

Change Governance™ Solutions: The Need for Government Process Management

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immixGroup

Why a Change Governance Approach and GPM?

Getting a handle on change

Most government agencies face the challenge of delivering services that operate seamlessly across mainframe, distributed and Web-based platforms at a reduced cost and with increased efficiency. Executives are expected to manage within budget constraints, regulatory compliance requirements, legislative initiatives and numerous operational inefficiencies (see table on right). These requirements imply the need for a change to existing processes and procedures as well as the introduction of automation in a way that is compatible with agency culture.

Too many organizations react to change defensively without considering the broader strategic implications. This results in incomplete, unstable, and temporary "fixes" that expose agencies to the highest levels of risk. Typical change management processes manage change in silos so exposure to risk remains high due to a lack of enterprise-wide visibility and integration. Organizations that want to control change, as opposed to just being reactive, embrace Change Governance and its Government Process Management (GPM) and Applications Lifecycle Management elements.

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The goal of Change Governance is to turn change into an operational advantage by delivering solutions that enable organizations to efficiently, consistently, and successfully control and capitalize on change across the enterprise.

Government Initiatives

Regulatory compliance

- Federal hiring practices
- Center for risk management and auditing
- Human resources management

Managed by initiatives

- Sarbanes Oxley (Essential to regulatory compliance including showing how decisions were made)
- HSPD-12
- Circular A-123

What is GPM?

Managing change across the enterprise

As an important element of a Change Governance approach, GPM is a complete set of integrated capabilities to automate, integrate and optimize government processes. It involves the adoption of enterprise wide policies and processes so that agencies can achieve the goal of translating external and internal change events into successful outcomes.

This GPM process includes process modeling, automation and reporting. It depends on more flexible and efficient workflows prior to implementation and illustrates the impact on cost, resource utilization, cycle time and responsiveness. More traditional IT Governance or Software Change Management approaches can only partially achieve the benefits achieved by a Change Governance solution such as GPM.

Operational inefficiencies

- Work is not routed efficiently between different people
- Management has little insight into the status of critical tasks
- Processes are not auditable or repeatable
- Overly intensive manual project management processes
- No automated support tools
- Weak linkage between program and enterprise architecture
- Poor requirements baseline and traceability
- Ineffective document review process
- Lack of timely data for budget control
- Insufficient risk assessment and/or risk management
- Inaccurate schedule and cost status
- Past "lessons learned" not passed on to newer program managers

What are the benefits of GPM?

GPM provides the ability to see and understand real operational and functional benefits before change takes place and projects begin - to visualize outcomes. It also enables management to coordinate an effective response across the entire governance lifecycle and ensure implementation - to orchestrate. An integrated Change Governance strategy also creates the ability to achieve and maintain uniform adoption of the change throughout the entire enterprise.

Other GPM Benefits

- Tracking and reporting on requests
- Knowing where time is being spent
- Visualizing where time can be saved
- Orchestrating resources across a department's defined processes
- Knowing the "in and out rate" of requests
- Discovering the process "bottlenecks"
- Allocating and reallocating resources
- Justifying a budget for resources
- Justifying reallocating resources
- Adjusting to human resource changes
- Ensuring that transferred staff members don't have to learn new tools or processes.

Benefits of GPM			
Features	Benefits		Results
Change Governance solutions allow agencies to:	Removes the negative impact of change:	Delivers added benefits:	Change is controlled across the enterprise creating advantages such as:
<ul style="list-style-type: none"> • Visualize change • Orchestrate change • Enforce change policies and processes 	<ul style="list-style-type: none"> • Poor quality • High costs • Excessive risk 	<ul style="list-style-type: none"> • Efficiency • Consistency • Accountability 	<ul style="list-style-type: none"> • Improved operations practices • Increased profitability • Competitive advantages

A successful GPM implementation extends across enterprise silos by enabling operations and IT to share a common frame of reference. It allows organizations to visualize, orchestrate, and enforce change events to mitigate the potentially catastrophic impacts of change-ultimately empowering them to transform change into true advantage. This means increased staff productivity, reduced backlog, reduced project times, reduced administrative staff, and reduced unscheduled and scheduled downtime.

What are potential GPM Applications?

The full range of operation and IT are impacted

Potential operational applications include human based operations, tasks and transactions, exception handling, high-volume transaction processing, and human intervention reduction. There are numerous impacted IT applications such as investigative applications, program office support systems, financial accounting, retirement and benefit systems, and database administration.

A full range of IT management administration and infrastructure support systems also play into a comprehensive GPM solution. These include:

- Issue & defect tracking for software
- Change request tracking through change control board
- Incident management
- Operation change management (it infrastructure change requests)
- Issue & defect tracking for hardware
- Web content management
- Quality initiatives
- Corrective action procedures
- Unified request management
- ITIL-based process management
- CMMI process improvement

What are some GPM best practices?

Take advantage of previous GPM lessons learned

One of the most important GPM implementation lessons is the need to institutionalize the process to achieve the desired outcome. This implies a high level of commitment on the part of senior management to making the necessary organizational, cultural and personnel changes. A poorly implemented GPM project is almost more detrimental to the agency than no change at all.

It is also advisable to start with a "bite size" project to show near term results, become familiar with the GPM process and to prepare the organization for more complex implementations. Finally, any process improvements must be tied to performance measures and tracked on a regular basis. The following table describes several additional best practices.

GPM Implementation Lessons Learned
<ul style="list-style-type: none"> • Identify short list of highest priority objectives • Identify related processes • Rate degree of process on achieving objectives • Apply GPM to high impact processes • Establish business rules • Provide foundation for operations improvement • Enable straight-through processing • Support changes to policies and processes • Identify every department that might interact with the process management tool • Define common data fields • Understand reporting scenarios • Define enterprise wide policies • Establish self-documenting and system enforced decision rules • Define the internal and external relationships and dependencies between data elements • Data element values and user roles • Clearly define the types of requests • Clearly define the process in terms of states and transitions • Know the sub-goals and how they relate to the primary goal • Understand the reporting needs • Understand the user roles • Enforce time limits on states • Build interfaces to existing systems • Develop a set of use cases and expected results

A GPM case study

Create an agency employee/contractor check-in system

Objective - Create a new hire check-in system at a major civilian agency

Sub Goal 1: Provide those who are responsible for a part in the check-in process with all of the information they need in order to manage and fulfill their duties, and provide this information in a timely manner.

Sub Goal 2: Provide those who are responsible for overseeing the check-in process with easy access to the information they need to track the progress of all requests.

Methodology - using TeamTrack, the following steps were implemented:

1. Define business rules
2. Establish implementation guidelines
3. Collect data elements
4. Build table and data relationships
5. Define data dependencies
6. Build workflow
7. Lay out browser pages
8. Identify user roles and privileges
9. Identify email and notification requirements
10. Provide report

Business rules (requirements)

A consultant, Tony Carrington, was engaged to extract the definition of the critical business rules at a major civilian agency. These included:

1. The agency employs civil servants and contractors, and each new person must be uniquely identified and described.
2. The process for checking in a contractor is slightly different from the process for a civil servant.
3. There are certain "standard" things that each person must have, such as a badge and a workspace, and many optional things that can be assigned to a person.
4. Each "thing" must be requested, and approved, and made available, or assigned, or given access to.
5. The new check in system must automatically create these "standard" request records and provide a way for users to make optional requests, on demand.
6. A multi-level request approval process is required.
7. Providers and approvers must be immediately notified.
8. One or more ways to track the progress of all requests related to a given person or provider must be available.
9. Automatic interfaces with external systems are required.

Implementation guidelines

This table presents some of the most important factors that were considered before beginning the detailed design.

Implementation guidelines - things to consider

1. **Understand exactly what the ultimate goal is and what indicates its completion.**
 - Goal - provide a new hire with all of the resources they need.
 - Completion - all new hire requests have been satisfied.
2. **Understand the sub-goals**
 - Track the status of individual requests and delinquent approvals.
3. **Identify the data elements and reporting needs**
 - All requests for a given person; overdue requests; etc.
4. **Identify the user roles**
 - Hiring organization, requester, it department, facilities.
5. **Understand the movement of information between individuals and / or systems.**
 - Who needs to supply what information, when, and to whom?
 - Who needs to see what information, and when.
6. **Understand whether or not tasks can be performed in parallel or must they be performed in a sequence.**
7. **Understand what DOESN'T need to be seen at a particular point in the process.**
 - Keep the user from being overwhelmed with unnecessary information.
8. **Understand the permissions and the restrictions for viewing and updating data, and transitioning records.**
 - Only the Security group (and the Hiring Organization) can see data related to a clearance investigation.
 - (Viewing restrictions and reporting needs help to determine whether or not to use multiple tables, and whether or not to use multiple "logical" views of a workflow, and it also helps for determining the default field placements in data sections.)
9. **Understand the notification requirements.**
 - Who needs to know what, and when do they need to know it, and how should they be notified.
10. **Develop a set of use cases.**
 - A single activity constitutes a single use case.
 - User creates a person record, or user approves a request.
 - Describe the data elements that are part of the use case.
 - The person's name, person's identifiers, department, location.
 - Describe the expected results.
 - The system stores the check in record, creates standard request records and presents the option to create "optional" requests.
11. **Use Cases become the basis for the system design and implementation, as well as for the test plans.**

Report examples	
Request status	Average time to complete
Number in / number out during a time period	Average time by request state
Requests by staff member	Growth rate of requests over a time period
Number received / number completed by staff member	

Conclusion

Organizational change, both good and bad, is inevitable. The only question is whether to embrace these changes as opportunities for growth or pay the high cost of living in a reactive environment. A comprehensive Change Governance approach is necessary to successfully navigate this path. Agencies need to move away from departmental to enterprise solutions; tie process improvement with performance management and reporting; and justify and fund GPM initiatives. The time for GPM is now.

Serena Software, the Change Governance™ leader, provides software and services to more than 15,000 organizations around the world-including 96 of the Fortune 100 and 90 of the Global 100. Recognized by IDC as the largest software provider focused exclusively on change, Serena offers a new approach to change-Change Governance-that enables organizations to efficiently, consistently, and successfully control change across the enterprise. Serena helps them capitalize on change to achieve transformative results. Serena has more than 750 employees worldwide and is headquartered in San Mateo, California, with offices throughout the U.S., Europe, and Asia Pacific.

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ADDENDUM I

The Serena solution

Visualize • Orchestrate • Enforce

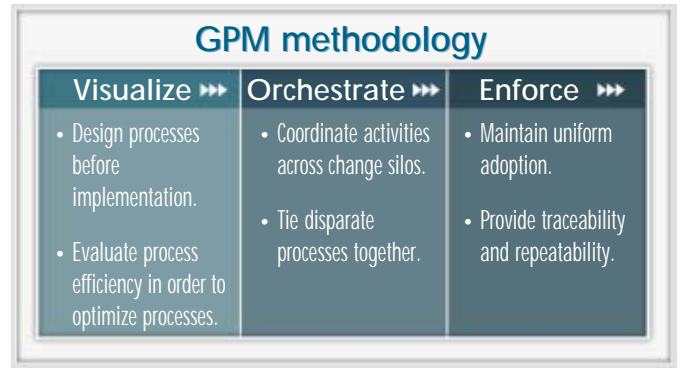
When selecting a GPM solution vendor, agencies should look for solutions that are customer focused, collaborative, comprehensive, inclusive and empowering. By providing companies with the ability to visualize, orchestrate, and enforce change policies and processes, Serena Change Governance solutions enable IT to deliver strategic value to the organization. This approach eliminates the high costs, poor quality, and excessive risks that often result from traditional methods of dealing with change. Quality, accountability, and economies improve. Costs are reduced; profitability and competitive advantages increase. Change is embraced as an opportunity, rather than perceived as a problem or a disruption. And with the ability to efficiently, consistently, and successfully implement change across the entire enterprise, attitudes toward change are transformed and companies are able to approach change confidently and proactively. This, in turn, can transform government agencies.

Every area of modern operations is founded on structured processes. Changing and managing processes, as well as documenting them for purposes of regulatory compliance, can needlessly tax an organization's time and resources. One of the key applications in the Serena Government Process Management solution is Serena TeamTrack—designed to make managing processes easier and more streamlined.

Serena® TeamTrack® is a highly configurable process & issue management solution that allows you to visualize, orchestrate, and enforce operational processes throughout the enterprise, including those unique to IT or the application lifecycle. TeamTrack allows you to route work efficiently between different people, deliver management insight into the status of critical tasks, and ensure your operational processes are auditable and repeatable. TeamTrack has directly lowered costs, increased quality and reduced risk for customers worldwide in software development, manufacturing, government, financial services, healthcare, and other industries.



TeamTrack enables and accelerates a proven Serena three step GPM methodology: visualize, orchestrate and enforce.



TeamTrack is successfully used by hundreds of enterprises worldwide for:

- issue and defect tracking
- internal help desk incident management
- operations process management
 - Compliance
 - Change request management
 - Unified request management
 - Corrective action procedures
 - IT Infrastructure change requests
 - Issue/defect tracking for hardware
 - Item/Issue tracking
 - Product lifecycle management
 - Quality initiatives
 - Customer management
 - Contract and proposal management
 - Sales support

KEY BENEFIT

- o Ensures process repeatability and auditability
- o Fast deployment
- o Low total cost of ownership
- o Ease of use for both operational and technical users
- o Ensures compliance with your best practices (such as CMMI, ITIL, CMII, Six Sigma) and regulatory compliance (such as Sarbanes-Oxley, 21CFRp11, HIPAA)
- o Includes all stakeholders while integrating with virtually any tool in your environment

KEY FEATURE

- o Role based views
- o Graphical process designer, highly configurable
- o Web architecture requires no client side installations
- o On-the-fly changes
- o Open-APIs management reports





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