

PROCESS FRAMEWORK DEVELOPMENT PROCESS



Document Reference: 123-ABC-001

Version: 1.0

Authors: Bernard Hawkes & Rhys Williams

Date: 30th October 2006

Document Change History

Version	Date	Editor	Description of Change
0.1	29 th Oct 2006	R. Williams	Initial draft version
1.0	30 th Oct 2006	R. Williams	Definitive issue

Document Approval

Owner	
Signature	
Date	

CPO	
Signature	
Date	

Approved by	
Signature	
Date	

Table of Contents

1.	OVERVIEW	4
1.1	Introduction.....	4
1.2	Objectives.....	4
1.3	Scope	4
1.4	Intended Readership	4
2.	PROCESS FLOWCHART	5
3.	PROCESS DESCRIPTION	6
3.1	Start.....	6
3.2	Perform Process Review and Produce Matrix.....	6
3.3	Agree Matrix and Status of Processes	6
3.4	Perform Gap Analysis	6
3.5	Provide Existing Processes to Relevant Resource	7
3.6	Define and Agree Work Plan.....	7
3.7	Gather Information	7
3.8	Collect and Review Supporting Documentation	8
3.9	Amend and Agree Supporting Documentation.....	8
3.10	Produce Draft Process	8
3.11	Review Draft Process and Finalise	9
3.12	Pilot Process	9
3.13	Outstanding Issues?.....	9
3.14	Sign Off Process	9
3.15	OK?	10
3.16	EC Approval Required?.....	10
3.17	Submit for EC Approval.....	10
3.18	OK?	10
3.19	Publish Process.....	10
3.20	Perform Training.....	11
3.21	Implement Live Process	11
3.22	Internal Audit Process	11
3.23	Monitor and Review Progress	11
3.24	End.....	12
4.	ROLES & RESPONSIBILITIES	13
5.	REFERENCES	14
5.1	References to Supporting Documentation	14
5.2	References to Quality Records	14
6.	GLOSSARY	15

1. OVERVIEW

1.1 Introduction

A fully-documented process framework is essential for efficient operation of the business.

This document provides a structured approach to populating the framework with relevant processes.

Development of the process framework involves an initial review of a specific work area / location, production of a process matrix, gap analysis, production of a work plan, information gathering and documentation of the processes, approval, training, and implementation. Each process will also require an audit to check its effectiveness and ensure that it is being followed.

The development of the process framework will be driven by a process engineer and the process owner. For each process, one member of staff is appointed as author. The author is chosen from staff who are responsible for performing the work which needs to be documented. The process author is responsible for documenting the process in consultation with process experts. This promotes buy-in and ensures that processes are practical rather than theoretical.

1.2 Objectives

The objectives of this process are to:-

- Provide a consistent approach to implementing a standard process framework.
- Present a clear definition of the associated roles and responsibilities.
- Define the activities required to produce a work plan.
- Gain involvement of users in documenting the processes they will follow.
- Ensure buy-in and approval of the process owner.
- Derive maximum benefit from the knowledge of process engineers.

1.3 Scope

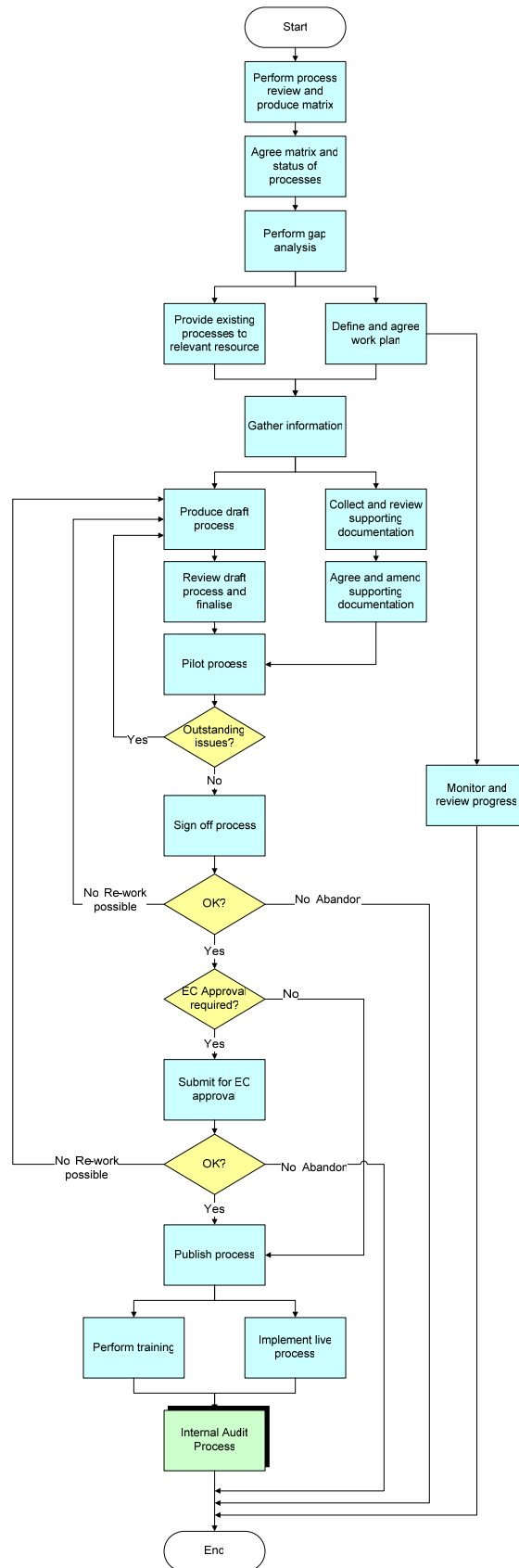
This process applies to all process development carried out within an organisation.

The management of the overall project is not in the scope of this document.

1.4 Intended Readership

This document is aimed at all staff who are involved in the development of processes or the process framework. It should also be read by all potential process owners.

2. PROCESS FLOWCHART



3. PROCESS DESCRIPTION

3.1 Start

The process starts when there is a need to put in place a process framework in a particular work area or location.

3.2 Perform Process Review and Produce Matrix

- Inputs: • Interviews with relevant staff
- Outputs: • Process Matrix (Q1) - to be agreed

The process engineer performs a review of the tasks that require processes, and the status of existing processes, in a particular work area or location. This review is performed through discussions with the process owner and local staff responsible for performing the tasks. Processes that are believed to be documented and in use must be validated by the process engineer who will check for evidence of their application.

Once the review is complete, the process engineer produces a process matrix (Q1) which highlights the status of any existing processes and lists all other processes that will be required. The matrix also lists version numbers, process owners, potential process authors and who is responsible for signing-off each process.

The status of each process is defined as one of the following:-

- Green - Documented and in use.
- Amber - Process in use but either not documented or documentation and process differ.
- Red - No process exists.

3.3 Agree Matrix and Status of Processes

- Inputs: • Process Matrix (Q1) - to be agreed
- Outputs: • Process Matrix (Q1) - agreed

The process engineer discusses the process matrix (Q1) with the relevant line manager(s) until overall agreement is reached. Any additional processes identified during this discussion will be added to the matrix.

The status of each process is based on information gleaned in section 3.2 and will not be published until agreement has been reached with the process owner.

Note: All process owners should be identified and agreed at this stage. Process owners are responsible for identifying suitable process authors.

3.4 Perform Gap Analysis

- Inputs: • Process Matrix (Q1) - agreed
- Outputs: • Process Matrix (Q1) - updated

Once the process matrix (Q1) has been agreed, the process engineer performs a gap analysis to compare the processes which are required against those which already exist within the rest of the organisation.

The output from the gap analysis will be an update to the matrix showing processes which fall into one of three categories:-

- Processes which need to be documented from scratch, as no documentation exists.

- Existing processes which require tailoring.
- Existing processes that can be re-used as-is.

3.5 Provide Existing Processes to Relevant Resource

- Inputs:
- Process Matrix (Q1) - updated
 - Existing Processes (S1) - from elsewhere in the organisation
- Outputs:
- Existing Processes (S1) - given to process author

The process engineer will send electronic copies of any processes that have been identified in the updated matrix (Q1) to the relevant process author. These processes may need to be adapted to suit the particular location or work area, but will ensure that, where possible, similar tasks will be performed to generic standards.

If any existing processes are sent to the process author, they will need to be reviewed and finalised (see section 3.11).

3.6 Define and Agree Work Plan

- Inputs:
- Process Matrix (Q1) - updated
 - Resource availability
- Outputs:
- Work Plan (Q2)

Based on the process matrix and identified authors, whose participation must be authorised by the relevant line manager, the process engineer produces a work plan (Q2). The resources assigned to work on process development must have the knowledge and ability to document the tasks.

The work plan lists all tasks required to develop and implement the processes (described in sections 3.7 - 3.21), resources required, milestones, and dependencies. The work plan also defines the level of piloting and training required for each process.

The work plan must be agreed by the relevant line manager before further work can continue.

Monitoring and review of progress (see section 3.23) starts from here and will be performed in parallel with all other tasks.

3.7 Gather Information

- Inputs:
- Work Plan (Q2)
 - Process information from process experts
 - Process Template (S2)
 - Process Standard (S3)
- Outputs:
- Process (Q3) - initial outline

For each process, the process engineer conducts initial interviews with the process experts (including the process author) who are responsible for performing the tasks that require documentation. This information gathering task can also take place in the format of a workshop, especially if the process is cross-organisation or if it affects several work areas. The aim of carrying out the interviews or workshop is to flowchart the process based on the input from the process experts.

The process engineer will produce the flowchart and create an initial outline process (Q3) (using the process template) that will have to be completed by the process author.

At this stage, processes are documented “as-is”, i.e. the process documents the way the work is currently performed. If the process is being documented for work which is not currently being performed, then it should be based on expert knowledge and best practices from elsewhere.

3.8 Collect and Review Supporting Documentation

- Inputs:
- Process (Q3) - initial outline
 - Existing Supporting Documents (S5)
- Outputs:
- Existing Supporting Documents (S5) - reviewed
 - List of Additional Supporting Documents (Q5)

The collection and review of supporting documentation is performed in parallel with section 3.10 - Produce Draft Process.

The process author collects a complete set of all supporting documentation referenced in the process.

The process engineer and the process author will then review the existing supporting documents relating to the process to see if they meet the process requirements. Any additional documents required will be listed.

3.9 Amend and Agree Supporting Documentation

- Inputs:
- Existing Supporting Documents (S5) - reviewed
 - List of Additional Supporting Documents (Q5)
- Outputs:
- Supporting Documents (Q6)

The process author will perform any amendments required to correct or complete the supporting documentation and produce any additional documentation that is needed.

Once the amendments have been completed, the users of the supporting documentation will be asked by the process engineer to agree that the documentation is complete and correct. The process owner will then sign-off the documents.

3.10 Produce Draft Process

- Inputs:
- Process (Q3) - initial outline
 - Process Standard (S3)
 - Process Template (S2)
- Outputs:
- Process (Q3) - draft

The draft process (Q3) is produced and reviewed in parallel with section 3.8 - Collect and Review Supporting Documentation.

The process author documents the process in detail after consulting the relevant process expert(s), expanding on the initial outline process provided by the process engineer. The author should refer to the Process Standard (S3) which is a guideline for documenting processes and using the process template (S2) correctly.

Once completed, the process author will send the draft process back to the process engineer, who will review, update, and send the process back to the author with any queries.

There may be several iterations of this step until the process engineer and the process author are happy that the process represents how the work is performed.

3.11 Review Draft Process and Finalise

- Inputs:
- Process (Q3) - draft
 - Process Review Form Template (S4)
- Outputs:
- Process Review Form (Q4) - completed
 - Process (Q3) - final draft

Once the draft process (Q3) has been produced, the process author must send it back to the process engineer for one final check before it goes out for review. The process engineer will then distribute the process, along with a process review form template (S4), to the process owner, process author, and any other parties who have an interest in it.

The process review forms (Q4) must be completed and returned by the reviewers within the timeframe defined by the process engineer.

The process engineer will evaluate the comments, record responses on the review form and action those that improve the process. The reasons for not addressing any comments must be justified.

3.12 Pilot Process

- Inputs:
- Process (Q3) - final draft
 - Supporting Documents (Q6)
- Outputs:
- Process (Q3) - final draft (piloted)

For more complex processes, a pilot period may be needed in which some users follow the new process. The decision as to whether a pilot phase is required or not is made in section 3.6 - Define and Agree Work Plan. The process engineer and the process owner will monitor usage of the process to see if there are any problems or possible improvements. If so, these will be addressed before the process is sent for sign-off.

3.13 Outstanding Issues?

If there are outstanding issues following the process review and pilot, go back to section 3.10 - Produce Draft Process.

If not, continue with section 3.14 - Sign Off Process.

3.14 Sign Off Process

- Inputs:
- Process (Q3) - final draft
- Outputs:
- Process (Q3) - signed off by CPO and Process Owner

When the process engineer and the process author have agreed completion of the draft process (Q3), the process engineer changes the version number to n.0 (the next definitive version), fills in the names of the signatories in the document approval section and prints a paper copy of the document approval page to form a master for signatures. The process engineer then signs the document approval page to indicate that the document is final and correct.

The process engineer then sends the process to the process owner for sign-off. As the process owner is involved in the review of the process, this should be a rubber-stamping exercise. However, if the owner requests any final changes, the process engineer should either alter the document or explain why the changes will not be made.

The process engineer must obtain the owner's signature on the master copy of the document approval page.

3.15 OK?

If the owner is not willing to sign off the process but re-work of the process will resolve any issues, go back to section 3.10 - Produce Draft Process.

If the owner is not willing to sign off the process and no resolution is available, work on the process will be abandoned. The process then ends.

If everything is OK, continue with section 3.16 - EC Approval Required?

3.16 EC Approval Required?

Approval by the EC is required for all policies, key and global processes. Other processes may be submitted for EC approval, at the discretion of the process engineer, where they affect a number of different parts of the organisation.

Conversely, if a global process has little impact outside the owning work area, EC approval may be waived by agreement between the Central Process Office and the head of the organisation. Policies and key processes must always be approved by the EC.

If the process requires approval by the EC, continue with section 3.17 - Submit for EC Approval. If not, go to section 3.19 - Publish Process.

3.17 Submit for EC Approval

- Inputs:
- Process (Q3) - signed off by CPO and Process Owner
- Outputs:
- Process (Q3) - approved by EC Chairman

The CPO will circulate processes requiring EC approval to members of the EC at least 7 days before the EC meeting. EC members will be asked to confirm, or otherwise, that they are happy with the process.

If no adverse comments have been received, the CPO will submit the process to the EC meeting for formal agreement. If agreed, the document approval page will be signed by the chairman of the EC, usually the head of the organisation, and returned to the CPO for filing.

3.18 OK?

If the EC are not willing to approve the process but re-work of the process will resolve any issues, go to section 3.10 - Produce Draft Process.

If the EC are not willing to approve the process and no resolution is available, work on the process will be abandoned. The process then ends.

If everything is OK, go to section 3.19 - Publish Process.

3.19 Publish Process

- Inputs:
- Process (Q3) - approved
 - Supporting Documents (Q6)
- Outputs:
- Process (Q3) - published on process web site
 - Supporting Document (Q6) - published on process web site

Once the process has been approved, the CPO update the electronic copy of the process to indicate who has signed it off and when. The CPO then upload the process onto the process web site and update the process management 'news' page to indicate that the process has been issued.

At the same time, the CPO e-mail copies of the process to relevant parties to inform them that the process has been issued.

3.20 Perform Training

- Inputs:
- Process (Q3) - approved
 - Supporting Documents (Q6)
- Outputs:
- Training Material (S6)
 - Trained staff with an understanding of how the process works

The decision as to whether training is required or not is made in section 3.6 - Define and Agree Work Plan.

Training is performed in parallel with section 3.21 - Implement Live Process.

The process engineer, and possibly the process owner, will produce any training material (S6) required and conduct training sessions with the users of the process. Ideally, process training should be combined with training for any tools which support the process.

3.21 Implement Live Process

- Inputs:
- Process (Q3) - approved and ready to go-live
 - Supporting Documents (Q6)
- Outputs:
- Process Release Note (Q7)
 - Process (Q3) - implemented

Once agreement has been reached that the process and all supporting documentation is complete, the process 'goes live'.

Where necessary, the arrangements for implementing the process are defined in a process release note (Q7). This may be published at the same time as the process, or circulated following publication. In most cases, it will be the process owner and line managers who are responsible for implementation, supported by the CPO who will provide training and support.

The process engineer and the process owner will monitor progress to see if any problems arise as a result of the new process. If so, these problems can be fixed with the input of the process users.

3.22 Internal Audit Process

To assess that the process is being followed and is effective, audits must be carried out either internally or by an auditor from outside the company. These audits will check that staff are aware of, and are following, the process. The audits will be based on evidence of operation, i.e. examination of the quality records.

For more information, refer to the Internal Audit Process (S7).

The process ends after the audit has been performed and the process moves into continuous improvement.

3.23 Monitor and Review Progress

- Inputs:
- Process Matrix (Q1)
 - Process status information
- Outputs:
- Process Matrix (Q1) - updated

Throughout the development of a process framework, the process engineer will continuously update the process matrix (Q1) to reflect the status of all processes being developed. During the development phase, the colours within the process matrix have a different definition from that described in section 3.2. The status of each process is defined as one of the following:-

- Green - Process complete and signed-off

- Amber - Work in progress
- Red - Not started

The process matrix is used to report progress to the process owner and the line manager(s).

3.24 End

The process ends once all the processes in a particular work area or location have been implemented and audited.

4. ROLES & RESPONSIBILITIES

Major Task	Process Engineer	Process Author	Process Experts	Process Owner	Process Users	CPO	EC
1. Perform process review and produce matrix	R	C	C	C	C		
2. Agree matrix and status of processes	R			R / C / A			
3. Perform gap analysis	R						
4. Provide existing processes to relevant resource	R	I					
5. Define and agree work plan	R	C		C / A			
6. Gather information	R	C	C		C		
7. Produce draft process	C	R	C		C		
8. Review draft process and finalise	R	R		R	R		
9. Sign off process	R			A		A	
10. Submit for EC approval						R	A
11. Collect and review supporting documentation	I	R	C		C		
12. Amend and agree supporting documentation	R	R			C		
13. Publish process					I	R	
14. Perform training	R	I		R	I		
15. Pilot process	R			R	C		
16. Implement live process	I			R	R		
17. Monitor and review progress	I	C		R	C		

Key to RACI Chart:-

- Responsible **(R)** : The person / group who has to perform the task
Approval **(A)** : The person / group who has to approve the deliverables of the task
Consulted **(C)** : Persons who must always be consulted before a decision / action is taken
Informed **(I)** : Persons who must always be informed after a decision / action is taken

5. REFERENCES

5.1 References to Supporting Documentation

Ref. No.	Document Name	Controller	Location
S1	Existing Processes	Central Process Office	
S2	Process Template	Central Process Office	
S3	Process Standard	Central Process Office	
S4	Process Review Form Template	Central Process Office	
S5	Existing Supporting Documents	Central Process Office	
S6	Training Material	Central Process Office	
S7	Internal Audit Process	Head of Company	
S8	Process Release Note Template	Central Process Office	

5.2 References to Quality Records

Ref. No.	Quality Record	Retention Period	Location
Q1	Process Matrix	Indefinite	
Q2	Work Plan	3 Years	
Q3	Process	Indefinite	
Q4	Process Review Form - Completed	3 Years	
Q5	List of Additional Supporting Documents	Until completed	
Q6	Supporting Documents	Indefinite	
Q7	Process Release Note	Indefinite	

6. GLOSSARY

CPO	Central Process Office
EC	Executive Committee
Process Author	A member of staff who is responsible for performing the tasks which need to be documented as processes. Responsible for writing the actual processes to promote buy-in and ensure that processes are practical rather than theoretical
Process Engineer	A person with specialised knowledge and experience in the field of process development and implementation. Responsible for driving the development of the process framework. A Process Engineer will always be a member of the CPO Team.
Process Expert	A member of staff who is responsible for performing, or who has extensive knowledge of, the tasks which need to be documented as processes.
Process Owner	The member of staff who is ultimately responsible for ensuring that the process is documented and implemented.

- End of Document -