

# *Assurance in Transformation*

## **Government Enterprise Architecture as Enabler of Public Sector Reform**

The World Bank, Washington DC

April 17, 2008

# Outline

- Assurance and the Public Sector Context
- Achieving Successful Change
- Approaches and Tools for Success
- Case Studies and Examples

# *“Assurance”*

Confidence that:

- The right things are being done (the WHAT)
- Things are being done in the right way (the HOW)

Examined through the lens of:

- Political leaders
- Citizens
- Business community
- Media organizations

...a high visibility, difficult environment!

# Challenge of Scale & Complexity

	Typical no. of programs	Typical no. of services
Municipal & Regional	Small: 20-30 Large: 40-50	Small: 100-150 Large: 200-350
Provincial (30-60 agencies)	300-500 est. (388+ in Ontario)	1000-2000 est. (1700+ in Ontario)
Federal (160 agencies)	1500 est.	5000 est.

# *Business Architecture is Different in the Public Sector Because ...*

- Public enterprises are more complex than private (1-2 orders of magnitude)
- Public enterprises have a “duty” to address all ‘knowable’ implications of their policies and actions
- Public enterprises use very different “business” paradigms and semantics
  - “guardian” values vs. “merchant” values (Jane Jacobs)
  - Customer profitability and delight vs. equity and access
  - Markets vs. programs, customers vs. subjects
  - Outcomes and impacts vs. market share and profit
- Public enterprises collaborate and compete under different constraints compared with the private sector

# *Drivers of Public Sector Transformation*

## Macro-level:

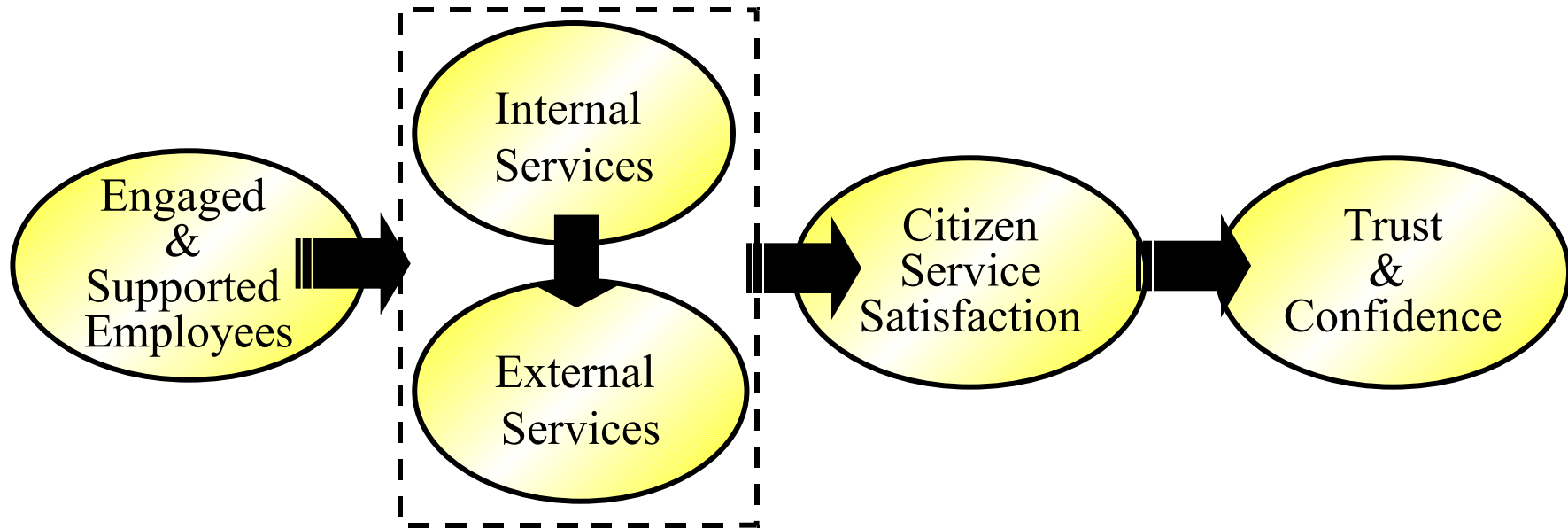
- Economic shifts
- Political shifts (new leadership/governments)
- Social (e.g. demographic, education, generational shifts)
- Conflicts and natural disasters

## Efficiency and Effectiveness

- Increase relevance, responsiveness decrease costs

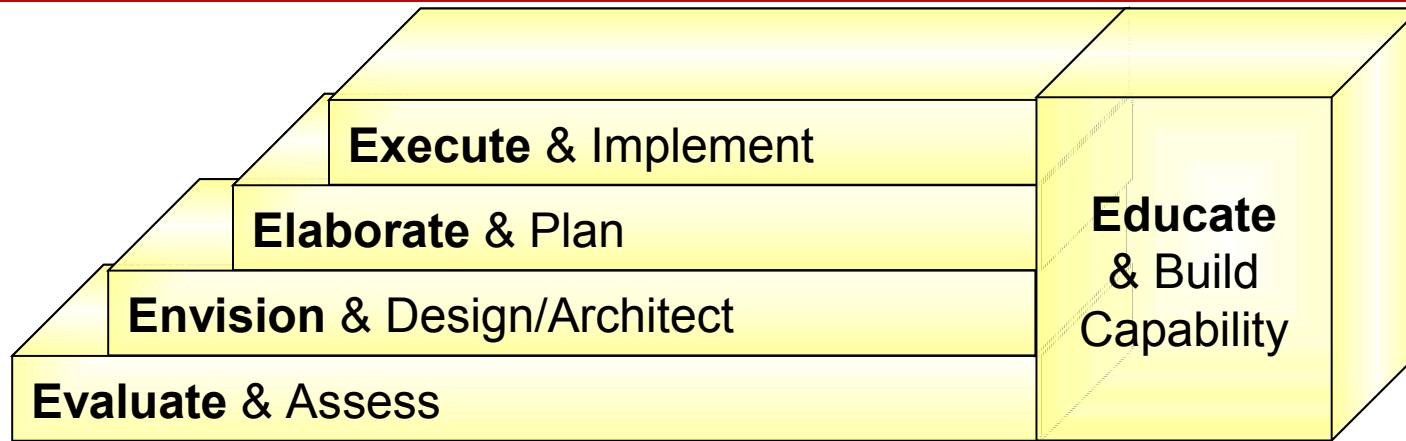
## Building and Maintaining Trust

# Public Sector Value Chain



**Modern and Transformed Government**

# *The Foundations of Successful Transformation*



Success requires:

- Long term perspective and context – but short term progress
- Progress in the “most critical” areas
- Efficient use of public funds
- Achieving multiple outcomes (e.g. cost savings, capacity building, private sector involvement)

...and can only be achieved by design

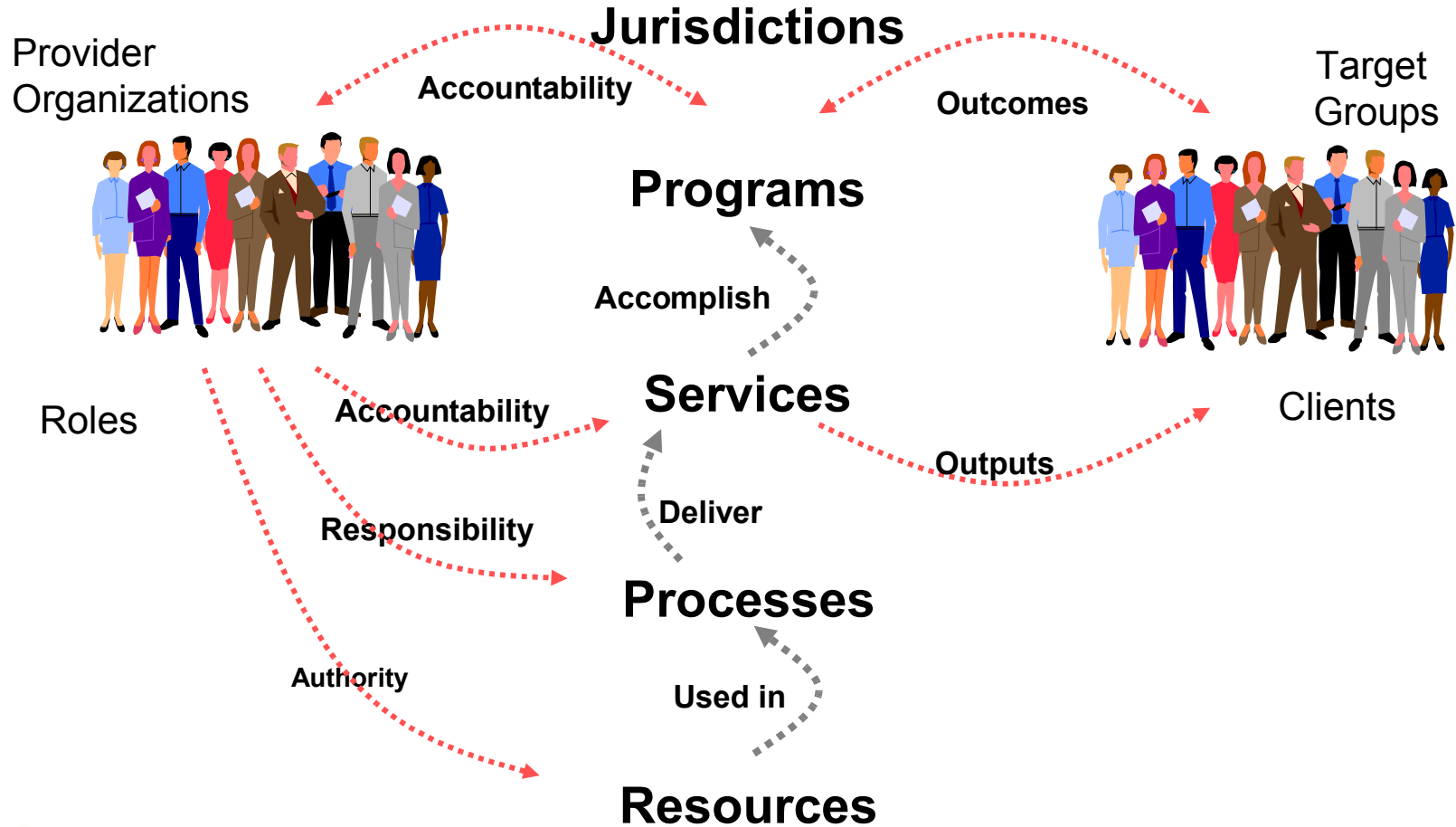
# *The Governments of Canada Strategic Reference Model (GSRM)*

- A common approach to viewing the business
- Provides a consistent definition of and structural framework for programs, services and the value they deliver
  - The ability to consistently categorize allows for rich analysis based on these consistent groupings
- Originally developed for use in municipalities, and used successfully in provinces and the Federal Government

# Public Sector Reference Models

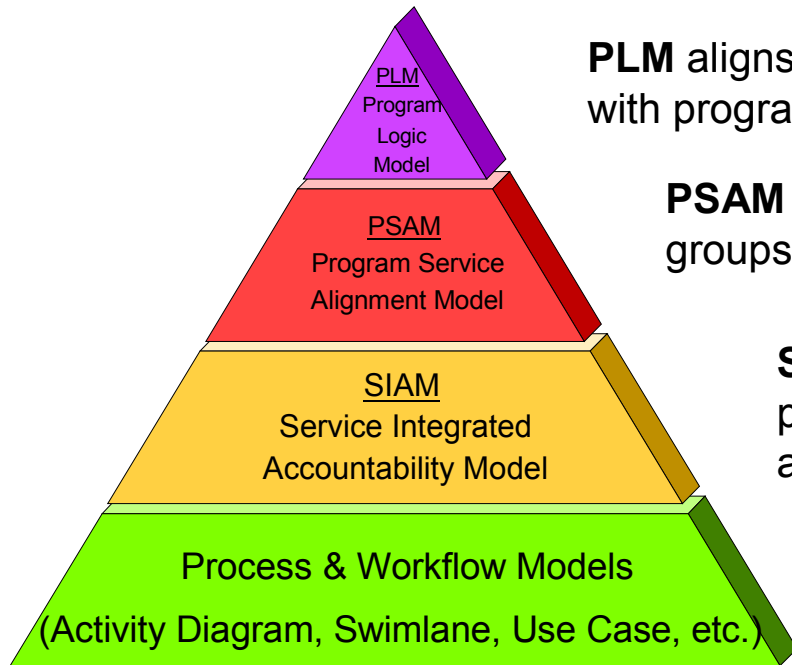
Family	Model	Date	Provenance	Scope
Management Reference Model (MRM) Family	Municipal Reference Model	1995	Municipal Information Systems Association	Municipal Government Programs & Services
	Public Service Reference Model	2000	Province of Ontario	Provincial Government Programs & Services
	Governments of Canada Strategic Reference Model	2003	Government of Canada	Federal, Provincial & Municipal Services
Federal Enterprise Architecture Framework	Performance Reference Model	2002	US Federal Government, Clinger-Cohen Act	Common methodology for information technology (IT) acquisition in US federal government
	Business Reference Model			
	Service Component Reference Model			
	Data Reference Model			
	Technical Reference Model			

# The Governments of Canada Strategic Reference Model (GSRM)



# Models to Describe the Enterprise

## The GSRM “Stack”



**PLM** aligns strategic, intermediate and direct outcomes with programs and service outputs

**PSAM** aligns programs and service outputs with target groups and recognized needs (vertical accountability)

**SIAM** aligns service outputs with public and provider services and processes (horizontal accountability)

**Process, Workflow and Use Case** models decompose processes and roles to any desired level of detail

# GSRM Program Fields - PUBLIC

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

# GSRM Program Fields - PROVIDER

<b>Provider Program Fields</b>	<b>Includes all services with corporate (enterprise) policy goals, whose outputs meet provider needs</b>
Public Policy, Planning and Management	Need to accomplish public goals
Corporate Policy, Planning and Management	Need to shape the enterprise to address public goals
Communications Management Services	Need to communicate with the public and with the enterprise
Human Resources Management Services	Need to deploy and steward the enterprise's human resources
Financial Management Services	Need to deploy and steward the enterprise's financial resources
IS Management Services	Need to deploy and steward the enterprise's information
Supply Chain Management Services	Need to conserve the enterprise's resource inputs
Administrative Services	Need to deploy and use the enterprise's resources, facilities and assets
Facilities and Assets Management Services	Need to maintain and steward the facilities and assets entrusted to the care of the enterprise
Professional Services	Need to comply with laws, regulations and best practices as an enterprise
Service Delivery	Need to deliver citizen-focused services effectively and efficiently across all public programs

# GSRM Components

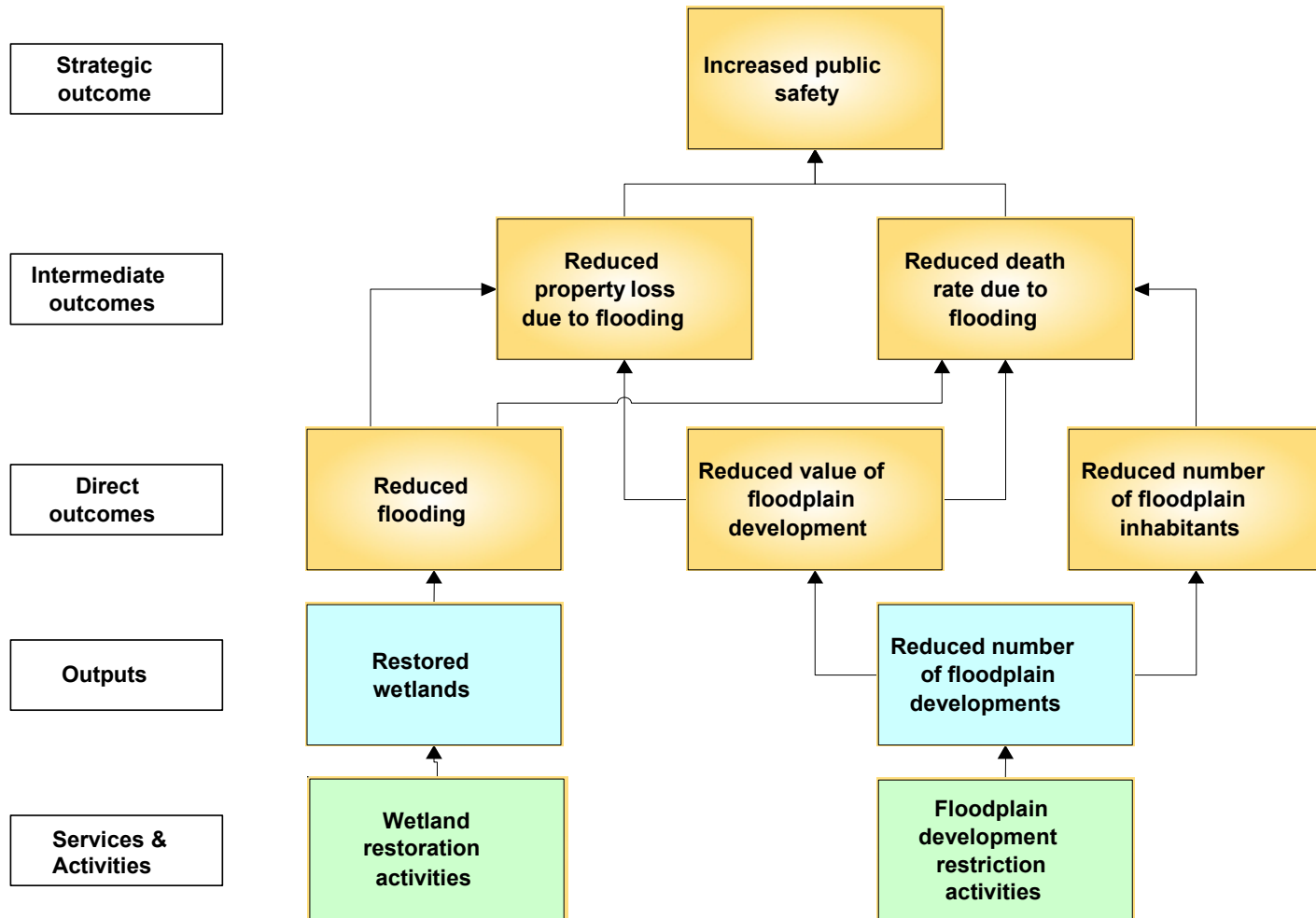
GSRM includes:

- Set of Business Components & Definitions
- Set of Integrated Business Models and Methods
- Reusable Business Patterns

Performance Model  
...An illustration from our  
standard training  
curriculum

	Metric	Efficiency Measures	Quality Measures	Effectiveness Measures
	Definition	$\frac{\text{Output Value}}{\text{Input Cost}}$	Comparison to Standards	Contribution to Higher Goal
Program	Environmental Protection	Total cost per capita	Meeting air quality objectives	Environmental Quality Trends
Service	Air Quality Assessment	Total cost per report	Reporting accuracy & timeliness (SLA)	Air Quality Trends
Process	Mobile Unit Monitoring Sweep	Sweep cost per sample tested	Testing accuracy & timeliness	Mobile Sampling Capacity
Resource	Sensors	Sensor cost per sample tested	Sensor Accuracy	Sensor Capabilities

# Program Logic Model Shows Relationship Between Outcomes



*This approach is scalable, pre-built and customizable*

- Pre built models describe the business of government
- As illustrated, the approach and models can be used for large scale transformations, or designing a project, highly scalable
- Creates a common language for the business of government, and provides industry best practices for government programs, services and processes
- The following are Chartwell Case Studies which demonstrate the use of this approach.

# Case Study

## – Redesigning Ontario's Health Ministry

Major transformation in the Ministry of Health and Long Term Care.

- Moving from a “service delivery” role, to a “stewardship” role.
  - Operational/process focus to strategic/outcome focus
  - Focus on long-term health service delivery strategy, priorities and system outcomes
- Required clear understanding of
  - program, service, and process design,
  - accountabilities, interdependencies, relationships, gaps, and overlaps,
- Enterprise Business Architecture as foundational approach:
  - for the “as is” and “to be” models of the programs, services, organizations and processes.
- Models have been developed and now detailed process and organizational work is underway
- EBA has become the underpinning of alignment and guidance for the transformation

# Case Study

## - Canada Post takes on \$2.5B Transformation

- Canada's postal corporation is redesigning its entire business
  - Postal infrastructure and plants
  - 3 major lines of business:
    - mail, direct and courier
- Enterprise Architecture is being utilized to align:
  - The planning and requirements analysis of priority projects for Postal Transformation with the strategies and programs of Canada Post's three Lines of Business.

# *City of Saint John, New Brunswick, Operational Review*

## Overall Goals:

- Set strategic directions (i.e. vision, mission, goals & objectives) based on the programs and services it offers;
- Change the culture of the organization by fostering leadership, encouraging innovation, and focusing on program and service improvements;
- Improve communication / cooperation among and between City Departments, Agencies, Boards and Commissions;

## Approach:

- Used Reference Models to model programs and services
- Engaged key stakeholders, including employees, civic unions, the Province, various community / business groups, and the public
- Used engagement to
  - educate the stakeholders about the breadth of service offerings and the complexity of issues
  - seek their assistance in developing creative solutions;

## Outcome:

- pride by its citizens, by its businesses and by other levels of government that the City is run well!

# *Pre built municipal reference models - for all organizations*

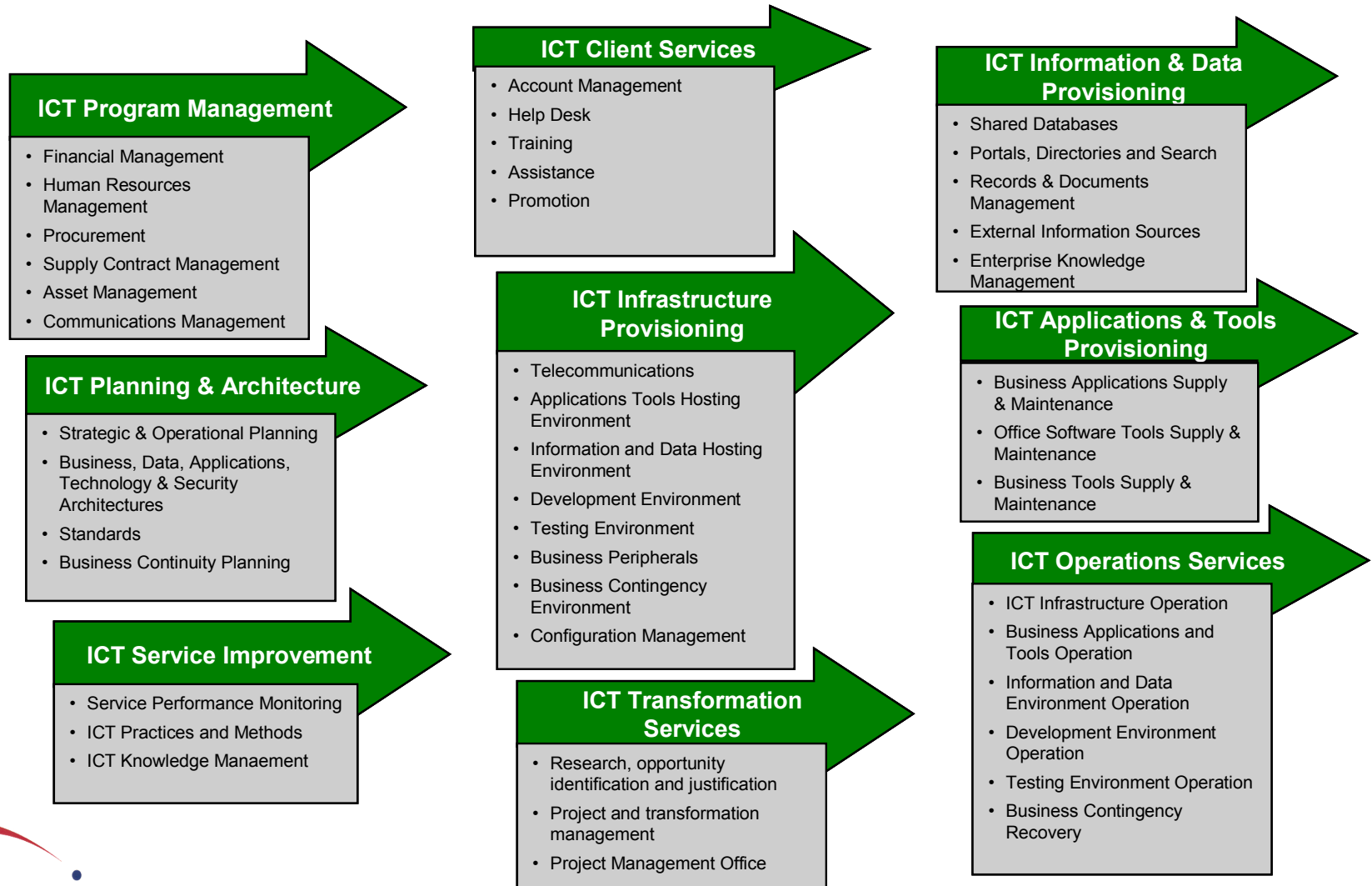
## **United Nations Human Rights Commission**

- Design and implement a modern ICT function from the different ICT-related units spread throughout the agency
- Used Reference Model as foundation of analysis (Chartwell's Management Reference Model for Information Services - MRM/IS)
  - common understanding to organize, manage and measure on an enterprise-wide basis.

## **Outcome:**

- a plan for increasing ICT service delivery quality and productivity,
- Investment approach for information, applications and technical infrastructure
- ...based on enterprise-wide architectures.

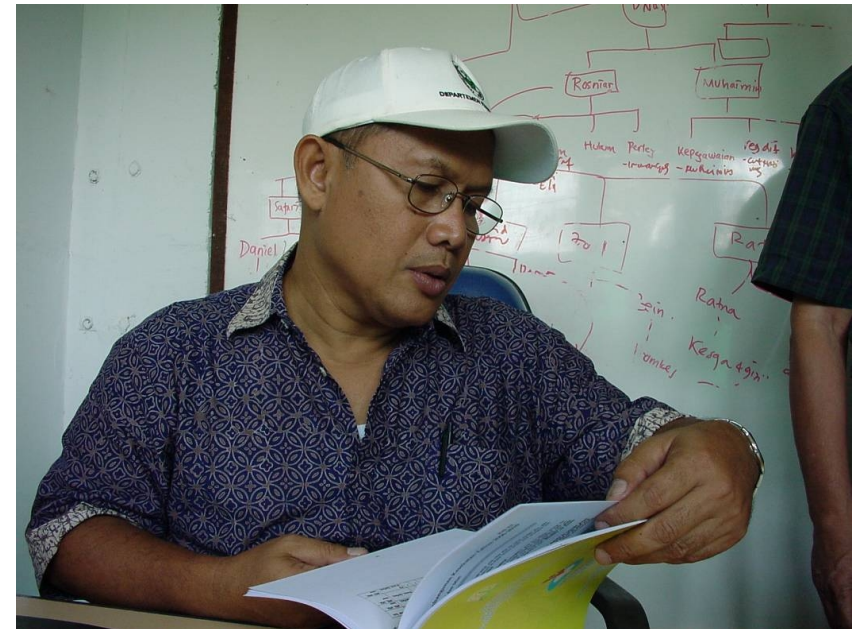
# UNHCR ICT Service Model



# *The February 2007 Mission to Aceh Jaya*

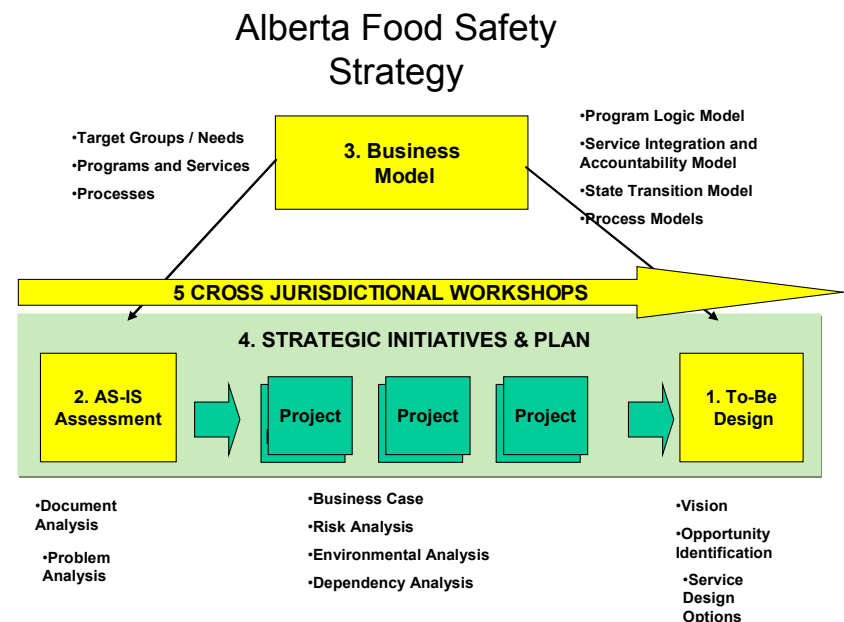
- The population declined from 94,000 prior to the tsunami to 65,000 afterwards, in some districts 6 out of every 7 people perished
- Our Mission Objectives
  - The mission had two objectives – to analyze the capacity of the District of Aceh Jay in terms of its ability to provide District services; and
  - To study the DPRD (Council) to determine whether they required additional support to move their strategic agenda forward.
  - The municipal reference model service framework was used to assess the state of municipal services, and organizational resources

# ...building a strategy for strengthening leadership, management & operations



# Enterprise Architecture and the Food Safety System

- Reference models - common language across jurisdictions.
- Alberta Food Safety System Stakeholders:
  - 2 provincial ministries, municipal regional health authorities, 2 federal departments
- Alberta Food Safety System - context
  - Regulatory: licensing, inspection, enforcement, recall
  - Industry Best Practices: promotion, training, audit
  - Safe Consumer practices: promotion, information
  - Surveillance: new risk identification, market reassurance



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