BANKING
PROCESS CLASSIFICATION FRAMEWORK℠

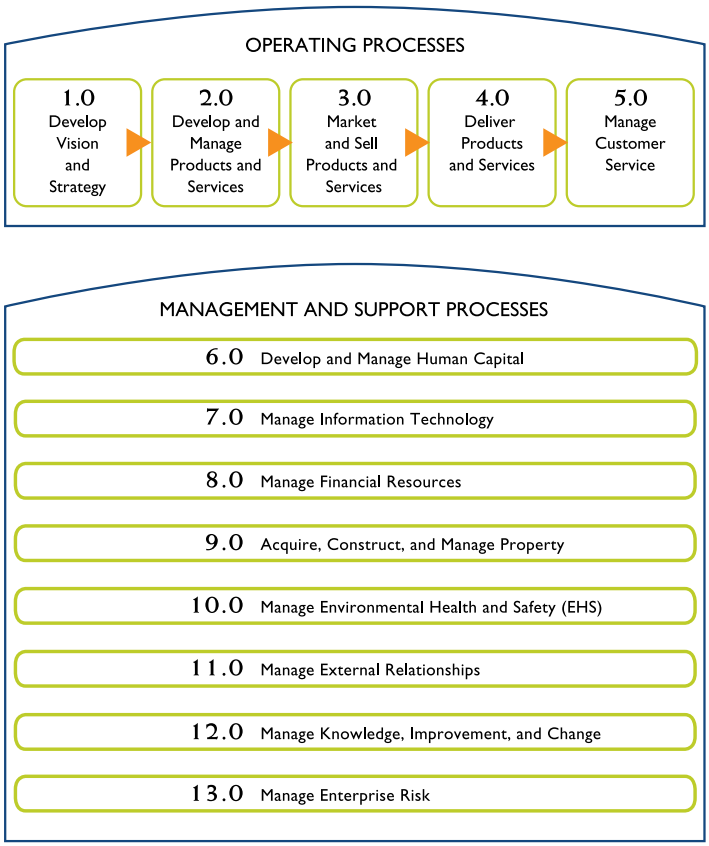
THE BANKING PROCESS CLASSIFICATION FRAMEWORK

Based on the renowned Process Classification Framework℠ (PCF), a taxonomy of cross-functional business processes intended to allow objective comparison of performance within and among organizations, and supported by IBM, this industry PCF enables more industry-applicable content by outlining and defining processes and activities specific to the banking industry. This allows organizations to choose the framework most relevant to the specific process improvement need, whether it be benchmarking within or across industries, business process management/re-engineering, or content management. The cross-industry PCF and industry PCFs are available on the APQC Web site at no charge. IBM provided the subject matter expertise and intellectual property to create the industry-specific business process classification frameworks as part of IBM's continuing leadership in the promotion of open standards to help organizations evaluate and measure business processes at an industry level.

THE FRAMEWORK FOR PROCESS IMPROVEMENT

Experience shows that the potential of benchmarking to drive dramatic improvement lies squarely in making out-of-the-box comparisons and searching for insights not typically found within intra-industry paradigms. To enable this beneficial benchmarking, the APQC Process Classification Framework serves as a high-level, industry-neutral enterprise process model that allows organizations to see their business processes from a cross-industry viewpoint.

This cross-industry framework has experienced more than 15 years of creative use by thousands of organizations worldwide. The PCF provides the foundation for the Open Standards Benchmarking Collaborative℠ (OSBC) database and the work of its advisory council of global industry leaders. Each version of the PCF will continue to be enhanced as the OSBC database further develops definitions, processes, and measures. The PCF and associated measures and benchmarking surveys are available for download and completion at no charge from the Open Standards Benchmarking Collaborative Web site at www.apqc.org/OSBCdatabase.



HISTORY

The cross-industry Process Classification Framework was originally envisioned as a taxonomy of business processes and a common language through which APQC member organizations could benchmark their processes. The initial design involved APQC and more than 80 organizations with strong interest in advancing the use of benchmarking in the United States and worldwide. Since its inception in 1992, the PCF has seen updates to most of its content. These updates keep the framework current with the ways that organizations do business around the world. In 2008, APQC and IBM worked together to enhance the cross-industry Process Classification Framework and to develop a number of industry-specific PCFs.

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LOOKING FORWARD

The cross-industry and industry Process Classification Frameworks are evolving models, which APQC will continue to enhance and improve regularly. Thus, APQC encourages comments, suggestions, and more importantly, the sharing of insights from having applied the PCF within your organization. Share your suggestions and experiences with the PCF by e-mailing pcf_feedback@apqc.org.

ABOUT APQC

An internationally recognized resource for process and performance improvement, APQC helps organizations adapt to rapidly changing environments, build new and better ways to work, and succeed in a competitive marketplace. With a focus on productivity, knowledge management, benchmarking, and quality improvement initiatives, APQC works with its member organizations to identify best practices; discover effective methods of improvement; broadly disseminate findings; and connect individuals with one another and the knowledge, training, and tools they need to succeed. Founded in 1977, APQC is a member-based nonprofit serving organizations around the world in all sectors of business, education, and government. APQC is also a proud winner of the 2003, 2004, and 2007 North American Most Admired Knowledge Enterprises (MAKE) award as well as the 2008 Global MAKE award. These awards are based on annual studies by Teleos, a European-based research firm, and The KNOW network.

The PCF is written in United States English language format.

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ABOUT IBM

IBM works with its clients to develop new business designs and technical architectures that allow their businesses the flexibility required to compete in a global business landscape. The business is also adjusting its footprint toward emerging geographies, tapping into IBM's double-digit growth, providing the technology infrastructure they need, and taking advantage of the talent pools provided to better service IBM's clients. IBM's major operations comprise a Global Technology Services segment, a Global Business Services segment, a Systems and Technology segment, a Software segment, and a Global Financing segment. For more information, visit www.ibm.com/soa.

THE BANKING PROCESS CLASSIFICATION FRAMEWORK℠

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UNDERSTANDING THE NUMBERING SCHEME

Beginning with Version 5.0.0, the PCF uses a numbering scheme that differs from previous versions. The cross-industry framework and the industry-specific frameworks collectively form a library of process

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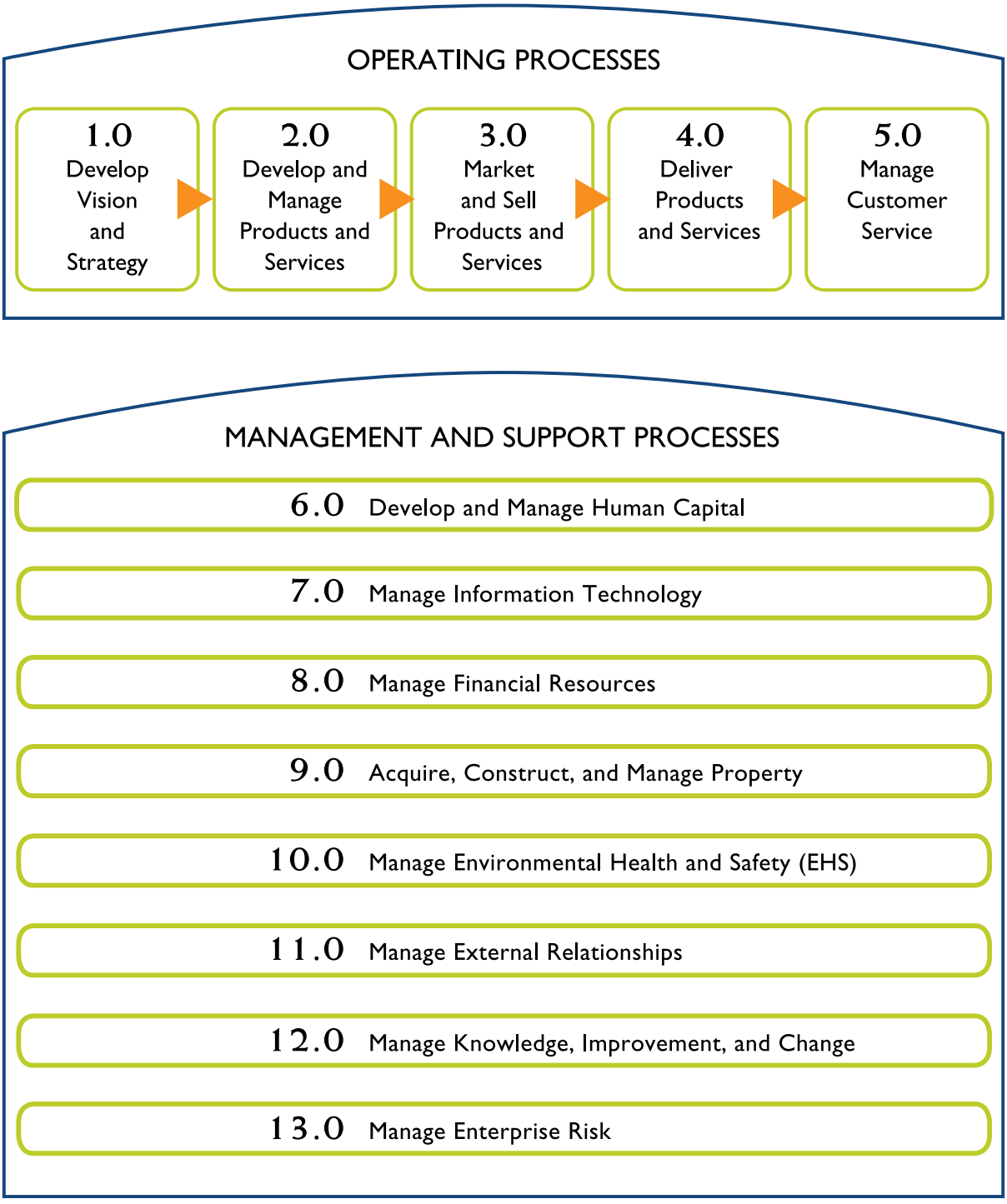

elements for the OSBC. Each process element is referred to by two numbers: a number used to locate the content within that particular framework (in the format 1.2.3.4) and a serial number used to uniquely identify the process element across all of the various OSBC frameworks (beginning with 10000).

For example, the process element "1.2 Develop business strategy (10015)" is uniquely identified by the serial number "10015" and the hierarchical reference number "1.2." In industry-specific PCFs, any process element identified as "10015" will have the same scope and definition as a process element of the same number elsewhere, but may be labeled differently.

INTERPRETING THE PCF

Category: The highest level within the PCF is indicated by whole numbers (e.g., 8.0 and 9.0).

Process Group: Items with one-decimal numbering (e.g., 8.1 and 9.1) are considered a process group.

Process: Items with two-decimal numbering (e.g., 8.1.1 and 9.1.2) are considered processes.

Activity: Items with three-decimal numbering (e.g. 8.3.1.1 and 9.1.1.1) are considered activities within a process.

The Banking PCF is based on the cross-industry PCF Version 5.0.0 released in April 2008.

1.0 Develop Vision and Strategy (10002)

1.1 Define the business concept and long-term vision (10014)

- 1.1.1 Assess the external environment (10017)
  - 1.1.1.1 Analyze and evaluate competition (10021)
  - 1.1.1.2 Identify economic trends (10022)
  - 1.1.1.3 Identify political and regulatory issues (10023)
  - 1.1.1.4 Assess new technology innovations (10024)
  - 1.1.1.5 Analyze demographics (10025)
  - 1.1.1.6 Identify social and cultural changes (10026)
  - 1.1.1.7 Identify ecological concerns (10027)
- 1.1.2 Survey market and determine customer needs and wants (10018)
  - 1.1.2.1 Conduct qualitative/quantitative assessments (10028)
  - 1.1.2.2 Capture and assess customer needs (10029)
- 1.1.3 Perform internal analysis (10019)
  - 1.1.3.1 Analyze organizational characteristics (10030)
  - 1.1.3.2 Create baselines for current processes (10031)
  - 1.1.3.3 Analyze systems and technology (10032)
  - 1.1.3.4 Analyze financial positions (10033)
  - 1.1.3.5 Identify enterprise core competencies (10034)
- 1.1.4 Establish strategic vision (10020)
  - 1.1.4.1 Align stakeholders around strategic vision (10035)
  - 1.1.4.2 Communicate strategic vision to stakeholders (10036)

1.2 Develop business strategy (10015)

- 1.2.1 Develop overall mission statement (10037)
  - 1.2.1.1 Define current business (10044)
  - 1.2.1.2 Formulate mission (10045)
  - 1.2.1.3 Communicate mission (10046)
- 1.2.2 Evaluate strategic options to achieve the objectives (10038)
  - 1.2.2.1 Define strategic options (10047)
  - 1.2.2.2 Assess and analyze impact of each option (10048)
- 1.2.3 Select long-term business strategy (10039)
- 1.2.4 Coordinate and align functional and process strategies (10040)
- 1.2.5 Create organizational design (structure, governance, reporting, etc.) (10041)
  - 1.2.5.1 Evaluate breadth and depth of organizational structure (10049)
  - 1.2.5.2 Perform job-specific roles mapping and value-added analyses (10050)
  - 1.2.5.3 Develop role activity diagrams to assess hand-off activity (10051)
  - 1.2.5.4 Perform organization redesign workshops (10052)
  - 1.2.5.5 Design the relationships between organizational units (10053)
  - 1.2.5.6 Develop role analysis and activity diagrams for key processes (10054)
  - 1.2.5.7 Assess organizational implication of feasible alternatives (10055)
  - 1.2.5.8 Migrate to new organization (10056)
- 1.2.6 Develop and set organizational goals (10042)
- 1.2.7 Formulate business unit strategies (10043)

1.3 Manage strategic initiatives (10016)

- 1.3.1 Develop strategic initiatives (10057)
- 1.3.2 Evaluate strategic initiatives (10058)
- 1.3.3 Select strategic initiatives (10059)
- 1.3.4 Establish high-level measures (10060)

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2.0 Develop and Manage Products and Services (10003)

2.1 Manage product and service portfolio (10061)

- 2.1.1 Evaluate performance of existing products/services against market opportunities (10063)
- 2.1.2 Define product/service development requirements (10064)
  - 2.1.2.1 Identify potential improvements to existing products and services (10068)
  - 2.1.2.2 Identify potential new products and services (10069)
- 2.1.3 Perform discovery research (10065)
  - 2.1.3.1 Identify new technologies (10070)
  - 2.1.3.2 Develop new technologies (10071)
  - 2.1.3.3 Assess feasibility of integrating new leading technologies into product/service concepts (10072)
- 2.1.4 Confirm alignment of product/service concepts with business strategy (10066)
  - 2.1.4.1 Plan and develop cost and quality targets (10073)
  - 2.1.4.2 Prioritize and select new product/service concepts (10074)
  - 2.1.4.3 Specify development timing targets (10075)
  - 2.1.4.4 Plan for product/service offering modifications (10076)
- 2.1.5 Manage product and service life cycle (10067)
  - 2.1.5.1 Introduce new products/services (10077)
  - 2.1.5.2 Retire outdated products/services (10078)
  - 2.1.5.3 Identify and refine performance indicators (10079)

2.2 Develop products and services (10062)

- 2.2.1 Design, build, and evaluate products and services (10080)
  - 2.2.1.1 Research customer and market needs (13932)
  - 2.2.1.2 Assign resources to product/service project (10083)
  - 2.2.1.3 Prepare high-level business case and technical assessment (10084)
  - 2.2.1.4 Develop product/service design specifications (10085)
  - 2.2.1.5 Document design specifications (10086)
  - 2.2.1.6 Conduct mandatory and elective external reviews (legal, regulatory, standards, internal) (10087)
  - 2.2.1.7 Build prototypes (10088)
  - 2.2.1.8 Eliminate quality and reliability problems (10089)
  - 2.2.1.9 Conduct in-house product/service testing and evaluate feasibility (10090)
  - 2.2.1.10 Identify design/development performance indicators (10091)
  - 2.2.1.11 Collaborate design with suppliers and contract manufacturers (10092)
  - 2.2.1.12 Manage product recipe (14184)
- 2.2.2 Test market for new or revised products and services (10081)
  - 2.2.2.1 Prepare detailed market study (10093)
  - 2.2.2.2 Conduct customer tests and interviews (10094)
  - 2.2.2.3 Finalize product/service characteristics and business cases (10095)
  - 2.2.2.4 Finalize technical requirements (10096)
  - 2.2.2.5 Identify requirements for changes to manufacturing/delivery processes (10097)
- 2.2.3 Prepare for production (10082)
  - 2.2.3.1 Develop and test prototype production and/or service delivery process (10098)
  - 2.2.3.2 Design and obtain necessary materials and equipment (10099)
  - 2.2.3.3 Provide marketing/product launch documentation (13933)
  - 2.2.3.4 Install and validate production process or methodology (10100)
  - 2.2.3.5 Introduce new product and/or service commercially (14176)

3.0 Market and Sell Products and Services (10004)

3.1 Understand markets, customers, and capabilities (10101)

- 3.1.1 Perform customer and market intelligence analysis (10106)
  - 3.1.1.1 Conduct customer and market research (10108)
  - 3.1.1.2 Identify market segments (10109)
  - 3.1.1.3 Analyze market and industry trends (10110)
  - 3.1.1.4 Analyze competing organizations, competitive/substitute products (10111)
  - 3.1.1.5 Evaluate existing products/brands (10112)
  - 3.1.1.6 Assess internal and external business environment (10113)
- 3.1.2 Evaluate and prioritize market opportunities (10107)
  - 3.1.2.1 Quantify market opportunities (10116)
  - 3.1.2.2 Determine target segments (10117)
  - 3.1.2.3 Prioritize opportunities consistent with capabilities and overall business strategy (10118)
  - 3.1.2.4 Validate opportunities (10119)

3.2 Develop marketing strategy (10102)

- 3.2.1 Define offering and customer value proposition (11168)
  - 3.2.1.1 Define offering and positioning (11169)
  - 3.2.1.2 Develop value proposition including brand positioning for target segments (11170)
  - 3.2.1.3 Validate value proposition and shape offering to optimize target segments (11171)
  - 3.2.1.4 Develop new branding (11172)
- 3.2.2 Define pricing strategy to align to value proposition (10123)
  - 3.2.2.1 Establish guidelines for applying pricing of products/services (10124)
  - 3.2.2.2 Approve pricing strategies/policies (10125)
- 3.2.3 Define and manage channel strategy (10122)
  - 3.2.3.1 Evaluate channel attributes and partners (10126)
  - 3.2.3.2 Determine channel fit with target segments (10127)
  - 3.2.3.3 Select channels for target segments (10128)

3.3 Develop sales strategy (10103)

- 3.3.1 Develop sales forecast (10129)
  - 3.3.1.1 Gather current and historic order information (10134)
  - 3.3.1.2 Analyze sales trends and patterns (10135)
  - 3.3.1.3 Generate sales forecast (10136)
  - 3.3.1.4 Analyze historical and planned promotions and events (10137)
- 3.3.2 Develop sales partner/alliance relationships (10130)
  - 3.3.2.1 Identify alliance opportunities (10138)
  - 3.3.2.2 Design alliance programs and methods for selecting and managing relationships (10139)
  - 3.3.2.3 Select alliances (10140)
  - 3.3.2.4 Develop partner and alliance management strategies (10141)
  - 3.3.2.5 Establish partner and alliance management goals (10142)
- 3.3.3 Establish overall sales budgets (10131)
  - 3.3.3.1 Calculate product revenue (10143)
  - 3.3.3.2 Determine variable costs (10144)
  - 3.3.3.3 Determine overhead and fixed costs (10145)
  - 3.3.3.4 Calculate net profit (10146)
  - 3.3.3.5 Create budget (10147)
- 3.3.4 Establish sales goals and measures (10132)
- 3.3.5 Establish customer management measures (10133)
- 3.3.6 Monitor sales practice/compliance (13934)

3.4 Develop and manage marketing plans (10104)

- 3.4.1 Establish goals, objectives, and metrics for products by channels/segments (10148)
- 3.4.2 Establish marketing budgets (10149)
  - 3.4.2.1 Confirm marketing alignment to business strategy (10155)
  - 3.4.2.2 Determine costs of marketing (10156)
  - 3.4.2.3 Create marketing budget (10157)
- 3.4.3 Develop and manage media (10150)
  - 3.4.3.1 Define media objectives (10158)
  - 3.4.3.2 Develop marketing messages (10159)
  - 3.4.3.3 Define target audience (10160)
  - 3.4.3.4 Engage media provider (10161)
  - 3.4.3.5 Develop and execute advertising (10162)
  - 3.4.3.6 Develop and execute other marketing campaigns/programs (11253)
  - 3.4.3.7 Assess brand/product marketing plan performance (11254)
- 3.4.4 Develop and manage placement and campaign management (13935)
  - 3.4.4.1 Develop marketing material (13936)
  - 3.4.4.2 Develop market offering campaign (13937)
  - 3.4.4.3 Prepare for marketing campaign launch (13938)
  - 3.4.4.4 Execute the marketing campaign (13939)
- 3.4.5 Develop and manage pricing (10151)
  - 3.4.5.1 Determine pricing based on volume/unit forecast (10163)
  - 3.4.5.2 Execute pricing plan (10164)
  - 3.4.5.3 Evaluate pricing performance (10165)
  - 3.4.5.4 Refine pricing as needed (10166)
- 3.4.6 Develop and manage promotional activities (10152)
  - 3.4.6.1 Define promotional concepts (10167)
  - 3.4.6.2 Plan and test promotional activities (10168)
  - 3.4.6.3 Execute promotional activities (10169)
  - 3.4.6.4 Evaluate promotional performance metrics (10170)
  - 3.4.6.5 Refine promotional performance metrics (10171)
  - 3.4.6.6 Incorporate learning into future/planned consumer promotions (10172)

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- 3.4.7 Track customer management measures (10153)
  - 3.4.7.1 Determine customer loyalty/lifetime value (10173)
  - 3.4.7.2 Analyze customer revenue trend (10174)
  - 3.4.7.3 Analyze customer attrition and retention rates (10175)
  - 3.4.7.4 Analyze customer metrics (e.g., customer attrition and retention rates) (10176)
  - 3.4.7.5 Revise customer strategies, objectives, and plans based on metrics (10177)
- 3.4.8 Develop and manage packaging strategy (10154)
  - 3.4.8.1 Plan packaging strategy (10178)
  - 3.4.8.2 Test packaging options (10179)
  - 3.4.8.3 Execute packaging strategy (10180)
  - 3.4.8.4 Refine packaging (10181)

3.5 Develop and manage sales plans (10105)

- 3.5.1 Generate leads (10182)
  - 3.5.1.1 Identify potential customers (10188)
  - 3.5.1.2 Identify leads (10189)
  - 3.5.1.3 Provide offering to potential customers (13940)
  - 3.5.1.4 Complete arrangement with customer (13941)
- 3.5.2 Manage customers and accounts (10183)
  - 3.5.2.1 Identify new customers (14182)
  - 3.5.2.2 Identify priority customers (13942)
  - 3.5.2.3 Maintain and service customer details (14177)
  - 3.5.2.4 Develop sales/key account plan (11173)
  - 3.5.2.5 Manage customer relationships (11174)
- 3.5.3 Manage customer sales (10184)
  - 3.5.3.1 Perform sales calls (10190)
  - 3.5.3.2 Perform pre-sales activities (10191)
  - 3.5.3.3 Close the sale (10192)
  - 3.5.3.4 Record outcome of sales process (10193)
- 3.5.4 Manage sales orders (10185)
  - 3.5.4.1 Accept and validate sales orders (10194)
  - 3.5.4.2 Collect and maintain customer account information (10195)
  - 3.5.4.3 Determine availability (10196)
  - 3.5.4.4 Determine fulfillment process (10197)
  - 3.5.4.5 Enter orders into system and identify/perform cross-sell/up-sell activity (10198)
- 3.5.5 Manage sales force (10186)
  - 3.5.5.1 Determine sales resource allocation (10209)
  - 3.5.5.2 Establish sales force incentive plan (10210)
- 3.5.6 Manage sales partners and alliances (10187)
  - 3.5.6.1 Provide sales and product training to sales partners/alliances (10211)
  - 3.5.6.2 Develop sales forecast by partner/alliance (10212)
  - 3.5.6.3 Agree on partner and alliance commissions (10213)
  - 3.5.6.4 Evaluate partner/alliance results (10214)
  - 3.5.6.5 Optimize sales channels (14178)
  - 3.5.6.6 Provide sales and product training (14179)
  - 3.5.6.7 Manage distribution channel (14180)
- 3.5.7 Perform underwriting, risk, and assessment functions (14181)

4.0 Deliver Products and Services (10005)

4.1 Plan for and acquire necessary resources (Supply Chain Planning) (10215)

- 4.1.1 Develop production and materials strategies (10221)
  - 4.1.1.1 Define manufacturing goals (10229)
  - 4.1.1.2 Define labor and materials policies (10230)
  - 4.1.1.3 Define outsourcing policies (10231)
  - 4.1.1.4 Define manufacturing capital expense policies (10232)
  - 4.1.1.5 Define capacities (10233)
  - 4.1.1.6 Define production network and supply constraints (10234)
- 4.1.2 Manage demand for products and services (10222)
  - 4.1.2.1 Develop baseline forecasts (10235)
  - 4.1.2.2 Collaborate with customers (10236)
  - 4.1.2.3 Develop consensus forecast (10237)
  - 4.1.2.4 Allocate available to promise (10238)
  - 4.1.2.5 Monitor activity against forecast and revise forecast (10239)
  - 4.1.2.6 Evaluate and revise forecasting approach (10240)
  - 4.1.2.7 Measure forecast accuracy (10241)
- 4.1.3 Create materials plan (10223)
  - 4.1.3.1 Create unconstrained plan (10242)
  - 4.1.3.2 Collaborate with supplier and contract manufacturers (10243)
  - 4.1.3.3 Identify critical materials and supplier capacity (10244)
  - 4.1.3.4 Monitor material specifications (10245)
  - 4.1.3.5 Generate constrained plan (10246)
- 4.1.4 Create and manage master production schedule (10224)
  - 4.1.4.1 Generate site-level plan (10247)
  - 4.1.4.2 Manage work-in-progress inventory (10248)
  - 4.1.4.3 Collaborate with suppliers (10249)
  - 4.1.4.4 Generate and execute site schedule (10250)
- 4.1.5 Plan distribution requirements (10225)
  - 4.1.5.1 Allocate available to promise (10251)
  - 4.1.5.2 Maintain master data (10252)
  - 4.1.5.3 Determine finished goods inventory requirements at destination (10253)
  - 4.1.5.4 Calculate requirements at destination (10254)
  - 4.1.5.5 Calculate consolidation at source (10255)
  - 4.1.5.6 Manage collaborative replenishment planning (10256)
  - 4.1.5.7 Manage requirements for partners (10257)
  - 4.1.5.8 Calculate destination dispatch plan (10258)
  - 4.1.5.9 Manage dispatch plan attainment (10259)
  - 4.1.5.10 Calculate destination load plans (10260)
  - 4.1.5.11 Manage partner load plan (10261)
  - 4.1.5.12 Manage the cost of supply (10262)
  - 4.1.5.13 Manage capacity utilization (10263)
- 4.1.6 Establish distribution planning constraints (10226)
  - 4.1.6.1 Establish distribution center layout constraints (10267)
  - 4.1.6.2 Establish inventory management constraints (10268)
  - 4.1.6.3 Establish transportation management constraints (10269)
- 4.1.7 Review distribution planning policies (10227)
  - 4.1.7.1 Review distribution network (10264)
  - 4.1.7.2 Establish sourcing relationships (10265)
  - 4.1.7.3 Establish dynamic deployment policies (10266)
- 4.1.8 Assess distribution planning performance (10228)
  - 4.1.8.1 Establish appropriate performance indicators (metrics) (10270)
  - 4.1.8.2 Establish monitoring frequency (10271)
  - 4.1.8.3 Calculate performance measures (10272)
  - 4.1.8.4 Identify performance trends (10273)
  - 4.1.8.5 Analyze performance benchmark gaps (10274)
  - 4.1.8.6 Prepare appropriate reports (10275)
  - 4.1.8.7 Develop performance improvement plan (10276)
- 4.1.9 Develop quality standards and procedures (10368)
  - 4.1.9.1 Establish quality targets (10371)
  - 4.1.9.2 Develop standard testing procedures (10372)
  - 4.1.9.3 Communicate quality specifications (10373)

4.2 Procure materials and services (10216)

- 4.2.1 Develop sourcing strategies (10277)
  - 4.2.1.1 Develop procurement plan (10281)
  - 4.2.1.2 Clarify purchasing requirements (10282)
  - 4.2.1.3 Develop inventory strategy (10283)
  - 4.2.1.4 Match needs to supply capabilities (10284)
  - 4.2.1.5 Analyze company's spend profile (10285)
  - 4.2.1.6 Seek opportunities to improve efficiency and value (10286)
  - 4.2.1.7 Collaborate with suppliers to identify sourcing opportunities (10287)
- 4.2.2 Select suppliers and develop/maintain contracts (10278)
  - 4.2.2.1 Select suppliers (10288)
  - 4.2.2.2 Certify and validate suppliers (10289)
  - 4.2.2.3 Negotiate contracts (10290)
  - 4.2.2.4 Manage contracts (10291)
- 4.2.3 Order materials and services (10279)
  - 4.2.3.1 Process/Review requisitions (10292)
  - 4.2.3.2 Approve requisitions (10293)
  - 4.2.3.3 Solicit/Track vendor quotes (10294)
  - 4.2.3.4 Create/Distribute purchase orders (10295)
  - 4.2.3.5 Expedite orders and satisfy inquiries (10296)
  - 4.2.3.6 Record receipt of goods (10297)
  - 4.2.3.7 Research/Resolve exceptions (10298)
  - 4.2.3.8 Perform financial settlements (13943)

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- 4.2.4 Appraise and develop suppliers (10280)
  - 4.2.4.1 Monitor/Manage supplier information (10299)
  - 4.2.4.2 Prepare/Analyze procurement and vendor performance (10300)
  - 4.2.4.3 Support inventory and production processes (10301)
  - 4.2.4.4 Monitor quality of product delivered (10302)

4.3 Produce/Manufacture/Deliver product (10217)

- 4.3.1 Perform account operations (13944)
  - 4.3.1.1 Set up/Close account (13945)
  - 4.3.1.2 Process transactions (13946)
  - 4.3.1.3 Maintain banking products and services (13947)
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  - 4.3.1.5 Manage fees and interest (13949)
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  - 4.6.2.4 Provide account administration proposal (13975)
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4.6.3.9 Offer transfer services (13991)
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4.6.4.2 Activate, administer, review, and close lending (13994)
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4.6.4.5 Activate, administer, review, and close savings, investments, and deposits (13997)
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4.6.6 Manage and process adjustments/deductions (14009)
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4.6.8 Manage information archives (14016)

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4.7.1.1 Translate customer service requirements into logistics requirements (10343)
4.7.1.2 Design logistics network (10344)
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4.7.1.6 Define key performance measures (10348)

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4.7.3 Operate warehousing (10340)
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4.7.5.1 Authorize and process returns (10364)
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4.7.5.4 Manage and process warranty claims (10367)

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- **5.1 Interface with customers (14017)**
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  - 5.1.2 Manage channels (14019)
  - 5.1.3 Perform data acquisition and storage (14020)
- **5.2 Manage customer information (14021)**
  - 5.2.1 Manage customer service infrastructure (14022)
  - 5.2.2 Integrate customer information (14023)
  - 5.2.3 Analyze customer information (14024)
  - 5.2.4 Assess customers and gain insight (14025)
- **5.3 Develop customer care/customer service strategy (10378)**
  - 5.3.1 Develop customer service segmentation/ prioritization (e.g., tiers) (10381)
    - 5.3.1.1 Analyze existing customers (10384)
    - 5.3.1.2 Analyze feedback of customers' needs (10385)
  - 5.3.2 Define customer service policies and procedures (10382)
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  - 5.4.2 Provide advice (14031)
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    - 5.4.6.1 Manage customer service complaints (14043)
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    - 5.4.6.3 Receive customer complaints (10397)
    - 5.4.6.4 Route customer complaints (10398)
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    - 5.5.1.2 Solicit post-sale customer feedback on ad effectiveness (10405)
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    - 5.5.2.1 Solicit customer feedback on complaint handling and resolution (11236)
    - 5.5.2.2 Analyze customer complaint data and identify improvement opportunities (11237)
  - 5.5.3 Measure customer satisfaction with products and services (10403)
    - 5.5.3.1 Gather and solicit post-sale customer feedback on products and services (11238)
    - 5.5.3.2 Solicit post-sale customer feedback on ad effectiveness (11239)
    - 5.5.3.3 Analyze product and service satisfaction data and identify improvement opportunities (11240)
    - 5.5.3.4 Provide customer feedback to product management on products and services (11241)
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6.1.1 Develop human resources strategy (10415)

- 6.1.1.1 Identify strategic HR needs (10418)
- 6.1.1.2 Define HR and business function roles and accountability (10419)
- 6.1.1.3 Determine HR costs (10420)
- 6.1.1.4 Establish HR measures (10421)
- 6.1.1.5 Communicate HR strategies (10422)

6.1.2 Develop and implement human resources plans (10416)

- 6.1.2.1 Gather skill requirements according to corporate strategy and market environment (10423)
- 6.1.2.2 Plan employee resourcing requirements per unit/organization (10424)
- 6.1.2.3 Develop compensation plan (10425)
- 6.1.2.4 Develop succession plan (10426)
- 6.1.2.5 Develop employee diversity plan (10427)
- 6.1.2.6 Develop other HR programs (10428)
- 6.1.2.7 Develop HR policies (10429)
- 6.1.2.8 Administer HR policies (10430)
- 6.1.2.9 Plan employee benefits (10431)
- 6.1.2.10 Develop strategy for HR systems/ technologies/tools (10432)
- 6.1.2.11 Develop work force strategy models (10433)

6.1.3 Monitor and update plans (10417)

- 6.1.3.1 Measure realization of objectives (10434)
- 6.1.3.2 Measure contribution to business strategy (10435)
- 6.1.3.3 Communicate plans and provide updates to stakeholders (10436)
- 6.1.3.4 Determine value added from HR function (10437)
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- 6.2.1.3 Develop job description (10447)
- 6.2.1.4 Post requisition (10448)
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- 6.2.1.6 Change/Update requisition (10450)
- 6.2.1.7 Notify hiring manager (10451)
- 6.2.1.8 Manage requisition date (10452)

6.2.2 Recruit/Source candidates (10440)

- 6.2.2.1 Determine recruitment methods (10453)
- 6.2.2.2 Perform recruiting activities/events (10454)
- 6.2.2.3 Manage recruitment vendors (10455)

6.2.3 Screen and select candidates (10441)

- 6.2.3.1 Identify and deploy candidate selection tools (10456)
- 6.2.3.2 Interview candidates (10457)
- 6.2.3.3 Test candidates (10458)
- 6.2.3.4 Select and reject candidates (10459)

6.2.4 Manage pre-placement verification (10442)

- 6.2.4.1 Complete candidate background information (10460)
- 6.2.4.2 Conduct pre-employment screening (10461)
- 6.2.4.3 Recommend/not recommend candidate (10462)

6.2.5 Manage new hire/re-hire (10443)

- 6.2.5.1 Draw up and make offer (10463)
- 6.2.5.2 Negotiate offer (10464)
- 6.2.5.3 Hire candidate (10465)

6.2.6 Track candidates (10444)

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- 6.2.6.2 Manage/track applicant data (10467)
- 6.2.6.3 Archive and retain records of non-hires (10468)

6.3 Develop and counsel employees (10411)

6.3.1 Manage employee orientation and deployment (10469)

- 6.3.1.1 Complete employee background information (14046)
- 6.3.1.2 Create/maintain employee on-boarding program (10474)
- 6.3.1.3 Introduce new employees to managers (10475)
- 6.3.1.4 Introduce workplace (10476)
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- 6.3.1.6 Plan project resources (14047)
- 6.3.1.7 Manage resources and programs (14048)
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6.3.2 Manage employee performance (10470)

- 6.3.2.1 Define performance objectives (10479)
- 6.3.2.2 Review, appraise, and manage employee performance (10480)
- 6.3.2.3 Evaluate and review performance program (10481)

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- 6.3.3.1 Manage health and safety (10482)
- 6.3.3.2 Manage labor relations (10483)
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6.3.4 Manage employee development (10472)

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- 6.3.4.2 Define employee development guidelines (10487)
- 6.3.4.3 Develop employee career plans (10488)
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6.3.5 Develop and train employees (10473)

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- 6.3.5.2 Develop competencies (10491)

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6.3.5.3 Establish training needs by analysis of required and available skills (10492)
6.3.5.4 Develop, conduct, and manage employee and/or management training programs (10493)
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6.3.5.6 Perform talent management analytics and measurement (14051)

6.4 Reward and retain employees (10412)

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6.4.1.1 Develop salary/compensation structure and plan (10498)
6.4.1.2 Develop benefits and reward plan (10499)
6.4.1.3 Perform competitive analysis of benefit and rewards (10500)
6.4.1.4 Identify compensation requirements based on financial, benefits, and HR policies (10501)
6.4.1.5 Administer compensation and rewards to employees (10502)
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6.4.2 Manage and administer benefits (10495)
6.4.2.1 Deliver employee benefits program (10504)
6.4.2.2 Administer benefit enrollment (10505)
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6.4.2.4 Perform benefit reconciliation (10507)

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6.4.3.2 Develop family support systems (10509)
6.4.3.3 Review retention and motivation indicators (10510)
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6.4.4 Payroll administration (10497)

6.5 Redeploy and retire employees (10413)

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6.5.3 Manage retirement (10514)
6.5.4 Manage leave of absence (10515)
6.5.5 Develop and implement employee outplacement (10516)
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6.5.7 Relocate employees and manage assignments (10518)
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6.5.10 Manage employee relocation process (10521)

6.6 Manage employee information (10414)

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6.6.7 Develop and manage time and attendance (10527)
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6.6.8.1 Develop employee communication plan (10529)
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6.6.8.4 Publish employee communications (10532)

7.0 Manage Information Technology (10008)

7.1 Manage the business of information technology (10563)

- 7.1.1 Develop the enterprise IT strategy (10570)
  - 7.1.1.1 Build strategic intelligence (10603)
  - 7.1.1.2 Identify long-term IT needs of the enterprise in collaboration with stakeholders (10604)
  - 7.1.1.3 Define strategic standards, guidelines, and principles (10605)
  - 7.1.1.4 Define and establish IT architecture and development standards (10606)
  - 7.1.1.5 Define strategic vendors for IT components (10607)
  - 7.1.1.6 Establish IT governance organization and processes (10608)
  - 7.1.1.7 Build strategic plan to support business objectives (10609)
- 7.1.2 Define the enterprise architecture (10571)
  - 7.1.2.1 Establish the enterprise architecture definition (10611)
  - 7.1.2.2 Confirm enterprise architecture maintenance approach (10612)
  - 7.1.2.3 Maintain the relevance of the enterprise architecture (10613)
  - 7.1.2.4 Act as clearinghouse for IT research and innovation (10614)
  - 7.1.2.5 Govern the enterprise architecture (10615)
- 7.1.3 Manage the IT portfolio (10572)
  - 7.1.3.1 Establish the IT portfolio (10616)
  - 7.1.3.2 Analyze and evaluate the value of the IT portfolio for the enterprise (10617)
  - 7.1.3.3 Provision resources in accordance with strategic priorities (10618)
  - 7.1.3.4 Manage projects (14185)
- 7.1.4 Perform IT research and innovation (10573)
  - 7.1.4.1 Research technologies to innovate IT services and solutions (10620)
  - 7.1.4.2 Transition viable technologies for IT services and solutions development (10621)
- 7.1.5 Perform IT financial management (10574)
  - 7.1.5.1 Develop and maintain IT services and solutions cost transparency (10622)
  - 7.1.5.2 Establish and maintain accounting process (10623)
  - 7.1.5.3 Tie project funding to business case decision checkpoints (10624)
- 7.1.6 Evaluate and communicate IT business value and performance (10575)
  - 7.1.6.1 Establish and monitor key performance indicators (10625)
  - 7.1.6.2 Evaluate IT plan performance (10626)
  - 7.1.6.3 Communicate IT value (10627)
- 7.1.7 Perform IT staff management (10576)
  - 7.1.7.1 Develop IT leadership and staff (10628)
  - 7.1.7.2 Manage IT staff performance (10629)
- 7.1.8 Manage IT suppliers and contracts (10577)
  - 7.1.8.1 Develop IT (development and delivery) sourcing strategies (10630)
  - 7.1.8.2 Negotiate with suppliers (10631)
  - 7.1.8.3 Establish and maintain supplier relationships (10632)
  - 7.1.8.4 Evaluate supplier performance (10633)
  - 7.1.8.5 Assess contract performance (10634)

7.2 Develop and manage IT customer relationships (10564)

- 7.2.1 Develop IT services and solutions strategy (10578)
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  - 7.2.1.2 Translate business and user requirements into IT services and solutions requirements (11245)
  - 7.2.1.3 Formulate IT services and solutions strategic initiatives (11246)
  - 7.2.1.4 Coordinate strategies with internal stakeholders to ensure alignment (11247)
  - 7.2.1.5 Evaluate and select IT services and solutions strategic initiatives (11248)
- 7.2.2 Develop and manage IT service levels (10579)
  - 7.2.2.1 Create and maintain the IT services and solutions catalog (10640)
  - 7.2.2.2 Establish and maintain business and IT service-level agreements (10641)
  - 7.2.2.3 Evaluate and report service-level attainment results (10642)
  - 7.2.2.4 Communicate business and IT service-level improvement opportunities (10643)
- 7.2.3 Perform demand-side management (DSM) for IT services (10580)
  - 7.2.3.1 Analyze IT services and solutions consumption and usage (10644)
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  - 7.2.3.3 Develop volume/unit forecast for IT services and solutions (10646)
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  - 7.2.4.1 Capture and analyze customer satisfaction (10647)
  - 7.2.4.2 Assess and communicate customer satisfaction patterns (10648)
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  - 7.2.5.1 Develop IT services and solutions marketing strategy (10650)
  - 7.2.5.2 Develop and manage IT customer strategy (10651)
  - 7.2.5.3 Manage IT services and solutions advertising and promotional campaigns (10652)
  - 7.2.5.4 Process and track IT services and solutions orders (10653)

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7.3 Manage business resiliency and risk (11216)

7.3.1 Develop and manage business resilience (11217)

- 7.3.1.1 Develop the business resilience strategy (11221)
- 7.3.1.2 Perform continuous business operations planning (11222)
- 7.3.1.3 Test continuous business operations (11223)
- 7.3.1.4 Maintain continuous business operations (11224)

7.3.2 Develop and manage regulatory compliance (11218)

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- 7.3.2.2 Establish regulatory compliance controls (11226)
- 7.3.2.3 Manage regulatory compliance remediation (11227)

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- 7.3.3.2 Manage integrated risks (11229)

7.3.4 Develop and implement security, privacy, and data protection controls (11220)

- 7.3.4.1 Establish information security, privacy, and data protection strategies and levels (11230)
- 7.3.4.2 Test, evaluate, and implement information security and privacy and data protection controls (11231)

7.4 Manage enterprise information (10565)

7.4.1 Develop information and content management strategies (10583)

- 7.4.1.1 Understand information and content management needs and the role of IT services for executing the business strategy (10654)
- 7.4.1.2 Assess the information and content management implications of new technologies (10655)
- 7.4.1.3 Identify and prioritize information and content management actions (10656)

7.4.2 Define the enterprise information architecture (10584)

- 7.4.2.1 Define information elements, composite structure, logical relationships and constraints, taxonomy, and derivation rules (10657)
- 7.4.2.2 Define information access requirements (10658)
- 7.4.2.3 Establish data custodianship (10659)
- 7.4.2.4 Manage changes to content data architecture requirements (10660)

7.4.3 Manage information resources (10585)

- 7.4.3.1 Define the enterprise information/data policies and standards (10661)
- 7.4.3.2 Develop and implement data and content administration (10662)

7.4.4 Perform enterprise data and content management (10586)

- 7.4.4.1 Define sources and destinations of content data (10663)
- 7.4.4.2 Manage technical interfaces to users of content (10664)
- 7.4.4.3 Manage retention, revision, and retirement of enterprise information (10665)
- 7.4.4.4 Manage documents (14056)

7.5 Develop and maintain information technology solutions (10566)

7.5.1 Develop the IT development strategy (10587)

- 7.5.1.1 Establish sourcing strategy for IT development (10666)
- 7.5.1.2 Define development processes, methodologies, and tools standards (10667)
- 7.5.1.3 Select development methodologies and tools (10668)

7.5.2 Perform IT services and solutions life cycle planning (10588)

- 7.5.2.1 Plan development of new requirements (10669)
- 7.5.2.2 Plan development of feature and functionality enhancement (10670)
- 7.5.2.3 Develop life cycle plan for IT services and solutions (10671)

7.5.3 Develop and maintain IT services and solutions architecture (10589)

- 7.5.3.1 Create IT services and solutions architecture (10672)
- 7.5.3.2 Revise IT services and solutions architecture (10673)
- 7.5.3.3 Retire IT services and solutions architecture (10674)

7.5.4 Create IT services and solutions (10590)

- 7.5.4.1 Understand confirmed requirements (10675)
- 7.5.4.2 Design IT services and solutions (10676)
- 7.5.4.3 Acquire/Develop IT service/solution components (10677)
- 7.5.4.4 Train services and solutions resources (10678)
- 7.5.4.5 Test IT services/solutions (10679)
- 7.5.4.6 Confirm customer acceptance (10680)

7.5.5 Maintain IT services and solutions (10591)

- 7.5.5.1 Understand upkeep/enhance requirements and defect analysis (10681)
- 7.5.5.2 Design change to existing IT service/solution (10682)
- 7.5.5.3 Acquire/develop changed IT service/solution component (10683)
- 7.5.5.4 Test IT service/solution change (10684)
- 7.5.5.5 Retire solutions and services (10685)

7.6 Deploy information technology solutions (10567)

7.6.1 Develop the IT deployment strategy (10592)

- 7.6.1.1 Establish IT services and solutions change policies (10686)
- 7.6.1.2 Define deployment process, procedures, and tools standards (10687)
- 7.6.1.3 Select deployment methodologies and tools (10688)

7.6.2 Plan and implement changes (10593)
- 7.6.2.1 Plan change deployment (10689)
- 7.6.2.2 Communicate changes to stakeholders (10690)
- 7.6.2.3 Administer change schedule (10691)
- 7.6.2.4 Train impacted users (10692)
- 7.6.2.5 Distribute and install change (10693)
- 7.6.2.6 Verify change (10694)

7.6.3 Plan and manage releases (10594)
- 7.6.3.1 Understand and coordinate release design and acceptance (10695)
- 7.6.3.2 Plan release rollout (10696)
- 7.6.3.3 Distribute and install release (10697)
- 7.6.3.4 Verify release (10698)

7.7 Deliver and support information technology services (10568)

7.7.1 Develop IT services and solution delivery strategy (10595)
- 7.7.1.1 Establish sourcing strategy for IT delivery (10699)
- 7.7.1.2 Define delivery processes, procedures, and tools standards (10700)
- 7.7.1.3 Select delivery methodologies and tools (10701)

7.7.2 Develop IT support strategy (10596)
- 7.7.2.1 Establish sourcing strategy for IT support (10702)
- 7.7.2.2 Define IT support services (10703)

7.7.3 Manage IT infrastructure resources (10597)
- 7.7.3.1 Manage IT inventory and assets (10704)
- 7.7.3.2 Manage IT resource capacity (10705)

7.7.4 Manage IT infrastructure operations (10598)
- 7.7.4.1 Deliver IT services and solutions (10706)
- 7.7.4.2 Perform IT operations support services (10707)

7.7.5 Support IT services and solutions (10599)
- 7.7.5.1 Manage availability (10708)
- 7.7.5.2 Manage facilities (10709)
- 7.7.5.3 Manage backup/recovery (10710)
- 7.7.5.4 Manage performance and capacity (10711)
- 7.7.5.5 Manage incidents (10712)
- 7.7.5.6 Manage problems (10713)
- 7.7.5.7 Manage inquiries (10714)

7.8 Manage IT knowledge (10569)

7.8.1 Develop IT knowledge management strategy (10600)
- 7.8.1.1 Understand IT knowledge needs (10715)
- 7.8.1.2 Understand current IT knowledge flow (10716)
- 7.8.1.3 Coordinate strategy and roles with the enterprise KM function (10717)
- 7.8.1.4 Plan IT knowledge management actions and priorities (10718)

7.8.2 Develop and maintain IT knowledge map (10601)
- 7.8.2.1 Define knowledge elements, logical relationships and constraints, and currency rules (10719)
- 7.8.2.2 Identify IT knowledge sources and repositories (10720)
- 7.8.2.3 Identify IT knowledge-sharing opportunities (10721)
- 7.8.2.4 Define IT knowledge processes and approaches (10722)

7.8.3 Manage IT knowledge life cycle (10602)
- 7.8.3.1 Gather knowledge elements from IT knowledge sources (10723)
- 7.8.3.2 Evaluate, create, and codify knowledge elements (10724)
- 7.8.3.3 Deploy codified IT knowledge (10725)
- 7.8.3.4 Update and retire IT knowledge (10726)
- 7.8.3.5 Evaluate and improve IT knowledge strategies and processes (10727)

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8.0 Manage Financial Resources (10009)

- **8.1 Perform planning and management accounting (10728)**
  - 8.1.1 Perform planning/budgeting/forecasting (10738)
    - 8.1.1.1 Develop and maintain budget policies and procedures (10771)
    - 8.1.1.2 Prepare periodic budgets and plans (10772)
    - 8.1.1.3 Prepare periodic financial forecasts (10773)
  - 8.1.2 Perform cost accounting and control (10739)
    - 8.1.2.1 Perform inventory accounting (10774)
    - 8.1.2.2 Perform profit center accounting (14057)
    - 8.1.2.3 Perform cost of sales analysis (10775)
    - 8.1.2.4 Perform product costing (10776)
    - 8.1.2.5 Perform variance analysis (10777)
    - 8.1.2.6 Report on profitability (11175)
  - 8.1.3 Perform cost management (10740)
    - 8.1.3.1 Determine key cost drivers (10778)
    - 8.1.3.2 Measure cost drivers (10779)
    - 8.1.3.3 Determine critical activities (10780)
    - 8.1.3.4 Manage asset resource deployment and utilization (10781)
  - 8.1.4 Evaluate and manage financial performance (10741)
    - 8.1.4.1 Assess customer and product profitability (10782)
    - 8.1.4.2 Report on financial profitability (14186)
    - 8.1.4.3 Evaluate new products (10783)
    - 8.1.4.4 Perform life cycle costing (10784)
    - 8.1.4.5 Optimize customer and product mix (10785)
    - 8.1.4.6 Track performance of new customer and product strategies (10786)
    - 8.1.4.7 Prepare activity-based performance measures (10787)
    - 8.1.4.8 Manage continuous cost improvement (10788)
- **8.2 Perform revenue accounting (10729)**
  - 8.2.1 Process customer credit (10742)
    - 8.2.1.1 Analyze credit scoring history (14187)
    - 8.2.1.2 Forecast credit scoring requirements (14188)
    - 8.2.1.3 Review existing accounts (10791)
    - 8.2.1.4 Produce credit/collection reports (10792)
    - 8.2.1.5 Reinstate or suspend accounts based on credit policies (10793)
  - 8.2.2 Process accounts receivable (AR) (10744)
    - 8.2.2.1 Establish AR policies (10799)
    - 8.2.2.2 Receive/Deposit customer payments (10800)
    - 8.2.2.3 Apply cash remittances (10801)
    - 8.2.2.4 Prepare AR reports (10802)
    - 8.2.2.5 Post AR activity to the general ledger (10803)
- **8.3 Perform general accounting and reporting (10730)**
  - 8.3.1 Manage policies and procedures (10747)
    - 8.3.1.1 Negotiate service-level agreements (10815)
    - 8.3.1.2 Establish accounting policies (10816)
    - 8.3.1.3 Set and enforce approval limits (10817)
    - 8.3.1.4 Establish common financial systems (10818)
  - 8.3.2 Perform general accounting (10748)
    - 8.3.2.1 Maintain chart of accounts (10819)
    - 8.3.2.2 Process journal entries (10820)
    - 8.3.2.3 Process allocations (10821)
    - 8.3.2.4 Process period end adjustments (e.g., accruals, currency conversions) (10822)
    - 8.3.2.5 Post and reconcile intercompany transactions (10823)
    - 8.3.2.6 Reconcile general ledger accounts (10824)
    - 8.3.2.7 Perform consolidations and process eliminations (10825)
    - 8.3.2.8 Prepare trial balance (10826)
    - 8.3.2.9 Prepare and post management adjustments (10827)
    - 8.3.2.10 Perform contract accounting - corporate function (14058)
    - 8.3.2.11 Perform bank accounting - corporate function (14059)
    - 8.3.2.12 Account for financial instruments: sub-ledger (14060)
  - 8.3.3 Perform closing of general ledger (14061)
    - 8.3.3.1 Close sub-ledgers and post to general ledger (14062)
    - 8.3.3.2 Process period end adjustments (e.g., accruals, currency conversions) (14063)
    - 8.3.3.3 Post and reconcile intercompany transactions (14064)
    - 8.3.3.4 Reconcile general ledger accounts (14065)
    - 8.3.3.5 Perform consolidations and process eliminations (14066)
    - 8.3.3.6 Prepare trial balance (14067)
    - 8.3.3.7 Prepare and post management adjustments (14068)
  - 8.3.4 Perform fixed asset accounting (10749)
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    - 8.3.4.2 Maintain fixed asset master data files (10829)
    - 8.3.4.3 Process and record fixed asset additions and retires (10830)
    - 8.3.4.4 Process and record fixed asset adjustments, enhancements, revaluations, and transfers (10831)
    - 8.3.4.5 Process and record fixed asset maintenance and repair expenses (10832)
    - 8.3.4.6 Calculate and record depreciation expense (10833)
    - 8.3.4.7 Reconcile fixed asset ledger (10834)
    - 8.3.4.8 Track fixed assets including physical inventory (10835)
    - 8.3.4.9 Provide fixed asset data to support tax, statutory, and regulatory reporting (10836)
  - 8.3.5 Manage enterprise financial assets (14069)
    - 8.3.5.1 Plan and design investment (14070)
    - 8.3.5.2 Procure and construct financial assets (14071)
    - 8.3.5.3 Perform decommission and disposal (14072)

8.3.5.4 Perform asset analytics and performance optimization (14073)

8.3.6 Perform financial reporting (10750)
- 8.3.6.1 Prepare business unit financial statements (10837)
- 8.3.6.2 Prepare consolidated financial statements (10838)
- 8.3.6.3 Perform business unit reporting/review management reports (10839)
- 8.3.6.4 Perform consolidated reporting/review of cost management reports (10840)
- 8.3.6.5 Prepare statements for board review (10841)
- 8.3.6.6 Produce quarterly/annual filings and shareholder reports (10842)
- 8.3.6.7 Produce regulatory reports (10843)
- 8.3.6.8 Perform legal and management consolidation (14074)

8.4 Manage fixed asset project accounting (10731)

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- 8.4.1.2 Develop and approve capital expenditure plans and budgets (10845)
- 8.4.1.3 Review and approve capital projects and fixed asset acquisitions (10846)
- 8.4.1.4 Conduct financial justification for project approval (10847)

8.4.2 Perform capital project accounting (10752)
- 8.4.2.1 Create project account codes (10848)
- 8.4.2.2 Record project-related transactions (10849)
- 8.4.2.3 Monitor and track capital projects and budget spending (10850)
- 8.4.2.4 Close/capitalize projects (10851)
- 8.4.2.5 Measure financial returns on completed capital projects (10852)

8.5 Process payroll (10732)

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- 8.5.1.1 Establish policies and procedures (10853)
- 8.5.1.2 Collect and record employee time worked (10854)
- 8.5.1.3 Analyze and report paid and unpaid leave (10855)
- 8.5.1.4 Monitor regular, overtime, and other hours (10856)
- 8.5.1.5 Analyze and report employee utilization (10857)

8.5.2 Manage pay (10754)
- 8.5.2.1 Enter employee time worked into payroll system (10858)
- 8.5.2.2 Maintain and administer employee earnings information (10859)
- 8.5.2.3 Maintain and administer applicable deductions (10860)
- 8.5.2.4 Monitor changes in tax status of employees (10861)
- 8.5.2.5 Process and distribute payments (10862)
- 8.5.2.6 Process and distribute manual checks (10863)
- 8.5.2.7 Process period end adjustments (10864)
- 8.5.2.8 Respond to employee payroll inquiries (10865)

8.5.3 Process payroll taxes (10755)
- 8.5.3.1 Develop tax plan (14075)
- 8.5.3.2 Manage tax plan (14076)
- 8.5.3.3 Calculate and pay applicable payroll taxes (10866)
- 8.5.3.4 Produce and distribute employee annual tax statements (10867)
- 8.5.3.5 File regulatory payroll tax forms (10868)

8.6 Process accounts payable and expense reimbursements (10733)

8.6.1 Process accounts payable (AP) (10756)
- 8.6.1.1 Verify AP pay file with PO vendor master file (10869)
- 8.6.1.2 Maintain/manage electronic commerce (10870)
- 8.6.1.3 Audit invoices and key data in AP system (10871)
- 8.6.1.4 Approve payments (10872)
- 8.6.1.5 Process financial accruals and reversals (10873)
- 8.6.1.6 Process taxes (10874)
- 8.6.1.7 Research/resolve exceptions (10875)
- 8.6.1.8 Process payments (10876)
- 8.6.1.9 Respond to AP inquiries (10877)
- 8.6.1.10 Retain records (10878)
- 8.6.1.11 Adjust accounting records (10879)

8.6.2 Process expense reimbursements (10757)
- 8.6.2.1 Establish and communicate expense reimbursement policies and approval limits (10880)
- 8.6.2.2 Capture and report relevant tax data (10881)
- 8.6.2.3 Approve reimbursements and advances (10882)
- 8.6.2.4 Process reimbursements and advances (10883)
- 8.6.2.5 Manage personal accounts (10884)

8.7 Manage treasury operations (10734)

8.7.1 Manage treasury policies and procedures (10758)
- 8.7.1.1 Establish scope and governance of treasury operations (10885)
- 8.7.1.2 Establish and publish treasury policies (10886)
- 8.7.1.3 Develop treasury procedures (10887)
- 8.7.1.4 Monitor treasury procedures (10888)
- 8.7.1.5 Audit treasury procedures (10889)
- 8.7.1.6 Revise treasury procedures (10890)
- 8.7.1.7 Develop and confirm internal controls for treasury (10891)
- 8.7.1.8 Define system security requirements (10892)

8.7.2 Manage cash (10759)
- 8.7.2.1 Manage and reconcile cash positions (10893)
- 8.7.2.2 Manage cash equivalents (10894)
- 8.7.2.3 Process and oversee electronic fund transfers (EFTs) (10895)
- 8.7.2.4 Develop credit policy (14077)
- 8.7.2.5 Develop cash flow forecasts (10896)
- 8.7.2.6 Manage cash flows (10897)
- 8.7.2.7 Produce cash management accounting transactions and reports (10898)

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8.7.2.8 Manage and oversee banking relationships (10899)
8.7.2.9 Analyze/Approve new account applications for customer credit (14078)
8.7.2.10 Analyze, negotiate, resolve, and confirm bank fees (10900)

8.7.3 Manage in-house bank accounts (10760)
8.7.3.1 Manage in-house bank accounts for subsidiaries (10901)
8.7.3.2 Manage and facilitate inter-company borrowing transactions (10902)
8.7.3.3 Manage centralized outgoing payments on behalf of subsidiaries (10903)
8.7.3.4 Manage central incoming payments on behalf of subsidiaries (10904)
8.7.3.5 Manage internal payments and netting transactions (10905)
8.7.3.6 Calculate interest and fees for in-house bank accounts (10906)
8.7.3.7 Provide account statements for in-house bank accounts (10907)

8.7.4 Manage debt and investment (10761)
8.7.4.1 Establish investment policy (14079)
8.7.4.2 Process and oversee debt and investment transactions (10911)
8.7.4.3 Process and oversee foreign currency transactions (10912)
8.7.4.4 Produce debt and investment accounting transaction reports (10913)

8.7.5 Manage financial risks (11208)
8.7.5.1 Review product portfolio (14080)
8.7.5.2 Review counterparty credit limit (14081)
8.7.5.3 Analyze market risk history (14082)
8.7.5.4 Forecast market risk requirement (14083)
8.7.5.5 Manage interest rate risk (11209)
8.7.5.6 Manage foreign exchange risk (11210)
8.7.5.7 Manage exposure risk (11211)
8.7.5.8 Analyze capital adequacy history (14084)
8.7.5.9 Forecast capital adequacy policy (14085)
8.7.5.10 Develop and execute hedging transactions (11212)
8.7.5.11 Evaluate and refine hedging positions (11213)
8.7.5.12 Produce hedge accounting transactions and reports (11214)
8.7.5.13 Monitor credit (11215)

8.8 Manage internal controls (10735)

8.8.1 Establish internal controls, policies, and procedures (10762)
8.8.1.1 Establish board of directors and audit committee (10914)
8.8.1.2 Define and communicate code of ethics (10915)
8.8.1.3 Assign roles and responsibility for internal controls (10916)
8.8.1.4 Define business process objectives and risks (11250)
8.8.1.5 Manage financial intermediary relationships (14086)
8.8.1.6 Manage liquidity (14087)
8.8.1.7 Manage issuer exposure (14088)

8.8.2 Operate controls and monitor compliance with internal controls policies and procedures (10763)
8.8.2.1 Design and implement control activities (10917)
8.8.2.2 Monitor control effectiveness (10918)
8.8.2.3 Remediate control deficiencies (10919)
8.8.2.4 Create compliance function (10920)
8.8.2.5 Operate compliance function (10921)
8.8.2.6 Implement and maintain controls-related enabling technologies and tools (10922)

8.9 Manage taxes (10736)

8.9.1 Develop tax strategy and plan (10765)
8.9.1.1 Develop foreign, national, state, and local tax strategy (10927)
8.9.1.2 Consolidate and optimize total tax plan (10928)
8.9.1.3 Maintain tax master data (10929)

8.9.2 Process taxes (10766)
8.9.2.1 Perform tax planning/strategy (10930)
8.9.2.2 Prepare returns (10931)
8.9.2.3 Prepare foreign taxes (10932)
8.9.2.4 Calculate deferred taxes (10933)
8.9.2.5 Account for taxes (10934)
8.9.2.6 Monitor tax compliance (10935)
8.9.2.7 Address tax inquiries (10936)

8.10 Manage international funds/consolidation (10737)

8.10.1 Monitor international rates (10767)
8.10.2 Manage transactions (10768)
8.10.3 Monitor currency exposure/hedge currency (10769)
8.10.4 Report results (10770)

8.11 Perform global trade services (14089)

8.11.1 Screen sanctioned party list (14090)
8.11.2 Control exports (14091)
8.11.3 Classify products (14092)
8.11.4 Calculate duty (14093)
8.11.5 Communicate with customs (14094)
8.11.6 Document trade (14095)
8.11.7 Process trade preferences (14096)
8.11.8 Handle restitution (14097)
8.11.9 Prepare letter of credit (14098)
8.11.10 Report electronic compliance (14099)

9.0 Acquire, Construct, and Manage Property (10010)

9.1 Design and construct/acquire nonproductive assets (10937)
- 9.1.1 Develop property strategy and long-term vision (10941)
  - 9.1.1.1 Confirm alignment of property requirements with business strategy (10955)
  - 9.1.1.2 Assess the external environment (10956)
  - 9.1.1.3 Determine build or buy decision (10957)
- 9.1.2 Develop, construct, and modify sites (10942)
- 9.1.3 Plan facility (10943)
  - 9.1.3.1 Design facility (10958)
  - 9.1.3.2 Analyze budget (10959)
  - 9.1.3.3 Select property (10960)
  - 9.1.3.4 Negotiate terms for facility (10961)
  - 9.1.3.5 Manage construction or modification to building (10962)
- 9.1.4 Provide workspace and assets (10944)
  - 9.1.4.1 Acquire workspace and assets (10963)
  - 9.1.4.2 Change fit/form/function of workspace and assets (10964)

9.2 Maintain nonproductive assets (10938)
- 9.2.1 Move people and assets (10945)
  - 9.2.1.1 Relocate people (10965)
  - 9.2.1.2 Relocate material and tools (10966)
- 9.2.2 Repair workplace and assets (10946)
- 9.2.3 Provide preventive maintenance for workplace and assets (10947)
- 9.2.4 Manage security (10948)
- 9.2.5 Manage facilities operations (10949)

9.3 Obtain, install and plan maintenance for productive assets (10939)
- 9.3.1 Develop ongoing maintenance policies for production assets (10950)
  - 9.3.1.1 Analyze assets and predict maintenance requirements (10967)
  - 9.3.1.2 Develop approach to integrate preventive maintenance into production schedule (10968)
- 9.3.2 Obtain and install equipment (10951)
  - 9.3.2.1 Design engineering solution for the manufacturing process (10969)
  - 9.3.2.2 Procure equipment (10970)
  - 9.3.2.3 Install and commission equipment (10971)

9.4 Dispose of productive and nonproductive assets (10940)
- 9.4.1 Develop exit strategy (10952)
- 9.4.2 Perform sale or trade (10953)
- 9.4.3 Perform abandonment (10954)

9.5 Manage physical risk (11207)

10.0 Manage Environmental Health and Safety (EHS) (11179)

10.1 Determine environmental health and safety impacts (11180)
- 10.1.1 Evaluate environmental impact of products, services, and operations (11186)
- 10.1.2 Conduct health and safety and environmental audits (11187)

10.2 Develop and execute environmental health and safety program (11181)
- 10.2.1 Identify regulatory and stakeholder requirements (11188)
- 10.2.2 Assess future risks and opportunities (11189)
- 10.2.3 Create EHS policy (11190)
- 10.2.4 Record and manage EHS events (11191)

10.3 Train and educate employees (11182)
- 10.3.1 Communicate EHS issues to stakeholders and provide support (11192)

10.4 Monitor and manage environmental health and safety management program (11183)
- 10.4.1 Manage EHS costs and benefits (11193)
- 10.4.2 Measure and report EHS performance (11194)
  - 10.4.2.1 Implement emergency response program (11196)
  - 10.4.2.2 Implement pollution prevention program (11197)
- 10.4.3 Provide employees with EHS support (11195)

10.5 Ensure compliance with regulations (11184)
- 10.5.1 Monitor compliance (11198)
- 10.5.2 Perform compliance audit (11199)
- 10.5.3 Comply with regulatory stakeholders requirements (11200)

10.6 Manage remediation efforts (11185)
- 10.6.1 Create remediation plans (11201)
- 10.6.2 Contact and confer with experts (11202)
- 10.6.3 Identify/dedicate resources (11203)
- 10.6.4 Investigate legal aspects (11204)
- 10.6.5 Investigate damage cause (11205)
- 10.6.6 Amend or create policy (11206)

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11.0 Manage External Relationships (10012)

11.1 Build investor relationships (11010)

- 11.1.1 Plan, build, and manage lender relations (11035)
- 11.1.2 Plan, build, and manage analyst relations (11036)
- 11.1.3 Perform corporate secretary function (14100)
- 11.1.4 Communicate with shareholders (11037)

11.2 Manage government and industry relationships (11011)

- 11.2.1 Manage government relations (11038)
- 11.2.2 Manage relations with quasi-government bodies (11039)
- 11.2.3 Manage relations with trade or industry groups (11040)
- 11.2.4 Manage lobby activities (11041)
- 11.2.5 Manage tax regulatory relationships (14101)

11.3 Manage relations with board of directors (11012)

- 11.3.1 Report results (11042)
- 11.3.2 Report audit findings (11043)

11.4 Manage legal and ethical issues (11013)

- 11.4.1 Create ethics policies (11044)
- 11.4.2 Manage corporate governance policies (11045)
- 11.4.3 Develop and perform preventative law programs (11046)
- 11.4.4 Ensure compliance (11047)
  - 11.4.4.1 Plan and initiate compliance program (11053)
  - 11.4.4.2 Execute compliance program (11054)
- 11.4.5 Manage outside counsel (11048)
  - 11.4.5.1 Assess problem and determine work requirements (11056)
  - 11.4.5.2 Engage/retain outside counsel if necessary (11057)
  - 11.4.5.3 Receive strategy/budget (11058)
  - 11.4.5.4 Receive work product and manage/monitor case and work performed (11059)
  - 11.4.5.5 Process payment for legal services (11060)
  - 11.4.5.6 Track legal activity/performance (11061)
- 11.4.6 Protect intellectual property (11049)
  - 11.4.6.1 Manage copyrights and patents (11062)
  - 11.4.6.2 Maintain intellectual property rights and restrictions (11063)
  - 11.4.6.3 Administer licensing terms (11064)
  - 11.4.6.4 Administer options (11065)
- 11.4.7 Resolve disputes and litigations (11050)
- 11.4.8 Provide legal advice/counseling (11051)
- 11.4.9 Negotiate and document agreements/contracts (11052)

11.5 Manage public relations program (11014)

- 11.5.1 Manage community relations (11066)
- 11.5.2 Manage media relations (11067)
- 11.5.3 Promote political stability (11068)
- 11.5.4 Create press releases (11069)
- 11.5.5 Issue press releases (11070)

11.6 Provide corporate services to manage external relations (14102)

- 11.6.1 Manage travel (14103)
  - 11.6.1.1 Submit travel request and obtain pre-trip approval (14104)
  - 11.6.1.2 Plan travel - online booking (14105)
  - 11.6.1.3 Perform travel and expense management (14106)
  - 11.6.1.4 Ensure global travel policy compliance (14107)
  - 11.6.1.5 Perform travel and expense analytics (14108)

12.0 Manage Knowledge, Improvement, and Change (10013)

12.1 Create and manage organizational performance strategy (11071)

- 12.1.1 Create enterprise measurement systems model (11075)
  - 12.1.1.1 Establish performance measures (11080)
  - 12.1.1.2 Establish performance monitoring frequency (11081)
  - 12.1.1.3 Set performance targets (11082)
- 12.1.2 Measure process productivity (11076)
- 12.1.3 Measure cost effectiveness (11077)
- 12.1.4 Measure staff efficiency (11078)
- 12.1.5 Measure cycle time (11079)

12.2 Benchmark performance (11072)

- 12.2.1 Conduct performance assessments (11083)
- 12.2.2 Develop benchmarking capabilities (11084)
- 12.2.3 Conduct process benchmarking (11085)
  - 12.2.3.1 Compile and update list of processes and organizations to benchmark (11089)
  - 12.2.3.2 Establish benchmarks (11090)
  - 12.2.3.3 Measure performance against benchmarks (11091)
- 12.2.4 Conduct competitive benchmarking (11086)
  - 12.2.4.1 Compile and update list of processes and organizations to benchmark (11092)
  - 12.2.4.2 Establish benchmarks (11093)
  - 12.2.4.3 Measure performance against benchmarks (11094)
- 12.2.5 Conduct gap analysis to understand the need for change and the degree of change needed (11087)
- 12.2.6 Establish need for change (11088)
- 12.2.7 Generate "what if" scenarios (14109)

12.3 Develop enterprise-wide knowledge management (KM) capability (11073)

- 12.3.1 Develop KM strategy (11095)
  - 12.3.1.1 Develop governance model (11100)
  - 12.3.1.2 Establish a central KM core group (11101)
  - 12.3.1.3 Define roles and accountability of the core group versus operating units (11102)
  - 12.3.1.4 Develop funding models (11103)
  - 12.3.1.5 Identify links to key initiatives (11104)
  - 12.3.1.6 Develop core KM methodologies (11105)
  - 12.3.1.7 Assess IT needs and engage IT function (11106)
  - 12.3.1.8 Develop training and communication plans (11107)
  - 12.3.1.9 Develop change management approaches (11108)
  - 12.3.1.10 Develop strategic measures and indicators (11109)
- 12.3.2 Assess knowledge management capabilities (11096)
  - 12.3.2.1 Assess maturity of existing KM initiatives (11110)
  - 12.3.2.2 Evaluate existing knowledge management approaches (11111)
  - 12.3.2.3 Identify gaps and needs (11112)
  - 12.3.2.4 Enhance/modify existing knowledge management approaches (11113)
  - 12.3.2.5 Develop new knowledge management approaches (11114)
  - 12.3.2.6 Implement new knowledge management approaches (11115)
- 12.3.3 Identify and plan KM projects (11097)
  - 12.3.3.1 Identify strategic opportunities to apply KM approach(es) (11116)
  - 12.3.3.2 Identify KM requirements and objectives (11117)
  - 12.3.3.3 Assess culture and readiness for KM approach (11118)
  - 12.3.3.4 Identify appropriate KM methodologies (e.g., self-service, communities, transfer) (11119)
  - 12.3.3.5 Create business case and obtain funding (11120)
  - 12.3.3.6 Develop project measures and indicators (11121)
- 12.3.4 Design and launch KM projects (11098)
  - 12.3.4.1 Design process for knowledge sharing, capture, and use (11122)
  - 12.3.4.2 Define roles and resources (11123)
  - 12.3.4.3 Identify specific IT requirements (11124)
  - 12.3.4.4 Create training and communication plans (11125)
  - 12.3.4.5 Develop change management plans (11126)
  - 12.3.4.6 Design recognition and reward approaches (11127)
  - 12.3.4.7 Design and plan launch of KM project (11128)
  - 12.3.4.8 Deploy the KM project (11129)
- 12.3.5 Manage the KM project life cycle (11099)
  - 12.3.5.1 Assess alignment with business goals (11130)
  - 12.3.5.2 Evaluate impact of KM (strategy and projects) on measures and outcomes (11131)
  - 12.3.5.3 Promote and sustain activity and involvement (11132)
  - 12.3.5.4 Realign and refresh KM strategy and approaches (11133)

12.4 Manage change (11074)

- 12.4.1 Plan for change (11134)
  - 12.4.1.1 Select process improvement methodology (11138)
  - 12.4.1.2 Assess readiness for change (11139)
  - 12.4.1.3 Determine stakeholders (11140)
  - 12.4.1.4 Engage/Identify champion (11141)
  - 12.4.1.5 Form design team (11142)
  - 12.4.1.6 Define scope (11143)
  - 12.4.1.7 Understand current state (11144)
  - 12.4.1.8 Define future state (11145)
  - 12.4.1.9 Conduct risk analysis (11146)

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12.4.1.10 Assess cultural issues (11147)
12.4.1.11 Establish accountability for change management (11148)
12.4.1.12 Identify barriers to change (11149)
12.4.1.13 Determine change enablers (11150)
12.4.1.14 Identify resources and develop measures (11151)

12.4.2 Design the change (11135)
12.4.2.1 Assess connection to other initiatives (11152)
12.4.2.2 Develop change management plans (11153)
12.4.2.3 Develop training plan (11154)
12.4.2.4 Develop communication plan (11155)
12.4.2.5 Develop rewards/incentives plan (11156)
12.4.2.6 Establish metrics (11157)
12.4.2.7 Establish/Clarify new roles (11158)
12.4.2.8 Identify budget/roles (11159)

12.4.3 Implement change (11136)
12.4.3.1 Create commitment for improvement/change (11160)
12.4.3.2 Reengineer business processes and systems (11161)
12.4.3.3 Support transition to new roles or exit strategies for incumbents (11162)
12.4.3.4 Monitor change (11163)

12.4.4 Sustain improvement (11137)
12.4.4.1 Monitor improved process performance (11164)
12.4.4.2 Capture and reuse lessons learned from change process (11165)
12.4.4.3 Take corrective action as necessary (11166)

13.0 Manage Enterprise Risk (14183)

13.1 Establish enterprise risk framework (14115)

13.1.1 Establish risk committee on board (14116)
13.1.2 Define and communicate risk management framework (14117)
13.1.3 Assign roles and responsibility for enterprise risk (14118)

13.2 Monitor and manage compliance with enterprise risk policies and procedures (14119)

13.2.1 Design risk management operating models (14120)
13.2.1.1 Design and implement risk control activities (14121)
13.2.1.2 Monitor risk management effectiveness (14122)
13.2.1.3 Remediate risk management deficiencies (14123)
13.2.1.4 Create risk management functions (14124)

13.2.2 Manage and monitor risk management operating models (14125)
13.2.2.1 Operate risk management function (14126)
13.2.2.2 Implement and maintain risk management–related enabling technologies and tools (14127)
13.2.2.3 Review and generate risk reports (14128)
13.2.2.4 Perform limit management (14129)
13.2.2.5 Manage and mitigate risk (14130)
13.2.2.6 Establish record retention policy (14131)
13.2.2.7 Define entity/unit risk tolerances (14132)

13.2.3 Manage internal audits (14133)
13.2.4 Manage activities of compliance function (14134)
13.2.5 Manage organizational model and reporting relationships for compliance function (14135)
13.2.6 Manage key capabilities of compliance function (14136)
13.2.7 Maintain controls-related technologies and tools (14137)

13.3 Manage financial risk (14138)

13.3.1 Manage credit risk (14139)
13.3.1.1 Develop credit policy (14140)
13.3.1.2 Manage global credit limits (14141)
13.3.1.3 Develop an early-warning system (14142)
13.3.1.4 Manage credit portfolio (14143)
13.3.1.5 Calculate regulatory capital requirements for credit risks (Basel II, EU CRD, and national legislation) (14144)
13.3.1.6 Perform stress testing (14145)
13.3.1.7 Calibrate and validate credit risk models (rating models, LGD-, PD-, and CCF Models) (14146)
13.3.1.8 Report for disclosure (e.g., Basel II reports), COREP, and internal reporting (14147)

13.3.2 Manage asset liability (14148)
13.3.2.1 Perform asset liability management analytics (14149)
13.3.2.2 Simulate (14150)
13.3.2.3 Plan (14151)
13.3.2.4 Perform hedging (14152)
13.3.2.5 Report (14153)
13.3.2.6 Manage global limits of asset liability management (ALM) risk key figures (14154)

13.4 Manage market risk (14155)

- 13.4.1 Manage global market limits (14156)
- 13.4.2 Manage early-warning system (14157)
- 13.4.3 Manage market data (14158)
- 13.4.4 Model internal market risk (14159)
- 13.4.5 Perform back-testing (14160)

13.5 Manage operational risk (14161)

- 13.5.1 Analyze operational risk history (14162)
- 13.5.2 Forecast operational risk requirement (14163)
- 13.5.3 Provide operational risk capital allocation (14164)
- 13.5.4 Ensure compliance with Sarbanes-Oxley Act (14165)
- 13.5.5 Manage anti–money laundering procedures (14166)
- 13.5.6 Audit information system (14167)
- 13.5.7 Segregate duties (14168)
- 13.5.8 Calculate operational risks according to Basel II, EU CRD, and national legislation (14169)
- 13.5.9 Calculate operational risks according to internal models (14170)
- 13.5.10 Report disclosure (e.g., Basel II reports), COREP, and internal reporting (14171)
- 13.5.11 Perform operational loss and risk event data capture (14172)
- 13.5.12 Establish record retention policy (14173)
- 13.5.13 Define entity/unit risk tolerances (14174)

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