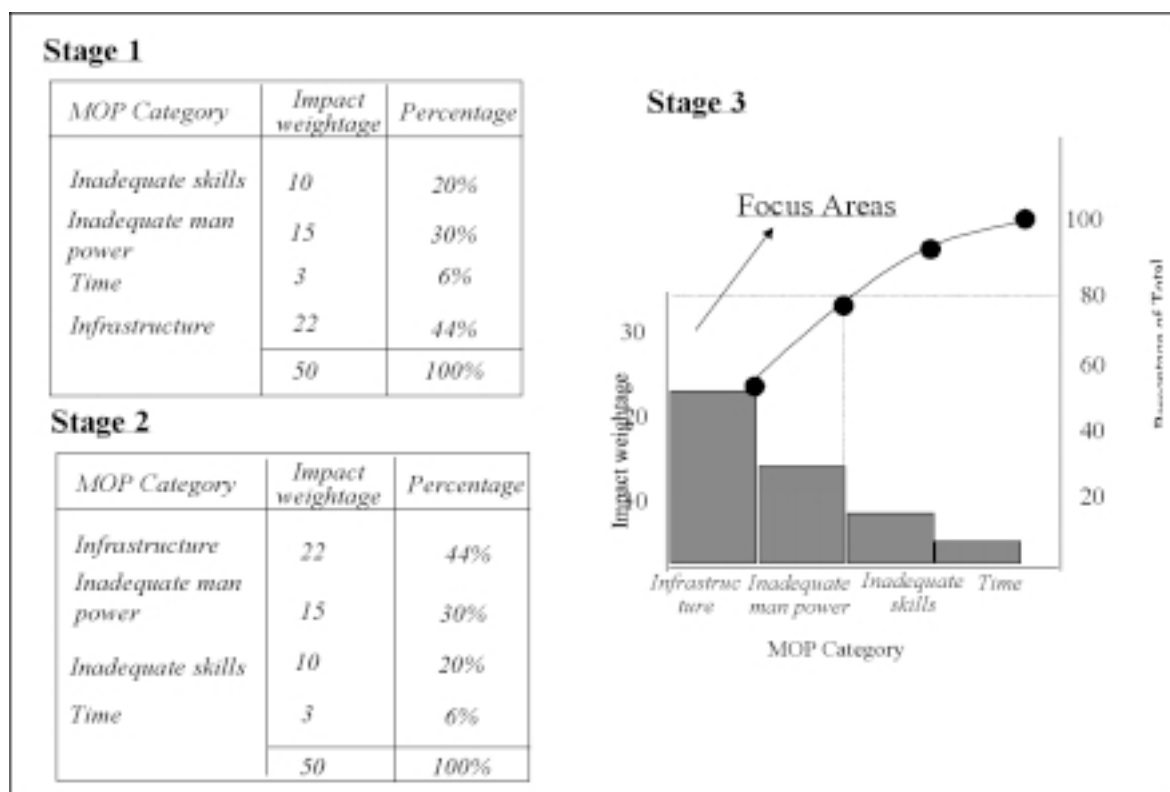
Having identified the root causes through the Pareto diagram, the team collectively brainstormed on the possible solutions for eliminating the failure/delay points in the processes.

Brainstorming

In brainstorming exercise people collectively came out with

- Creating new organizational structure for improving extension activity
- Introduction of Information Technology in extension services
- Leveraging the skills among the junior level extension workers
- Introduction of new methodologies of extension
- Hiring of manpower
- Outsourcing of activities which are non-value adding in order to have adequate time for extension activity
- Extension manual: Need to be introduced for better performance
- Job charts need for re-vamping
- Providing of labs
- Skill based incentive need to be introduced
- Qualification based promotion

All the ideas generated by this tool are studied and prioritized by impact assessment matrix.

Impact Assessment Matrix

	Low	Medium	High
High	**Immediate** • Leveraging the skills among the junior level extension workers • Introduction of new methodologies of extension	**Evaluate** • Skill based incentive need to be introduced	**Evaluate** • Creating new Organizational structure for improving extension activity • Introduction of Information Technology in extension services • Hiring of manpower
Medium	**Immediate** • Leveraging the skills among the junior level extension workers	**Immediate/Evaluate** • Outsourcing of activities	Drop
Low	Drop Drop	Drop	

(LEVEL OF IMPACT)

Low   Medium   High

Implementation Difficulty

Job Content Analysis Worksheet for Extension Workers in the Department

Level of Extension Workers	Activities					
	AC	WA	Admin	Training's	HM	LC
Fishery Development Officer						
Assistant Inspector of Fisheries						
Field man						
Fisherman						

*Note

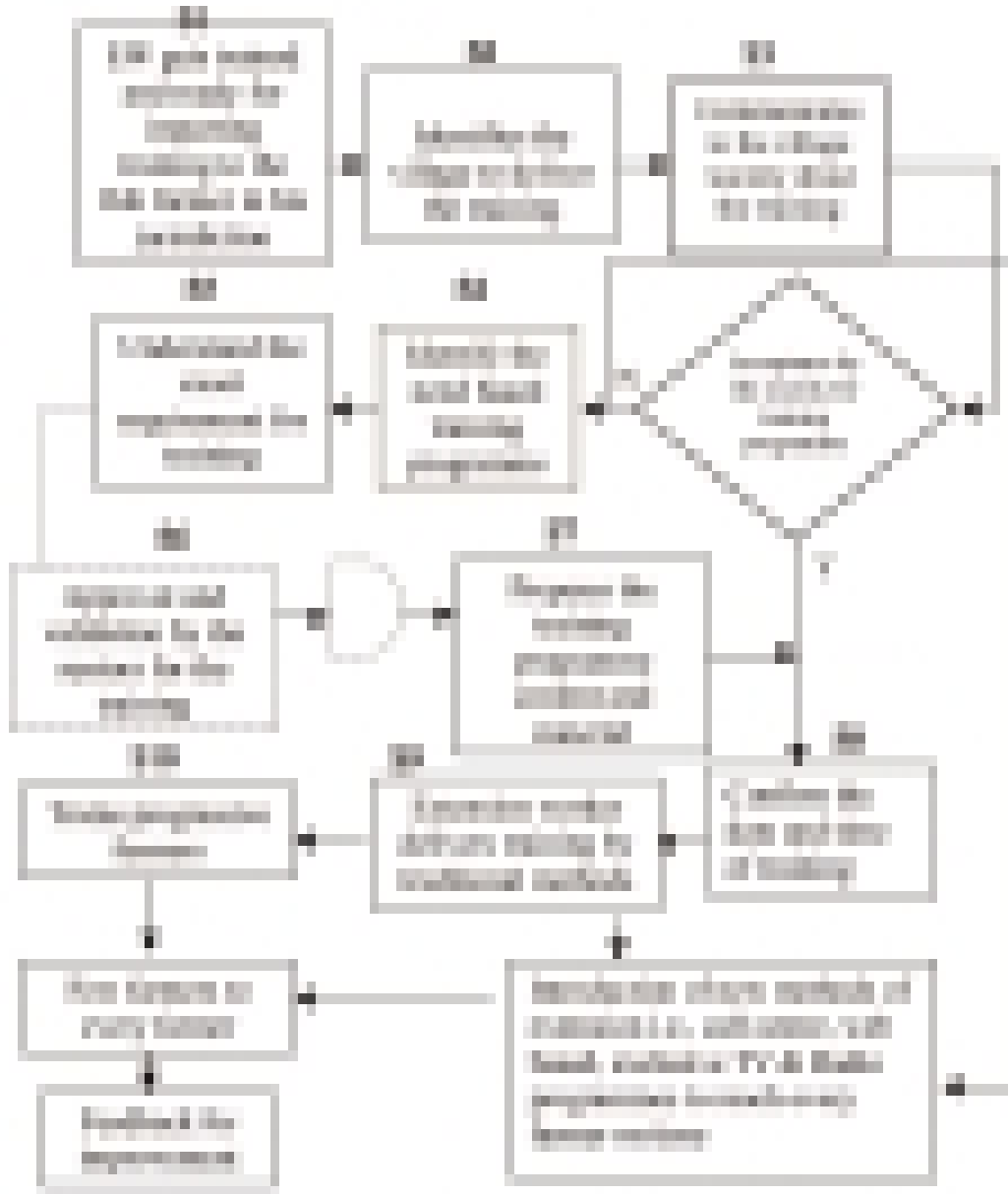AC - Conducting Awareness Camps; WA - Welfare Activities

Admin - Administrative Activity; Trainings - Conducting Training Programmes

HM - Hatchery Management; LC - Lease Collections

Step 5 Drawing up TO-BE Process

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