Process Audit Checklist

Process Name:

Process Owner:

Frequency & Trigger:

Desired Outcome:

Complexity & Risk

- ○ Determine how many steps are involved.
- ○ Determine how many handoffs are involved
- ○ Identify all the various systems and software involved.
- ○ Establish the security risks presented in the process.
- ○ Identify the data sensitivity filtering through the process
- ○ Identify any compliance requirements surrounding the process.
- ○ Determine any current or potential regulatory requirements.

Inefficiency Indicators

- ○ Highlight points of manual data entry or human intervention.
- ○ Highlight all bottlenecks and single points of failure.
- ○ Document the current error rate within the process.
- ○ Document the time required to execute the process.
- ○ Document decisions that are rule-based vs. judgement-based
- ○ Determine if this process directly impacts the customer experience.
- ○ Establish a baseline team sentiment surrounding the process.

Helpful Metrics

- ○ **Cycle Time** - *Measures Process Speed*
  End Time – Start Time

- ○ **Error Rate** - *Measures Reliability*
  (Number of Errors ÷ Total Transactions) × 100

- ○ **Cost per Transaction** - *Measures Efficiency*
  Total Process Cost ÷ Number of Transactions

- ○ **Process Volume** - *Measures Workload Intensity*
  Total Transactions ÷ Time Period