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Building a Process

Create consistency of purpose for the improvement of product and service, with the aim to become competitive, stay in business and provide jobs. – Dr. Edward Deming

To understand process improvement requires you to think of all processes within the organization linked together as a system. Each process is tied to other processes through inputs and outputs, all for the purpose of providing service and products to our members.

What is a process? A process is a series of steps/tasks that when combined produces an output (result). It includes the business tasks, by role, required for the organization to respond to an operational event with a defined beginning and end.

How to select your process

Does the process provide significant value when measured against the Vision, Mission, Values and Value Proposition?

You want to ensure that the process is a “value-add” activity and by documenting and measuring the process your area will provide significant value to the organization. Many times a process is selected because it is a “pain point” and there is hope documenting a
process will make the pain go away! That is a logical assumption. But, ensure the process will add value from an Organizational perspective as well.

Surprising at it sounds, you may begin the journey of building a process only to find out there is really no clear purpose (outcome) for the work and you may find out you should stop doing the activity at all.

Ask yourself, “Would the membership feel any loss of value if this activity went away?”

Defining, deploying, measuring and improving a process can require significant effort; you will want to ensure your process improvement choice is worth it! Will your efforts be a good use of organizational resources?

**Checklist: Is it a process?**

- ✔ How will this effort provide a measurable contribution to ECU?
- ✔ The work effort appears (at this time) to have a natural start and stop? (You don’t want to reinvent the universe by making it too big)
- ✔ You can locate where the work effort would naturally reside on the Enterprise Process Map (See Step 2 in this document – Define the Process)
- ✔ Key stakeholders will be supportive and cooperative (other departments will be willing to help)? If not, what needs to happen before I start?
- ✔ I have identified the process owner. This individual has moderate to high level of influence, time and interest in ensuring this process will be completed once started? (Remember, we are talking about cultural change. Can you see this process through to the end? Do you need help or approval? If not, then who can?)
- ✔ The overall cycle of this work effort is measurable and manageable (shorter cycle processes are easier to capture and measure)?

**Define the process**

*What is the result of your process? What is your objective? Where does your process fit in the “System” of organizational processes?*

For much of the Credit Union, processes had not been documented. In late 2009, Elevations built an Organizational View of desired processes. This Enterprise Process Map
now provides a high-level architecture to ensure a unified, common perspective of Process Categories and processes, which belong in those categories.

This is continuing to grow and change as Elevations continues to mature into a process-based organization. Currently, the Enterprise Process Map represents Leadership processes (Governance processes which define our approach to our work such as Strategic Planning), Value Stream processes (how we design, sell and deliver our services and products), and the Enabling Value Stream processes (critical support process which help us deliver value to our members such as Opening and Servicing Accounts).

Define where your process best fits within organization

When you choose your process, ensure that you know where it belongs within the “System” of other Credit Union processes. Refer to the Enterprise Process Map located the Knowledge Management SharePoint Site.

You should be able to locate the Category where your process belongs. This will also help you define the START and STOP of your process.

Your process should ultimately serve the organization (the system), not just your functional area. By consulting the Enterprise Process Map, you will minimize the possibility of redundancy with other processes and assure others your process can provide an input and an output to other processes in the System.

Ideally, your efforts should only focus on processes for which you can clearly see a link in on the Enterprise Process Map.

Here is an example of processes linked together that each have a stop and start and reside in different categories on the Enterprise Map: Open a Consumer Loan, Underwrite a Consumer Loan, Process a Consumer Loan, Close a Consumer Loan and Store Loan Documents.

Determine the level (hierarchy) of your work effort

When you define your process, be sure you are rigorous in determining the granularity (level) of your process before you begin. This also impacts your start/stop decisions. Processes can be deceiving when you begin. It is possible to start either too granular or too conceptual without a little planning.
Process Group: A group of processes within a common category

Process: The sequential business activities, by role, required for the organization to respond to an operational event with a defined beginning and end.

Sub-process: Defined work effort with recognizable Start/Stop that can be broken down to the activities— it is always part of a defined and dependent process

Desk Level Procedure: A sequential set of “how to” tasks that closely follow the activities of the related process.

Process Hierarchy Example

If your sub-process hierarchy has not been developed, you may need to draft one. As you start to understand your sub-process better, this draft may change.

**TIP:** it is recommended that you draft the higher level process prior to developing a “sub-process.” See [Step 4 (Building a SIPOC)](#) which will help you with this effort.
Checklist to help define your process:

1. Why do you want to build or improve this process? What is your objective?

2. Locate where you believe your process lives on the Enterprise Process Map.

3. Determine the hierarchy of your process? Is it a Process Group, a Process or a Sub-Process?

4. Are you working on developing highest level processes before sub-process? It will be much harder to work on sub-processes without processes.

5. Check the granularity of your efforts – ensure you are not building a procedure! Remember, a process is usually less detailed than a procedure. A desk-level procedure details the exact way a process is to be executed and provides step by step instructions for executing the process.

6. Try to determine the start and stop for this process. Although this may change once you start your effort, it is helpful if you have an idea before you begin.

3 Build a Process Team

Who cares about this process? Who will ensure it gets done? Who knows a lot about the process? Who receives the results of this process?

Build a Process Team

✓ 3 to 5 people when you start – which may grow to 6 or 8 as you proceed

✓ Users of the process (who perform the tasks in the process)

✓ Customers of the process (who use the outputs, products or services of your process)

✓ Subject Matter Experts (who understand the topic)

✓ Process Owner (the driver)

✓ Process Champion (member of leadership who can support and guide team)
Roles for Team Members

✓ Process owner (builds team, plans meetings, ensures progress)
✓ Facilitator (leads discussion)
✓ Scribe (records and distributes meeting notes and next actions required)
✓ Stakeholders (concerned about the results – guide, listen, lead, assist)
✓ Subject Matter Expert (knows the topic or has special knowledge impacting the process such as Accounting or Compliance)
✓ Documenter (captures actual process – sticky notes, flowcharts, etc)

Plan your first meeting

- Plan the first meeting for at least an hour, preferably 90 minutes
- Build and pre-send agenda for the meeting
- Depending on the experience of the team members – you may want to ask them to review specific items prior to the meeting such as this workbook and/or the Enterprise Map.

Lead your first meeting

- Share your purpose and expected outcomes for the meeting
- Share your initial thoughts about the definition of the process and ask for input
- Share the Enterprise Process Map and indicate where you think this process fits, ask for input
- Get familiar with the SIPOC tool (see Step 4) - find out who has already used the tool, ask for their help in facilitating or teaching you
- Explain the types of roles needed on the team and ask for volunteers
- Explain to the team the steps you are planning for moving your process forward. The BPM Tracker is a great outline for explaining next steps to the team (see Section 3, Chapter 1)
Map the process

How does your process provide an input or an output for another process in the System? What is the expected result?

Map your process using a SIPOC

Always plan your process prior to flowcharting (in alignment with the BPM Tracker). This is essential. Elevations Credit Union has adopted a common process mapping tool known as a SIPOC.

This is an acronym for Supplier, Inputs, Process, Outputs and Customer.

S – Who provides you what you need?

I – What do you need to produce an outcome?

P – What are the high-level (only 6 to 8) steps in your process?

O – What do you produce?

C – Who needs what you produce?

Additionally, when you review the SIPOC you will see “Objective.” This is a short, concise sentence describing why you perform this process! What is the expected outcome? Example: Process - Post Journal Entries, Objective - To ensure accurate posting of journal entries.

The most challenging but very rewarding part of your SIPOC will be the section called “Requirements.” The requirements are short statements explaining the expected measurable results if you deliver your process successfully!

Example: Minimize end-to-end cycle time for providing a Mortgage to a member.
See Appendix section in this document for an example of a SIPOC.

TIP: As the Elevations journey toward process-based management has evolved, the first process team learned how to design a process by building a SIPOC for making a Peanut Butter and Jelly sandwich.

If you are working with a new team, use the PBJ exercise as a warm-up!

Build a SIPOC with your team

Facilitation Tips:

✓ Brainstorm! Encourage everyone to participate by ensuring them there is not a “right” answer. Every idea moves the team toward better understanding of what the process steps are – and/or should be in the future. Stay open-minded and be willing to have candid and open conversations.

✓ Stay flexible! There is not a proper sequence for completing a SIPOC. Additionally, if the team gets stuck, it can be helpful to move to a different place on the SIPOC to keep the energy and ideas flowing. If you are the facilitator, start in the place you feel most confident or comfortable.

✓ SIPOC Stew 😊 - Many teams have found that after the first SIPOC session it can be useful to let it simmer for a few days! When the team comes back together to review the first draft, there is usually more clarity and a decent amount of refinement. You may find you get better results if you let the SIPOC simmer.

How to capture your SIPOC?

✓ Sticky notes! Provide team with a printed copy of the SIPOC template so they can follow along. Write the letters (S-I-P-O-C) on sticky notes and place them on wall or table. Build your SIPOC by capturing ideas on notes and placing them on the wall or table under the appropriate letter. The advantage to this method is flexibility and fluidity and ease in starting. The disadvantage is that you will need to transfer the sticky notes to the SIPOC template when you are done.

✓ Migrate your SIPOC content into the “Details” section of your Blueworks Live (BWL) flowchart

Contact your BWL Special Forces team member (trained functional area process expert) for assistance with this. The process documentation requirements in BWL are defined in Section 3 of this workbook.

Hint: Once you are experienced, you can start your SIPOC in the BWL tool rather than sticky notes.
**Name your process** – Process Names should start with a verb that describes the outcome/purpose of the process (Manage, Deploy, Design, Support, Define, Create, Complete, Process, Open, Close, Perform) and then add the subject (Bond Claim, Leasing, Employee Training, Mortgage, Share Account)

**Number your processes** – Please closely follow the Enterprise Process Map:

<table>
<thead>
<tr>
<th>Category</th>
<th>7.0</th>
<th>Manage IT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process Group</td>
<td>7.7</td>
<td>Deliver and Support IT Services</td>
</tr>
<tr>
<td>Process</td>
<td>7.7.1</td>
<td>Support IT Service/Solutions</td>
</tr>
</tbody>
</table>

**TIP:** Develop your SIPOC – it will be the best hour spent in your process efforts!

<table>
<thead>
<tr>
<th>Supplier</th>
<th>Inputs</th>
<th>Process</th>
<th>Outputs</th>
<th>Customers</th>
</tr>
</thead>
<tbody>
<tr>
<td>Who provides what you need?</td>
<td>What is needed?</td>
<td>How is it done?</td>
<td>What is produced?</td>
<td>Who needs the product?</td>
</tr>
<tr>
<td>List the people or organizations outside of your process scope who provide an input to the process prior to your process beginning</td>
<td>List what your Suppliers are providing to you in order for your process to begin or proceed.</td>
<td>List (below in boxes) the high level steps or actions you take to deliver your product or service in order to complete the process.</td>
<td>List the products or services that your process produces</td>
<td>List the person or organization outside of the process scope who receive the output of your process at the completion of your process</td>
</tr>
</tbody>
</table>

**TIP:** Ensure you have a clearly defined objective! A shorter, precise objective is best!

The **Appendix** section of this document also has a sample of a **SIPOC**.

5 Are you ready to Document your Process?

_Can you stop after a SIPOC? What is your purpose for further developing your process? Do you intend to measure your process?_

Your next tasks ensure you are prepared for developing your process. Before you start capturing your process with a flowchart (which is important and time consuming), you want to be certain you are prepared.
Determine if you are ready to develop your process:

This checklist is designed to help you recognize some of the hurdles for building and improving a process. Taking time to resolve some of these concerns saves you time later when you are ready to integrate the process into “real work” of the Credit Union.

1. Determine if your needed "input" processes exist or are identified; if not, ensure that this will not impede your ability to move forward.

2. Identify any other gaps/issues related to stabilizing process; do you need cross-department cooperation to flowchart or implement the process; will there be potential changes in tasks or job assignments, etc. Are you trying to properly segregate and/or align work that will be performed differently?

3. Analyze impact of these issues and resolve most important concerns prior to proceeding – ensure you start an open conversation about desired changes.

4. Document/discuss with the team your goals for building the process. Are you capturing the “as is” state of a process or are you building the process based on how you would like the process to work going forward? Be careful not to combine the two paths!

5. Determine if your goals/objectives can be measured, you won’t want to design a process that cannot be measured (Section 2 – Improving your Process will guide you in establishing measurements, for now, keep it simple – how would you prove your process is effective and/or efficient?)

6. Plan for including and informing key stakeholders (don’t go it alone).

7. Obtain Management approval to move to Deployment (starting with flowcharting).
Flowcharting

Wow! What a powerful tool. Are you ready to really dive in and move this process closer to implementation?

Flowcharting is the best tool available for really understanding your process and ensuring it will work!

Benefits of Flowcharts:

- Identifies who performs which steps
- Forces steps through to completion
- Visual! Much higher impact than a paragraph of text
- Possibly can replace a lengthy word document
- Easier to follow the path of the work
- Demonstrates the input and output processes (IMPORTANT! Where does the output of your process tie?)

Elevations’ software for flowcharting is IBM Blueworks Live (BWL). This is a very user friendly program which works well even for beginners! It is a web-based program for which Elevations owns User Licenses administered through EPEx. You can view a sample Flowchart in the Appendix section of this document.

Getting started

If you are not experienced with flowcharting:

- Find someone who is! Ask your department’s Special Forces representative for assistance.

If you want to gain flowcharting skills:

- Inquire with your department’s Special Forces member or with EPEx
- Inquire with Special Forces representative for access to the self-directed tutorials and tools provided by BWL flowcharting software
Getting the flowchart completed

If it is easier, you may want to enlist the original team that built the SIPOC to assist with building the flowchart. Most all of the tips and techniques provided in Step 4 – Map your Processes are useful for building a flowchart.

You will want to organize a facilitated session preferably with the BWL software projected on screen or wall to ensure all team members can see the flowchart as it is being built. Since the software is web-based, you can use any conference room equipped with networked computer and a projector.

Where to store your completed flowchart

✓ Your flowchart will be captured in BWL following the same naming and numbering conventions outlined in Step 4 – Map your Process.

✓ EPEEx has established standards for storing your documents in the BWL library. See Section 3 of this workbook for detailed information.

✓ If you are provided with a user log-on, you will be required to attend a BWL training session. Currently, licenses are held by Special Forces representatives.
If performance isn’t being measured, it isn’t being managed.

Managing performance requires understanding of the desired performance expectations of the organization so you can tie your processes and performance to the goals of the organization.

How do you manage performance? Be thoughtful in selecting what you choose to measure because what you measure gets done. Ensure you are asking for what you want – faster, slower, quality, quantity, effectiveness, efficiency? What do you really want?

What should you measure?

Does the measurement provide significant value in achieving the Vision, Mission, Values and Value Proposition?

What is a Metric?

A metric is a clear, quantitative, objective measure to assess performance in a particular area or progress towards an enterprise goal.
Metrics are at the heart of our member-focused processes. Metrics are the platform for our continuous improvement. Metrics assess your ability to meet your members' needs and ECU’s business objectives.

If metrics are functionally based (silhouette effort) they only optimize the performance of a department or functional area. Unfortunately, this is often at the expense of both the member and overall organizational performance. Process metrics should measure what is ultimately most important to Elevations’ overall success.

Typically, metrics fall into a couple of categories 1) outcome metrics and 2) in-process metrics.

**Outcome metrics** are high-level measures of what you are doing. They assess your overall outcomes of the process performance and are usually tied to your outputs, customer requirements, and business needs for the process. Example: What is the member’s overall satisfaction with the mortgage process?

**In-process metrics** are measures that help you understand how well your process is performing. These tend to be internally focused and may be diagnostic providing insight into each step or milestone within the process. They are associated with internal process tasks and/or how inputs are received and managed. Example: How many mortgage applications are declined and for what reason?

Although helpful, just defining your process is not adequate for improving performance. You must measure performance. What is the purpose of your process? What are your outputs? Who are your customers?

**Example:**

**Process:** Recruit, Select and Onboard new employees

**Purpose:** To ensure we recruit and retain highly qualified and diverse workforce, intended to enhance staffing effectiveness.

**Customer:** Hiring Manager

**Organizational Goal:** Achieve Workplace Excellence
Examples of enterprise performance metrics:

<table>
<thead>
<tr>
<th>Percentage of employee turnover</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average longevity of employees</td>
</tr>
<tr>
<td>Percent of employees successfully meeting job requirements within 90 days</td>
</tr>
</tbody>
</table>

Examples of process performance outcome metrics:

<table>
<thead>
<tr>
<th>Percentage of hiring managers satisfied with the process at the completion of each new hire (perhaps measured by survey)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total costs of the process &quot;Source, recruit and select&quot; per new hire</td>
</tr>
</tbody>
</table>

Examples of in-process metrics:

<table>
<thead>
<tr>
<th>Cycle time in days from identification of need to hire to approval of job requisition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cycle time in days from job acceptance to beginning of new hire in position</td>
</tr>
<tr>
<td>Number of vacancies filled by internal candidates during the last calendar</td>
</tr>
<tr>
<td>Number of days to respond to applicant</td>
</tr>
</tbody>
</table>

There will never be a shortage of “what to measure” items. The most important question is then “WHY would I measure.” Ensure your measurements align with the Requirements of your process and more importantly desired RESULTS.

Which is the most important metric? There is no single, correct metric, and focusing on just one will likely yield poor results. The key is developing the critical set of metrics that guide, measure, and prioritize activity to optimize impact on strategic objectives.

Simple Metrics to consider

MEMBERS or INTERNAL CUSTOMERS

- Performance against Internal Customer Expectations - Effectiveness
- Member Loyalty - Effectiveness
PERFORMANCE

- Cycle times (how long does it take) - Efficiency
- Product and service quality - Effectiveness
- Cost performance – Efficiency
- Number of errors per X - Effectiveness

SUPPLIERS

- Performance of suppliers against your requirements - Effectiveness

EMPLOYEE

- Employee Engagement - Effectiveness

Given a complete, or at least an adequate set of current measures (you and team can judge the completeness of the measures), you need to ask yourself if these measures are driving you and your team to “do the right things” and “do things right” while adding value to the organization.

Create metrics that are SMART

Create metrics that are Specific, Measurable, Actionable, Relevant, and Timely = SMART

"Specific" = target what you really want to know!

For example, if you want to improve member loyalty, ask for specific feedback about the member experience on a regular basis rather than measuring your service based on customer complaints. Lack of complaints is not a measurement of satisfaction.

"Measurable" = can you collect data that is accurate and complete?

Establishing a metric that is too difficult to obtain data serves no purpose.

"Actionable" = based on what you measure, you can improve the results.

Build in the possibility for success! For example, you would not want to measure the member’s satisfaction with ATM cycle time if you cannot improve the speed of your current technology. The exception would be if you are “benchmarking” to baseline your understanding of your process to prepare for significant re-design.

"Relevant" = Measuring requires time, ensure your metrics matter and have potential to significantly improve results.

"Timely" = Are you able to measure, obtain the data and provide the feedback relatively quickly? The compressed timeframe for measuring and receiving the data allows you to analyze the cause/effect impact of actions with greater precision.
Tips for developing metrics

- Develop metrics that measure the right thing. Be careful not to measure people in a way which forces them to act in a way contrary to the best interest of the business to simply "make their numbers."

- Develop “just enough” metrics to improve performance, don’t create excessive overhead and red tape.

- Develop metrics that are simple - If they require too much explanation and definition, extensive data collection and difficult translation – they are likely to fail. Easy-to-understand metrics make it easier for the team to “buy-in” and have a stronger impact on the process and the people who implement the process.

Considerations for measuring

- Ensure your metrics are aligned with processes upstream and communicate results which have an impact to linked processes.

- Determine the appropriate cycle for measuring? Weekly, Monthly?

- What is the most efficient and effective way to collect the data?

- Determine how you will manage the data you collect.

- Determine how you want to view the data. Example: To see a trend over time, build a graph with “time” along the "x" axis and your “performance” measure on the "y" axis.

- Establish which metrics results senior management will want for the Enterprise dashboard.

- Consider adding the metrics to your flowchart to ensure metrics remain stable.

How to improve results?

A journey of a thousand miles must begin with a single step. – Lao Tzu

Benchmarks

In your SIPOC, you identified your customers and their expected outputs of your process. You also determined your customer needs/requirements. Additionally, you have defined the purpose and objective of your process. You have aligned your metrics to achieve your expected outcomes. Now it is time to put the metrics to work to improve performance!
For a measurement to have value, it must have a benchmark for performance. A benchmark is a baseline or a standard by which you will compare your performance. A benchmark can be established many ways:

- Use your current level of performance
  
  Example: Cycle time is 27 days

- Use an industry standard
  
  Example: 25% of members have at least two products with their primary financial provider

- Use the Member Requirement
  
  Example: Members on average want to spend 30 minutes to open a new account

Ensure your benchmark is timely and relevant! For example, you would not want to select a benchmark from last year’s industry standards to measure this year’s performance. With a benchmark established you can now baseline and compare your performance results.

**Baseline Performance**

In your SIPOC, you identified your customers and their expected outputs of your process. You also determined your customer needs/requirements. Additionally, you have defined the purpose and objective of your process. Once you have launched your process (with metrics) - you will now have your baseline measurements! You are now able to compare your baseline performance to the benchmarks you selected. The difference between your baseline performance and your benchmark is the **GAP**.

If your performance needs improvement when compared to the benchmarks, you can begin to analyze your process to determine where there are potential performance opportunities.

**Avoid:**

- Changing too many process steps at one time
- Making a change too quickly without analyzing the impact upstream or downstream (quick fix)
- Making a change and “changing the change” (tweaking) without fully understanding/measuring prior to changing again
- Not “weighting” the importance of metrics on overall performance and making small changes that do not result in significant change (biggest bang for buck)
15 Potential Areas for Process Improvement!

1. Activities that fix errors
2. Unnecessary hand-offs or complex communications between roles
3. Unclear gateways (decisions or conditions)
4. Activities that perform statistically outside the norm or standard
5. Inefficient flow (parallel vs. sequence, order of steps, loops to eliminate)
6. Activities performed by inappropriate person
7. Authority is ambiguous
8. Areas with too much or too little management control
9. Activities with unclear role assignments
10. Reduce activities with backlogs
11. Activities that do not add business value
12. Reduce activities to reduce waste
13. Reduce or eliminate effects/errors
14. Reduce or eliminate frustration
15. Eliminate activities that cannot answer the question “why do we do it” at least 3 times

Since the journey of a thousand miles must begin with a single step ... start stepping in the direction of improving your process – today!
“If you can’t describe what you are doing as a process, you don’t know what you’re doing.” – Dr. Edward Deming

Business process management is a holistic management approach to aligning an organization’s business processes with the wants and needs of members. It promotes business effectiveness and efficiency while striving for innovation, flexibility, and finally integration with technology.

At Elevations we use the BPM Tracker to capture our status on process and IBM Blueworks Live (BWL) for flowcharting. Both tools allow us to ensure consistent use of the BPM methodology.

**BPM Tracker**

*Get ready for the fun part! Announcing to your peers your progress!*

**Document your progress!**

Your hard work should be captured in the BPM Tracker which is posted on the Knowledge Management SharePoint site. Please contact EPEX or your Special
Forces team member and request an update or audit of all the tasks you have completed. See Appendix section in this document for an example.

Start with your “Category Process Map”

The Category Process Map is a listing of the individual processes within the scope of that functional area. Use the Enterprise Process Map to understand where the category lives and how the processes within your category support the organization (the system). For example:

- Processes under category 10.4 Knowledge Asset Governance include Manage Business Knowledge Changes and Manage Business Knowledge Lifecycle

- Both processes enable the value stream by supporting efforts to Manage Enterprise Improvement.

Under the corresponding tab for your category, use column A in the tracker to numerically organize the processes within your category map. List the names of the processes in column B.

Enter the name of the Process Champion in column C. This individual is a member of the Senior Leadership Team. He or she is responsible for defining the targets for the metrics you will use to measure the effectiveness of the process, for enforcing use of the methodology to create the process, and for enforcing consistent use of the deployed process. The Champion can also assist when a process crosses functional areas and there are issues needing resolution.
The Process Owner is listed in column D. This individual leads the shared responsibility with the process team to ensure process is designed and deployed following the BPM Tracker as well as monitoring the process performance.

Completing the process “Progress Schedule” – BPM Tracker

The Progress Schedule is comprised of 19 tasks required to successfully deploy a validated process. An additional 7 tasks are used to monitor the effectiveness of the process in meeting its objectives and pre-defined targets.

Indicate the status of each task by coloring the box green, yellow, or red:

<table>
<thead>
<tr>
<th>Issue Impeding Progress</th>
<th>Complete</th>
<th>In Progress</th>
</tr>
</thead>
</table>

The information on how to complete the tasks outlined below is discussed in the previous chapters of this workbook.

Tasks in the BPM Tracker

Designing

✓ **Validate the Enterprise Process Map** – Identify where your process “lives” on the Enterprise Process Map. Understand if it’s a Leadership Process, part of the Value Stream, or Enabling the Value Stream. Be sure to add the process to your category map in BWL!

✓ **Establish Core Team** – Determine who should participate in the development of the process. See Chapter 3 of this workbook. Enter the names of the individuals who participated on the team in the “Experts” section of the SIPOC activity box within your flowchart.

✓ **Intro Team to BPM** – Ensure your team understands the concepts in this workbook of how to build a process and their roles and responsibilities as team members.

✓ **Define Objective for Process** - Identify the purpose of the process. Why do you do this work? What are you trying to accomplish with this process? Enter the objective in the SIPOC activity box within your flowchart.

✓ **Determine Key Inputs & Outputs (SIPOC)** – Identify the inputs needed for your process to be successful and the outcome which is produced when you process is deployed. Enter the inputs and outputs in the SIPOC activity box within your flowchart.
✓ Document High Level Process (SIPOC) – Determine the high level steps in your process. This task ensures all members of the Core Team are viewing the process the same way and understand the process START and STOP.

✓ Refine Requirements (Ensure they are Measureable) – Identify the conditions or outcomes required as part of your process. Make sure you will be able to evaluate your effectiveness in meeting the requirements by using either in-process or outcome metrics. Enter the requirements in the SIPOC activity box within your flowchart.

✓ Validate SIPOC with Stakeholders – Communicate the SIPOC to your stakeholders. Receive confirmation that the SIPOC is accurate and process development may begin. Enter the names of the individuals, and the process category they represent, who served as stakeholders in the “Experts” field of the SIPOC activity box within your flowchart.

Developing

✓ Ensure “Input” & “Output” Processes Exist or are Identified – Determine the status of these processes. Are they deployed? Have they been validated by the stakeholders? Is deployment of your process dependent on the stability of these input and output processes?

✓ Establish Flowchart Team & Owner – This team will develop the flowchart (process map) in BWL. It may be the same individuals who comprise the Core Team or possibly some individuals from the Core Team with additional stakeholders, etc. - Whoever is required to successfully map out the process.

✓ Build Swim Lane Flowchart – Develop the process map in BWL. Include links to all inputting and outputting processes identified during the “Ensure Input & Output Processes Exist or are Identified” activity above.

✓ Identify & Remediate Gaps/Issues (Training, Technology, etc.) – Enter the gaps/issues into the related activity box in the “Details” of your process flowchart under the “Problems” tab. Enter the name of the person on the Core Team who is responsible for resolving the issue and enter a description about the gap/issue this person will be working on. Change the color of the activity box to “red.” Determine if system updates will be required by IT to deploy the process or if training is needed to educate employees on their role in the process. Communicate your requirements to address these gaps.

✓ Validate Flowchart with Stakeholders – Ask your stakeholders to review the flowchart created in BWL and confirm they agree with the process mapping. Enter the names of the individuals who served as stakeholders in the “Experts” field of the SIPOC activity box within your flowchart.
Stakeholder validation is the cornerstone of BPM. It can’t be rushed. It’s important to use this time to make sure your stakeholders understand and accept the process. Be thoughtful about this step.

✔ Obtain Champion Review and Approval – Communicate the results of your process development to the Process Champion. The approval process may differ for each group. It may be based on the complexity of the process or your existing reporting practices to your department’s SLT member. The communication needs to be adequate enough to ensure you are ready to move to the next step in the BPM Tracker.

✔ Establish Work Plan for Implementation (Training, Procedures, Communication) – Identify and develop the related documentation (knowledge assets) required to implement your process (procedure, form, letter, etc.). Determine the level of training required and any documentation required for training. Identify the communication methods you will use to inform your users about the process.

✔ Review and Clear “Red Boxes” in Flowcharts – Address the gaps/issues previously identified in the activity above. As the issues are remediated, remove the “Problem” listed under the activity box. Change the color of the activity box back to “blue.” Sometimes “red boxes” cannot be immediately resolved. Having red boxes in your process does not mean the process cannot be deployed. However, it’s important to develop an action plan to address the issue.

Deploying

✔ Determine How and What you Want to Measure – Based on the process objective and requirements identified during the Designing phase, determine the specific metrics you will capture to measure the effectiveness of the process. Determine how you will gather the data and how often you will present the results (monthly, quarterly, etc.) Consider both in-process and outcome metrics. Refer to Section 2 – Measuring and Improving a Process for information on identifying metrics.

✔ Beta Test Process/Refine – Work with your stakeholders to test the process and any related documentation (procedures, forms, etc.). Confirm the process is accurate, the procedures are easy to follow, and all required information and supporting documentation is correct and available. Enter the names of the individuals who tested your process and related knowledge assets to the “Experts” field of the SIPOC.

TIP: Ask someone who will be using the process/procedure once it’s deployed to test the process. The Training Department is another great resource for testing!

✔ Deploy Process – Congratulations! You have a Stakeholder approved process. Implement your Work Plan established in the Developing phase. Submit any knowledge assets created for publishing to Reference Desk through the knowledge management governance review process.
Monitoring

✓ **Capture Measurements** – Follow the review cycle established in the *Deploying* phase. Collect, analyze, and provide visibility of your metric results to the process stakeholders. The publishing of results can be formal (Enterprise Dashboard) or informal (example: simple check sheet or use a spreadsheet). The goal is to ensure tracking of results and open communication with stakeholders to understand how the process is working.

✓ **Review and Stabilize Metrics** – Confirm the metric results you are capturing are measuring the effectiveness of your process. It may take time and several rounds of “Capturing Measurements” to determine if you are looking at the *right data* to show what’s truly happening in your process.

Improving

✓ **Determine if Performance Improvement Required** – Evaluate the metric results. Is the process effective in meeting organizational goals or the requirements established by the Process Champion? If not, use the metrics to identify where the issue is occurring. Is it within the process? (In-process metric) In the process result? (Outcome metric). Is it due to staff not following the process or having the proper documentation to understand their role, etc.?

      TIP: Be mindful about changing the process too soon after deployment. Evaluate trends in the metric results to ensure you are addressing a process problem and not reacting to a specific situation.

✓ **Document Expected Impact of Improvement (Metrics Expected)** – If the process requires changes, identify and document the issue to be resolved and the expected outcome. A good place to capture your proposed change is within your SIPOC/Details Tab/Documentation. It is important to think through the expected changes. Committing your thoughts in writing and sharing it with others helps to ensure the proposed changes are valid.

✓ **Evaluate Change Impact with Stakeholders** – Discuss the changes you are considering to the process with your stakeholders before making them. Notify stakeholders of the expected result of these changes. Identify impacts to linking processes and work together to resolve any issues.

✓ **Evaluate Change Impact to Metrics and Dashboards** – Determine how you will confirm the desired result has been achieved and what metric you will use to verify the process changes are working. Identify any impacts to your stakeholder by changing metrics. Is anyone using your metrics to report on the results of their processes? Will changes be required to your dashboard or to stakeholder dashboards?
Re-Designing Processes

If changes are required to any of the SIPOC fields, to the swim lanes or activity boxes within the flowchart, to any of the knowledge assets used by your stakeholders, or to metric reporting then YES – you need to do a run through the BPM Tracker when making the changes.

Meet with the Core Team to discuss the issues and ensure the process objective, requirements, inputs, outputs, measures, etc. are still correct. Modify the process as needed and validate the changes with your stakeholders. If you are making changes to the flowchart in BWL, create a copy of the existing deployed process and update the new process tag to “Re-design.” Be sure to re-test the process and update any related documentation impacted by the changes.

IBM Blueworks Live (BWL)

The process laboratory! BWL is where Special Forces representatives, who are licensed users, capture process documentation including SIPOCs and flowcharts.

About BWL
BWL is a “cloud-based” process modeling tool. Individual user licenses are purchased on an annual basis and administered by the EPEx Department. Each Special Forces representative is assigned a user license. He or she may elect to share the license with other department users; however, the Special Forces representative (as the licensed user) is responsible for ensuring other users follow the BWL standards outlined in this chapter.
Roles & Responsibilities

EPEx - Administrators

- Control system administration, licensing, library/space architecture, Enterprise Process Map, numbering convention, BPM methodology oversight, assist BWL users on proper use of software and BPM

Special Forces

- Responsible for the process content within his/her own Category on the Enterprise Process Map. Must ensure content and process design adheres to BPM methodology and tracking requirements. Controls rights to use license assigned by EPEx.

Space Identification – Categories within the Enterprise Process Map

Within the library, the directory structure for BWL requires a “space” to be established in which processes are captured. For ECU, these spaces have been identified and are managed by the Administrators. Do NOT add new spaces to the library or modify existing spaces. If needed, new spaces will be added and existing spaces modified by the Administrators.

Process Naming/Numbering

Each process has a name and a numerical identifier. These must be manually entered when designing (starting) a process in BWL.

**EXAMPLE:** 5.7.1.3 Closing a Consumer Loan

- The first number references the category on the Enterprise Process Map.
  - 5.0 Manage Account Serving and Transactions

- The second number references the sub-category on the Enterprise Process Map
  - 5.7 Lending Services

- The third number is a unique placeholder identified by the owner of the process category
5.7.1 Lending Services Processing

- The fourth number provides additional refinement identified by the owner of the process category. In this case, the process is the third listed under Lending Services Processing.

5.7.1.3 Closing a Consumer Loan

The numbering requirements for the first and second numbers are managed by EPEEx as they relate to the Enterprise Process Map. Any numbers beyond these two are managed by the Special Forces representative for that category.

Each process must also be named. To remain consistent, ECU follows a naming convention. This convention starts with a verb describing the objective of the process and is completed with a “subject.”

**EXAMPLES:** Remediate Deficiencies, Reconcile General Ledger, Prepare Board Report

Version Control

BWL software continually updates and stores your work. Version control is managed by the software and does not require any special notations such as dates or “V2.” Please do not add any additional information to the process name. If you print a PDF hard copy of your flowchart, the date is automatically printed on the document. Additionally, you can use the “snapshots” feature to return to a previous version of the process if you prefer not to retain the changes.

Flowchart Standards

**SIPOC First!**

Within your flowchart diagram, use the first “activity” box to capture your SIPOC. Label the box “SIPOC” and fill with the color yellow. By right clicking on the activity box, you will locate the Details tab. The following fields must be completed:

- Objective – *Start here*
- Business Owner – *one person who matches up with the Process Owner in the BPM Tracker*
- Suppliers

---

**Flowchart Standards**

**SIPOC First!**

Within your flowchart diagram, use the first “activity” box to capture your SIPOC. Label the box “SIPOC” and fill with the color yellow. By right clicking on the activity box, you will locate the Details tab. The following fields must be completed:

- Objective – *Start here*
- Business Owner – *one person who matches up with the Process Owner in the BPM Tracker*
- Suppliers

---
- Inputs
- Outputs
- Customers
- Measurements
- Requirements

**TIP:** Refer to Section 1, Chapter 4 of this workbook for information on building the SIPOC

**Example – Details tab in BWL**
**Swim Lanes**

Identify who is performing the work. Job titles are the typical label on a swim lane, but sometimes they are labeled generically with roles such as “Vendor” or “Member.” Be consistent with the titles and roles within a category.

When determining the order of your swim lanes, keep in mind the flowchart should follow a “waterfall model” where process activities flow steadily downwards when moving from left to right.

**Example:** System Swim Lane – Activity Boxes

![System Swim Lane Activity Boxes](image)

**System Swim Lane**

If any activities occur within a system, add and label a “System” swim lane at the bottom of the flowchart. Use an activity box to identify the system and the action. The system swim lane is used to help us understand how information flows through our systems and how the user interfaces with those systems.

- Use an up and down arrow to indicate you are obtaining information needed from the system to complete the task in the connecting activity box. You’re either extracting information from the system, or you’re dependent on the system for getting information in order to complete the activity.
- If the system is processing (modifying) information needed to complete the subsequent activity, your arrow should flow from the system swim lane to the next activity.
- If you are pushing (inputting) information which is being storing within a system, your arrow will terminate in the system swim lane if no further action is required. Your flowchart can continue which is indicated by a continuing arrow from activity to activity in the participant swim lane.

**Activity Descriptions**

Start with the action performed and why. (Example: *Evaluate Report for Accuracy*). Avoid restating the job title in activity descriptions since these are indicated by the swim lane in which the activity is performed. Also avoid restating the name of the system, as this will be linked from the Activity box to the System swim lane.
If the text entered is too long to view in the activity box, right click anywhere in the white space of the process flowchart view and select **Resize all item names to fit**.

**Special Symbols**

There are a few special symbols available within BWL. The actively used special symbols are indicated below.

The “Timer” event symbol is used to illustrate a period of time occurring between two activities.

The “Control” event (labeled in BWL as an “Error event”) is used by Corporate Risk Management to identify where a Key Control exists within a process. These controls are established with the process owner using the Risk Assessment process facilitated by Corporate Risk Management. Controls are not entered without the process owner’s knowledge.

Although we are not actively using other special symbols, please understand they are reserved for Enterprise-wide implementation rather than individual use by category. Contact EPEx if you have a need for these symbols when building out processes.

**Identifying Issues for Follow-up**

While working on a flowchart with the team, it is likely an activity within the process may not be working properly or is not performed in a repeatable, stable manner and requires additional consideration or work to remediate the issue. In some cases, the activity box may be linking to another process which has not yet been developed. Use the color feature within BWL to change the box to **red**. Then, in the **Problems** tab listed under **Details** for that activity box, describe the issue. Assign an action item and a person to the issue for follow-up and to ensure resolution.

**Decision Tables**

To simplify your process flowchart, decisions that can be made by evaluating certain conditions, guidelines, or requirements can be captured using a Decision Table. An activity in a process may require a decision before proceeding to the next step. Decision tables consolidate and replace decision diamonds. They are especially helpful in complex processes in which there may be 3 or more “considerations” in order to make a decision. And, the “decision” may result in 3 or more outcomes.
A “Decision Table” is simply a structured means of visualizing decision rules in rows and columns and will always represent the decision criteria with an outcome. (Ross, 2013)

*Example of a Decision Table:*

8.2 Determine Vendor Set-up for Payable Request

<table>
<thead>
<tr>
<th>Considerations</th>
<th>Conclusions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Type of Payment Request</td>
<td>New or Existing Payee</td>
</tr>
<tr>
<td>Invoice</td>
<td>New Vendor</td>
</tr>
<tr>
<td>Invoice</td>
<td>Existing Vendor</td>
</tr>
<tr>
<td>Expense Reimbursement or Corporate Card</td>
<td>New Employee</td>
</tr>
<tr>
<td>Expense Reimbursement or Corporate Card</td>
<td>Existing</td>
</tr>
</tbody>
</table>

- Build a Decision Table
  - Identify the problem statement – A decision table should resolve it!
  - Identify all the potential outcomes (Conclusions)
  - Identify all the circumstances resulting in a potential outcome – This is “what” you are evaluating to determine the outcome (Considerations)
  - Generally, decision tables should not exceed 7 considerations

To add a decision table, right click the activity box, select Type, then Decision Task. Right click the activity box again, select Details and select the tab at the top for Decision. Using the drop down menu, either Create a new decision or select an existing decision table from the list.

- When creating new decision tables, be sure to place the table in your process category space. The first time you work in the new decision table, name the decision starting with the process category and decision table name. Decision table naming follows the same convention as process maps. Begin with a “verb” and end with a “subject.”
  - Typical verbs used in decision tables include: Determine, Evaluate, Assess, Decide
  - Ensure that the title clearly identifies the type of decision being made. Clearly identify the Objective of the table using the field “Decision Description” provided in BWL.
  - The inputs to the activity are used in the table as considerations and the outputs on the activity are used as conclusions in the table
An icon will be appear in the top left corner of the activity box indicating a decision table is associated with the activity.

**CAUTION:** If you *copy* a process and modify any decision tables in the *copied* process, you will also modify the original decision tables from the original process.

**Example:** You like the structure of another process and want to repurpose it. You copy it and start modifying the original decision table in that process. You are now also modifying the original decision table.

**Solution:** In the copied process, change the Activity Box type back to “normal.” Then either build a new decision table or select a decision table from the drop down menu.

If you select an existing decision table (using the drop down list feature) to add to your process and make changes to the table, you will not modify the original table. However, **you must rename the table** in your process. If you do not, there will be two decision tables with the same name and different content. Both will also appear with the same name in the decision table drop down list.

*Information Tables*

At times, it is easiest to display information visually in a table rather than in text. A table can be helpful for service providers when they simply want to scan quickly for an answer. Information tables are allowed in Procedures and can replace large amounts of text in procedural steps.

You can use the decision table functionality in BWL outlined in the section above to build a simple informational table. However, to differentiate it as an informational table rather than a decision table, identify it using the tag “Informational.” For guidelines on use of tags, please refer to the [Tags section](#) below.

There are no rules regarding how an informational table should be built. However, the same guidelines provided above for decision tables are applicable to informational tables as well. Be sure to get feedback from your Stakeholders regarding the ease, applicability and content for the table you build. What makes sense to the writer may not be the same perspective as the User.
Example of an Information Table:

5.5 Identify Branch Cost Centers

<table>
<thead>
<tr>
<th>Considerations</th>
<th>Conclusions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Cost Center Number</strong></td>
<td><strong>Branch Name</strong></td>
</tr>
<tr>
<td>200</td>
<td>Diagonal</td>
</tr>
<tr>
<td>201</td>
<td>Baseline</td>
</tr>
<tr>
<td>202</td>
<td>Lafayette</td>
</tr>
<tr>
<td>203</td>
<td>UMC</td>
</tr>
<tr>
<td>205</td>
<td>Table Mesa</td>
</tr>
<tr>
<td>206</td>
<td>Longmont Hover</td>
</tr>
<tr>
<td>207</td>
<td>Broomfield</td>
</tr>
<tr>
<td>209</td>
<td>Longmont Main</td>
</tr>
<tr>
<td>210</td>
<td>Loveland</td>
</tr>
<tr>
<td>213</td>
<td>Louisville</td>
</tr>
<tr>
<td>325</td>
<td>Operations</td>
</tr>
<tr>
<td>326</td>
<td>Operations Savings Bonds</td>
</tr>
<tr>
<td>341</td>
<td>Cards</td>
</tr>
<tr>
<td>505</td>
<td>Collections</td>
</tr>
</tbody>
</table>

**Linking Processes**

Each process must link to the input and output processes. Link to the processes by right clicking on the activity box and selecting *Link to Process*. Using the drop down menu, locate the process you wish to link to, select it, and then select the + icon. Repeat until all input or output processes are linked. The activity box will now include a chain link icon indicating a link to the related process.

Occasionally, in complex processes it can be difficult to determine if the linking process is an input or an output. Change the color of the activity box to *orange* to indicate the connecting process is linking in to your process and change the box to *green* when your process is linking out to another process.

By using the linking feature, any updates to the linked process will be automatically updated in your process. BWL also notifies you if any changes have impacted your processes upon opening the Library view.

It is preferable to **NOT** type the name of the connecting process in the box
- It is redundant. Hovering over the linking icon displays the names of the connecting processes.
• If the other process names change, your flowchart will be automatically current if you use the linking feature rather than typing the name of the connecting process.

In cases where the connecting process has not yet been developed, it is appropriate to type the name of the expected process until it is built. Change the activity box color to red. Update the “Problems” tab under “Details” with an explanation that the process needs development.

**Milestones**

Within the flowchart, “milestones” are used to segment or group activities. Milestones are usually an indication of a shift in the type of activities. For example, there may be 3 or 4 activities within a milestone named “Intake Loan Applications.” The next 3 or 4 activities may be within the milestone “Process Loan Applications.” The first milestone indicates the user is preparing to process and the second milestone indicates the user is doing actual work.

Milestones may also indicate a break or pause in the work which can be picked up later. For example, a user may intake several loans before moving to “Process Loan Applications.”

In BWL, milestones are created by selecting the “Add Milestone” icon directly beneath the process title. You are not required to use Milestones in your process. If you choose not to, just update the “Milestone” text with the name of the process.

**Tags**

“Tags” identify the maturity or status of a process. All process should be tagged based on their status as outlined in the BPM Tracker:

- Designing
- Developing
- Deploying
- Monitoring
- Re-Designing

Tags appear directly beneath the name of the process in the Library view. The tag allows anyone viewing processes from the Library view to know the status of the process without needing to open and view the entire flowchart.
TIP: Tags need to be consistently updated to ensure alignment with the BPM Tracker and accurate progress reporting to SLT. Use the “Tag” view to see how processes are identified within your category.

Share Your Process
Ensure your process is visible to others in BWL by using the “Publish” feature

- Select the Snapshots icon, scroll over Actions, and select Publish

- An icon will appear on the upper right indicating the process is Published and can be seen by other users.

“Publish” in BWL is unrelated to “Publish” in Reference Desk. Publishing your process in BWL does not mean the process (or related knowledge assets) are published in Reference Desk.
Re-designing Your Process
Changes to your processes may be required as they are deployed and monitored. Using the methodology outlined the BPM Tracker, meet with the Core Team to ensure the process objective, requirements, inputs, outputs, measures, etc. are still correct. If changes are required to the flowchart:

- Create a copy of the deployed process tagged as “Monitoring”
- Identify the space in BWL where this copy should reside. Place the copy in this space.
- Change the tag of the copied process to “Re-design”

It is important not to make changes to processes in the Monitoring phase as they are likely connected to other processes as an input our output. The re-designed process requires stakeholder review, validation, and testing prior to deploying.

Exporting Your Process “Space”
BWL includes a feature which allows you to see all details within all processes in the space. Select the “Export Space” icon on the top right under the search bar, to create an Excel spreadsheet with a separate tab for each detail tab and detail fields of all the processes.

This file allows you to view the status of all your processes, the requirements and associated measurements, and a list of all processes with “Problems” that require remediation. The “Decision Tables” tab of the file also allows you to copy and paste the decision tables directly into your procedure if needed.
For a high level summary of a process, use the “Process Summary” link available on the top bar in BWL. You must first be in the process you wish to view information about. Select the icon, then select the link for View process summary.

A summary of all information captured in the process Details and the list of linked processes and decision tables are made available in one view.
Section 4

Write a Procedure

You have a process! Now it’s time to provide employees with desk level assistance to ensure they know what steps are required to complete the process.

A desk level procedure provides employees instruction on “how” to perform tasks in the process. Procedural documents are a type of organizational knowledge asset. They serve as a fundamental resource for employees when servicing the membership.

What is a Procedure?

In its simplest form a procedure describes how you perform a task. It describes the sequence of steps required to complete a task.

Procedures are intended to make something happen in a repeatable way. Work instructions are more general and are not specific enough to provide a qualitative standard that can be measured.

When is a Procedure needed?

Not all processes require a procedure; however, ALL procedures must be tied to a process.

We need procedures when tasks must be performed consistently.
Draft your Procedure

Use the process map (flowchart) already developed in BWL and validated with your stakeholders. The activity boxes within the process are the headings in the procedure. Some users find it helpful to use the Documentation tab within each activity box to capture procedural information. The use of the Documentation tab is not required but can help to ensure alignment of the procedure with the process. When writing procedures:

- Be concise; Shorter sentences are better
- Think about the user/reader of your process - Write at a level he/she can easily understand
- Write in a technical style if possible. Use a direct tone which emphasizes clarity.
  - Example: Requests must be received by 4:00 pm for same day completion
- Use an active voice (is, will, must)
- Avoid using “should”
- **DO NOT** insert screen shots into procedures
- **DO NOT** embed hyperlinks in your procedure or refer users to offline, ungoverned procedures, instructions, guidelines, standards, FAQs, or any other informational reference materials

**Components of an ECU Procedure:**

- **General Overview** – This is a required heading. Provide an overview of the purpose and outcome of the procedure.
- **Glossary** – This is not a required heading. It should be used when terms requiring clarification are used in the procedures.
- **Desk Level Procedures (Department/Area to Complete Work)** – This is a required heading. Front & Back Office procedures may be combined when there are no differences in activities. Otherwise, present steps in order of completion. Example: DESK LEVEL PROCEDURES (Retail-Branch Staff) and DESK LEVEL PROCEDURES (Operations-Payment Services).

The activity boxes within the process flowchart serve as the bolded, underlined “Headings” within the procedure.
“Subheadings” are shown in bold, italicized font and are used to organize tasks within an activity by product or topic. For example, initiating a domestic or international wire will have the same process level activities (headings). However, additional procedural clarification may be needed for each of these wire types.

Organize the procedural steps in an outline format starting with a number, then a lower case letter, and then a lower case roman numeral.

✔ Revision History – This is a required heading. The most recent updates/approvals to the procedure should appear first.

TIP: The organization of content under the Desk Level Procedures section should be based on how to best present information to users.

See Appendix section in this document for a formatted view of the Components of a Procedure and instructions on using the template.

Test your Procedure

Test the procedure with users before deploying. If possible, they should use the procedure in a real work situation and provide feedback. Users should be checking for:

- Accuracy
- Ease of use
- Missing steps
- Redundant information

When incorporating user recommendations into the procedure, make sure the changes are aligned with the process. You may need to go back through the BPM Tracker and validate the changes with your stakeholders prior to updating the procedure.

Making Updates to Procedures

Changes to your processes may be required as they are deployed and monitored. The related procedures may also require changes.

The BPM Tracker is your starting point. Using the business process management methodology, re-confirm each of the tasks.
• *Is the objective still the same? Are all the inputs and outputs captured in your SIPOC? Do you have new requirements?*

**Validate your changes** with your process stakeholders and test your updated process and procedures before deploying.

**TIP:** Similar to process re-design, be mindful about updating the procedure too soon after publishing to Reference Desk. Give employees time to use the procedure and provide feedback to reduce the number of revisions and confirm the related process is working.
Appendix

Here is the link to find all the actual BPM Tools located on the Knowledge Management SharePoint Site:

**SIPOC Sample**

```plaintext
<table>
<thead>
<tr>
<th>Details</th>
<th>Problems</th>
<th>Policies</th>
<th>Documentation</th>
<th>Attachments</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Suppliers</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>branch and contact center FSR's</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Underwriters</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Lending Service Specialists</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Members</td>
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<td><strong>Inputs</strong></td>
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<tr>
<td>Complete and accurate loan document package</td>
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<td><strong>Outputs</strong></td>
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<tr>
<td>Complete and signed loan document package</td>
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<td><strong>Customers</strong></td>
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<td>Members</td>
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<td>FSR's</td>
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<td>Lending Services Collateral Specialist</td>
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<td><strong>Risk</strong></td>
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<td>Medium</td>
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<td><strong>Requirements</strong></td>
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<td>Ensure a complete and accurate loan document package is signed by the borrower</td>
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<tr>
<td>Ensure complete loan document package is returned to Lending Services</td>
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</table>
```
Enterprise Process Map Sample

BPM Tracker Sample
Procedure Template Details

GENERAL OVERVIEW

This is a required heading. Provide an overview of the purpose and outcome of the procedure. The process objective is a good starting point for this information.

**Title** – Always include a title to introduce the topic when using blue boxes

- Use bullets if possible for reader to scan and locate information quickly
- Use separate blue boxes for different product features or aspects of the procedure
- Blue boxes may be used in all sections of the procedure
- DO NOT use blue boxes for procedural steps. This information belongs under the appropriate heading in the DESK LEVEL PROCEDURES

GLOSSARY

This is not a required heading. It should be used when terms requiring clarification are used in the procedures.

**Term** – definition text

DESK LEVEL PROCEDURES (Insert Role or Area to Complete Work)

This is a required heading. Front & Back Office procedures may be combined when there are no differences in activities. Otherwise, present steps in order of completion. Example: DESK LEVEL PROCEDURES (Retail Branch Staff) and DESK LEVEL PROCEDURES (Operations, Payment Services). This heading may need to be used more than once depending on how many types of users will be referencing the procedures.

All procedures must align with a process. The text within the individual activity boxes of the Blueworks flowchart are the “Headings” for corresponding procedural steps. (See “Sample Heading” below for formatting)

If your process flowchart contains a decision diamond, Blueworks will move these decisions to the very end of the Documentation view. The procedure needs to be written in a way that clearly directs users to the next step based on the result of the decision.

- Example: If the account information is incorrect, proceed to section below “Return to Sender” otherwise continue to “Post Wires”

Index: KMW11Assign

Page 1 of 3
Organize the procedural steps in an outline format starting with a number, then a lower case letter, and then a lower case roman numeral.

**Sample Heading**

1. Activity to be completed
2. Next activity to be completed
3. Following activity to be completed
   a. Supporting documentation to be collected as part of above activity
      i. Exception to supporting documentation
   b. Another type of supporting documentation to be collected
4. Next activity to be completed

**System Information**

When directing employees to select an item or option within a system, capitalize the first letter and **bold** the term. Do not put it in quotations.

1. Example: Create the name record by clicking on the **Name Prime** name record, using the **Copy Other Name** button, and selecting the **Name Prime** name record
2. Example: Access Opening Act to start application process and select **New App** or **Start App**

**Procedure Footer Information**

The procedure footer includes the procedure number assigned by Document Management, name of the procedure, and page numbers.

**Use of Decision Tables**

Decision tables from the related process may be used in procedures. To paste the table into the procedure:

1. At the process space level in Blueworks, select **Export Space**
2. After downloading, open the Excel file
3. Scroll to the right and locate the tab for **Decision Tables**
4. Copy and paste the relevant table from the worksheet directly into the procedure
5. Adjust rows and borders as needed
**Formatting Guidelines**

- Margins are on the default setting – 1” all around
- Calibri 11 pt. font for procedural text
- Capitalized headings use Calibri 14 pt. font
- Headings under DESK LEVEL PROCEDURES use Calibri 11 pt. font and are bolded and underlined
- Paragraph spacing is 0 pt. before and 10 pt. after
- Line spacing is Multiple at 1.15 pt.

**REVISION HISTORY**

This is a required heading and always appears at the end of the procedure. Enter the **most recent updates/approvals** to the procedure on the **top line** of the table. Remove unused or blank rows.

<table>
<thead>
<tr>
<th>Revision Date</th>
<th>Description of Changes</th>
<th>Revised By:</th>
</tr>
</thead>
<tbody>
<tr>
<td>4/02/2014</td>
<td>Changed &quot;Last Revised&quot; date in procedure header to &quot;Last Reviewed&quot; to account for review of stabilized content with no changes. Edits and updates are still captured in Revision History</td>
<td>G. Cavallo</td>
</tr>
<tr>
<td>12/04/2014</td>
<td>Removed “Product Information” section from template. Product Information is now available in the “Product Sheet” knowledge asset type. Added instructions on inserting Decision Tables and removed Last Reviewed date from footer.</td>
<td>G. Cavallo</td>
</tr>
<tr>
<td>6/11/13</td>
<td>Clarified instructions/provided more detail based on requests received for knowledge management governance review</td>
<td>G. Cavallo</td>
</tr>
<tr>
<td>3/12/2013</td>
<td>Updated and added to Business Process Workbook</td>
<td>G. Cavallo</td>
</tr>
<tr>
<td>2/22/2013</td>
<td>New procedure template approved</td>
<td>G. Cavallo</td>
</tr>
</tbody>
</table>