

MAPPING SAMPLE

Department of Energy

Sample



Obligation Processes

1.0 Budget to Close – 1.2 Funds Management
2.0 Procure to Pay – 2.1 Acquisition

Creation Date:	January 26, 2006			
Last Updated:	January 26, 2006			
Creator:	Constance Genné			
Process Owner:	Ard Geller			
Business Process Improvement Opportunities Identified?		Y	X	N



Process Mapping Documentation Standard - Form and Content

Document Control

Change Record

<i>Date</i>	<i>Version</i>	<i>Author</i>	<i>Position</i>	<i>Department</i>
1/25/2006	1.01	Dean Childs	Deputy Director	Internal Review

Approval

Approval Record

<i>Date</i>	<i>Version</i>	<i>Approver</i>	<i>Position</i>	<i>Department</i>	<i>Approved Y/N</i>
1/25/2006	1.01	Dean Childs	Deputy Director	Internal Review	



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I. Classification

[Identify the Business Process Cycle(s) and Business Process(es) that the documented maps relate to and/or impact.]

Business Cycle	Business Process	Appl.
1.0 B2C	1.1 General Ledger Management	
	1.2 Funds Management	X
	1.3 Funds Balance With Treasury (FBWT)	
	1.4 Cost Management	
	1.5 Insurance	
	1.6 Grants	
	1.7 Loans	
2.0 P2P	2.1 Acquisition	X
	2.2 Inventory Management	
	2.3 Payable Management	
	2.4 Travel	

Business Cycle	Business Process	Appl.
3.0 Q2C	3.1 Revenue	
	3.2 Receivable Management	
4.0 P2A	4.1 Project Cost Management	
	4.2 Property Management	
	4.3 Seized Property Management	
5.0 ERM	5.1 Human Resources	
	5.2 Payroll	
	5.3 Benefits	

II. Operational Process Documentation

A. Straight Obligation Process

Subject Matter Expert(s): *Constance Genné*

Created by: *Constance Genné* **Date:** *1/26/06*

Updated by: *Shoshi Geller* **Date:** *1/26/06*

Status: *In Review*

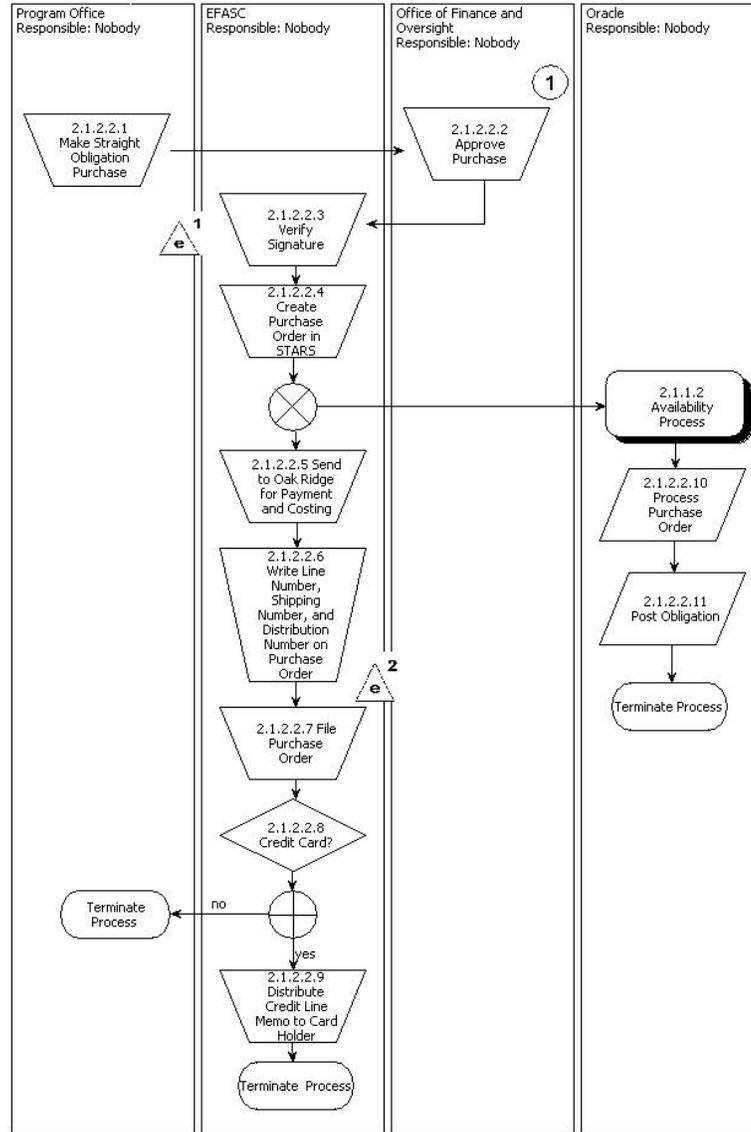
Description: *Obligation process specific to straight obligations.*

A.1 Straight Obligation Process Map

[Insert Operational Process Map (picture) here. If map is formatted as landscape, or the image spans more than 1 page horizontally, embed electronic version or attach hard copy. For details regarding mapping guidelines, refer to the Process Mapping Documentation Standard Instructions.]



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A.2 Straight Obligation Process Narrative

[Complete the Operational Process Narrative based on the Operational Process Map documented above. For further details, refer to the Process Mapping Documentation Standard Instructions.]

Step #	Name	Description	Role	Automation	System	Ref# and Name (R/C/I/O) ¹
1	.1 Make Straight Obligation Purchase	The program office makes a "straight obligation" purchase. This type of purchase is also known as an "ob-cost-pay" purchase because the obligation, costing, and payment are recorded concurrently. Included in this kind of obligation are credit cards and 3rd party checks.	Program Office	Manual		
2	.2 Approve Purchase	The Office of Finance and Oversight approves the purchase.	Office of Finance and Oversight	Manual		

¹ R – Risk; C – Control; I – Input; O - Output



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3	.3 Verify Signature	EFASC verifies the signature of the signatory. This is a manual process of visually looking at the signature and comparing it to physical records.	EFASC	Manual		R1-Forged Signature C1-Verify with signature card.
4	.4 Create Purchase Order in STARS	EFASC creates the purchase order and enters the information in the Oracle Purchase Order Module by entering the information on a "new line." This entry is at the detail level.	EFASC	Manual		
5	2.1.1.2 Availability Process			Fully	Oracle	
6	.5 Send to Oak Ridge for Payment and Costing	EFASC sends the document to the Oak Ridge Office of Finance for payment and costing. It is sent as a copy via the mail (FedEx) or via fax if deemed time sensitive.	EFASC	Manual		
7	.10 Process Purchase Order	If there are sufficient funds, the purchase order is processed in the Oracle Purchase Order Module.		Fully	Oracle	
8	.11 Post Obligation	An obligation is posted in Oracle.		Fully	Oracle	
9	.6 Write Line Number, Shipping Number, and Distribution Number on Purchase Order	EFASC writes the line number, shipping number, and distribution number on the physical purchase order.	EFASC	Manual		
10	.7 File Purchase Order	EFASC files the purchase order.	EFASC	Manual		R2-Unauthorized PO Issues C1-Verify with signature card. C2-Monthly Review of Hardcopies
11	.8 Credit Card?	If the straight obligation was a credit card, EFASC distributes a credit line memo to the card holder. If not, the process ends.	EFASC	Manual		
12	.9 Distribute Credit Line Memo to Card Holder	If the straight obligation was a credit card, EFASC distributes a credit line memo to the card holder. This memo informs the card holder of the amount of money available to him/her. The card holder can also (if serviced by an Office of Finance that utilizes a budgetary system) view the credit line balance remaining in BEARS or FCDS.	EFASC	Manual		

A.3 Supplemental Documentation

[Refer to the Process Mapping Documentation Standard Instructions for further details.]

A.3.a Narrative Detail

Risks						
Ref #	Risk Name	Description	Controls	Likelihood	Impact	Key Y/N
R1	Forged Signature	Unauthorized individual forges signature.	C1			
R2	Unauthorized PO issued	Unauthorized PO issued to the vendor.	C1, C2			

Controls					
Ref #	Control Name	Description	Ctl Type	Ctl Freq	Key Y/N
C1	Verify with Signature Card	Signature present and signature card verified to ensure signatures match.	Man	R	
C2	Monthly Review of Hardcopies	Monthly review of sample that purchase orders issued have a filed hardcopy.			

Inputs/Outputs					
Ref #	Input/Output Name	Description	Freq	Source	Destination



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A.3.b Documentation Related to Operational Process

Name	Location	Type	Version	Date Updated
IT/Systems Documentation				
Policies and Procedures				
<i>Straight Obligation Desktop Procedure</i>	<i>EFASC Network Drive</i>	<i>Word Doc</i>	<i>2.0</i>	
Training Guides				
Other				

A.3.c Business Process Improvement Opportunities

Process

[Document improvement opportunities identified for the Process (e.g. automation opportunities, re-engineering, streamlining, etc.)]

System

[Document improvement opportunities identified for the System (e.g. interfaces, customization, reporting, integration, automation, etc.)]

Procedures

[Document improvement opportunities identified for the Procedures (e.g. policies, procedures, forms, etc.)]

Training/Communications

[Document improvement opportunities identified for the Training and Communications (e.g. user training guides, tutorials, training courses, change communication, etc.)]

Other

[Document improvement opportunities identified for other areas not mentioned above.]

III. Roles and Organization

[Using the roles identified in the swimlanes on the Process Map and documented in the "Division/Role" column of the Narrative, provide a link to the current organizational structure. A current Organization Chart should be included or embedded below the table.]

Role	Organization ID	Name
<i>Program Office</i>		<i>NNSA/SC/EM/Nuclear Energy</i>
<i>EFASC</i>	<i>CF-11</i>	
<i>Office of Finance and Oversight</i>	<i>CF-12</i>	