

SARS REQUEST FOR INFORMATION

PRODUCTION MANAGEMENT SOLUTION

BUSINESS REQUIREMENTS SPECIFICATION

TABLE OF CONTENTS

1. USAGE OF TERMS IN THIS DOCUMENT	3
1.1 References to Other Documents in the RFI pack.....	3
1.2 Glossary Table	3
2. BACKGROUND	4
3. APPLICATION ARCHITECTURE LANDSCAPE.....	5
4. SARS OPERATING ENVIRONMENT	6
5. REQUIREMENTS	6
5.1. Business Requirements.....	7
5.1.1. Solution Modules.....	7
5.1.2. Solution Benefits & Core Features	8
5.2. System Requirements	10
6. NON FUNCTIONAL REQUIREMENTS.....	11
6.1. System Support.....	11
6.2. System Performance	11
6.3. Application Maintenance and Support.....	11
6.4. Cost Containment.....	11
6.5. Governance & Security.....	11
3. ANNEXURE A – OPERATING ENVIRONMENT	12
3.1. SARS Strategic Intent.....	12
3.1.1. SARS Mandate.....	12
3.1.2. SARS Strategic Objectives	13
3.2. SARS Organisation	14
3.2.1. Introduction	14
4. SARS Overview of Business Processes.....	15
4.1. Background.....	15
4.2. Business Process Inventory (CRM cases).....	15

SARS RFI 07/2021

Business Requirements Specification

PRODUCTION MANAGEMENT SOLUTION

This RFI document sets out the business requirements that SARS has for a '**Production Management Solution**', which must be taken into account by the Vendor/Supplier in compiling a proposal.

1. USAGE OF TERMS IN THIS DOCUMENT

1.1 References to Other Documents in the RFI pack

RFI Main Document

1.2 Glossary Table

The capitalised terms in this document appearing in the glossary table below will have their corresponding meanings. The Vendor/Supplier is referred to the RFI Main Document for the use and meaning of capitalised terms generally in the RFI pack.

Term	Meaning
SP	Service Provider
EDM	Enterprise Data Management
RFI	Request for information
IIB	IBM Integration Bus
IIS	Internet Information Services
API	Application Programming Interface

2. BACKGROUND

In SARS, the concept of “production management” is highly fragmented and not fully enabled across the Enterprise. The multiple business units in SARS employ limited production management concepts, with no enterprise wide technology solution, leading to a non-standard and un-coordinated production management and planning methodology across the enterprise.

The SARS 2024 approved Strategy aspires to building “a smart modern SARS, with unquestionable integrity, trusted and admired”. To this end, SARS is pursuing an effective enabling technology solution to orchestrate the production planning and resource scheduling of all Enterprise resources toward the following purposes:

1. The effective workload management and scheduling of work assignments, tasks, and or processes to address SARS CRM case load, generally referred to as “business inventory”.
2. Compliance to prioritised and scheduled tasks and activities.
3. The effective enabling of production planning and workforce management should culminate in transparent performance accountability of productivity and other configurable results within the SARS hierarchy.
4. Against specific SARS employee skills, capability profiles or other configurable criteria, allow for the orchestration of resource deployment and a scheduling plan within the SARS hierarchy, for example, an employee level, team level, group level, business area level, etc.
5. Irrespective of the channel or source of SARS work, for example, online, mobile, walk-in, business systems, and or traditional Contact Centre telephonic voice engagements, the solution must enable the function of production planning and workforce management through the end to end value chain of each business process.
6. Accommodate a hybrid organisational structure within the production planning and workforce management solution with the seamless integration of business processes irrespective of employee geographic work locations.
7. Enable the correct and consistent application of production planning standards, practices, methods, or approaches.

3. APPLICATION ARCHITECTURE LANDSCAPE

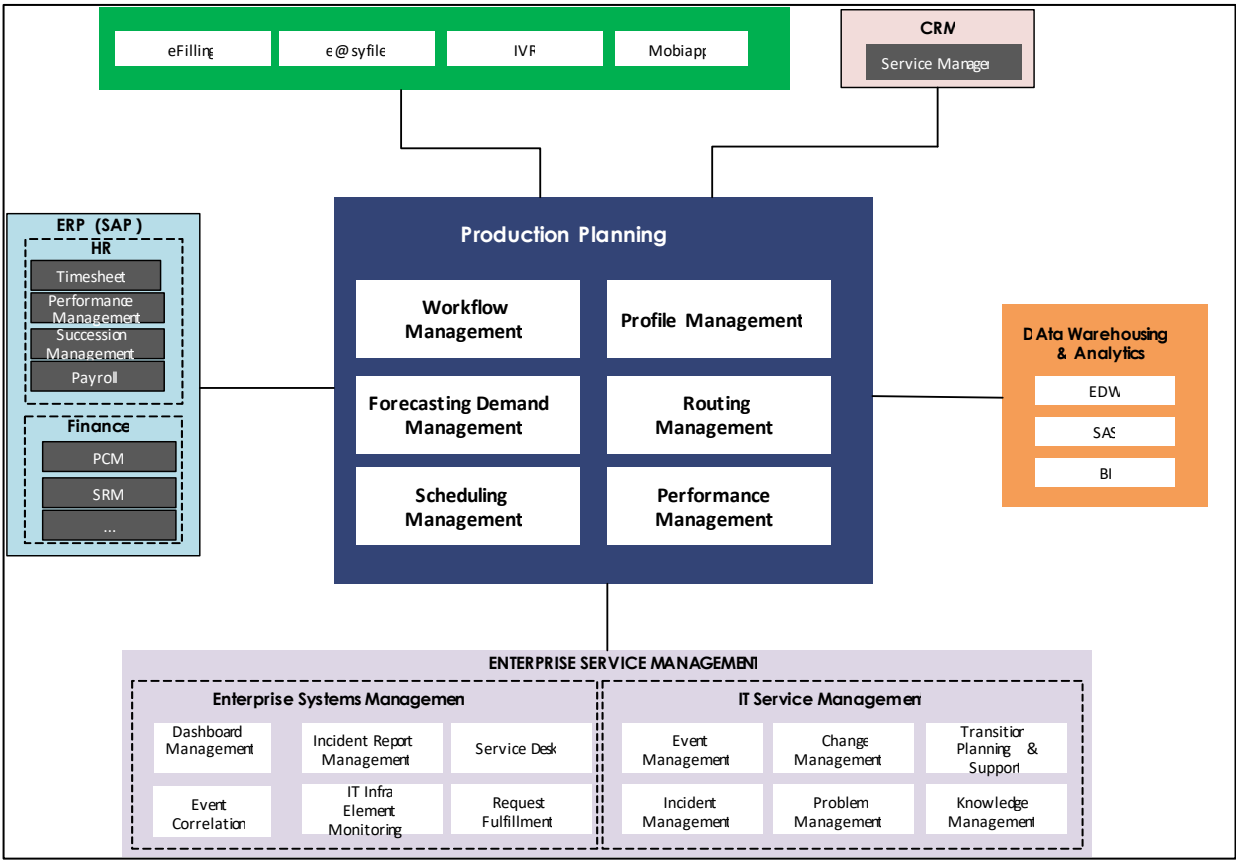


Figure 1: Application Architecture snapshot

SARS operates in a heterogeneous environment, with different solutions supporting different lines of businesses. The solutions embody multi-vendor technologies. This includes but not limited to home-grown systems, vendor system applications which are deployed using different technologies.

The customer facing systems are largely running on x86 windows stack with back-end systems running on UNIX, Linux and mainframe (Z/OS) stacks. These systems are however not Islands, and are thus integrated to work cohesively, using IBM Integrated Bus, .Net Internet Information Service as well as appropriate vendor APIs.

The new solution sought should therefore be able to vertically and horizontally integrate with the existing SARS systems, as depicted in figure 1 above.

Caveat: The list of systems above are not exhaustive.

4. SARS OPERATING ENVIRONMENT

The SARS operational environment overview is provided in Annexure A.

5. REQUIREMENTS

The SARS production planning and execution environment is considered a complex environment with a hybrid of Administrative Back Office and Customer Facing “front office” functions. Therefore, the technology solution must facilitate the optimisation of the SARS workforce through accurate matching and alignment of configurable workplace competencies, skills, etc. with configurable priority based workload demands irrespective of the source, channel of work, or business process.

The solution must have the core capabilities to “orchestrate” the strategic and operational stewardship of resources aligned to this “R4” principle, i.e., R1 – Scheduling the Right work or task type, R2 - assigned to the Right and competent resource, R3 – to be executed at the Right Time, R4 - which leads to a triggered response to client expectations tracked and measured, which is both timely but also compliant with SARS internal policies and procedures, standards, and performance accountability. In support of the identified business needs, SARS requires an integrated production planning and workforce management solution, which seamlessly integrates within the SARS hybrid organisational structure. (Refer to the SARS Operating Environment – Annexed).

5.1. Business Requirements

5.1.1. Solution Modules

Figure 2 refers; as a baseline requirement, the technology solution should conceptually provide the following high-level “Capability Modules”.

PRODUCTION & WORKFORCE MANAGEMENT SOLUTION "MODULES"											
PRODUCTION PLANNING MODULES				→	EXECUTION MODULES						
1	Workflow management	2	Profile management	3	Forecasting Demand management	4	Routing management	5	Scheduling management	6	Performance management
The purpose is to manage workflows that systemically drive business processes between users and business areas.		The purpose is to define and manage system profiles in a centralised and secure module.		The purpose is to manage forecasting demand & supply cost toward service.		The purpose is to generate, deploy and manage production plans.		The purpose is to provide enterprise visibility of deployed production work schedules.		The purpose is to provide enterprise real time and historical visibility of user and business performance measures.	
FUNCTIONAL CHARACTERISTICS											
1. Real time configurable modules.											
2. Current GUI design and UX trends.											
3. Real time integration with SARS business systems.											
4. Real time and historical visibility.											
5. Anytime, anyplace (web & mobile) accessibility.											
6. Artificial intelligence											

Figure 2: Conceptual Technology Capability Modules

A. Workflow Management

- To manage production business processes through configurable and real time workflows that systemically drive the processes between business areas and users.
- Create, edit, activate, or deactivate workflows that drive business processes and sub processes.

B. Profile Management

- As a centralised administrator, the ability to create categories of workers, worker profiles, worker access levels, and worker skills assignments.

- Integrate with existing enterprise security business solutions.

C. Forecasting and Demand Management

- Apply various forecasting algorithms, including other configurable business based “experience” parameters to generate multiple what-if analysis, staff- and budget-planning forecasts.

D. Routing management

- The ability irrespective of source or channel and via flexible rules, automate prioritising and route work based on specific business rules and or policies. Routing work items may be based on source channel, work type, priority, client or employee profile or skill set, employee availability ensuring the need to advance the R4 principle.

E. Scheduling management

- To arrange the deployment of staff against predefined production schedules with a specific start and end time of a work period. Such scheduling is conformant to specific Internal Policy and South African labour law legislation.

F. Performance monitoring

- Provides comprehensive real time reporting and operational dashboards, enabling transparent hierarchical insights into operations bottom up and top down. This provides input to the Forecasting and Demand Management module.

5.1.2. Solution Benefits & Core Features

The solution must address and resolve the following shortcomings to the benefit of the organisation:

A. The SARS Enterprise (Executive levels)

- Standardised and configurable accounting for production planning best practices and associated performance.
- The SARS organisational business units are uniformly enabled by a standard

technology with supporting best methodologies, processes and practices.

- Created transparency to plan, deploy, leverage, measure and improve the end-to-end production management environment.
- Enable achieving conformance to the SARS Enterprise Capacity and Performance Activity Based Measurement philosophy.
- Enable faster reaction times to support SARS' operational events and business calendar as it relates to production planning.
- Measurable deliverables to build and account for a smart modern SARS.
- Transparent visibility of productivity planning, the effective and efficient implementation of production plans, coupled with the ability to monitor, track and measure adherence at various hierarchical levels of individuals, teams, groups, functions, locations, and management/ leadership levels, i.e. enabled by visualisation tools such as dashboards and displays.

B. The Bridge Planning Teams (Strategic levels)

- Achieve the R4 principle to prioritize the flexible planning and execution of the right work process thus ensuring work or task priorities are honoured against client and enterprise business expectations, e.g. today's vs. ageing or backlog workload.
- Channel agnostic, forecast workload and resource capacity planning.
- Reduced cost of SARS production by increasing resource efficiency, e.g. the dynamic real time administration as different end users of the production system.

C. The Operations Management Teams (Tactical & operational levels)

- Improved buy in and accountability of the production planning value chain.
- Inculcate and enhance a production management and high performance culture.
- Continuous enhancement of the production planning value chain in exceeding Service delivery commitments.
- Automated command chain escalations informing them of deviations (positive or negative), with the functionality to engage directly with employee, team, group, etc. to resolve below standard performance areas.
- Provide real-time performance comparisons between various business areas of interest to manager and direct/indirect work.
- Configurable command chain work flows that require noting, decision making

recommendations, etc., e.g. production forecast plan recommended and approved.

D. The SARS Employee (Production execution level)

- The ability to observe real time performance visuals of self, team and or groups, for example: time worked since login, inventory completed, incomplete inventory, real time peer comparison, projected inventory completion based on current throughputs, downtime percentage, etc.
- Motivate employees, peer groups thereby promoting responsibility, ownership, meaning and accountability.
- Observe the value chain production process, e.g. bottlenecks.
- Understanding the performance management gaps and coaching opportunities.
- Determine process time standards and the breakdown of production activities.

5.2. System Requirements

A Web-based solution with the ability to integrate into existing SARS business systems, namely a proprietary CRM solution, data warehouse solutions, SAP ERP systems, etc.

- Capacity to support +11, 000 end users across the current South African geography of nine regions, i.e. The SARS workforce footprint.
- Appropriate load balancing, back up and disaster recover capabilities.
- Full functional reporting services across the enterprise which integrates into a data warehouse on a real time and historical basis.
- Web based reporting services providing standardised templates that are customisable by an end user for unique requirements.
- Integration capabilities with other software, for example SARS proprietary CRM solution, proprietary core systems, SAP (HR & Finance), proprietary web based solutions, data warehouse solutions, etc.
- Real time administration and amendments to production planning and scheduling of the production agenda, to enable intra-day operability.
- Reduced manual administration of system, i.e. pursuing flexible automation of production planning of productivity work and staff schedules.
- Provision of auditing log files & reporting service.

6. NON FUNCTIONAL REQUIREMENTS

6.1. System Support

It is SARS' expectation that the Supplier/Vendor of the solution will form partnership with SARS. The vendor/supplier should provide maintenance and support services of the system.

6.2. System Performance

Depending on the solution provided, SARS would like to understand how the supplier/vendor handles and ensures that SLA's, system availability, stability etc. are handled and realised depending on whether the solution hosting is on premise, cloud, and/or hybrid.

6.3. Application Maintenance and Support

The Supplier/Vendor will indicate what will be the SARS in-house resource requirement to support and maintain the solution for an implementation the size of SARS.

6.4. Cost Containment

The Supplier/Vendor to indicate what functionality is included in the solution that will provide SARS with the ability to govern the usage/costs effectively.

6.5. Governance & Security

The Supplier/Vendor must indicate what capabilities and related flexibilities are provided within the proposed solution to govern and secure the solution and ensure compliance to the SARS enterprise governance framework and security policy.

3. ANNEXURE A – OPERATING ENVIRONMENT

3.1. SARS Strategic Intent

3.1.1. SARS Mandate

SARS fulfils its primary legislative mandate (The SARS Act, 1997) through a Compliance Programme that aims to engage society in a way that earns public confidence and trust, while fostering a willingness to fulfil its obligations.

Our aim is to engage with society in a way that earns public confidence and trust, i.e. voluntary compliance refers to society fulfilling their obligations with minimal prompting by SARS, as illustrated in Figure 3.

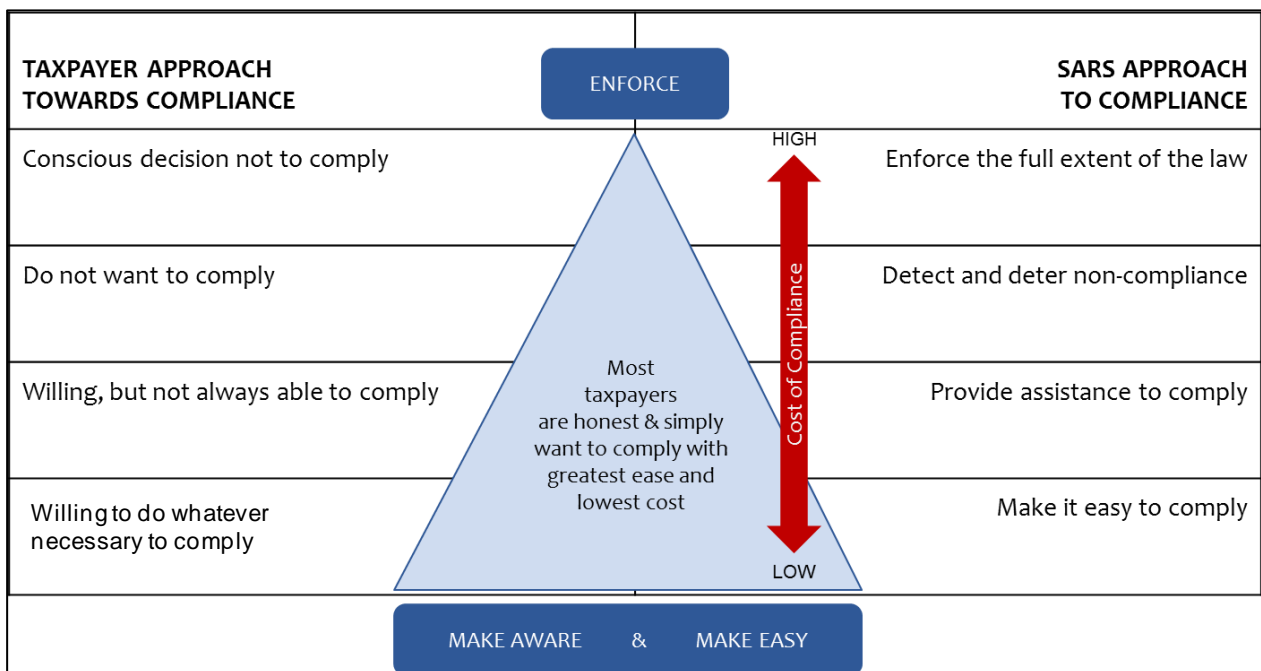


Figure 3: Compliance programme

3.1.2. SARS Strategic Objectives

In support of our mandate and to give effect to our compliance philosophy, we have identified and committed to achieving nine Strategic Objectives in Figure 4 to guide and inform our efforts and decisions and focus our resources over the course of this planning cycle.

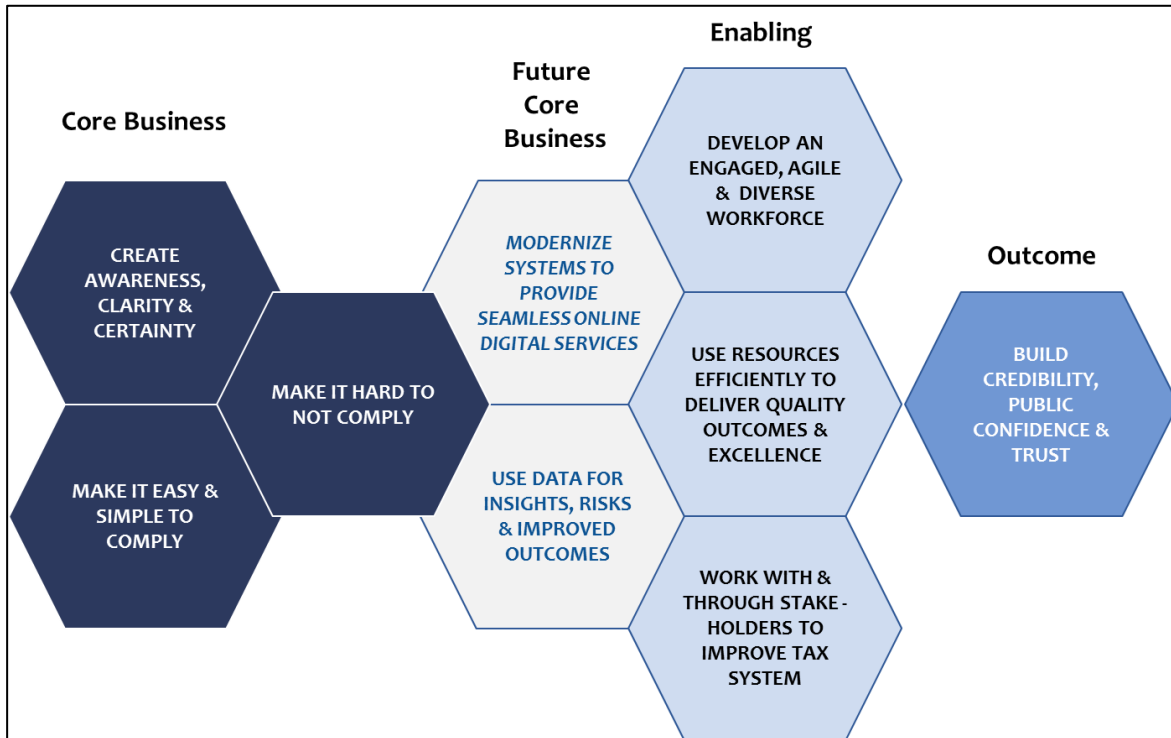


Figure 4: Strategic objectives

Further insights to the SARS strategic positioning is available on the [SARS Corporate Website](#).

3.2. SARS Organisation

3.2.1. Introduction

To successfully achieve SARS strategic objectives, it is vital that limited resources (finance, people, infrastructure, etc.) are organised in the most efficient and effective structure. During the latter half of 2019, SARS embarked on an organisational change from a central to a hybrid structure of decentralised and centralised structures as shown in Figure 5.

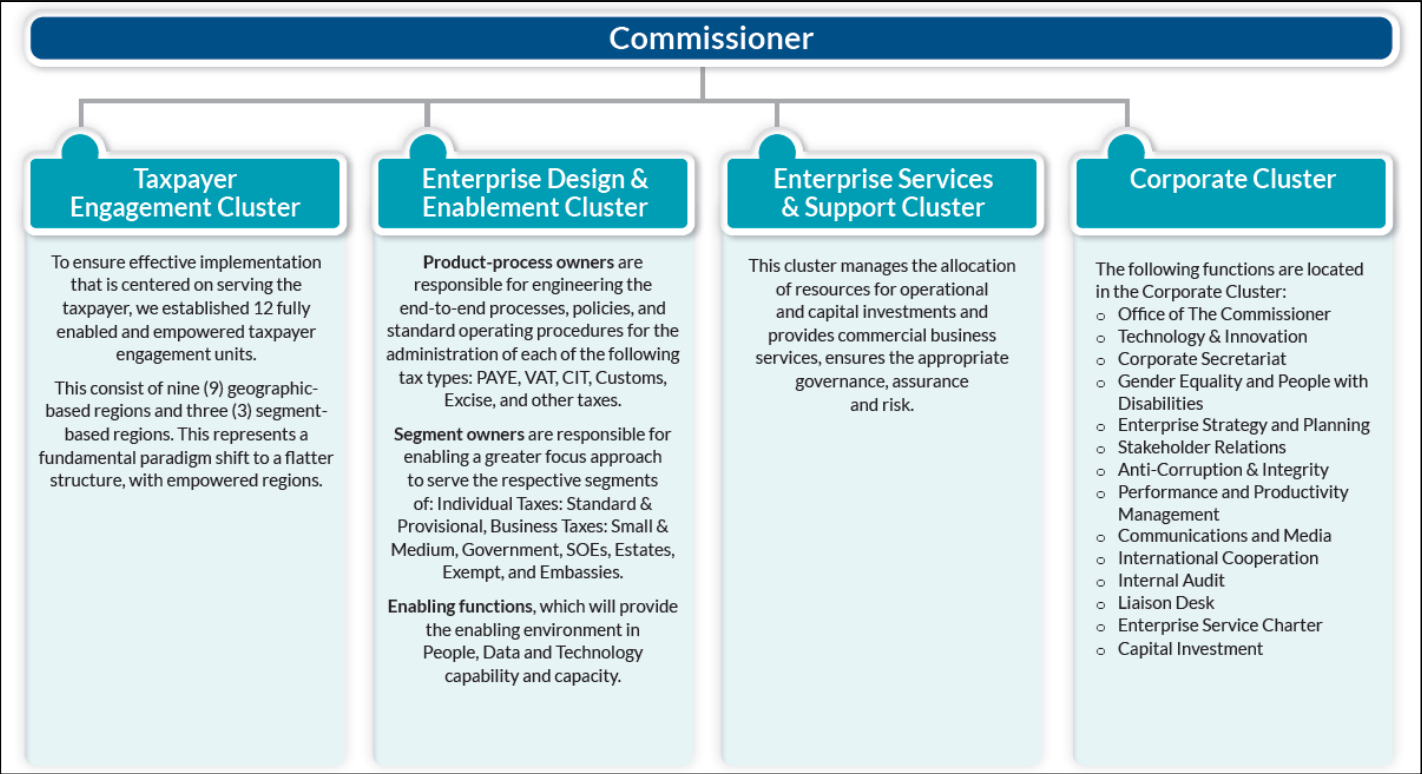


Figure 5: SARS Organogram

4. SARS Overview of Business Processes

4.1. Background

During the course of 2009, SARS implemented a proprietor Customer Relationship Management (CRM) solution primarily for front offices. Over time, the design intent evolved into a single sign in interface for all operational employees, which also further developed to incorporate back office type functional areas, e.g. taxpayer accounts management, audit, estates, etc. The CRM solution named 'SARS Service Manager (SSM)' has been developed based on various business processes where unique case numbers are created along with the associated process workflow mechanism to ensure completion of each customer case. In principle, CRM cases are created for each customer interaction, whether initiated by:

Customer registrations.

- Customer compliance activities, i.e. submission of returns, e.g. via Digital channels of eFiling, Mobi-App, etc.
- SARS, i.e. audit cases, e.g. specific risk based outcomes.
- Customer inquiries, i.e. service channels, e.g. branch offices, call centres, mobi app, etc.

4.2. Business Process Inventory (CRM cases)

SARS business process cases (case inventory) can be created by employees (end users dependent on accessibility) or by 'SARS' via a 'Case Selection' business area or systemically by the CRM solution dependent on the customer channel, e.g. eFiling, Branch, etc. Importantly, a business process may be unique to a specific business area, or a process workflow can be shared by different business areas or a process workflow can require different business areas for resolution. The following paragraphs & tables provide a few examples in explain these scenarios, i.e.

- Process created from different customer channels
- Process created internally by the case selection business area
- Process requiring multiple business areas to complete

- Process shared across multiple business areas

Table 1 provides process type examples that can be created within different channels, e.g. systemically (eFiling) or Branch employee, which are typically resolved by an Accounts Maintenance business area employee.

Process Categories	Process Types	Process Business Buckets	Case Title	Task Type	No of Tasks in Business Areas
					Standard Ops: Account Maintenance
Accounts	Request for VAT Missing Payment	Missing Payment VAT	NULL	NULL	1
	VAT Payment Adjustment	Payment Adjustment VAT	NULL	NULL	1

Table 1: Example 1 business process

Table 2 represents a process systemically created arising from risk identification (Case Selection), which can be resolved by an employee in the Specialised Audit business area after completing various case tasks, e.g. Enforce Review and Plan, Enforce Summons, Enforce Execute, Audit Finalise (VAT).

Process Categories	Process Types	Process Business Buckets	Case Title	Task Type	No of Tasks in Business Areas
					Central Ops: Specialised Audit
Audit	Assurance /Investigative Audit	Limited scope CIT	CIT Limited Scope Audit	NULL	1
		Limited Scope PAYE	PAYE Limited Scope Audit	NULL	1
		Limited Scope Trust	Trust Limited Scope Audit	NULL	1

Table 2: Example 2 business process

Table 3 reflects an Audit process that requires multiples business areas to action before the case can be completed.

Process Categories	Process Types	Process Business	Case Title	Task Type	No of Tasks in Business Areas
--------------------	---------------	------------------	------------	-----------	-------------------------------

		Buckets			Central Ops: Digital Channels	Standard Ops: Compliance Audit
Audit	Operations Audit	Operations PIT	NULL	Ops Audit Finalise		1
				Ops Audit Manual Evaluation		1
				Ops Audit Manual Evaluation Approval		1
				Ops Audit Send to ITS		1
				Ops Audit Send to Residual Risk Engine		1
				Ops Audit Tax Calculation		1
				Ops Audit Telephonic Engagement	2	

Table 3: Example 3 business process

Table 4 provides a process type that is shared across multiple divisions, i.e. the 'Request for Account Balance' adopts the identical process workflow irrespective of the business area.

Process Categories	Process Types	Process Business Buckets	Case Title	No of Tasks in Business Areas
				Shared Workflow: Multiple divisions
Services	Request for Account Balance	Request for Account Balance	Account Maintenance Related - Statement of Account	7

Table 4: Example 4 business process

END.