

**Process Management Maturity Model** 3/12/2021

Standard Process	Measurements	Process improvement/employee empowerment
0 – Process is not standardized.	0 – Customer and stakeholder requirements are not documented, and there are no process design requirements. <sup>1</sup>	0 – There are no systematic improvement efforts. No employee involvement.
1 – There is recognition of a key process. Some documentation showing the process flow or procedure exists but it may not be detailed or current.	1 - Some ad-hoc customer/ process design requirements have been established, but only based on common-sense recognition of good or bad performance.	1 – A logical and complete standard workflow exists, which may exist in part through procedures, templates, and job descriptions. It can be traced to current job descriptions and the goals of front-line workers. The work unit is at least aware of the principles of continuous quality improvement and aware of an interest in preventing rework and error. <sup>2</sup>
2 – Key process flowcharts exist and are current and complete. Supporting procedure documents have been created to explain complex tasks.	2 – One or more customer/ process design requirements have been established and validated. <sup>3</sup> There is an ongoing and continuing tracking of these results.	2 – Work team members know that a process flowchart or procedure document exists and are aware of management’s interest in its quality improvement. There is evidence the frontline workforce understands the principles of continuous quality improvement. There is some evidence of team participation in the validation and streamlining of process flow.

<sup>1</sup> Because the end-user (or recipient) of government services might not be the overarching determinant of process requirements, the term process design requirement is substituted, and will be based on blended customer and stakeholder requirements, and may also include regulatory or legal requirements.

<sup>2</sup> This may be verified through the existence of visible reference documents or employee communications, relevant meeting agendas, or the content of current training meetings.

<sup>3</sup> Initial process measures are generally focused on delivery/ output requirements. At least one should focus on the quality of output. Initial measures may include an in-process (leading) measure. For example, cycle time. The validation requirement means structured verification that established requirements are those valued by customers and stakeholders.

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<p>3 - Process flow is established and integrated into work systems.<sup>4</sup> The aim is clear and validated through periodic review.</p>	<p>3 – Documented key process measures exist, that reflect both process output and some individual task performance. This measurement system provides leading and lagging measures of process excellence and may include a measure or indicator of supplier quality inputs. Results are visible and embedded in performance and operational reviews. Measures can compare customer/process design requirements versus current delivery level.</p>	<p>3 – A visible and fact-based structure for analysis and problem solving is in place for this key process and linked to performance measures and indicators.<sup>5</sup> At least one focused cycle of analysis and improvement is documented annually.</p>
<p>4 – Flowchart or procedure document is foundational to operational control and oversight and is used in unit management.<sup>6</sup> Customer and stakeholder requirements<sup>7</sup> have been embedded in its design. Risks to the successful execution of the process have been identified and those risks are directly addressed by process design.<sup>8</sup></p>	<p>4 – The process has documented objective and measurable output requirements at each process step, and decision points. These are used to develop a comprehensive and visible<sup>9</sup> measurement scorecard that includes leading and lagging measures. There is evidence measures are periodically updated based on learning and continuous improvement efforts. Measures are actionable, regularly analyzed,<sup>10</sup> and can be analyzed for root cause</p>	<p>4 - The workforce regularly reviews feedback from customers and stakeholders on product and service quality, and responds through continuous improvement efforts. The work group follows an established problem-solving structure. Storyboards, A3s, or other visible methods show the use of <i>tools</i> in problem-solving.<sup>11</sup> There have been 2-3 improvement cycles conducted in annual or more frequent cycles.</p>

<sup>4</sup> One prime example of integration would be its replication in a system of visible management. Integration may also be related to routine management reporting and performance evaluation reflecting on unit performance.

<sup>5</sup> This assumes the measures and indicators in place will match the Level 3 requirement. There is an operational connection between the measurement of requirements, analysis of problems, and design of improvement efforts.

<sup>6</sup> Likely to be seen in the tracking of task completion or quality of interim outputs, perhaps through measures and indicators. May also be seen in individual job goals linked to duty statements and performance evaluation.

<sup>7</sup> See Section 3, Terms and Definitions.

<sup>8</sup> The means of identifying risk must be multi-factor and current. Process design aspects to address risk may include clearly defined requirements and process steps; required training and skills; independent verification of critical parameters; tracking of rates of re-processing and incorporation of lessons learned; consistency among forms, software, and written instructions; consistent execution by different personnel or shifts.

<sup>9</sup> Visible refers to making actionable information available to process workers and management oversight.

<sup>10</sup> This analysis is used in evaluating the need for continuous improvement and/or change management.

<sup>11</sup> The work unit is leveraging analysis capabilities to predict with a strong degree of confidence probabilistic outcomes, and constraints.

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<p>5 – All process tasks/methods and outputs are defined, and business value add of steps had been verified. Task results can be tracked. Risk analysis is performed at a task level through PFMEA<sup>12</sup> or similar analysis. Decision point criteria are objectively defined and measurable. The overall process and all defined tasks are established at an auditable level, and results are comprehensively reviewed to support excellent performance. Annual process review and re-verification considering change management inputs.</p>	<p>5 –Key Process measurements show the process is stable and performing within control limits. This includes measurements reflecting both principal outputs and one or more leading measures. Measurements are periodically linked to competitive comparisons or benchmark organizations.</p>	<p>5 – There is evidence of continuous systematic improvement and achievement of a high level of performance based on competitive comparison or benchmark results. Segments of the workforce regularly participate in process improvement teams, and results are easily visible to all. Improvement efforts have been achieved for three or more measured performance cycles, and at least 18 months. These cycles include competitive comparison and/or benchmarking.</p>

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<sup>12</sup> Process Failure Mode and Effects Analysis.