



Robotic Process Automation Software

Blue Prism

PROCESS MANAGEMENT CONTROL OVERVIEW

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1. Introduction

1.1. Blue Prism's Robotic Automation

Robotic Automation refers to process automations where computer software drives existing enterprise application software in the same way that a user does. This means that unlike traditional application software, Robotic Automation is a tool or platform that operates and orchestrates other application software through the existing application's user interface and in this sense is not "integrated".

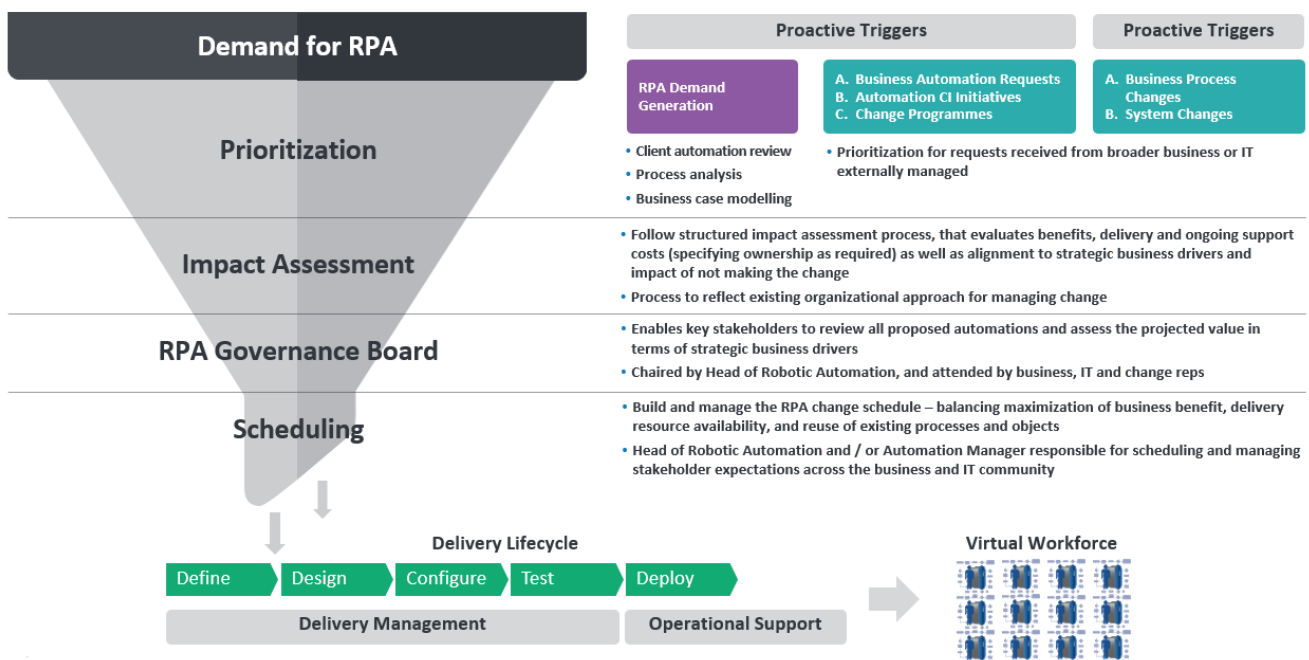
Blue Prism's Robotic Automation software enables business operations to be agile and cost-effective through rapid automation of manual, rules-based, back office administrative processes, reducing cost and improving accuracy by creating a "virtual workforce".

The virtual workforce is built by the operational teams or accredited Blue Prism partners using our robotic automation technology to rapidly build and deploy automations through leveraging the presentation layer of existing enterprise applications. The automations are configured and managed within an IT-governed framework and operating model which has been iteratively developed through numerous large scale and complex deployments.

2. Blue Prism Process Management Control

Process Management comprises the policies and procedures required to create a continuous pipeline of work into the Automation Program in a structured and controlled way. Process Management is focused around:

- The method for identifying, analysing and scoring candidate processes for automation and effectively communicating the scoring outcomes.
- The method for scheduling planned automations once scored and prioritised. This includes timescales, communicating intentions to relevant parties, method and/or procedures for project initiation, etc.
- The process for initiating and managing change requests to existing processes – whether generated through operational demand or host system changes.



This document outlines the process for identifying, analysing and scoring candidate processes, along with the preferred method for prioritising and scheduling process delivery.

The Blue Prism methodology has been designed to integrate fully with the customer's incumbent Project Management methodology thus removing the need for procedural duplication. It is recommended that a review of the Blue Prism methodology is undertaken during the Automation Project Initiation phase and the key principles of Process Management are absorbed into the incumbent Project Management methodology.

3. Managing the Automation Pipeline

Operating an effective Automation Program requires the continual search for candidates for automation. These are added to an evolving schedule of projects to be implemented in priority order. The following procedures and methods are used to create and manage this pipeline.

3.1. Overview of Candidate Management

- Candidate process identified
- Candidate analysed for indicative feasibility/cost/benefit/risk/timescales
- Process Analysis produced
- Process Analysis approved by proposer
- Process scored and scheduled
- Interested parties notified of change to pipeline

3.2. Identifying Process Candidates

Process candidates are those ideas put forward for potential automation. They are typically identified in four ways:

- Opportunity Assessment
- Business As Usual Requests
- Reactive Requests
- Review of Old Requests
- In addition to the above, work may be fed into the Automation Team as a result of:
- Host System Changes
- Blue Prism Platform upgrade
- These methods are discussed in further detail below.

3.3. Opportunity Assessment

3.3.1.1. Overview

The Opportunity Assessment provides an opportunity to research and investigate the potential for Blue Prism automation across the client organisation. They are especially useful for kick-starting an Automation Program pipeline with a large number of candidates, or as part of a large internal program for transformational change.

3.3.1.2. Initiation

The Opportunity Assessment Phase starts with an Opportunity Assessment Preparation Call. The purpose of this call is to ensure all parties have a clear and common understanding of the activities required. The call should be attended by the customer representative with responsibility for defining how to leverage maximum business benefit from implementing the Blue Prism solution.

3.3.1.3. Assessment

The assessment of the potential for Blue Prism Automation is performed in four phases:

- Orientation – Identifying the most appropriate business areas on which to focus initiatives

- Catalogue Processes – Capturing key information on processes within the most appropriate business areas
- Categorise – Identifying the Automation ‘pattern’ that can be applied to each individual process
- Scoring – Quantifying the benefits of each individual process

3.3.1.4. Review and Analyse

Following the assessment of the process landscape, candidate processes will be reviewed, prioritised and scheduled.

3.4. Business as Usual Requests

3.4.1.1. Overview

These candidates usually come forward as part of ongoing operational change and/or improvement. For example pending legislation due to take effect in the next 12 months may mean that a process needs to be re-engineered.

A steady stream of business-as-usual (BAU) requests is usually anticipated from a variety of departments. Some ideas may move quickly to the front of the pipeline, based on either urgency or merit, following candidate scoring.

3.4.1.2. Preparation

Each idea must be submitted via a Process Request (PRF) Form or a Request for Change (RFC) Form. These templates ensure that all relevant information is required in order to apply the scoring methodology, and that a detailed written summary is available to all those who will review the request.

3.4.1.3. Follow-up

The candidate is acknowledged and analysed using the Process Scorecard. Feedback is sent to the requester in the form of an Initial Process Analysis (IPA) (or Refined Process Analysis (RPA) if required). If approved for automation then the candidate is added to the pipeline; otherwise it is recorded and archived for future review.

3.5. Reactive Requests

3.5.1.1. Overview

Reactive requests arise from unanticipated and sudden events affecting the business. For example a temporary spike in demand for a service not used to high volumes may require the recruitment of a large team of temporary staff.

Controlled and rapid delivery of an automated solution may avert the need for such a large temporary team, thus removing the associated costs of recruitment, training, managerial/HR overhead, desk space, etc.

3.5.1.2. Preparation

As for business-as-usual requests, the Process Request Form or the Request for Change must be filled out.

3.5.1.3. Follow-up

The candidate is acknowledged and scored and scheduled in line with resource availability and business priorities.

Feedback is sent to the requester in the form of an Initial Process Analysis (IPA) (or Refined Process Analysis (RPA) if required). If approved for automation then the candidate is added to the pipeline; otherwise it is recorded and archived for future review.

3.6. Review of Old Requests

3.6.1.1. Overview

A key benefit offered by an Automation Program is the incremental re-use of components delivered as part of previous processes. Over time, more and more components are built until a substantial library exists, covering most parts of an organisation's activity.

Therefore old candidates - which may previously have been too expensive to justify automation - may become viable over time, as more and more of the required components become readily available.

This means that it is valid to re-score a candidate periodically, because the cost of automation is likely to fall over time. A biannual review is standard practice to ensure that valuable candidates are not overlooked.

3.6.1.2. Preparation

The submitter of each candidate is informed that their request is being reviewed. He or she is consulted to ensure that the request is still desired and that the requirements have not changed.

3.6.1.3. Follow-up

Feedback is sent to the requester in the form of an Initial Process Analysis (IPA) (or Refined Process Analysis (RPA) if required). The latest version of the requirements and scoring becomes the official version. If approved for automation then the candidate is added to the pipeline; otherwise it is recorded and archived for future review.

3.7. Host System Changes

3.7.1.1. Overview

It is crucial to the stability of the Blue Prism platform that the Automation Team are made aware of forthcoming changes to Host Systems, in order for the impact of the proposed changes on the Blue Prism estate to be assessed and for any required changes to be scheduled in line with System Change milestones.

3.7.1.2. Preparation

Following the scheduling of a Host System change, the Client IT department must submit a System Change Notification form to the Automation Manager.

3.7.1.3. Follow-up

The change will be assessed for impact, cost, risk and timescales. Feedback is sent to the submitting IT area and the owners of any impacted existing Operational Processes. Following this feedback, the change process falls into the BAU Request for Change (RFC) process.

3.8. Blue Prism Platform Upgrade

3.8.1.1. Overview

In order to take advantage of new software features in the Blue Prism platform, it may be necessary to perform an upgrade of the software from time to time.

Because the version change represents a change to the Operational Environment, the environment and the processes which run in it must be regression-tested once the new version is installed. This necessarily involves disruption to the daily operation of processes and therefore requires careful planning.

There will be many site- and process-specific aspects to think about, so only an outline of the upgrade procedure is provided in this document; the specific details are likely to vary with each upgrade. The outline upgrade procedure can be found in Appendix 4

3.9. Cost Estimation

Cost estimation requires input from:

- A Process Modeller
- A Process Analyst
- A Test Analyst
- IT

3.9.1.1. Process Modeller's Estimate

The Process Modeller estimates the time required to deliver the project, taking into account a large number of factors, including:

- The number of systems involved
- The complexity of the business process, including
- The number of input channels
- The level of input validation required
- The number of business scenarios involved
- Prior experience of working with the system(s) in question
- The availability of any reusable components
- The anticipated duration of the Verification Phase, as part of Configuration. In particular the number of write-only gateways involved.
- The level of MI and/or reporting to be output by the process
- Any external expertise that may be required from Blue Prism Consultants

3.9.1.2. IT Estimate

- The IT impact must be assessed, including:
- Any requirement for new hardware
- Changes to ongoing support costs
- License fees for new software required
- One-off costs for installation or changes to the runtime environment
- Implications for additional backup/archiving of data collected/created by the process

3.9.1.3. Process Analyst's Estimate

The need for a Process Analyst will vary from process to process. He or she will be required to consider the wider business impact, illustrated by the following generic examples:

- Will any new overheads be added, in terms of support, inter-department communication, manual support teams, etc.?

- Will there be any impact on end users (including both customers and external departments)?
- Will there be any additional material costs, such as paper and printer toner?

3.9.1.4. Test Analyst's Estimate

The Test Analyst needs to consider many factors when analysing the test requirement. These include:

- Elapsed time to work a case
- Number of target systems
- Test environment availability
- Size of process
- New Blue Prism actions
- New systems
- Number of write stages
- Number of business areas
- SLA's
- Process risk
- Scope of manual processing in the end-to-end process

3.10. The Process Analysis Document

The Process Analysis document is typically produced by a Process Modeller, outlining the broad scope, benefits, timescales, risks, likely costs, etc.

The Process Analysis documents provide a means of providing indicative costs/benefits/risks/timescales etc. to the requesting area. The Process Analysis also sets out the framework and assumptions under which a full design may be produced. The creation and approval of a Process Analysis is a key checkpoint for proceeding to formal scheduling of a candidate.

1.1.1. Initial Process Analysis

An Initial Process Analysis (IPA) document is produced for all candidates and its findings may indicate that a second, more detailed document, known as a Refined Process Analysis (RPA), is also required. Typically, a candidate where a lack of documentation or the complexity of host system integration has been identified as a key factor would trigger the need for an RPA. The full criteria for triggering a requirement for an RPA can be found within the IPA template.

1.1.2. Refined Process Analysis

An RPA is produced when an IPA indicates that more information is required to be able to properly assess the candidate process. Where appropriate, this information can be obtained from Business Process Walkthroughs and Application Assessments.

1.1.3. Business Process Walkthrough

A Business Process Walkthrough is a demonstration of the business process performed by a SME. Ideally this demonstration should combine the 'theory' of workflow diagrams and screenshots with the 'reality' of host system demonstrations. All available Process Documentation should be provided in advance of this face to face meeting.

1.1.4. Application Assessment

Where the IPA has identified new or complex technology in the host systems, an Application Assessment will be undertaken. This requires that the Blue Prism product is installed on a client desktop with access to the appropriate host systems. This will allow basic tests to be carried out in order to gauge the level of effort required to integrate with the host system.

1.1.5. Client Site Investigation

A Client Site Investigation is undertaken for all new and prospective Blue Prism clients. Much like an RPA, a Client Site Investigation incorporates a Business Process Walkthrough and an Application Assessment.

3.11. Analysing and Scoring Process Candidates

The pipeline is managed by the Automation Manager.

The key tool used to score candidates is the Process Scoring Template. The Process Scoring Template is a tool which assigns a numeric score based on those measurable criteria which are important to the business.

3.12. Prioritising and Scheduling Processes

Subjective considerations may also be taken into account which are not accounted for by the Process Scoring Template. The Automation Manager's view is considered authoritative.

The proposer(s) of a candidate must agree to proceed with (and where appropriate, fund) the project based on the Process Analysis document. Once formally agreed, the candidate is scheduled and placed on the Automation Tracker.

Notification of schedules is sent out to interested parties.

4. Automation Approach

The Automation Team liaises closely with both operational departments and with IT –

- Each of these areas can be a source of input to the Automation Team: new work, change requests, system changes, etc.
- Each has a governing input: approvals, priorities, power of veto, timescales, etc.

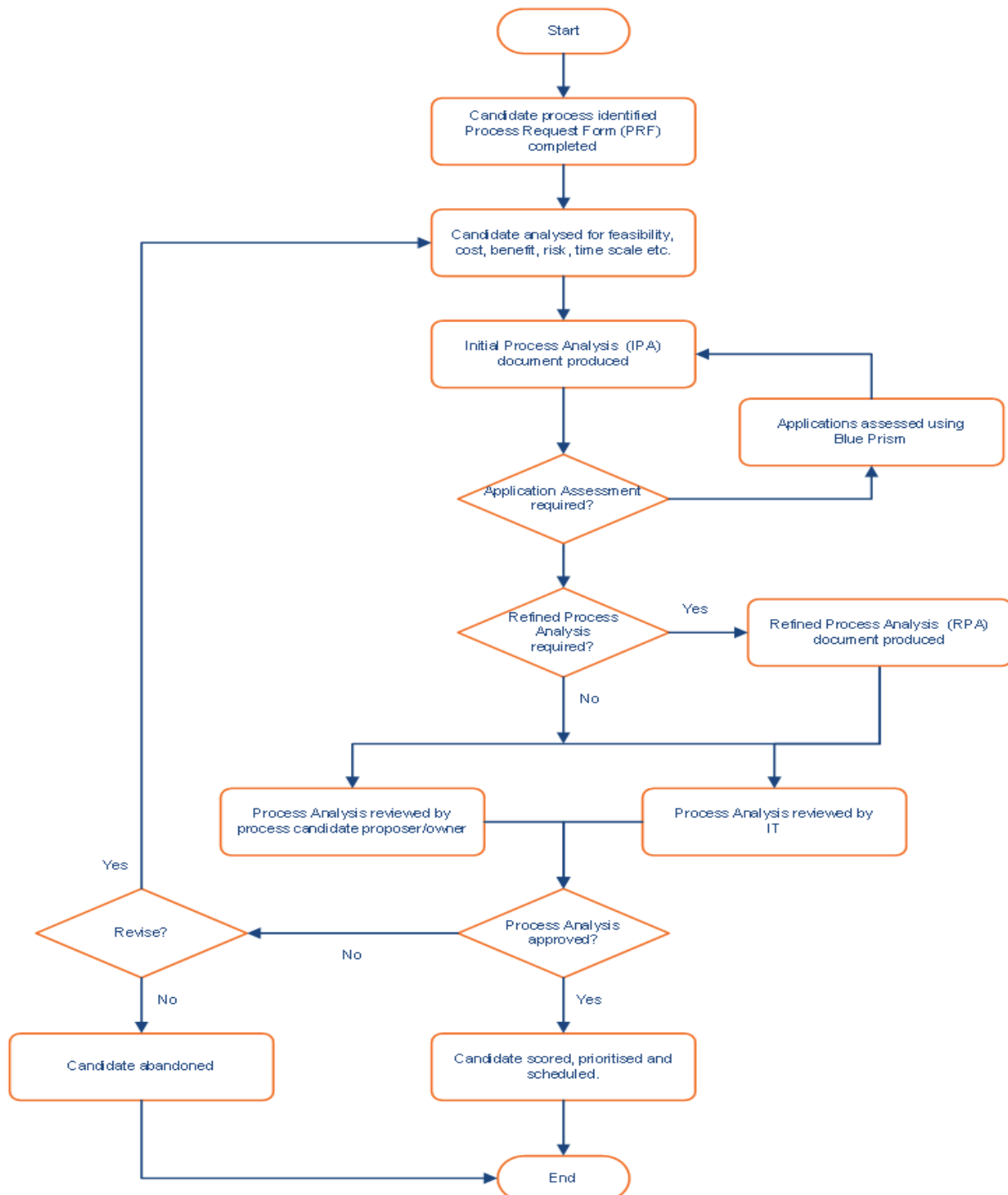
4.1. Structured Liaison

Because of this close interdependency and requirement for cooperation, it is recommended that the Automation Team facilitate regular review meetings between the supplier and stakeholder communities. The meeting should focus on:

- Review performance of operational processes
- Highlight forthcoming host system changes
- Approve new entries to the delivery pipeline
- Prioritise pipeline process deliveries
- Review implementation considerations of planned deliveries
- Agree delivery schedule
- Minutes and actions should be documented and issued to attendees and other interested parties.

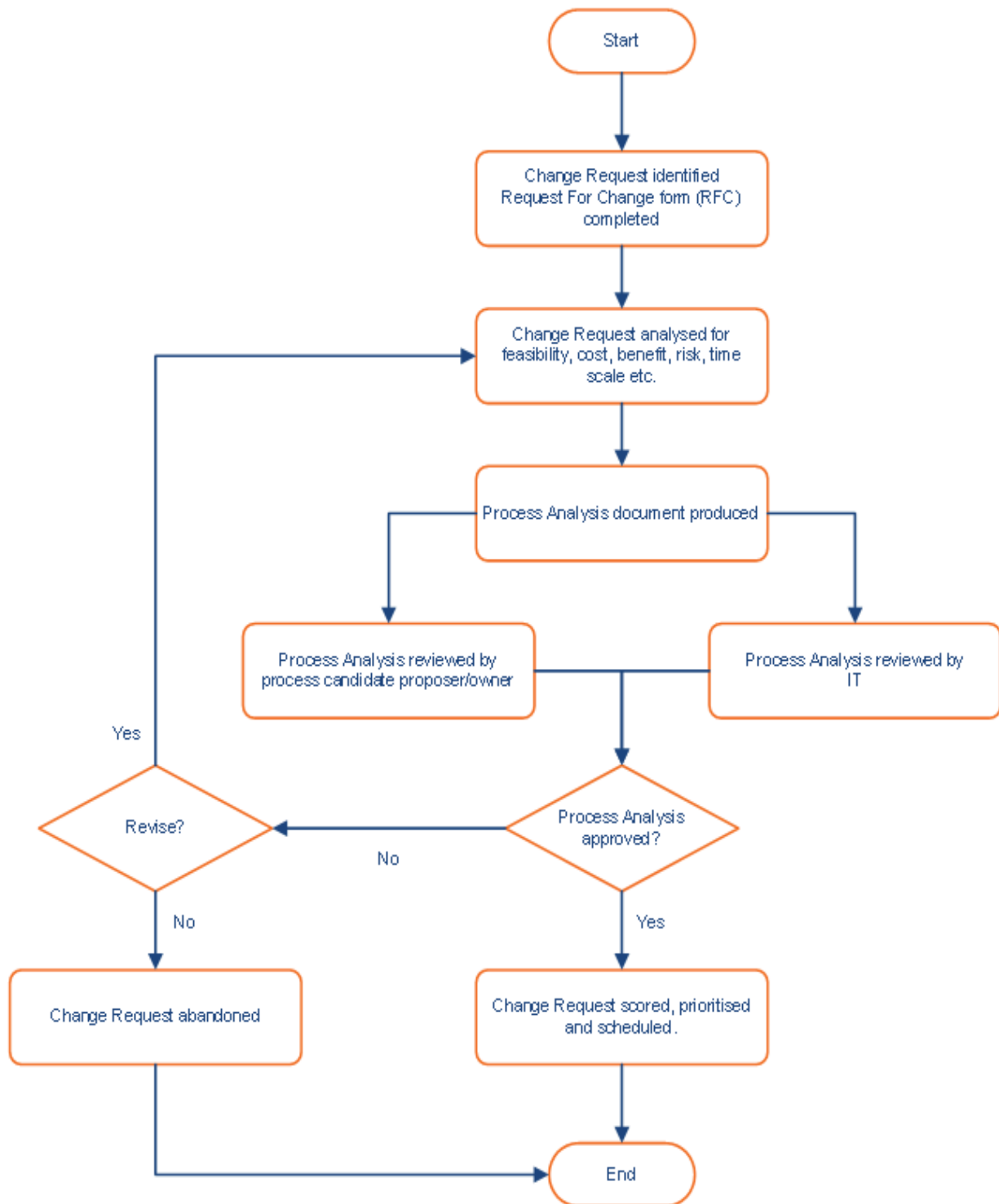
5. Appendices

5.1. Appendix 1: New Process Candidate Procedure

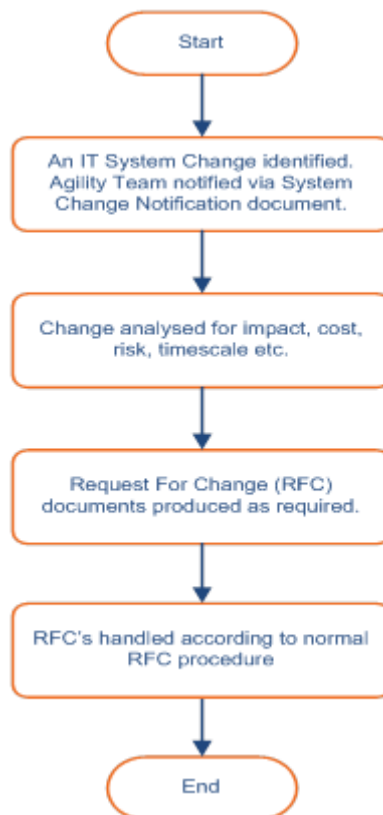


5.2. Appendix 2: Request for Change (RFC) Procedure

Requests for Change are treated exactly as new Process Requests.



5.3. Appendix 3: System Change Notification Procedure



5.4. Appendix 4: Outline Blue Prism Platform Upgrade Procedure

