

ACPA 7004 Introduction to Industry 4.0

Assignment 1 Written Report

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**Client file management and GDPR practice and
process review report**

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1.0 Abstract

This report has been generated due to the opportunities for change facilitated by the upcoming tender for the next Business Wales contract.

Research of process models has been completed to identify possible processes to support progressive change.

2.0 Introduction

The purpose of this report is to make recommendations to improve two business processes used in the SME client journey through the Business Wales contract delivered by Antur Cymru. Processes for review are:

1. Customer Onboarding – Process issues.
2. GDPR and customer information provision and methods of communication about services offered.

Recommendations will be supplied, through reviewing and applying Industry 4.0 methodologies and supporting research.

3.0 Current Processes

3.1 Process 1 – On boarding of clients

The current Business Wales contract was agreed in 2015 and was based on a paperwork trail for ease of use, auditability, and minimal, but manual cost. Prior to the Covid pandemic all paperwork was handwritten onto pre-printed forms, but as a direct result of the pandemic the organisation was forced into changing the process to word processing onto pre-printed forms.

This process is time consuming labour, intensive and leaves a negative impression with clients of their first encounter with the organisation, due to how long the first interactions takes. (Up to 1 hour).

First time users can contact Business Wales by phone to an 03000 number, SMS message or via an email contact form. Client details are added to a list of contacts for the Client Relationship Officer (CRO's) to contact – depending on volumes of contact requests this could be anything from 24 hours to 4 weeks.

The CRO accesses BAS (Business Accounts System) to generate a client number (BCR...), which allows the CRO to contact the client, who is required to answer a series of basic questions relating to personal information, demographics, business information and a business overview. The process can take anything upwards of an hour. This meeting generates 3 or 4 forms (BW's) that require the client's signature. Historically completed in person, now via DocuSign. Return rate is not fool proof depending upon antivirus at the client side, with some DocuSign not returned to ending up in the spam file.

The language used is heavily centred around government jargon and not client friendly e.g., the term "De Minimus Aid" is not a commonly understood term.

Registration paperwork is emailed to the client for a digital signature along with a copy of the Business Wales Customer charter (including Privacy Policy) and an overview of the services offered by the organisation.

When digitally signed by the customer the original paperwork and signed paperwork are all kept in a client file (between 6 to 8 forms, half are word documents, and the others are PDF's) on a One Drive.

At this point the customer is either referred to a workshop or a meeting with a Business Adviser.

Any errors in data collection, missing data, typing errors – may lead to failed contact from the organisation and potentially complaints through clients feeling ignored.

Files are, manually processed, stored alphabetically, and can only be accessed one at a time making it difficult to follow the client journey. Advisors trying to find clients have to search the one drive (Which contains files with names and postcodes) wasting time, trying to find the client being referred to, in referrals.

The system is not time efficient.

The system is not client focused.

3.2 Process 2 – GDPR and customer information provision and methods of communication about services offered.

At the time of registration Personal data is taken to facilitate further communication, but the data is not used for any other purpose because of GDPR, and the current forms completed to not ask if clients are willing to be contacted to be kept up to date with workshops etc.

Following up with clients is currently a manual process that is conducted on an individual basis, via telephone, when the CRO's are having a quiet period. This is not systematic, but a time filler.

This is a missed opportunity to communicate with clients about the opportunities of support available e.g., Business Wales ran a series of sustainability webinars without notifying any clients of the forthcoming event. Advisors are asked to push it out to any potential clients; however, this is if they remember or are not too busy to consider individual client needs.

A general update (newsletter) or specific information (targeted invite) to clients, would be more likely to reach and create an interaction from targeted customers.

When taking into account the amount of information on file, one more question could generate a potential new audience communication channel. E.g., Identifying whether the client would like to receive newsletters, specific course information (HR, Marketing, Exporting etc) or funding/grant information.

4.0 Suggested Actions and Industry 4.0 Methodologies.

With an array of Process Improvement models available there are many ways to progress the implementation for improvements to the process and the service.

For the purpose of this case the Spiral Model is recommended as methodology that would support delivery and process improvements by:

Identifying the Objective: To conduct a project to improve the on boarding process for new clients through:

Automating initial registration details.

Decreasing time spent by CRO and clients

Improving the customer journey

Risks analysis: Identifying and resolving risks

Cost.

Identifying Software that interacts well with the service provider and delivery partner.

Maintaining GDPR

Adoption of change by employees and organisation

Training and Development

Developing and Testing:

Testing various software that is able to perform the tasks required

Testing new (bespoke) software for performance and security

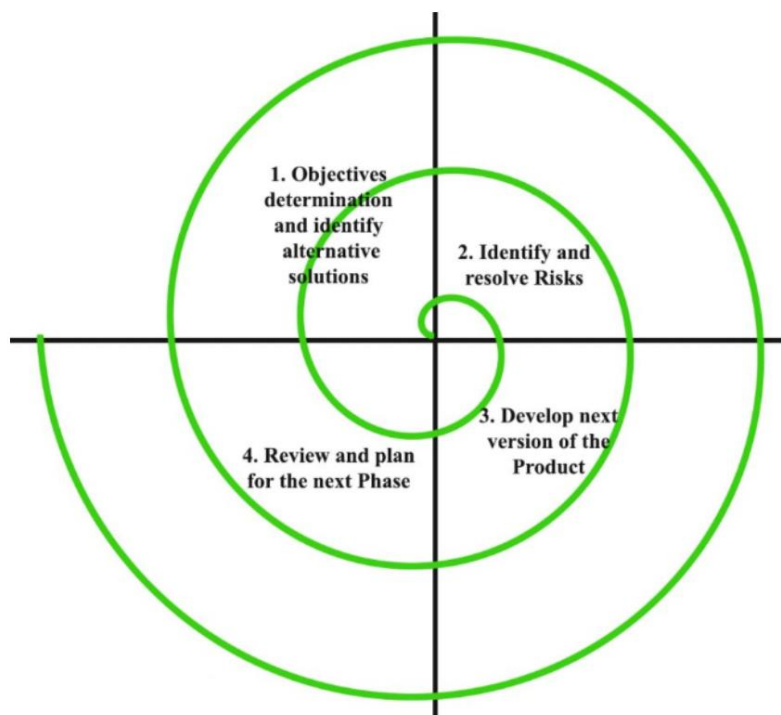
Implementation of test with sample customers

Review and Evaluate:

Review and evaluate any changes

Further Risks to cyber security or consumer GDPR or Customer Service

Performance and Process, People and efficiencies gained



[Spiral model - Google Search](#)

Other Process Improvement models available include:

- Waterfall method
- V Method

The main advantage of choosing the Spiral model over the Waterfall model in this case are:

- The Waterfall model is sequential vs The Spiral being evolutionary
- The Spiral Model is flexible vs the Waterfall Model being linear
- Every prototype is tested under the Spiral Model and refined throughout the process
- Risk is identified throughout the development process using the Spiral model unlike the Waterfall where risk is only identified at the end of the process
- In this instance the cost would not be prohibitive

Model Comparison to support use of Spiral Model

Comparison

Waterfall vs Spiral:

- The sequential nature of the waterfall model if a bug is found or an error is incurred for a preliminary reason, we need to start from the scratch again.
- Whereas, under spiral model every prototype is tried and tested and hence the chances of find errors at later stages are very rare.
- In spiral model, we can easily adjust the software development with the required changes.
- The prototypes which are created in every stage, enables us to roll back only a few steps.
- Waterfall model the stages are executed under a sequential flow. Every new phase is processed only after completing the previous phase.

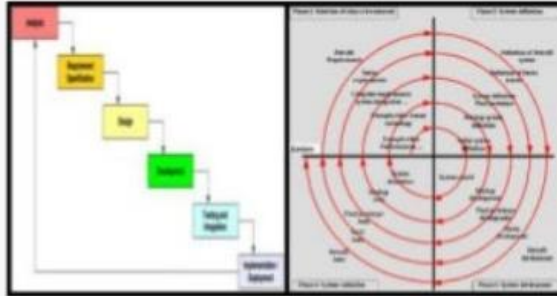
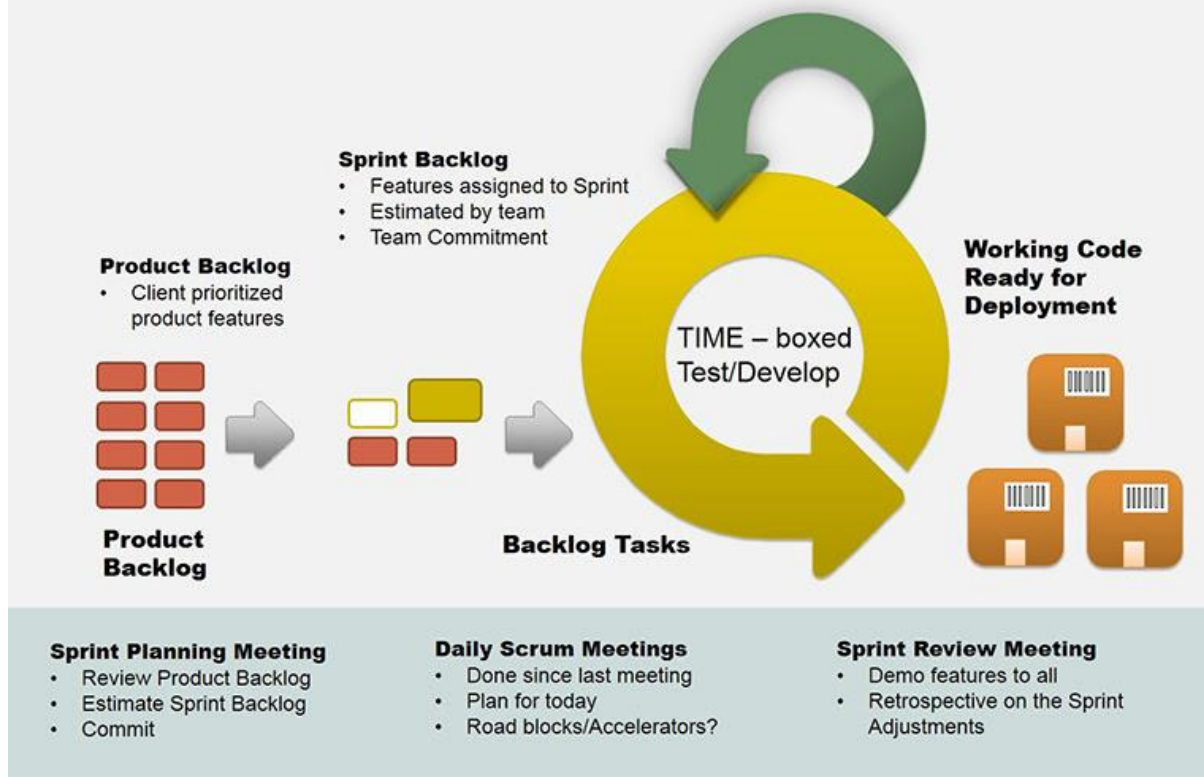


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5.0 Suggested Project Management System

To manage the process changes during the research, testing, evaluation, and implementation period, it is recommended that a project management tool, such as Scrum or Agile is used. Due to the technological/software changes that are recommended. An Agile tool would respond well to the flexibility needed to research and test potential software for security, functionality, customer focus and real time up to date interactions.

SCRUM / AGILE PROCESS



[Agile Methodology Template - Bing images](#)

6.0 Research undertaken in support of the suggested changes.

GDPR

As GDPR and other data privacy initiatives expand, your ability to respond quickly and transparently to customer questions about their data will be a testament to how your organization values and treats its customers, and a factor in retaining customer loyalty. (Smith, 2018)

Linkages

To get insight into the specific individual, you need to create links or keys across those records. Where those links are already established (e.g., a customer number) and stored in known locations, queries can retrieve those sets of data. Where they are not known or not consistent, record linkage (or identity matching) techniques must be applied. (Smith, 2018)

New Customers

As new customer information is collected and passed through varying information supply chains, the points of storage, the metadata trails, and other matching and linkage data can be collected and brought into such a customer hub as new content. With that data associated to individuals, your data stewards can: (1) Respond rapidly to customers' queries; (2) identify in which systems and through what process flows the data has passed; (3) provide reports quickly to the customer; and (4) identify where systemic corrections or possibly removal need to be made.

Wherever you decide to collect the information, though, you must ask how you can help your employees better service your customers. (Smith, 2018)

Language

In addition to the extraterritoriality requirement, another important aspect that is highlighted in the GDPR (2018) is the need for organizations to communicate with individuals **“in a concise, transparent, intelligible and easily accessible form, using clear and plain language”** (ZHANG, 2020)

According to a survey conducted by Deloitte (2017), only 9 percent of online customers read privacy statements before accepting legal terms and conditions. Although a fraction of the customers read privacy statements, the majority of online customers perceived that privacy statements presented in a standardized or readable format were more likely to offer effective privacy protection for their personal information (Milne *et al.*, 2006) (ZHANG, 2020)

Competitiveness

The technical innovations that are associated with Industry 4.0 offer the possibility of adapting existing business models or developing new ones. In addition, other companies can enter the market and influence the value chain. In order for business models to be adapted, the data must be stored in such a way that suppliers and manufacturers are functionally integrated into the value chain. The resulting integration into business processes is a prerequisite for new business models. (Muller, 2018)

Technological ability

According to Lusch et al., the growth of IT makes it possible to spread entire service provision networks [30]. The authors give seven reasons for this:

1. As IT evolves, microprocessors and intelligence are embedded in goods, transforming them into improved platforms for service delivery.
2. The further development of IT increases self-service capability.
3. The further development of IT increases the ability to serve others.
4. The need for transport is reduced by improving the ability to communicate.
5. By improving communication skills, the ability to know customers and suppliers' better increases.
6. By improving communication skills, direct interaction with customers and suppliers increases.
7. By improving the ability to communicate at low cost, coordination between companies becomes more efficient and accessible. (Muller, 2018)

7.0 Recommendations

Process 1 - Develop a project plan and to begin the research process to identify suitable software to reduce the time of manual onboarding and improve the customer focus aspects of the on boarding of new clients.

Process 2 – Develop a project plan to insert a framework to improve customer engagement with the addition of key questions to realise the organisations GDPR responsibilities whilst encouraging improved communications and ongoing journey of clients.

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