POL00447939

Document Information

Process Name: Whistleblowing of complaint cases

Process Ref: IRT-WBR-001

Process Owner: *Mat Thorley*

Process Owner Role: Issue Resolution Team Manager

Document Status: *Draft / Peer Reviewed / SME Reviewed /* ***Approved***

Document Classification: *Internal*

Process Summary (describe in a paragraph the context and reason for process):

A sample of cases for each advisor are reviewed for quality on a monthly basis. As part of this check, feedback will be provided where the advisor has failed to identify whistleblowing cases that have not been directed down the correct process. The IRT manager also reviews logged whistleblowing cases to make sure they have been correctly identified and processed.

Version History

Version Number	Date Issued	Author	Updates since last version
0.1	16/08/2022	Duncan Hughes	First draft
1.0	24/08/2022	Duncan Hughes	Approved by process owner

Review History

Reviewer	Role	Last Date Reviewed	Version(s) Reviewed
Mat Thorley	IRT Manager	24/08/2022	0.1

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Process Notes

(Detail any notes to supplement specific process stages)

Process step	Notes

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Glossary
(Include abbreviations / terms / acronyms used in process flow, along with a description to aid understanding)

Terms	Definition

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Process Template Symbols

{Insert Reference of Process}: { Insert Name of Process and (Version Number in brackets)}
{Insert Description of Process in italics}

Role / Department / 3rd Party / Key System Name

Each role participating in the process must have a separate swimlane.
There is a ***predefined list*** of business functions and roles to use which includes 3rd parties.
If you need to add an item then please see "Process Change"

CUSTOMER swimlane is always at the top of the process
A SYSTEM swimlane can be used for a specific system that participates in the process and the system itself carries out activities (e.g. "CONDUCT AUTOMATED DOCUMENT CHECK")

The reference number of the process must be used.
If you do not know the reference number of the process then either check in BizDesign if you have access or ask the owner of the process model (tbc).
For new processes you will need to use the CHANGE PROCESS so that a new number can be assigned. See "Process Change" approach (add link here to SharePoint)

Start: Description of the trigger

Process Start:
This is the shape used to START the process.
Describe the trigger / event that has caused process to start
Examples: such as "Customer enters branch to request a service" or "Customer calls the contact centre" or "A system generates a report and sends a notification to a contact centre agent"

Name of message / communication / alert

Message trigger:
Use this symbol when a message or notification of any sort is the trigger to the process.
For example – a contact centre agent receives an email from a customer to make a request or a complaint,
Or a mailroom receives a letter from a customer requesting a service

Schedule Details

Scheduled event:
Use this symbol where a process is started by some sort of scheduled event. This might be either a system based automated schedule or a manually diarised schedule. (for example an overnight batch process runs and generates an alert for an agent). Describe the schedule (how often the process runs and when – e.g. overnight at 4am Mon to Fri
Or Manually diarised events that mean an agent has to do something – for example scheduled sample checks for a control process (schedule is every morning at 9am working days)

Time lag or delay:
Use this to show where there is some sort of delay between activities

Name and type of communication or trigger

Trigger mid process
Another start in the middle of a process where a notification is received – for example of a cancellation of some sort from the customer

Intermediate Event (A customer cancels, An error occurs, A response is received)

An intermediate event:
Similar to a start event - this is where something happens during the process – an external event / trigger of some sort – which has an impact on the process.
It could be anything from a customer getting in touch about the process to some sort of system notification or response to an activity within the process.

Notes against a process or any other element on a map

Activity Name (Verb and Noun Format)

An activity in a process.
Describe it as a Verb following by a noun for clarity – e.g. "Create Contact"; "Complete Application"
Activities refer to a related group of tasks carried out by the same person/role/department. For example – activity carried out using several screens on the same system to complete a part of an application. If the activity is too complex then it is worth breaking it down into smaller parts – or mapping as a separate process.

Activity (which has a procedure associated with it) (PROCEDURE REF)

An activity with an associated procedure.
This set of steps may have more detail and step by step instructions provided as a procedure. Use this to show that there is more detail available – and also add the name and reference of the procedure.

Process Ref: Process Name

Referred Process
This shape is used to refer out to another process that is mapped.
For simplicity, just use this where the other process is either a sub process at a lower level (so for example – if you are mapping at a level 2 and want to show all of the associated level 3 processes then use this symbol for the level 3 processes – or if you are in a level 3 process and want to point to or refer to another level 3 process then use this symbol

Data set
Data set
Data set

Activity Flow: This line and arrow is used to show the flow of activity and the order in which the activities occur.
Information or Data Flow: Dotted line with arrow end shows the direction of flow on INFORMATION either into or from an activity and into or from a system.
An activity may proceed or follow another activity but it might also make an update to or get some information from a system. To show this information flow sue this line. It needs to be different from the activity sequence flow (the solid line) so that there is no confusion as to what activity happens next.

Dotted line with arrow end shows link between an activity and an outcome. The reason it is different is to separate it from the flow of the process and so that it is not confused as a data flow, but the reader can see the activity where the outcome has originated.

Parallel processes gateway:
Use this when your process branches off into parallel flows of activity.
Using this gateway with the plus sign helps to ensure the reader understands that the branches are happening in parallel and that there is not a condition or decision associated with the branch. If there is a decision before the gateway to determine which branch to go down then do not use this and choose another gateway shown below.

Exclusive Gateway.
Use this to show that the flow will only go down ONE of the possible paths.
If there is some activity to support making a decision to determine which branch to go down – then put that in an activity box BEFORE the gateway.
Then show the decisions on the branches of the flows following the gateway. E.g.: "YES" or "NO" for simple decisions – or "Option A", "option B"…"Option n" for more complicated decisions – as long as they are "mutually exclusive outcomes so that you can only go down one of the branches.
Where no "X" is shown then an exclusive gateway is assumed but it is clearer to use this.

Inclusive Gateway.
Use this to show that the flow can do down one of more paths depending on the outcome of the decision in the previous activity.
For example: "Determine what fruit to buy" is decision. Possible outcomes might be apples, oranges, or bananas. Person might want all fruit. Depending on how you want to model this then you might show different branches for each fruit – if there is a different process activity associated with buying each one.

A document or data set:
Information that this used as input to an activity or created or updated as an output of an activity.
For example a report might be generated by a system and sent by email to a contact centre agent to review. So you can show the name of the document reviewed by using this shape and a dotted arrow into the activity where the contact agent reviews the item.

Name of system

System being "read from" or being updated as a result of the associated activity
Don't put the description of the activity in here – just the name of the system. The associated activity and then the direction of the arrow will describe who or what is updating the system and whether the system is being read from (i.e. data is being used by it in an activity) or being "Updated To" where the system is being updated as a result of an activity

BR:1

Business Rule:
This icon is used to show that there is a business rule associated with this activity or trigger or event or gateway. The reference for the business rule must be added so that the reader knows what business rule is being referred to. The details of the rule itself will be held within the meta data document associated with this process.

Ref for risk/control

Operational Risk – Inadequate, none or unknown control
This symbol is used where the risk is either not mitigated and therefore there is a known control gap - or it is mitigated and the mitigation is known to be inadequate – or where analysis is required to determine if there is any control as it is currently unknown.
When documenting processes – it is important to identify parts of the process which may be exposed to some sort of risk – such as an agent manually entering something incorrectly into a system – and the system does not have adequate system based restrictions to control the activity (for example based on role based access controls) or where their may be an opportunity for internal fraud.
Where these risks are identified, mark them with this symbol and add the REFERENCE number for the risk, and log the risk in the risk control log associated with this process.

Ref for risk / control

Operational Risk (control is known and is adequate)

End of alternate path of a process

End of Process

End of a process is the end of the main path.
Where a process has branches off into alternate paths then if it does not re-join the main path then show the end of that branch with the "End of Alternate Path" process

Customer Outcomes

Customer Outcome

Generic Customer Outcome
description of what the outcome is – such as "Customer has completed their savings application" or "Customer receives new product"
- It is not an activity that the customer is triggering so don't use the activity box.
Also show a TICK or CROSS icon associated with the outcome to show if it is a good or a bad outcome for the customer.

7
5
1

Customer Experience Score
This is the score for the customer experience at certain points in the flow. For new products, the Service Designer can provide these as they should have been identified as part of the service design / customer journey analysis before the process is designed. Where it is not available then it should just be estimated as part of trying to show both the good and bad alternative paths through the process.
Green for 7-10. Amber for 4-6 Red for 0-3
Put them in a separate swim-lane at the top of the map.

Customer Insight

Customer Insights:
The Service Designer can provide these for new products.
He insights will include any comments from the CUSTOMERs point of view - to rationalise the customer experience or to identify insights or even issues / potential improvements.
Improvement ideas should also be captured more formally in the process meta data.
The insights relate to anything that the customer is feeling or thinking at that point in the process.

Name or reference for communication received

Customer Communication:
Communication of any kind is sent to the customer.
Use the Channel icons below to show the method used to send the communication.
Add the name or the reference of the communication as well as this can be helpful for requirements traceability and testing.

Channels

Show channel icons on the activity box where the channel is used or the activity flow that joins it to the next activity.
They can also be used to link to customer outcomes or communications to show the method by which the communication was sent.

Post Office Branch

Email

POST OFFICE

Post Office Online

Internet – other than post office online

Telephone

Self Service Kiosk

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POST OFFICE

Process Reference: IRT-WBR-001 **Process Name:Whistleblowing review of complaint cases** **Version:1.0**

Reviewing complaint cases to make sure whistleblowing incidents are correctly identified.