

# Guide to the Process management @UR administration



Author:

- Martina Fischer, Organizational Development
- Claudia Högen, Organizational Development
- Dr. Andreas Becker, Archivist of the University of Regensburg
- Miriam Stumpner, Advisory Member, Department I Quality Assurance

Contact: [organisationsentwicklung@ur.de](mailto:organisationsentwicklung@ur.de)

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# 1. Introduction

The University of Regensburg's "University Development Plan" requires in the field of process management comprehensible, transparent processes. The University Development Plan was unanimously adopted by the Extended Executive Board on 28 May 2020 and approved by the State Ministry of Science and the Arts on 05.10.2020.

With the help of a process- and service-oriented approach, standardized and stable administrative procedures, service chains and administrative processes (study affairs, general legal and staff matters, human resources, finance and transfer, buildings and technology) are transparently described, monitored internally annually and, if necessary, adapted.

## 1.1. Process Management at the University of Regensburg /Administration

- With the Chancellor's decision, a number of processes to be determined by the Chancellor and the departments in departments 1-5 ("Pain Processes") are to be modeled and documented annually per department, whereby the number of processes depends on the size of the department and the complexity of the business.
- A "short-list" of the pain processes mentioned by the departments is created. A sounding board, which represents the administration's customers, also mentions pain processes.
- From this collected list, the Registrar selects a number of processes that are recorded, described and modelled with all those involved in the process and, in a second step, improved.
- In an annual review, all processes must be reviewed by the process owner and adjusted if necessary
- The processes are collected in a database (process portal) and published electronically. ([Link to Process Management Tool](#))

## 1.2. Target group and binding nature of the guide

- This guide and activity is primarily aimed at employees of the administration.
- Interested institutes and faculties also have access to the instrument of process management with the use of process mapping.
- The Organizational Development department will be happy to provide the tool and methodology and put you in touch with the consulting organization that works for the university in this field. The cost of the consultant must be taken by the respective organizational unit.

## 2. Process management in administration

### 2.1. Process

*Process management: The most important things in a nutshell*

*The process management of the administration directly serves the implementation of the prerequisites of the university development plan and is located directly under the Chancellor of the University of Regensburg (Organizational Development).*

*Process management means the modelling of transparent processes*

*Process management means the goal-oriented management of an institution's processes*

*A process is any type of single or composite activity that results in the production of a product or service*

*Process management in the form of lean management means the consistent elimination of waste from processes.*

The goal of process management is to systematically document, analyze and design important and frequent workflows, i.e. processes.

The workflows are analyzed, designed and, if necessary, improved in terms of quality, time, costs, resources, and customer satisfaction. The goal is to eliminate waste from the processes.

Subsequently, the digitalization of the processes is planned in consultation with the administrative IT department, if desired.

#### **There are many reasons for process management – these are our "Top 5":**

- We gain transparency with regard to our processes and can also present them in a comprehensible way to students as well as academic and non-academic employees of the faculties.
- We reduce lead times and save time for other important tasks.
- We have clear structures and responsibilities: contact persons can be clearly named.
- Digital processes make our work independent of time and place.
- We preserve knowledge in our defined processes: knowledge is retained in the process.

Process management includes the following steps (see Section 5.1):

1. Definition of (pain) processes per department
2. Selection of processes to be mapped
3. Analysis, documentation and improvement of processes with the help of "process mapping"
4. Working with processes and maintaining the processes
5. Annual review of mapped processes

## 2.2. Processes

Processes are workflows in a comprehensive sense. A process can be defined as a system that uses resources to turn inputs into outputs.

Certain tasks are performed over and over again in a fixed order (in contrast to a project).

For the documentation of a process, these individual work (process) steps are determined and described. In addition, specifications and responsibilities are described and instructions and checklists are included.

When working with processes, the focus is on reviewing processes in terms of efficiency and practicability and eliminating waste from the processes as far as possible.

## 2.3. Benefits of Process Management

Working with processes brings the following benefits:

- Workflows, responsibilities and competencies are clearly regulated for everyone
- Standards are bindingly defined and stored in the affected processes
- Know-how is retained in a concentrated manner and is thus more transferable
- It is much easier for new employees to familiarize themselves with the job
- Tools, checklists, and forms are easier to find
- Quality improves with more efficient and smoother operations
- Processes can be collected in a uniform form and made accessible in the process portal

## 3. Organization and Responsibilities

### 3.1. Process management in administration

Organizationally, the organizational development of the administration is responsible for the implementation of process management.

### 3.2. Roles in process management:

### 3.2.1. Process Owners

They are the persons responsible for a process (or sub-process). You need knowledge about the framework conditions, specifications and guidelines of the process.

Tasks:

- grant process approval (also in the tool)
- ensure results-oriented, strategic management of your process,
- consolidate its operation,
- select the process indicators and key figures, and
- initiate – if necessary – the digitalization of the process.

In order for process owners to be able to perform their tasks with the aim of process optimization, they need the appropriate material resources (labor, time, money) and the ability to make decisions. In the administrative context, therefore, they are usually heads of departments, institutes or units.

A process is not working or needs to be improved? In this case, the process owners are the right people to contact.

### 3.2.2. Process Coaches

Process coaches act on behalf of the process owners.

They organize the ongoing improvement of the process together with the process participants. Their responsibilities include knowing the process well, constantly observing it and communicating it.

Process coaches are often responsible for the operational execution of the process as well as for defining its requirements, process design and documentation, and process integration. The process coaches can make use of the support of external consultants in the modelling of the processes.

Like the process owners, the process coaches also need knowledge of the framework conditions, specifications and guidelines for the process.

Tasks:

- network and coordinate to all those, who are involved in the process,
- organize a team for process optimization,
- take care of workshops and trainings on the process,
- monitor and document the process on an ongoing basis (Is there a difference between the target and actual processes? Are the framework conditions of the process changing? Does the process achieve the agreed results – measured in agreed criteria/metrics?),
- communicate the process – not least uncoordinated deviations or problems – to the appropriate bodies,
- initiate the further development of the process,
- contribute suggestions for improvement and their own observations on their own responsibility in cooperation with the process owners and
- take into account the factor of digitalization in the process mappings in cooperation with administrative IT.

### 3.2.3. Parties to the proceedings

They are part of the process teams in each individual process and are all the people who work out or have worked out the process together. Process participants represent their respective section or process step or take on a specific function in the process. You are actively involved in the process flow and are responsible for the further development of the content of the processes. In the case of new or further development of processes, representatives of the departments involved in the process are members of the process team.

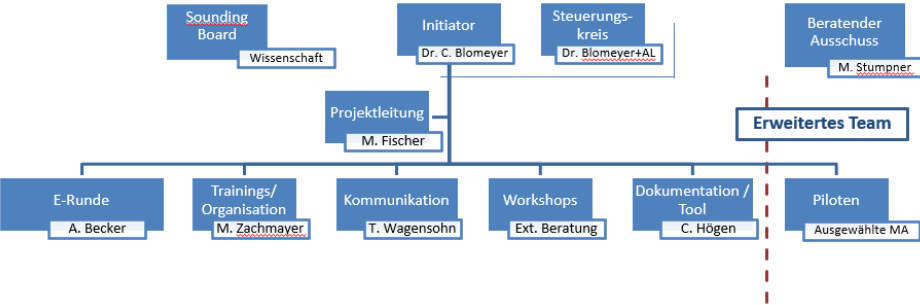
**3.2.4. Process users**

The group of people who apply or use a process.

**3.2.5. Process Management Team**

The Process Management Team is a cross-functional group that advises on the introduction of process management in the administration of the University of Regensburg. It develops proposals for implementation and recommendations for action.

**Prozessmanagement @Verwaltung UR**  
Projektorganisation



Link to the Process Management Team (bullet point: Project Team)

<https://www.uni-regensburg.de/universitaet/organisationsentwicklung/ueber-uns/index.html>

**3.2.6. Process Management Office**

The Process Management Office implements the process management at the UR, organizes the process management team as well as external consulting for the process mappings.



### 3.3. Process Management in the Faculties

Faculties can also use process management. The costs for the consultation by means of a process mapping must be taken by the customer. To this end, the university administration's organizational development department establishes contact with the external consultant. <mailto:organisationsentwicklung@uni-regensburg.de>

### 3.4. Training and further information

Training and further information on process management can be found here: <https://www.uni-regensburg.de/universitaet/organisationsentwicklung/prozessmanagement/index.html>

## 4. Process Management Portal

*The most important facts in a nutshell:*

*The process management tool is subdivided into departments in the administration. All processes that have been mapped are included in it and are stored and released centrally here.*

Screenshot of the process portal:



Link to the process portal:

[https://myteams.ur.de/ssf/a/c/p\\_name/ss\\_forum/p\\_action/1/binderId/186104/entityType/workspace/action/view\\_permalink/novl\\_url/1](https://myteams.ur.de/ssf/a/c/p_name/ss_forum/p_action/1/binderId/186104/entityType/workspace/action/view_permalink/novl_url/1)

The process portal is a central repository on which all mapped processes are stored as part of the process management project.

Why should processes be mapped?

Process mapping is one of the most powerful and effective lean methods for optimizing processes. The goal of process management is to ensure that all processes run as smoothly as possible.

First, the actual process is systematically described, visualized, analyzed and presented step by step at the activity level. Subsequently, the so-called turtle method (who does what, by when, how and who must be informed?) is redesigned and the target process is defined. After that, a process is considered as "mapped".

Anyone who handles processes can access these processes through the process portal. Processes published here can be viewed by all members of the university.

In this way, we not only help to ensure that it is clearly defined and transparent who does what and when, but also that our processes are digitally accessible to everyone.

## 5. Process Landscape: Fields of Work, Work Areas and Work Processes

The process landscape serves to structure all areas of activity of the administrative units in a department-oriented structure.

The following fields of work represent the top level:

- Student Affairs
- General Legal and Staff Matters
- Finance and Transfer
- Staff
- Buildings and technology

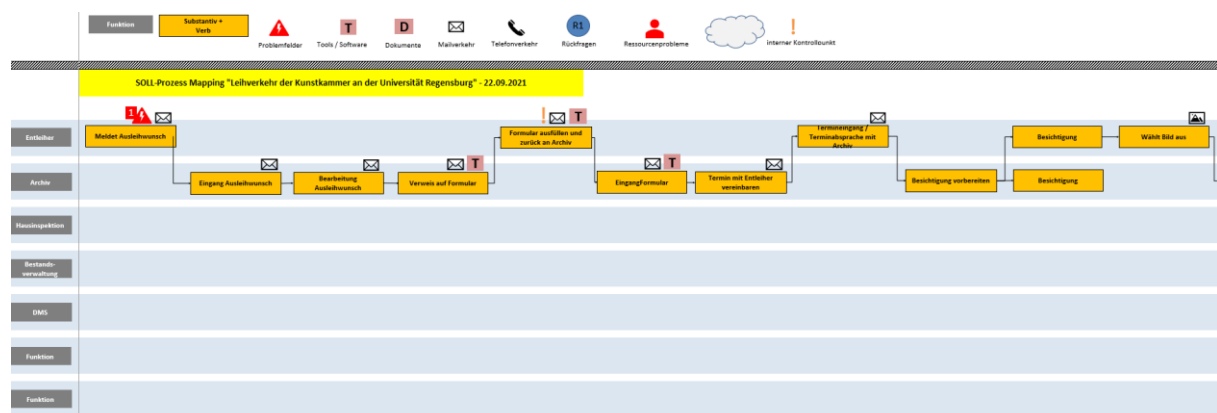
The processes are assigned to these fields of work and can be accessed here.

## 6. Process Modeling

*The most important facts in a nutshell*

*In process modeling, related workflows (processes) are analyzed in a process mapping workshop, described in process steps for each function and graphically recorded in Excel.*

Example: Excel sheet for process mapping:



All those involved in the process are invited to a workshop day to define the current process as it is currently carried out and to record it in Excel. On this workshop day, problems that the current process is currently causing will also be noted and marked with an icon.

On a second day of the workshop, again with all participants, the process will be worked out in the TARGET, i.e. as it would be desirable. A list of actions will be drawn up. Once the action list has been processed by the process management team, the target process has been implemented.

The process approach makes it possible to clarify responsibilities, make workflows more efficient, and secure and document know-how.

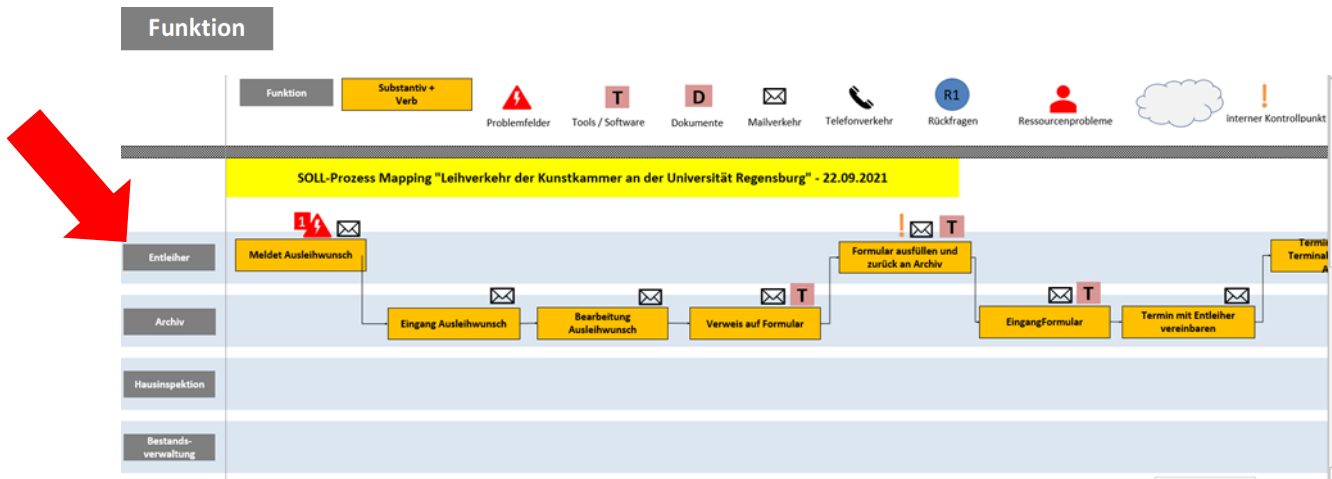
The central work processes are selected in the administrative departments, optimized where necessary and systematically documented according to specific specifications.

Detailed instructions on what happens when a process is selected for mapping can be found here.

[https://myteams.ur.de/ssf/a/c/p\\_name/ss\\_forum/p\\_action/1/binderId/186104/entityType/workspace/action/vi\\_ew\\_permalink/novl\\_url/1#1704791087110](https://myteams.ur.de/ssf/a/c/p_name/ss_forum/p_action/1/binderId/186104/entityType/workspace/action/vi_ew_permalink/novl_url/1#1704791087110)

## 6.1 Icons in Process Modeling

### 6.1.1. Function



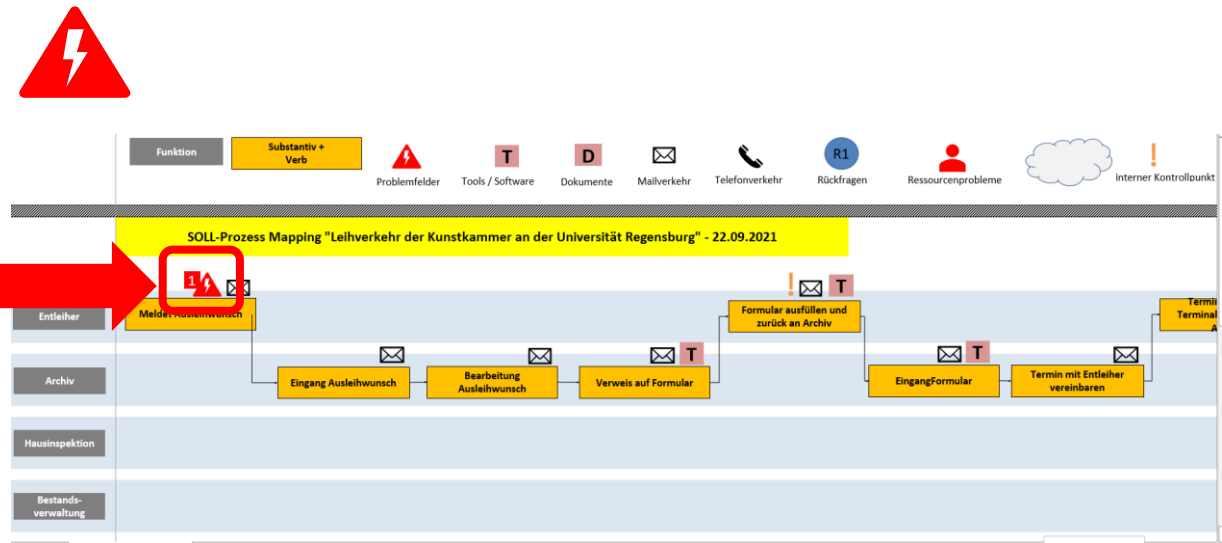
In the process mapping Excel sheet, the functions (NOT names of the person) that perform a task in each process step are described on the left.

### 6.1.2. Process step (noun + verb)



The respective process step is described here (e.g. make an appointment)

### 6.1.3. Problem area



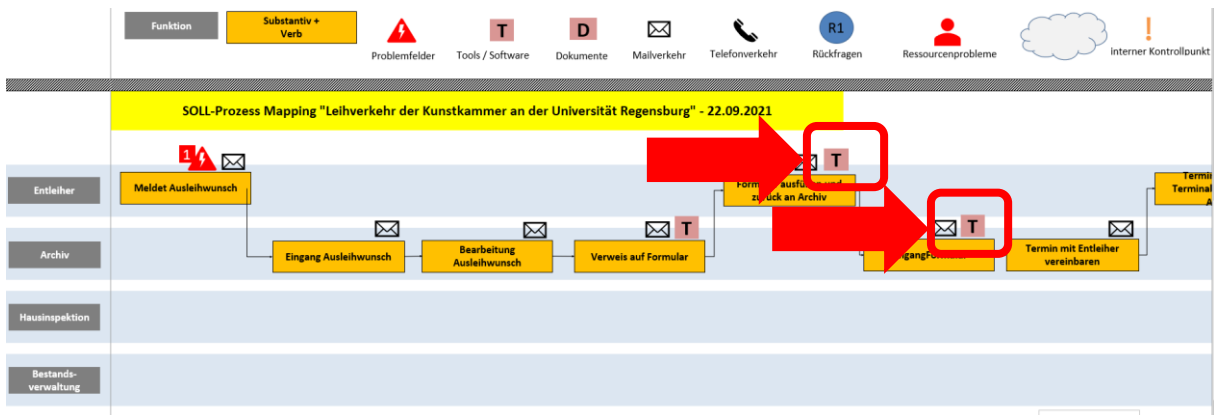
With this sign, a problem area in the actual process has been identified.

### 6.1.4. Tool/ Software



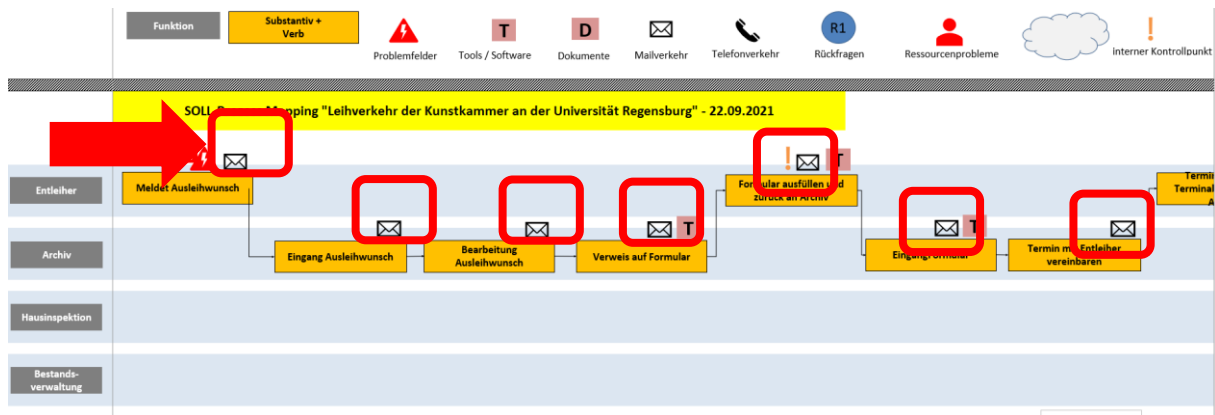
Tools / Software

This icon indicates whether a tool or software is used to process a process step.



### 6.1.5. Email

This icon indicates whether an e-mail is used to process a process step.



### 6.1.6. Telephone traffic



This icon indicates whether there is telephone traffic for the processing of a process step.

### 6.1.7. Queries



This icon indicates whether queries are necessary for the processing of a process step that must be avoided in a process

### 6.1.8. Resource Issues



This icon indicates whether queries are necessary for the processing of a process step that must be avoided in a process

**6.1.9. Notes**



This icon provides the space for notes.

**6.1.10. Internal Control Points**



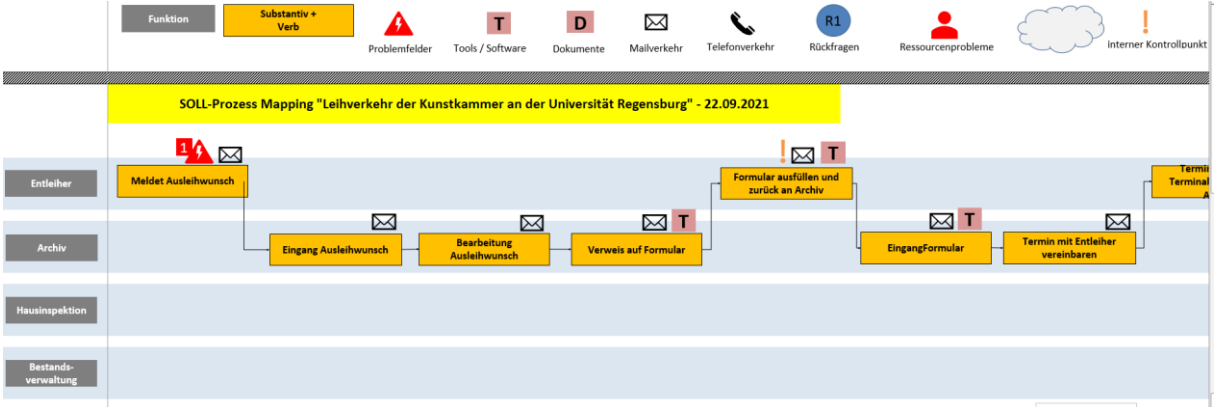
This icon indicates whether an internal control point (ICP) exists for a process step.

What is an internal control point? Please watch the following video (6:10). Please log in to the media library with your data center account to watch the video.

<https://mediathek2.uni-regensburg.de/playthis/63734a8daf3514.04706712>

**6.2. Analysis and documentation of processes**

**Day 1: As-Is Process Mapping**



All relevant steps of a workflow are described exactly as they are now as part of the Process Mapping IST workshop together with all participants.

Each step determines which function is responsible for completing this task.

Tools such as checklists, descriptions, forms, etc. are added.

Reference is made to websites and documents that are important to the process.

When describing and modeling the processes, the opportunity should be taken to rethink the workflows. This usually happens naturally when everyone involved in the process is involved. The discussion of the processes and their improvement form part of the modeling.

All major problem areas in the actual process are marked with a red triangle with an exclamation mark and noted in the same Excel spreadsheet in the "Problem Fields" tab.

Problem Nr.	Problembeschreibung	Ideen / Lösung	WER
1	Keine Unterschriftenkontrolle der AGB's seitens Archiv	Ergänzung im bestehenden Formular einer weiteren Zeile "Die AGB's werden akzeptiert"; Hinweis wo AGB's zu finden sind	Andreas
2	Kein Qualitätscheck bei Bilderübergabe an Hausinspektion	Ergänzung im bestehenden Formular einer weiteren Zeile "Kunstwerk wurde zum Transport entgegengenommen / übernommen"	Andreas
3	Termine werden von den Entleiher nicht eingehalten, nicht erreichbar, verschoben	Zusatz: "Der Entleiher hat sich verbindlich an die Termine zu halten, sollte das nicht möglich sein, muss der Termin vom Entleiher verschoben oder abgesagt werden".	Andreas
4	Keine Nachverfolgbarkeit allein in FSV möglich, dadurch keine Übersicht der Änderungen	Möglichkeit eines "Anlage hochladen" Buttons in FSV	Andreas
	Lauri bleibt unter Umständen beim Entleiher und kommt	Hinweis "Laufzettel muss unverzüglich ans Archivum Team weitergeleitet"	Andreas

*Note: A red arrow points to the 'Problemfelder' tab in the Excel interface below the table.*

Experience shows that even when the processes are depicted in the flowchart, questions arise regarding content and responsibilities. Often, it is only during modeling that you determine whether a process is being carried out in the same way and with the same efficiency by all employees.

Often, it is only in process mapping that it becomes clear to those involved what the upstream process step delivers and why and what inputs the downstream process step needs and how the next function processes the input.

A process team is created that feels responsible for the process as a whole.

The IST workshop will be moderated by the process coaches and by the external process management consultant of the University of Regensburg or by members of the organizational development department.

## Day 2: Target Process Mapping

Once the as-is mapping has been completed, a few days may pass before the entire process team, i.e. all participants in the process, meet again to define what the target process should look like. Sometimes there are still a few points from the problem areas that need to be completed before the target mapping can be started.

This step is therefore an opportunity to clear up ambiguities, avoid duplication of work, standardize procedures and set quality standards. The work steps should be formulated so precisely that even new employees can complete the assigned tasks correctly. However, they should also be open enough to avoid unnecessary restrictions where room for manoeuvre is desired.

The goal of target mapping is to make the process as "lean" as possible, i.e. to eliminate waste from the processes as much as possible. In lean management, waste is defined as activities that do not provide any customer benefit.

To this end, the process team records and discusses each individual process step again and determines whether it should be changed or changed or whether it can perhaps even be omitted. The target process is recorded and recorded in an action plan in the second tab of the process mapping Excel sheet

You can see an example here:

## Maßnahmenplan

Thema Nr.	Ideen / Lösungen	Bemerkung	AP
P1	Funktionsmailbox, Ausleihformular inkl AGB Haken, Hinweis für Entleiher: Nach Anbringung ist der Auftrag abgeschlossen, Verlinkung des Formulars im Intranet		Andreas B.
P2	Daten könnten in FSV automatisch aktualisiert werden?	Hr XY	Andreas B.
P3	Wo werden die Formulare aus LUCOM abgelegt?	Fr. AB	Andreas B.
P4	Generelle Frage: Was passiert mit den Bildern bei Ausscheiden eines MA?	Klärung mit HR	Andreas B., Fr. XY
P5	Ausleihformular in LUCOM erstellen, Feld für Hausinspektion: ...holt		Fr. XY, Hr. AB

Prozess Mapping **Maßnahmenplan** +

The moderation is again taken over by the process coach together with the external consultant or organizational development.

Following the TARGET process recording, the process coach defines the ICPs for his process and marks them with an exclamation mark.

### 6.3. Working with the processes and maintaining the processes

Once the processes have been established, the development concerning the process quality is not complete. Changes that simplify the process or make it more efficient should be made on an ongoing basis. For example, suggestions for improvement can be suggested by employees, be caused by restructuring or become mandatory due to new regulations. However, not every employee is allowed to design a process individually or make changes personally.

Only the process owners and the process coaches are able and empowered to do so.

In the Process Management Portal, the process owner creates a process card and the Excel sheet of the process mapping. The process map can be viewed there by anyone with a data center account. The process is considered published when the status "official" is entered.

Once a year, the process owner receives a message from the Process Management Portal that the process should be reviewed to find out whether anything has changed in the process.

In addition to the audit through the daily work with the processes, the processes must also be checked regularly/annually and systematically.

Organizational Development recommends that a process review be carried out annually with the entire process team.

To do this, the process owner or the process coach invites all participants to a meeting.

In addition, the processes are audited by the internal audit department in the event of an audit.

### 6.4. Technical details of the procedure

#### 6.4.1. Software "VIBE, Process Portal"



The processes are published according to a uniform procedure as process maps including the process mapping Excel sheets. VIBE can be accessed by anyone with a data center account.

### 6.4.2. Process Approval Procedures

Before the process descriptions are stored in the VIBE Process Portal, they must be viewed in the system by the process owner and set to "Official" status. This makes them valid and binding for all parties involved.

#### Process Card Status Overview

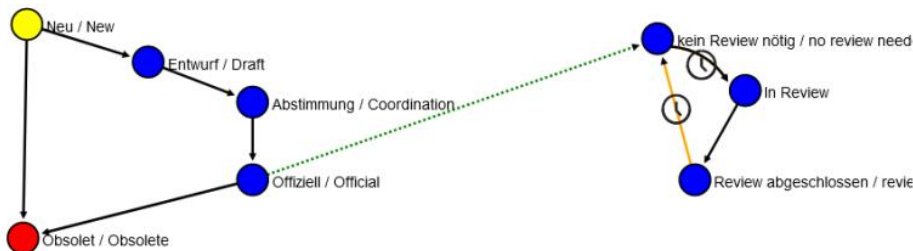
Status	Sichtbar für	Aufgaben
Neu / New	Prozesseigner / Prozessbearbeiter / Prozess-Admin	Prozessübersichtskarte erstellen.
Entwurf / Draft	Prozesseigner / Prozessbearbeiter / Prozess-Admin	Prozessübersichtskarte in den Status Entwurf setzen.
Abstimmung / Coordination	Prozesseigner / Prozessbearbeiter / Prozess-Admin	Wechsel von Status Entwurf in Abstimmung, hier wird eine E-Mail vom System an den Prozesseigner generiert. Diese E-Mail enthält den Link zur Prozessübersichtskarte. (Siehe nächste Seite)
Offiziell / Official	alle Mitarbeitende der UR mit RZ-Account Prozesseigner / Prozessbearbeiter / Prozess-Admin/	Wenn der Status auf Offiziell gesetzt wird, beginnt die 365 Tage Laufzeit, in dieser Zeit ist kein Review nötig.
Kein Review nötig		Nach 365 Tagen, wird der Prozesseigner per E-Mail informiert, dass der Prozess im in Review sich befindet.
In Review		Der Prozesseigner sollte nun einen Blick auf den Prozess und die Prozessübersichtskarte werfen, ob die Angaben noch richtig hinterlegt sind, oder ob etwas verändert oder ergänzt werden soll.
Review abgeschlossen		Review abgeschlossen
Obsolet / Obsolete	Prozesseigner / Prozessbearbeiter / Prozess-Admin	Wenn ein Prozess ungültig ist, kann der Status auf obsolet gesetzt werden.

Der Workflow für die Prozessübersichtskarte finden Sie unter den Angaben zum Prozess, den Status auswählen und mit [OK] bestätigen.



The process owner is responsible for ensuring that the process card has the correct status.

#### Workflow (Lebenszyklus Prozesskarte)



Training materials on how to create the process overview card and keep it up-to-date can be found here:

<https://www.uni-regensburg.de/universitaet/organisationsentwicklung/prozessmanagement/prozessportal/index.html>

### 6.4.3. Minimum Standards for Modeling the Processes in the Process Mapping Excel Sheet

For the concrete description of the processes, the following minimum standards must be observed:

For each process, specify a process name (heading), a start event, an end event, and the participants in the process (in functions). As a rule, processes begin and end with the stakeholders. Possible stakeholder groups (customers) are students, applicants, clients, authorities, partners or even employees of the company's own or other departments. Sometimes, processes are triggered by 'fixed dates' instead of stakeholder groups, e.g. in the "Generate annual report" process by reaching the end of the reporting year.

Always name the process in the form NOUN + VERB (infinitive): e.g. "Exam registration", "Create annual report" or "Account invoice". Name each task in the form OBJECT + VERB (infinitive): e.g. "prepare session", "send publication", "pay invoice" (neither substantiated forms such as "session preparation", "sending publications" or "paying invoices", nor individual nouns such as "meeting", "publication" or "invoice")

Name the start event in the form SUBJECT + VERB + OBJECT: for example, "Student registers for exam".

Name the end event (result) in the form OBJECT + VERB (Part. Perfect): e.g. "Exam registration (is) confirmed".

Events can also occur during the course of the process (dates, deadlines, arrival of deliveries, forms, requests, etc.): e.g. "Last day of the month", "Order arrives".

When listing the participants or responsible parties, do not use names, but functions. Possible functions are employee, head of department, professor, managing director, lecturer, assistant, technical staff, secretary, librarian, etc.

If a link icon is used that leads to linked files, make sure that it describes what kind of file has been linked: e.g. "Website Department Human Resources Forms", "Checklist for meeting preparation", "Letter template cancellation" (not just "Checklist" or "Template")

Assign your processes to the respective processing date

## Appendix

[Homepage of Organizational Development – Process Management](#)

[Training materials for creating a process map](#)