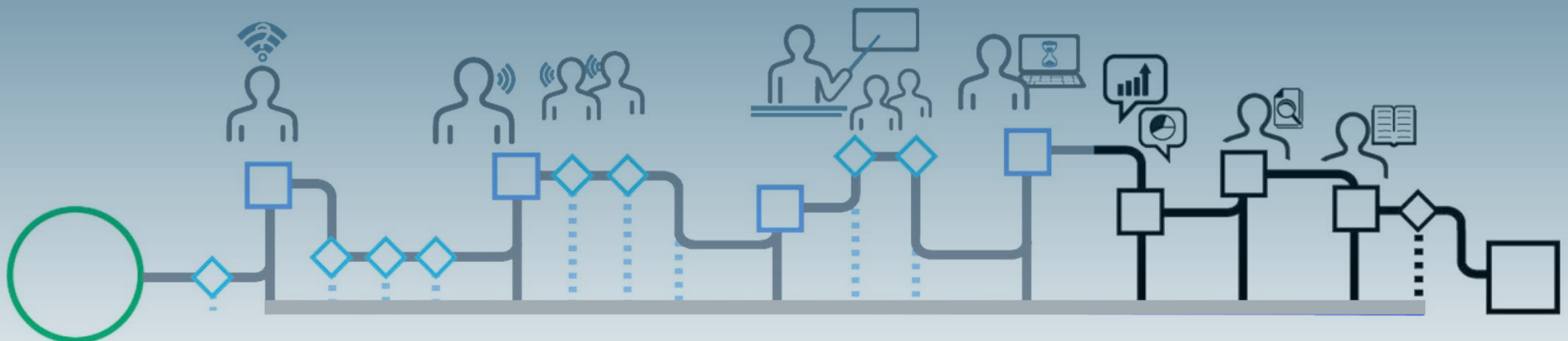




COMPROSE
everyone knows what to do.®

What is a Policy & Procedure System?



It's your operational roadmap

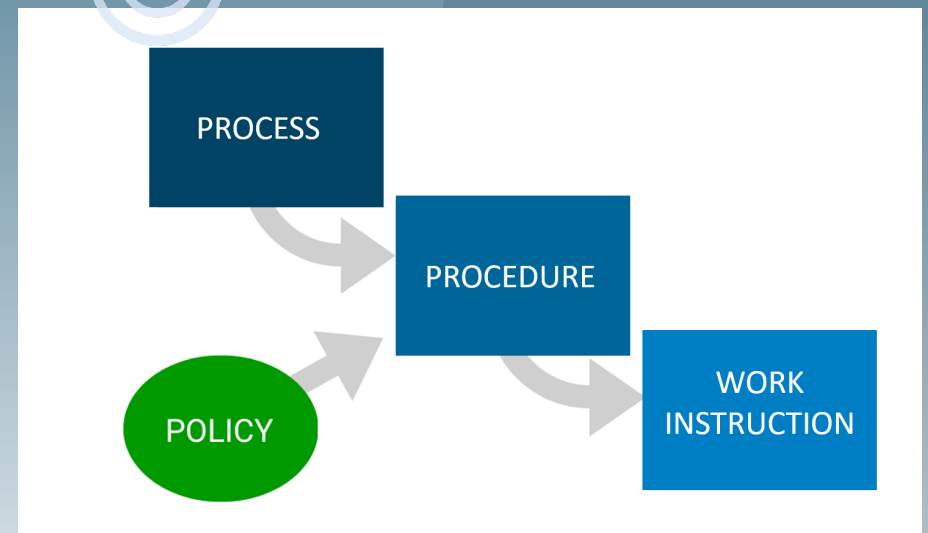
A policy and procedure system consists of high-level processes linked to related policies, procedures, and best practices. Employees have everything they need to perform their jobs effectively and efficiently.

A system encapsulates how you do business. It's "Your Way."

Instead of traditional documenting, the idea is to build process and procedure systems that are intentionally designed to produce the results you want; it might be fewer errors, faster service, or lower operating costs.

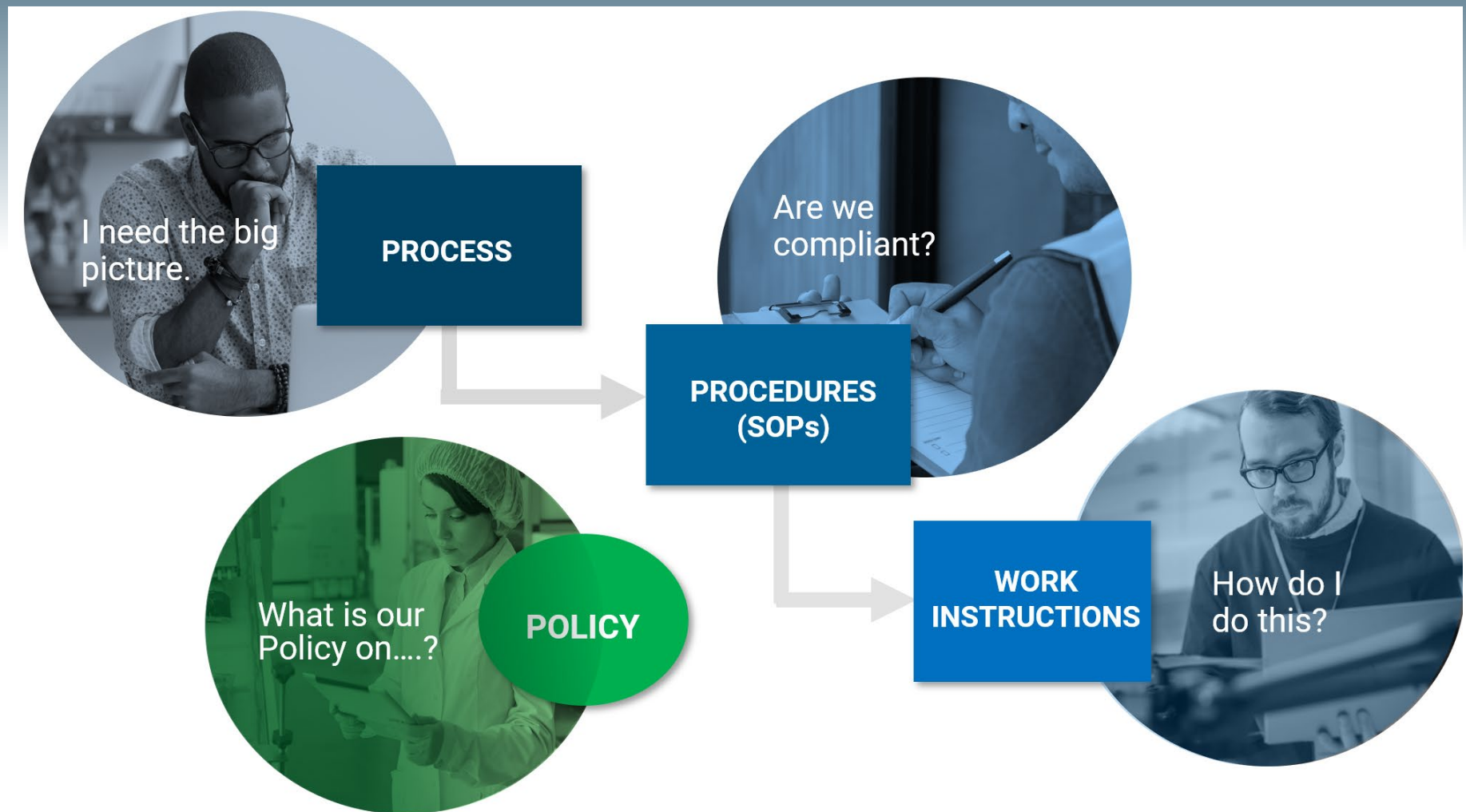
If you have a good system, anyone who follows it can get a good result every time.

Instead of cumbersome manuals that no one uses, your policies and procedures are transformed into a valuable business asset.



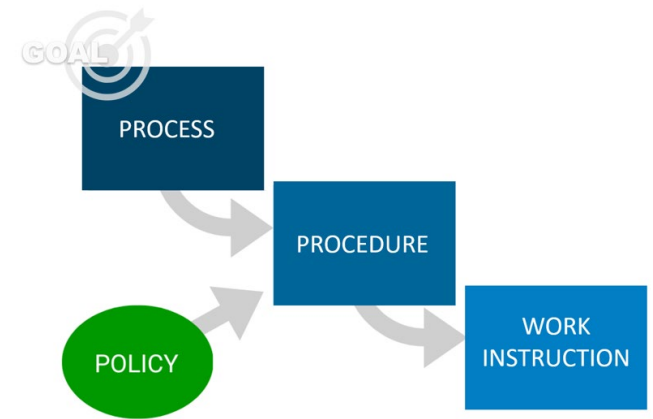
Different people have different informational needs.

A good system gives them answers – fast. This framework accommodates the way people seek answers in daily situations which leads to faster and better decisions.



Definitions

A **Goal** is a measurable business outcome such as % error reduction, reduced time, etc.



A **Process** is the highest level description of a task or series of tasks. It gives the big picture and overall workflow of a multi-step task.

Processes answer the question: How does a particular function or area of your business work and what happens. Providing employees this view helps them see how everyone works together and how their role fits in.

A **Procedure** (sometimes referred to as an SOP, protocol, or best practice) is more detailed than a process, but not as detailed as a work instruction.

Procedures answer the questions: what happens, in what order, who does what to whom and how.

A **Detailed Task / Work Instruction** is typically carried out by one person from start to finish in one sitting.

Work instructions change more frequently than processes and procedures. They should be separate but linked to the other elements.

Policies are separate but should be linked to processes, procedures and tasks. A policy is a guideline or the official position with respect to a topic. Policies do not contain steps or actions. Think of policies as the result of what should happen if you take the right actions.

Tips to help you avoid common mistakes

- Avoid mixing policy and procedure together in one document. Hardwiring policy and procedures together confuses the user and causes maintenance problems. Regulators don't like it either.
- When creating policies, make sure to create the corresponding procedures needed to carry out the policy.
- Break complex processes into bite-size procedures and work instructions. No one wants to read a 100-page document.
- Policy and procedure content is the foundation of your system, but don't stop there. Give employees everything they need to be successful. What additional information might they need? Your system might also include FAQs, podcasts, videos, and a company dictionary.
- If your goal is regulatory compliance, certification, or accreditation, consider mapping specific policies or procedures to the related standard.

A woman with long dark hair, wearing a dark blazer over a light-colored top, is smiling and looking down at a laptop screen. The background is blurred, suggesting an office environment. The entire right half of the slide has a dark blue overlay.

Result:

You have a system you can manage with, train from, and that regulators love.

Link your system to an economic outcome

Most people are so focused on the work aspects associated with policies and procedures, they lose sight of why they are developing them in the first place. So, the real value is never communicated to the team, let alone management! Everyone is told: let's get this done so we can get back to our real work. This mindset is common in situations where there is no link to economic value.

Unless you stay focused on the business outcome, the overall initiative loses focus and importance.

If management views policies and procedures as low-value, they probably won't commit the time and resources to doing it right and so won't see performance results.

A better approach is to shift the focus to how your policies and procedures will be used.

What performance outcome are you trying to achieve? Is it to train new hires faster? Reduce defects? Roll-out a new system? Implement a new regulation? Respond to customer inquiries faster?

It's helpful if your desired outcome is something measurable. Examples might be: 25% reduction in call handling time, collapsing new-hire training time from 5 weeks to 2 weeks, and so on.

If you let business outcomes drive your efforts, business improvement just happens! Like magic, focusing on the desired business outcome will render a higher ROI.

We've seen that when organizations clearly articulate the value proposition, management's reaction is often: "Why aren't we doing this already?"

Focusing on business outcomes also helps everyone base decisions on objective business results and less on opinion or a common trap: "This is how we've always done it before."



Explore real life examples

The following are examples of policy and procedure systems our clients created, using our Zavanta software for policies and procedures and applying our Operations Mapping method. Click on the topic you'd like to explore.

[Order Processing](#)

[IT Change Management](#)

[Patient Enrollment](#)

[New Accounts](#)

[Fraud Case Handling](#)

[Medication Management](#)

Business challenge:

Decline in customer satisfaction rating

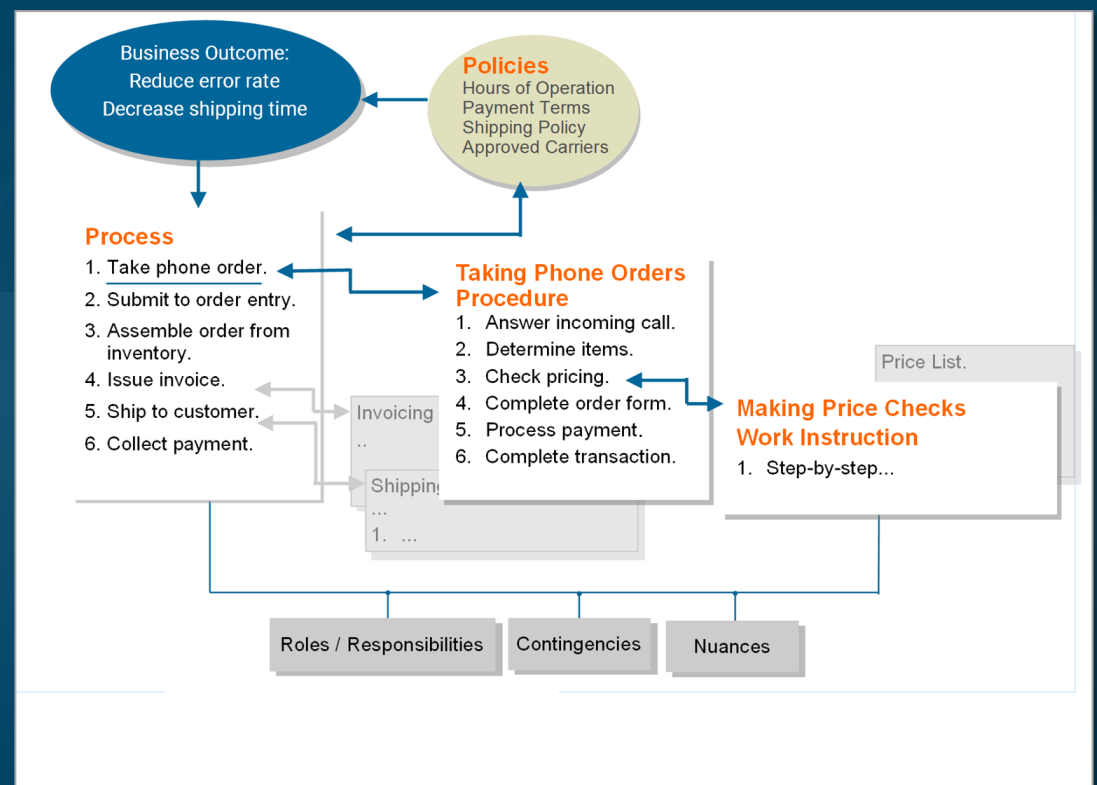
After a national parts supplier experienced a sharp decline in their customer satisfaction rating, their CEO became concerned. Preliminary analysis uncovered an increase in transaction errors which resulted in shipping incomplete orders and unnecessary delays. The company had grown very quickly; the transition to a 250-person firm had been painful. Most training was haphazard, done word of mouth.

Financial impact: After performing a financial assessment, the client was astounded to find out just how much they were spending in training and turnover costs. The turnover rate in their customer service area was 20%, which meant they were training 50 new people per year. They estimated their cost to train a new person was \$8,000. For a firm of 250 employees, a training cost in excess of \$400,000 was a tough pill for the CEO to swallow!

Goal: Reduce time-to-competency.

Solution: We helped them develop an "Order Processing System" that they could use to train new hires from. This enabled them to not only reduce ramp-up time, but also reduced the time people spent asking their neighbor and supervisors for help. By stepping back and reviewing their current operations they were also able to implement additional controls, making their work processes less error-prone.

Order Processing System



Business challenge:

Backlogged support

The Corporate Information Technology (IT) department in a fast-growing financial services firm wanted to improve relations with the business units they served. User requests tended to fall into a big black hole and deadlines were continually missed. IT lacked any systematic way to ensure that user expectations met developers' expectations.

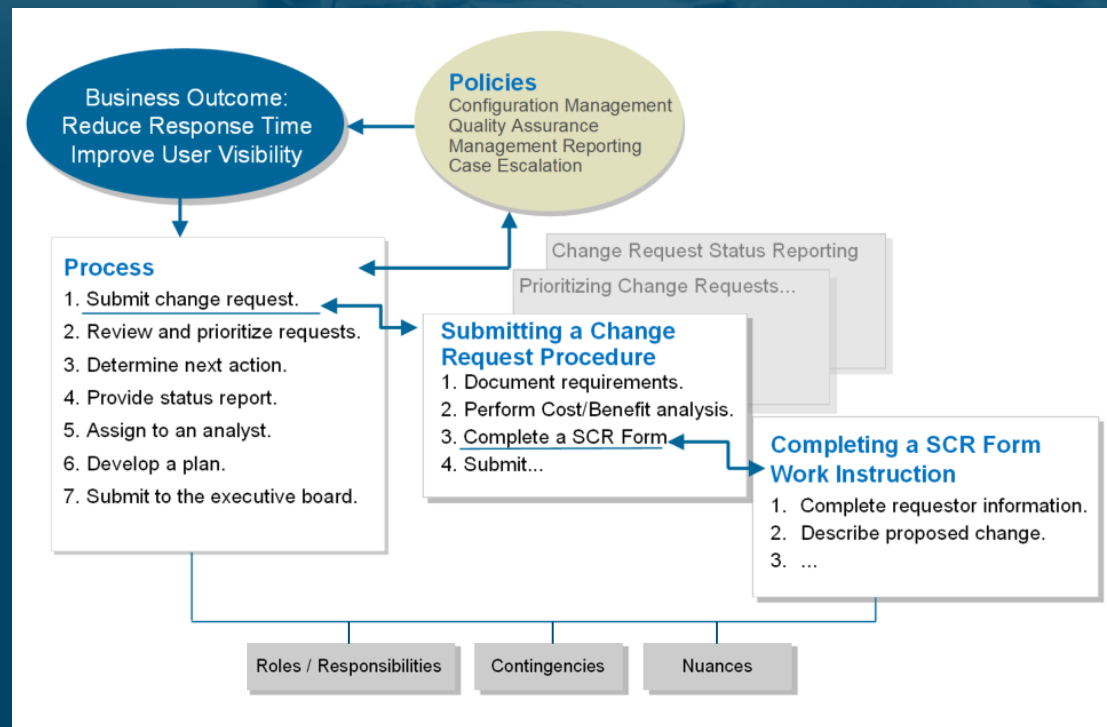
Financial impact: After performing an initial financial assessment, we calculated that the potential dollar exposure of these issues was over \$250,000 annually. The client agreed that even a small improvement could save them thousands of dollars, in addition to reducing finger-pointing and improving IT's public relations with their business users.

Goal: Reduce response time, improve user visibility.

Solution: We showed our client how to create a "Software Change Management System" designed to reduce response time, improve business user visibility, and reduce their defect rate. They started achieving results in their first week.

By applying this method in another area, one of their consultants was able to reduce a two-day complicated, error-prone conversion process into a two-hour push-button procedure that anyone could perform.

IT Change Management System



Business challenge

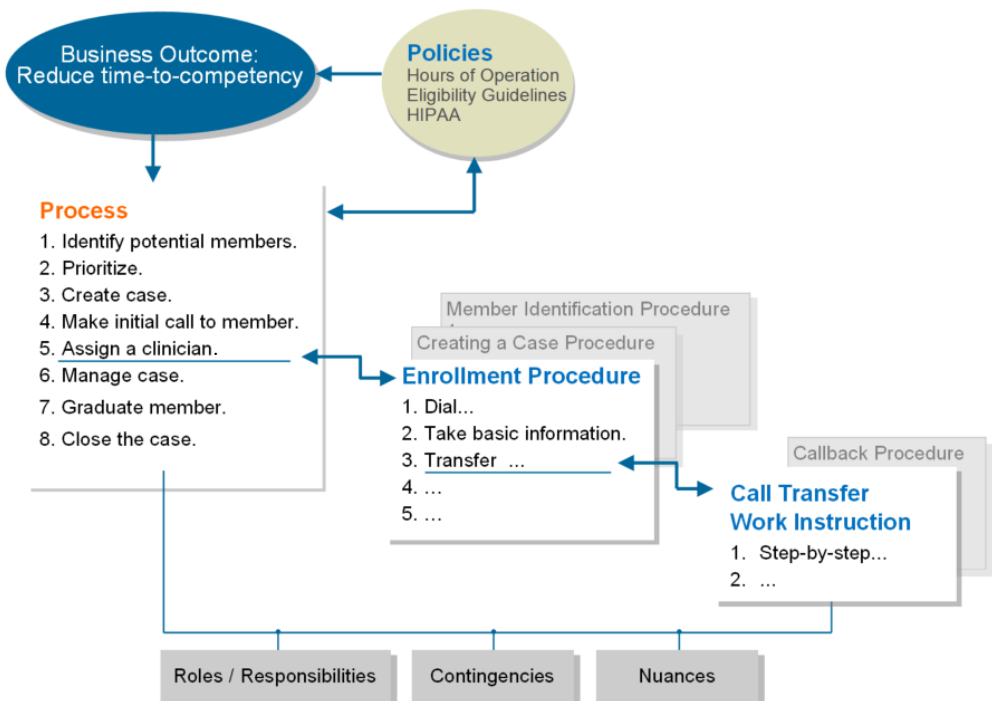
Difficulty training new staff

A Health Care Management organization was growing so rapidly that they couldn't get staff hired and trained fast enough. Operations were inconsistent across call centers. Supervisors were spending too much time answering basic questions. Their overall challenge was getting new hires productive faster. Formal training couldn't keep up. Their existing policy and procedure documentation was useless.

Financial impact: They calculated that the potential dollar impact of training problems and people inefficiencies was over \$4M annually. The client agreed that even a small improvement could save them hundreds of thousands of dollars, in addition to reducing stress and improving service quality.

Goal: Reduce time-to-competency.

Solution: Using our Zavanta system for policies and procedures, we worked with them to create a “Patient Enrollment System” designed to reduce new hire time-to-competency. The system also reduced call handling time so much so that they had to set a new higher benchmark.



Business challenge:

Weak internal controls

The COO of a community bank was concerned about how to keep employees trained and compliant. Regulations were continually changing. Bank Examiners had identified weaknesses in the bank's controls and a lack of clear procedures, especially in New Accounts. The COO was also concerned about how the bank would manage planned expansion with no formal training system in place.

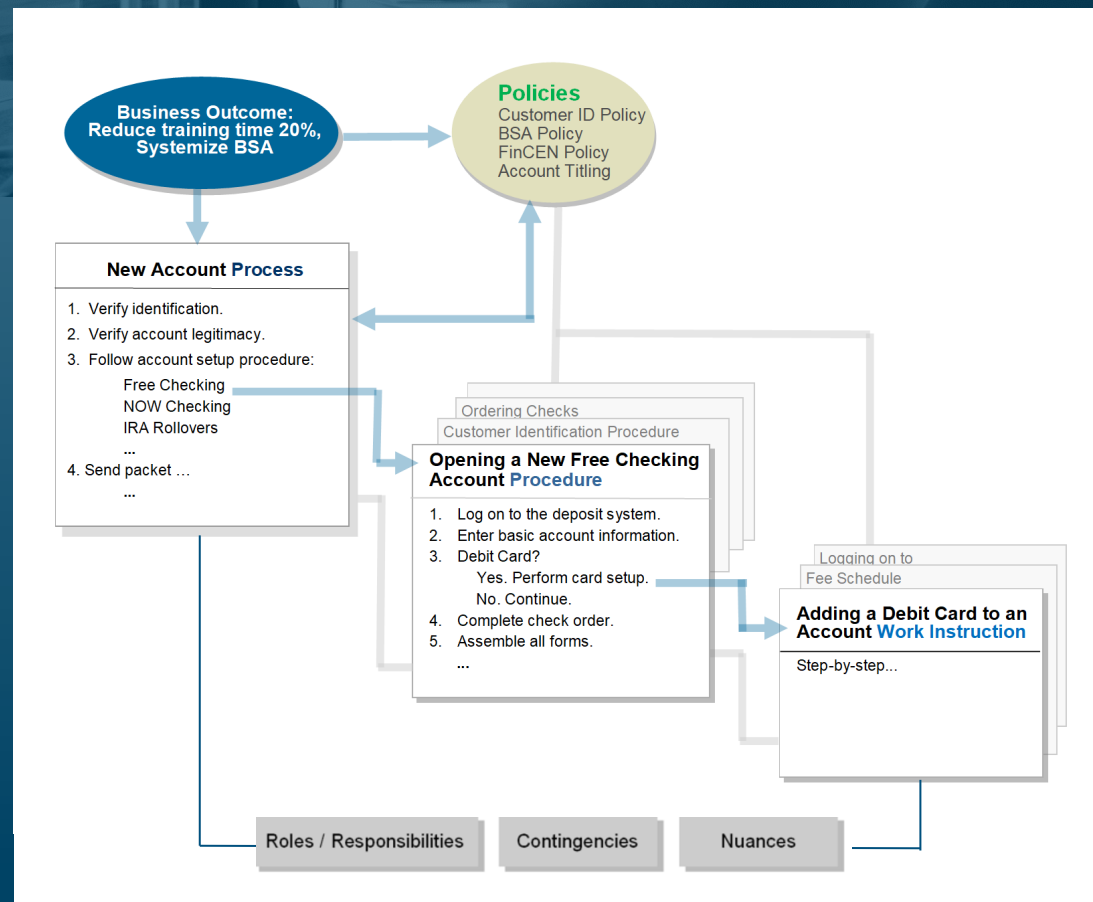
Financial impact: The costs associated with regulatory compliance were significant. Training costs — especially after the bank began opening new branches — went through the roof.

For some positions it was taking up to two years to get a new person self-sufficient. Because each branch operated differently, it was difficult to make use of floaters which further increased operating costs.

Goal: Reduce time-to-competency.

Solution: Getting a clear system in place that everyone could easily understand for New Accounts was the COO's top priority. Because he didn't know where start, he hired Comprose to assist them. We helped them develop an easy-to-use system for New Accounts that enabled the bank to standardize training, meet new regulatory compliance, and gain more process transparency.

New Accounts System



Business challenge:

Slow response to fraud cases

In banking and financial services, fraud and identity theft have become very serious issues. One of our clients decided to attack the problem head-on.

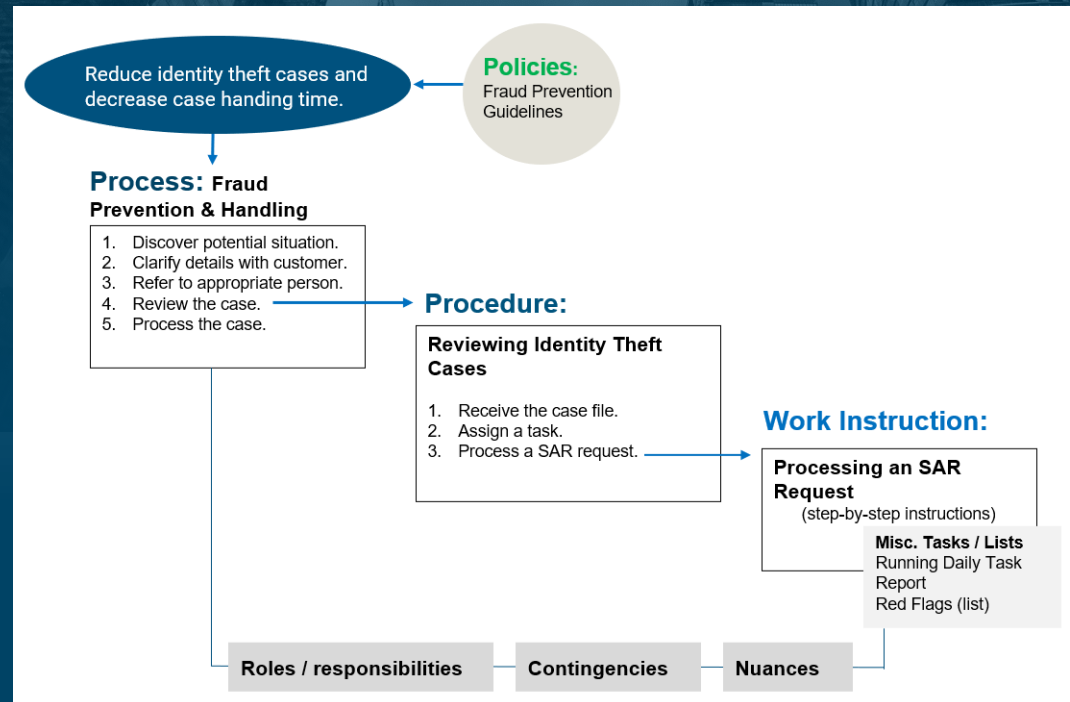
After working with them to carefully study their processes and procedures, we discovered many gaps. No single person had a clear idea of the big picture. It was hazy who was responsible for what.

Goal: Reduce identity theft cases and decrease case handling time.

Solution: We helped this client develop a “Fraud Detection and Case Management System” that was intentionally designed to reduce the number of cases and decrease case handling time.

As a result, our client was able to streamline the process and make it more transparent. They now had a visible system they could use for operations, compliance, and training.

Fraud Prevention System



Business challenge:

Ensuring medication safety, compliance

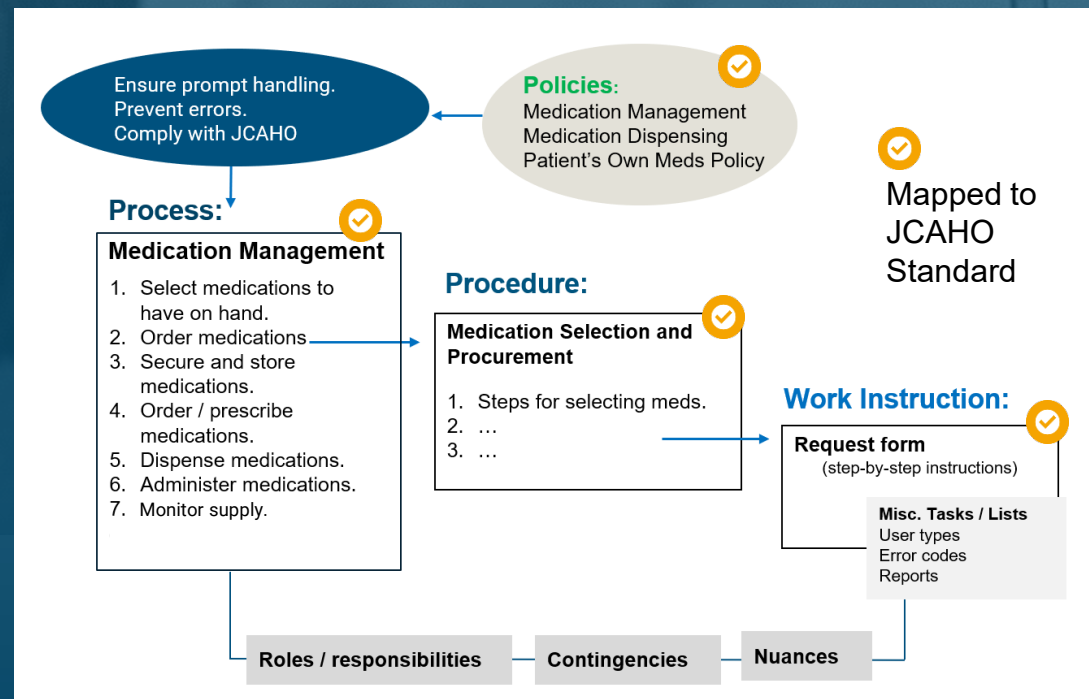
A large university hospital system was struggling to develop the policies and procedures needed to achieve Joint Commission on Accreditation of Healthcare Organizations (JCAHO) accreditation. In addition, they were implementing a new medication management system and were challenged with training staff. Patient safety was paramount to their operations and focus, but it was difficult to operationalize this vision.

Goal: Comply with JCAHO, ensure efficient and safe handling of medications.

Solution: We helped the client get clarity on the difference between policy vs. procedure. After they had that baseline understanding, we helped them create a “Safe Medication Management System” that was intentionally designed to train staff on how to use the new medication dispensing machines.

They were also able to map their policies and procedures to the JCAHO standard, which streamlined compliance and ongoing maintenance of the content.

Safe Medication Management System





About Compose

We are dedicated to helping people thrive by gaining access to accurate, updated “how to” knowledge anytime, anyplace, in any language.

Everything we do – our method, our software, our advice – is focused on one thing: helping our clients achieve their strategic goals by getting procedural knowledge out of peoples’ heads and shareable.

We’re passionate about the power of good systems and clear standard operating procedures because of the tangible results we’ve seen our customers achieve: agility, reduced operating costs, faster training, predictability, greater transparency.