LM40 Tactical Initiatives Code Set

The means through which a strategy is translated into practice. Collections of short to mid-duration discretionary projects and programs, outside of the organization's day-to-day operational activities, that are designed to help the organization achieve its targeted performance.

LM40.10 Process Improvement (Lean/Six Sigma)

Employing process improvement methodologies and tools (Six Sigma / Total Quality Management, Lean, Workout, Business Process Redesign (BPR), Robotic Process Automation (RPA), Theory of Constraints Plan, Do, Check, Act (PDCA), 5S, Gemba). Goals are to reduce waste and undesirable variation in the process. Includes gate reviews (periodic meetings with stakeholders) and change management planning activities.

LM40.10.10 Define

Initiate the project, form the team, ensure project sponsorship and ownership, set the targets. Define the process to be improved, select the project team, establish the goal, the problem/opportunity, the project scope and timeline, specify value in the eyes of the client, and develop the business case for proceeding. Deliverables include project kickoff, completion of a project charter, Voice of the Client work, and development of an Inputs-Process-Outputs diagram.

LM40.10.15 Measure

Measure the current performance of the process to identify waste and variation. Gain a thorough understanding of the process through mapping and data gathering. Activities include process mapping, data planning and gathering and graphical analysis, selection of focus areas for Analyze phase.

LM40.10.20 Analyze

Analyze the opportunities to identify and verify waste or variation. Examine the focus areas selected in Measure phase to identify and verify waste, defects, and determine root causes. Gather additional data as needed.

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LM40.10.25 Improve

Improve the process by identifying, implementing and validating solutions that address the root causes of the problems confirmed in the Analyze process. Includes generating creative solutions and designing, testing / piloting, and full-scale implementation of ideas to reduce waste and variation.

LM40.10.30 Control

Control the process by implementing methods to maintain a process with an operation that is stable, predictable, and meets identified requirements. Activities include documenting the new process, designing the controls, defining responsibilities and how corrective actions are taken, instituting process ownership and discipline, and ensuring we capture the benefits of the work performed.

LM40.10.35 Gate Reviews

Periodic meetings between the Steering Committee and the project team to ensure key deliverables have been completed in each DMAIC phase.

LM40.10.40 Change Management

The management of transformational activities associated with changes in existing processes or the adoption of new policies or practices.

LM40.15 Project Management

The application of specific project management methodologies - planning, organizing, motivating, and controlling resources to achieve specific goals and meet objectives of tactical projects.

LM40.15.10 Initiation

Determining the nature and scope of the project. Includes understanding the business environment and ensuring necessary controls are incorporated.

LM40.15.15 Planning and Design

Planning time, cost and resources adequately to estimate the work needed and effectively managing risk during project execution. Includes developing the scope statement, selecting

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teams, identifying deliverables and activities, estimating resource requirements, time and cost for activities, developing the schedule and budget, risk planning, and gaining formal approval to begin work.

LM40.15.20 Execution

Completing work defined in the project plan. Involves coordinating people and resources, performing the processes within the project plan, and producing deliverables. Also includes directing and managing project execution, assuring quality of deliverables, managing project team, distributing information, managing stakeholder expectations, conducting procurement, and testing deliverables against the initial design.

LM40.15.25 Monitoring and Control

Observing project execution, identifying potential problems, taking corrective action, and controlling the execution of the project. Also includes measuring the ongoing project activities, monitoring the project variables (cost, effort, scope, etc.), and identifying corrective actions to address issues and risks.

LM40.15.30 Closing

The formal acceptance of the project and its conclusion. Administrative activities include the archiving of the files and documenting lessons learned. Includes completing, settling, and closing each contract (including the resolution of any open items) applicable to the project, and finalizing all activities across all of the process groups to formally close the project.

LM40.20 Risk Management

The identification, analysis, assessment, control, and avoidance, minimization, or elimination of unacceptable risks. An organization may use risk assumption, risk avoidance, risk retention, risk transfer, or any other strategy (or combination of strategies) in proper management of future events.

LM40.20.10 Conflicts Analysis

Analyzing search results and resolving conflict issues by communicating with partners or management and taking agreed upon actions. This would include decisions on whether representations can be accepted.

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LM40.20.15 Conflicts Processing

Reviewing new business requests in relation to conflicts of interest and alignment. Includes communicating with partners or management to clarify potentially inaccurate information, conducting conflict of interest and related searches, and administration of risk assessment and information systems.

LM40.20.20 New Business Analysis

Analyzing prospective engagement information and other business acceptance risk issues, communicating with partners or management, and taking agreed upon actions. This would include producing escalation reports for management for decisions on whether to accept work.

LM40.20.25 New Business Processing

Completing and reviewing new business intake information and processing of new business intake requests. It includes researching new clients/customers (address, passports etc.), reviewing requests in relation to anti-money laundering (AML) and other business acceptance factors, communicating with partners or management to clarify information, and conducting search relating to AML and other business risk. Also includes updating records to reflect changes in parties and scope, approving requests to re-open closed matters, and transferring time between clients and matters, open sub-matters, etc.

LM40.20.30 Ethical Walls (Information Barriers)

Implementing and managing ethical walls. It includes advising on set up procedures, providing consent wording, managing access requests, and removal of information barriers. Also includes advising on when consent is needed, assisting with drafting consent letters, and advising on use of information barriers.

LM40.20.35 Professional Liability and Ethics

Management of professional liability insurance, ethics investigations and other risk management activities. Includes the support of the organization in professional liability investigations, representation of the firm in legal matters,

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providing advice on matters internal to the firm (anti-bribery, corruption, etc.), the coordination of outside interests (approving, maintaining register, etc.), review and approval of engagement letter terms and conditions, and the coordination of practicing certificate and recognized body renewals.

LM40.20.40 Practitioner Compliance Monitoring

Ensuring that all practitioners are properly licensed to practice and meet required continuing education (CLE, CPE, etc.) requirements for their practice. It includes associated internal and external reporting requirements and adherence to engagement requirements such as security clearances, etc.

LM40.20.45 Regulatory and Compliance Monitoring

Ensuring that regulations and sanctions imposed by a government agency are being met. Includes monitoring varying transaction types (cards, wire, ACH, etc.) for potential fraud, abuse or risk payments and meeting both internal and external reporting requirements.

LM40.25 Emergency Preparedness

Preparing for and responding to unplanned events that can cause death or significant injury to employees, customers or the public; shut down your business, disrupt operations, cause physical or environmental damage; or threaten the facilities financial standing or public image.

LM40.25.10 Program Management

The organization, development and administration of preparedness program. It includes the identification of regulations that establish minimum requirements.

LM40.25.15 Planning

Gathering information about hazards and assess risks, conducting a business impact analysis (BIA), and examining ways to prevent hazards and reduce risks. Includes writing a preparedness plan addressing resource management, emergency response, crisis communications, business continuity, information technology, employee assistance, incident management, and training.

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LM40.25.20 Implementation

Implementing a preparedness plan addressing resource management, emergency response, crisis communications, business continuity, information technology, employee assistance, incident management, and training.

LM40.25.25 Testing

Plan testing and evaluation. Includes defining different types of exercises, learning how to conduct exercises, and using exercise results to evaluate the effectiveness of the plan.

LM40.25.30 Improvement

Identifying when the preparedness program needs to be reviewed. Discovering methods to evaluate the preparedness program and utilize the review to make necessary changes and plan improvements.

LM40.25.35 Execution

Identifying and assessing an emergency and executing an emergency plan.

LM40.30 Business Continuity

Planning, preparation and related activities intended to ensure that during and after a serious incident or disaster an organization's critical business functions will either continue to operate or will be recovered to an operational state within a reasonably short period.

LM40.30.10 Resilience Design

The design and engineering of critical business functions and the supporting infrastructure in such a way that they are materially unaffected by most disruptions, for example using of redundancy and spare capacity.

LM40.30.15 Recovery Preparations

Preparations made to recover or restore critical and less critical business functions that fail for some reason.

LM40.30.20 Contingency Planning

Developing a generalized capability and readiness to cope effectively with whatever major incidents and disasters occur,

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including those that were not, and perhaps could not have been, foreseen. Contingency preparations constitute a last-resort response if resilience and recovery arrangements should prove inadequate in practice.

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