

ATTACHMENT 2 - DELIVERABLE DOCUMENT DESCRIPTIONS

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Strategic Vision Document

The Strategic Vision Document describes the stakeholders' envisioned business process direction and future workers' compensation system. It also summarizes the newly identified needs and business objectives in terms of specific, measurable, achievable, realistic and time-bound ('SMART') goals.

1. VISION

Document the stakeholders' vision for the future

2. SCOPE

Describe the scope of the reengineered future system

3. OBJECTIVES

The future state goals and objectives are the documented definition of success as defined by the NYS workers' compensation system stakeholders. Describe the objectives in terms that are specific, measurable, achievable, realistic and time-bound ('SMART').

4. INDUSTRY BEST PRACTICES

Provide a summary of best practices related to the Workers' compensation industry

Assessment Report

The Assessment Report summarizes and captures relevant information about the current NYS workers' compensation organization, business processes and technology systems, workers' compensation industry best practices, KPIs and benchmarks. It also summarizes the limitations of the current situation that make it unable to respond to these factors, identifies business requirements gaps, identifies data and information gaps to fulfill to achieve the desired KPIs and benchmarks, and summarizes the justification for and nature of needed change.

1. INTRODUCTION

Describe the purpose and remaining content of the document.

2. CURRENT STATE (AS-IS)

Summarize your assessment of the current NYS workers' compensation environment including:

- *High level process flows*
- *Current issues, constraints, concerns,*
- *Root causes of performance breakdowns in the existing processes*
- *Organizational structure, culture and effectiveness*
- *Internal and external stakeholder readiness for change*

3. KEY PERFORMANCE INDICATORS AND BENCHMARKS

Summarize your assessment of KPIs that the Board can begin gathering data to support and use as baseline measurements. Describe the formal performance management methodology applied and document the process applied to develop measures. Describe best practices research and incorporate industry standard metrics (used in other jurisdictions or by independent researchers) in the recommended performance management program. Recommend KPIs that the WCB should consider measuring as data becomes available.

4. OPPORTUNITIES FOR IMPROVEMENT

Summarize the problems (current issues and concerns).

Summarize gap analysis – identify process gaps and opportunities for improvement.

Summarize the proposed changes needed to respond to each of the problems, current issues and concerns. Incorporate best practices and KPIs from across a variety of

workers' compensation systems. Describe how other jurisdictions are able to achieve similar objectives to those of NYS workers' compensation.

Identify changes considered but not included, and rationale for not including them.

Envisioned Solution Description

The Envisioned Solution Description documents the concept for a new reengineered workers' compensation system. It specifies the envisioned redesign at a high level and from the viewpoints of all system stakeholders. It identifies opportunities for process improvement and opportunities for information technology to support the business processes to meet all stakeholder needs. The Envisioned Solution Description summarizes the operational, organizational, informational data and regulatory impacts of the proposed redesign and highlights the advantages and limitations of the proposed solution. It also describes the major alternatives considered, the trade-offs among them (including costs, benefits and risks), and rationale for the decisions reached.

Executive Summary

Include a high level summary that enables readers to rapidly become acquainted with the material without having to read it all. It should contain a concise analysis and main conclusions, as it is intended to aid decision making by business managers.

1. INTRODUCTION

Describe the purpose and remaining content of the document.

2. ENVISIONED SOLUTION CONCEPT

Provide a conceptual overview of the proposed to-be process design.

2.1 Operational Constraints

Describe any operational policies and constraints including regulatory constraints that apply to the proposed business process redesign.

2.2 Stakeholder Benefits

Describe the benefits and impacts of the envisioned solution on each of the stakeholder groups including, as applicable, organizational structure, communications, training/skills, responsibilities, activities, and interactions with one another.

2.3 Alternatives and Trade-offs Considered

Describe major alternatives considered to the business processes, the trade-offs among them including costs, benefits and risks, and rationale for the decisions reached. Costs should consider the total cost of ownership of the alternatives implemented over a 5-7 year period.

Alternative 1 - <description>

<i>Pros</i>	<i>Cons</i>

Alternative n - <description>

<i>Pros</i>	<i>Cons</i>

3. ENVISIONED SOLUTION DESCRIPTION

3.1 Envisioned Solution Overview

Provide an overview of the envisioned solution. Describe relationships between stakeholders, other systems and the envisioned solution. Describe the roles of stakeholders, purpose of other systems and their interaction with the envisioned solution.

3.2 Business Process Descriptions

Describe the proposed business process changes in a manner sufficient to understand the envisioned solution from the user's point of view. For each business process:

- Provide a process description including triggering events, process steps and possible outcomes*
- Identify stakeholders involved and affected*
- Include models or diagrams depicting inputs, outputs, data flow and process flow*
- Describe the value-added in terms of business objectives supported, key performance indicators, stakeholder needs supported*

4. ASSESSMENT OF PROPOSED CHANGES

For each proposed change, assess the cost and timeline, return on investment (ROI).

4.1 Support Concept.

Provide an overview of the support concept for the envisioned solution, including, as applicable, governance, support agency(ies); stakeholder outreach and education.

4.2 Summary of Impacts

4.2.1 Operational Impacts

Describe the anticipated operational impacts on the WCB. These impacts may include (but are not limited to) changes in procedure; interfaces; use of new data sources; changes in quantity, type, and timing of data (filings); data retention requirements; and facilities design requirements.

4.2.2 Organization Impacts

Describe the anticipated organizational impacts on the WCB. These impacts may include modification of responsibilities; addition or elimination of responsibilities or positions; need for training or retraining; and changes in number and skill levels.

4.2.3 Regulatory Impacts

Describe how existing laws and regulations limit the options for the envisioned solution and comment on recommended changes to the laws and regulations.

4.2.4 Transition Impacts

Describe the anticipated impacts on the stakeholders during the reengineering implementation effort.

Target Environment Description

The Target Environment Description consists of separate studies which detail the envisioned workers' compensation system and Workers' Compensation Board from a variety of perspectives including:

- 1. Target Process Design*
- 2. Target Organization Plan for the WCB*
- 3. Facilities Conceptual Design*
- 4. Regulatory Impact Plan*
- 5. Technology Solution Description*

1. TARGET PROCESS DESIGN

The Target Process Design provides a detailed description of the proposed business process reengineering and includes details about the WCB's internal process changes as well as external stakeholder processes that will change in the target environment. The WCB requires the modeling of all envisioned processes within Metastorm's (now Open Text) ProVision modeling software (version 6.2.4 or higher, by mutual agreement between the WCB and its reengineering partner). The modeling of some components, using specific modelers within ProVision, is mandatory while modeling other components will be optional. The WCB will look to its reengineering partner for recommendations regarding enhancements to the WCB's Business Process Management methodology and will seek and consider specific recommendations regarding the application of additional modelers within ProVision.

1.1 Recommended Business Process

The "to-be" business processes will be detailed using Metastorm's (now Open Text) ProVision modeling software (version 6.2.4 or later, by agreement). The target environment will be presented using context level modelers such as the Business Interaction Modeler, Business Class, Capability Modeler or Communication Modeler. The selected context model(s) will be detailed through drill-down and related models using ProVision's Process Modeler. These process models will drill-down into detailed descriptions of the work using ProVision's Workflow modeler with each activity in a workflow described by supporting narrative.

1.2 Recommended Form Changes (Inputs and Outputs)

All new or revised forms will be detailed through mock-ups and presented within ProVision through links to external documents (i.e. Portable Document Format files) as inputs or outputs to process. In addition, these form changes and the collection of forms targeted to become obsoleted in the "to-be" environment will be documented in this

narrative "Recommended Form Changes" deliverable All new or revised forms will be detailed through mock-ups and presented within ProVision through links to external documents (i.e. Portable Document Format files) as inputs or outputs to process. In addition, these form changes and the collection of forms targeted to become obsoleted in the "to-be" environment will be documented in this narrative "Recommended Form Changes" deliverable.

1.3 Recommended Regulatory Changes

The required changes to the law or regulation will be detailed in the narrative Target Environment Description Part 4 "Regulatory Impact Plan." Optionally, the vendor may elect to capture these changes within ProVision using the Rules Modeler (or similar feature) to support the identification of regulatory impact upon process and to facilitate the crafting of the Regulatory Impact Plan.

1.4 Recommended External Process Changes

The Target Environment Description will not detail the business processes of external system participants. The target environment may impact how external stakeholders interact with the WCB and it may impact how stakeholders interact with each other. The Recommended External Process Changes will document in narrative the changes envisioned for external stakeholders in the to-be environment with respect to these touch-points.

1.5 Performance Measures and Key Performance Indicator Changes

At the conclusion of the development of a Target Environment Description the envisioned performance measures for both the workers' compensation system and the Workers' Compensation Board may evolve from the development of key performance indicators crafted during the as-is assessment. An updated set of performance measures will ensure that the proposed solution(s) are informed by both the functional and informational requirements of the envisioned environment.

2. TARGET ORGANIZATION PLAN FOR THE WCB

Provide a detailed description of the proposed organization redesign and detailed plans for transitioning from the current WCB organization to the target WCB organization.

2.1 Key Changes to the Organization

Provide a summary of the key changes proposed.

2.2 Projected Staff Requirements

- *Identify the projected number of staff required by the BPR recommendations*
- *Describe roles and responsibilities of each staff position impacted by the recommendations.*

2.3 Recommendations for Transitioning the Organization

Include detailed recommendations for transitioning from the current organization to the target organization including:

- *training requirements*
- *appropriate workforce reclassification and*
- *redeployment strategies.*

3. FACILITIES CONCEPTUAL DESIGN

The Facilities Conceptual Design is an assessment of how the Board's physical space requirements will change under the proposed business process redesign. It is a conceptual description of how all the recommended changes impact the WCB's footprint. The Facilities Conceptual Design must align with statewide initiatives and includes the following.

3.1 Physical Space Requirements

Describe the total physical space requirements needed to support the target environment.

3.2 Changes to Types and Geographic Distribution of Space

- *Describe the changes to the types of space (storage, office, public access etc.)*
- *Describe the changes in geographic distribution of space*

3.3 Impact on Space Requirements

Describe the impact of remote access (including telecommuting) on space requirements

4. REGULATORY IMPACT PLAN

The recommended changes to the law and to regulation required to implement the "to-be" environment will be detailed in this narrative report including both the historical background supporting the current rule and the evolution of thought informing the recommended change.

4.1 Regulatory Strategy – Alternative Approaches

Identify and describe alternative approaches to regulatory strategy.

5. TECHNOLOGY SOLUTION DESCRIPTION

The Technology Solution Description is a document describing alternative technology solution approaches that would enable the proposed business process redesign. It provides a comparative analysis of the alternatives including a risk-adjusted cost-benefit analysis. It also includes the technology specifications - documenting the requirements for the technology system as well as requirements for transitioning from the current technology state to the target technology state.

5.1 Technology Solution – Alternative Approaches

Identify and describe alternative approaches to a technology solution. For each alternative:

- *describe the tangible and intangible costs and benefits of each*
- *describe the potential of each alternative to achieve the desired performance goals (include a description of the types of technical changes necessary to support each goal)*
- *identify potential barriers to implementing the alternative Include the impact of each potential barrier and the costs of addressing each potential barrier*
- *provide a cost-benefit analysis*

5.2 Technology Solution – Conceptual Design

Describe at a conceptual level, the envisioned application and infrastructure solution(s) and benefits of the solution(s).

5.3 Technology Solution Requirements

5.3.1 Functional Requirements

Functional Requirements describe the behavior and information that the solution will manage. They describe capabilities the system will be able to perform in terms of behaviors or operations, specific information technology application actions or responses.

5.3.2 Non-Functional Requirements

Non-functional Requirements capture conditions that do not directly relate to the behavior or functionality of the solution, but rather describe the environment under which the solution must remain effective or qualities that the system must have.

These can include requirements related to:

- *Information architecture and presentation of the user interface*
- *Performance such as speed, throughput, volume, frequency*
- *Quality attributes, such as availability, usability, efficiency, flexibility, portability, reliability, maintainability,*
- *Provisions for security and privacy,*

- *Provisions for continuity of operations in emergencies.*

5.3.3 Data Requirements

Describe the data requirements for the proposed business process reengineering. Provide:

- *conceptual and logical data models including Entity Relationship Diagrams (ERD)*
- *reporting requirements for internal and external stakeholders*
- *recommendations for collecting and maintaining data*
- *recommendations for transmission of data*

5.4 Transition Requirements

Transition Requirements describe capabilities that the solution must have in order to facilitate transition from the current state to the future state, but that will not be needed once the transition is complete. They are differentiated from other requirements types because they are always temporary in nature and because they cannot be developed until both an existing and new solutions are defined. They typically cover data conversion from existing systems, skill gaps that must be addressed, communications, education and outreach, and other related changes to reach the desired future state

6. KEY PERFORMANCE INDICATORS AND BENCHMARKS

In addition to describing the functional requirements that will be addressed by the Target Process Design, Target Organization and Facilities Plan, Target Regulatory Plan and the Technology Solutions proposed, this section will describe the informational requirements that must be realized by any reengineering implementation. Building on the as-is Assessment of Key Performance Indicators and Benchmarks, this section will describe the envisioned performance management program – the measures and targets that reflect a balancing of goals (quantity, quality, timeliness, efficiency, effectiveness, outputs and outcomes) the workers' compensation system, and the reengineering implementation, must realize and sustain.

Business Case/Project Proposal

The Business Case defines the business need for the project and supports the Project Proposal with objective analysis of the costs and benefits of doing the proposed project.

1. INTRODUCTION

This section provides background information and describes the remaining content of the document

2. BUSINESS NEED

This section describes the need or problem driving the proposed project.

Describe the current situation including:

- *costs associated with the existing processes*
- *causes of performance breakdowns in the existing processes*
- *the demonstrated need for improvement*

3. BUSINESS OBJECTIVES

This section documents the vision and measurable objectives

4. PROJECT PROPOSAL

4.1 Proposed Business Process Solution

This section identifies the recommended business process changes and aligns the changes with key stakeholders' and customers' expectations and performance requirements. It also provides implementation recommendations for each proposed change.

4.2 Proposed Technology Approach

This section identifies the recommended technology approach to enable the proposed business process redesign.

4.3 Consistency/Fit with the Board's Strategic Plan

This section describes how the project is consistent with the Board's mission and business objectives.

4.4 Anticipated Benefits

This section lists all anticipated benefits resulting directly from the project and specifies the ways there will be measurable improvements. It also describes the implications of not doing the project by describing the benefits that would be missed.

4.5 Budget/Resources

This section provides a cost estimate for the project including initial and recurring costs for hardware, software, supplies, training, consultant services, and other costs. It also provides estimates of personnel hours by resource type during the initial project period and then annually.

4.6 Cost/Benefit Analysis

This section justifies the costs for the identified benefits and includes a quantitative analysis, e.g., calculations of anticipated savings, costs avoided, Return on Investment (ROI), etc.

4.7 Risks

This section lists and describes identified risks to the project

4.8 Additional Comments

This section briefly describes the impact the project will have on the organization and any other information that may be important to the project.

Recommendations Roadmap

(Implementation Plan and Timeline Outline)

The Recommendations Roadmap is a blueprint for implementing the solution and includes information regarding process, organization, technology and transition activities to assist with a go or no-go decision.

1. INTRODUCTION

This section provides background information and describes the remaining content of the document

2. APPROACH

Describe the approach to implementing the improvements and describe the transformation activities. Include a description of the overall approach including:

- *Communications and outreach*
- *Initiating, proposing and facilitating statutory and regulatory changes*
- *Implementation of business process changes*
- *Implementation of organizational changes*
- *Implementation of technology (software application and infrastructure) changes*
- *Training for new business processes and software applications*

3. WORK BREAKDOWN STRUCTURE (WBS)

Provide a work breakdown of project phases, activities, and tasks. The WBS represents the hierarchy of project deliverables and their associated tasks.

- *The WBS should be decomposed to a level to define the deliverables resulting from the activities and tasks. It does not need to go down to the work package level.*

4. PROJECT SCHEDULE

Include a calendar-based project schedule showing start and end dates for project activities.

- *The schedule should be defined at the same level as the activities, tasks and deliverables in the WBS*

5. IMPLEMENTATION ACTIVITIES

*Identify and describe the activities that make up each phase of the project
Identify and describe the tasks or action steps that make up each activity.
For each task identify the following:*

- *the estimated level of effort to complete the activities, tasks, or deliverables as defined in the WBS*
- *dependencies, if a task is dependent upon the completion of other task(s)*
- *resources (roles) and skills needed to complete the task*
- *constraints*