



# Defense Logistics Agency STANDARD OPERATING PROCEDURE

DLA Information Operations SOP 6100.04  
March 12, 2015

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Performance Optimization, J613

SUBJECT: IT Process Improvement (ITPI) Standard Operating Procedure (SOP)

## REFERENCES:

- DLA Instruction (DLAI) 5309 Continuous Process Improvement (CPI), February 7, 2013
- Director's Guidance 2014
- DLA Information Operations Job Aid 6100.04A, Executive Planning Session (EPS), December 2014
- DLA Information Operations Standard Operating Procedure 6100.01, IT Performance Management
- DLA Information Operations Standard Operating Procedure 6100.05, IT Knowledge and Process Management
- DLA J5 Continuous Process Improvement Charters, Templates & Checklists

1. PURPOSE: The purpose of this SOP is to describe the process by which DLA performs and governs ITPI including executive deployment planning, project identification, selection and execution to optimize J6 business processes to achieve goals described in the Director's Guidance, that impact DLA Big Ideas, improve J6 Customer Satisfaction, and enable the J6 workforce to execute its mission.

2. APPLICABILITY: This process applies to J6.

3. DEFINITIONS:

- a. Just Do It (JDI) – Type of CPI effort utilized for problems with seemingly-known solutions which expected to take less than one month to implement. When a known solution is implemented as part of a CPI effort, before and after data must be gathered to confirm that the “known solution” did, in fact, solve the problem.
- b. Rapid Improvement Event (RIE) – Type of CPI effort utilized to address problems within a specific division or branch of J6. They have three phases and are expected to take 1-6 months to complete.
- c. Define Measure Analyze Improve Control (DMAIC) – Type of CPI effort utilized to address complex problems or those spanning multiple organizations. DMAIC events have five phases and require tollgate reviews be held at the end of each phase before the

project will pass to the next phase. DMAIC projects are expected to take 6-18 months for full implementation.

- d. Green Belt – J6 personnel who have taken an approved Green Belt Course. Green Belts may facilitate JDIs or RIEs, but only RIEs count toward their certification.
  - e. Black Belt – J6 personnel who are attending or have attended an approved Black Belt Course. Black Belts may facilitate DMAICs, RIEs or JDIs, but only DMAIC projects count toward their certification.
  - f. Master Black Belt – Certified Black Belt who has taken a DLA-approved Master Black Belt Course. Master Black Belts may facilitate any level of project, but only enterprise-level DMAIC projects count toward their certification.
  - g. CPI Administrative Projects and Event Repository (CAPER) – Repository in which the information and status of CPI projects across DLA are stored.
  - h. EPS – Annual meeting during which J6 leaders identify opportunities for improvement.
  - i. Cybersecurity Assessments, IT Audit Readiness, and Process Management, J613B\_– Designated to oversee all the Black Belts and Green Belts within J6. Coordinates Project Champions and Sponsors to generate charters including a project schedules for proposed process improvement ideas. Contacts members of DLA Strategic Plans and Policies (J5) and Black Belts outside of J6 to communicate process ideas which apply to the DLA Enterprise. Responsible for the coordination and execution of the (EPS) process. Assists BlackBelt and GreenBelt candidates in achieving certification.
  - j. Process Owner – The individual with authority over the end-to-end process which has been targeted for improvement For certain projects, may simultaneously perform Project Sponsor and / or the Project Champion role(s)
4. RESPONSIBILITIES: Refer to Enclosure 1.
5. PROCEDURES: Refer to Enclosure 2.
6. INFORMATION REQUIREMENTS: All information requirements listed below are met by the CAPER System.
- a. A central repository that stores and tracks all current, upcoming and completed CPI projects.
  - b. A database which contains information to track the phase and the state of the project.
  - c. A central database containing the names of trained and certified Green Belts, Black Belts and Master Black Belts for each J6 organization.
7. INTERNAL CONTROLS: Refer to Enclosure 2.

8. RELEASEABILITY: Restricted release to users with Common Access Card authorization on the eWorkplace J613B website.

9. EFFECTIVE DATE: This SOP is effective upon signature and remains in effect until it is either superseded or cancelled.

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Enclosures

1. Responsibilities
2. Procedure
3. Metrics
4. SOP Process Flow Diagram

Forms and Reports

Identification of Gaps

Abbreviations and Acronyms

RACI Chart

## ENCLOSURE 1: RESPONSIBILITIES

a. J6 Leadership: Includes the J6 Director and Deputy Director, as well as the Director / Deputy Director for each Enterprise Service Area (ESA). The J6 Director is ultimately accountable for J6 operations and efficiency. All members of the J6 Leadership assist in the identification, scheduling and resourcing of potential process improvement projects. J6 leaders act as champions and sponsors on CPI efforts, approve courses of action, approve changes to policy, Standard Operating Procedures, Job Aids and other process documentation as a result of project findings and recommendations.

b. DLA Strategic Plans and Policies (J5): Per DLAI 5309, J5 is responsible for consolidating DLA organization CPI information and metrics, as well as for reporting these metrics to DOD. J5 is also responsible for delivering training to belt candidates and for developing and maintaining key CPI documentation, such as templates for charters and tollgate reviews. J5 reviews applications and awards DLA Black and Green Belt Certificates in recognition of completed projects.

c. Project Champion: The Project Champion is the specific J6 leader ultimately responsible for the performance of the J6 process(es) targeted for improvement. The Champion communicates strategies, eliminates obstacles, accepts risks taken during the implementation of changes and ensures that gains are sustained. The Project Sponsor reports to the Project Champion and in some cases the roles of Champion and Sponsor may be filled by the same individual.

d. Project Sponsor: The Project Sponsor is the J6 employee, typically a supervisor or manager, who identifies or accepts ownership of the previously identified CPI effort and oversees it through implementation. The Project Sponsor role is crucial to the entire CPI process as they have, but are not limited to the following responsibilities:

- Conducting the initial assessment of the improvement opportunity idea's value to the J6 organization vs the resources required to execute
- Identifying and securing the participation of team leaders, process owners, subject matter experts and team leaders as project team members.
- Approving or rejecting project briefings and documentation including tollgates
- Selecting courses of action at critical decision-points during project execution
- Ensuring that findings and results are communicated to leadership, to include uploaded into the CAPER system.

e. Cybersecurity Assessments, IT Audit Readiness, and Process Management, (J613B): J613B is responsible for J6 Process and Performance Management and J6 Performance Management along with the coordination and execution of the EPS Process. The IT Process Management Team, which is part of J613B, facilitates the EPS, evaluates process metrics to suggest improvement opportunity ideas, fields suggestions for CPI efforts, facilitates Champions and Sponsors in the formation of teams to execute CPI efforts. J613B manages the J6 project portfolio, assists in the development of executable project charters, provides J6 CPI metrics to the J5 office, approves J6 individuals for CAPER access, and assists J6 individuals in obtaining certification.

f. RIE Team: The RIE Team is the group of J6 employees who are selected by the Project Champion/Sponsor to plan, manage and complete a short-term (less than 6 month) project selected for implementation.

g. DMAIC Project Team: The DMAIC Project Team is the group of J6 employees who are selected to plan, manage and complete complex (6+ month) project selected for implementation

h. J6 Employee/Customer: An individual who suggests an improvement opportunity idea either through the J613B eWorkplace website (<https://eworkplace.dla.mil/sites/S9/j-61/j613/po/Pages/ITProcessImp.aspx>), the EPS Process, or directly to a Project Sponsor.

i. Facilitator: A trained CPI Green Belt, Black Belt, or Master Black Belt who guides an ITPI team through the use of the CPI methodology as appropriate during the execution of the project.

## ENCLOSURE 2: PROCEDURE

a. **OVERVIEW:** The J6 CPI program is an integral part of the Agency’s commitment to improve the overall mission capability through developing, optimizing, and maintaining consistent J6 processes. CPI is a focused, sustained methodology utilized to standardize processes and improve process performance throughout J6. Streamlining business processes, both operational and administrative, is critical to improving and sustaining DLA’s capability to effectively implement solutions that support the DLA mission, provide the expected and required stewardship oversight, and enhance support to the customer. This SOP describes the CPI process for J6 from idea generation through project launch and execution.

b. **DESCRIPTION:**

(1) **Submit Improvement Opportunity** Any J6 employee or customer may submit ideas for J6 process improvement at any time by speaking with a J6 leader or by emailing [itprocess@dla.mil](mailto:itprocess@dla.mil). Ideas involving information operations submitted to DLA’s “Big Ideas” program that do not meet the criteria of that program may also be forwarded to J6 for consideration. Ideas can arrive through eWorkplace, as a result of a leadership meeting to include an annual EPS activity, or by leadership directive. Regardless of how ideas are received, they are forwarded to J613B and are captured on the active project list.

**Internal Control 1:** Verify that the [itprocess@dla.mil](mailto:itprocess@dla.mil) mailbox is monitored.

**Control Objective:** Ensure that individuals seeking a process improvement receive a timely and appropriate response.

**Risk:** Individual may submit a suggestion and receive no response, resulting in a missed improvement opportunity and, worse, the message to the submitter that J6 does not value his or her input, nor pursues improvement with any sense of urgency.

**Control Activity: Process Control/Manual/Recurring/Preventative**

Per Distribution List Job Aid, the owner of the [itprocess@dla.mil](mailto:itprocess@dla.mil) distribution list will maintain the list to ensure that at least two current members of the J613B organization have correct email addresses and receive emails sent to the distribution list. Those on the list are responsible for responding to requests within 5 business days of receipt.

(2) **Receive, Gather Details and Record Improvement Opportunity** Upon receiving a suggestion for process improvement, a member of J613B will thank the submitter for their suggestion and request minimum information regarding the request. Upon receiving the standard information J613B will record the opportunity on the active project list. Projects added to the J6 project list will have an “on hold” status until they have been adopted by a Champion, assigned a sponsor, a team leader and a facilitator (or cancelled or forwarded to J5 as a DLA-level opportunity).

**Internal Control 2:** Verify Project Idea is Submitted with Minimally-Acceptable Detail

**Control Objective:** Ensure information recorded by the submitter of an improvement opportunity via the J613B eWorkplace website, through email or conversation is submitted with sufficient information to identify and evaluate it.

**Risk:** Submission of insufficient information regarding a potential process improvement opportunity may lead to loss of opportunity for improvement of a DLA process.

**Control Activity: System Control/Manual/One-Time/Preventive**

If the format in which the submitter originally contacted J613B does not contain the minimum information listed below, a member of the J613B IT Process Management Team they will contact the submitter via email to obtain the following information:

- Title indicating the subject of the improvement opportunity
- Name of the submitting employee
- Organization to which the employee belongs

In addition, all supporting and related information should be included with the above-listed basic data elements. The J613B IT Process Management Team will reach out to the submitter to request any omitted information.

(3) Obtain Leadership Endorsement Sometimes, an opportunity for improvement is identified by a member of the J6 leadership. In such cases, the project's champion is obvious and work to identify a team, scope and schedule the project can begin immediately. In the case of projects submitted through eWorkplace, those generated during an EPS or identified by Belt candidates, the first step is to find a leader to Champion or Sponsor the project. Methods for obtaining leadership endorsement include email exchanges, discussing the problem and possible project during weekly staff meetings, approaching trained Belt candidates who are not yet certified, and briefing the J6 Project List to leadership. Projects that are not being worked as having an "On Hold" status until they are sponsored, cancelled or identified as DLA-level opportunities and forwarded to J5.

(4) Identify Key Team Members. Once the project has a sponsor and/or champion, a member of the J613B Process Management Team work with the Champion or Sponsor to identify the team leader, key subject matter experts, and CPI facilitator who will be assisting in the chartering of the project. The status of the project will be listed in the project list as "Chartering"

(5) Develop the Charter for the Project. The Key Team Members will work with their Champion/Sponsor to charter the project using a standard CPI charter template J5 form. J5 maintains two forms, but the forms are nearly identical so the RIE Charter Template (Organizations > Strategic Plans and Policies (J5) > Shared Documents > DLA\_CPI\_Program > CPI\_PractitionerToolsTemplatesChecklists> RIE Tools and Templates) should be used to begin the chartering process. The chartering process is iterative in that the scope can result in the need to add team members. The team's availability can drive the expected duration. The addition of new team members can result in a new understanding of the scope. The project scope needs to be adjusted to ensure both the success of the project and that expected benefits will justify the expected effort.

(6) Identify the Type of CPI Effort Required and Finalize the Charter The J613B IT Process Management Team will assist in the evaluation of the charter including whether it impacts J6 exclusively, or the DLA enterprise as a whole and the necessary level-of-effort to include the size of the team, expected duration, amount of change management required, and the amount of leadership support required to achieve expected results. These aspects reveal the type of effort being pursued so the appropriate set of templates can be selected from the J5 eWorkplace site:

- a. If the problem has a known solution that leadership wishes to see implemented, the effort is called a Just-Do-It. The “RIE” on the top of the charter can be changed to “JDI”. If the CPI facilitator assigned was hoping to achieve certification on this project, a new CPI facilitator who has or does not seek certification should be sought.
- b. If the duration of the project is expected to be less than 6 months, the project is an RIE. The charter needs no modification. The facilitator must be at least a Green Belt. If the CPI facilitator was hoping to achieve Black Belt Certification on this project, a new facilitator (seeking only Green Belt or desiring no certification) should be sought.
- c. If the project is complex, crosses J6 organizations and/or is expected to require more than 6 months to complete, it is a DMAIC project. The information on the charter should be transferred to a DMAIC project template and the schedule adjusted. If the facilitator is not a trained Black Belt, a new facilitator should be sought.
- d. If the project is extremely complex, the project should be transferred to a DMAIC template and project requires a trained Master Black Belt.
- e. If the project must be worked outside J6, it is a DLA Enterprise Level Improvement Opportunities and should be forwarded to J5.
- f. If leadership has decided that the project is best worked outside the Lean and Six Sigma methodologies and no belt is attempting to use the project for certification, it can be chartered as a Non-Gated Project.

### **Internal Control 3: Confirm the Training Status of the Facilitator**

**Control Objective:** Ensure Facilitator meets current J5 requirements for Green Belt or Black Belt certifications.

**Risk:** Projects that are improperly led may result in improper or unsuccessful project execution, which may result in incorrect and inconsistent application of CPI tools and techniques. The maximum benefits of the CPI methodology may not be attained. The program will not only fail to change the culture to one of collaboration and innovation; it may cause a generation of future leaders to avoid transformation techniques altogether.

### **Control Activity: Management Review/Manual/One-Time/Preventive**

J613B selects the Project Facilitator based on their achieved levels of training and certification and can verify the qualification of candidates to lead projects in CAPER. If Facilitator is seeking certification, J613B ensures that candidate is currently enrolled in an approved training course concurrent to project work.

(7) Obtain Signatures on Final Charter Once agreement has been reached on the charter and the Champion, Sponsor and Facilitator have signed the final charter, the CPI Facilitator or a member of J613B the project work can begin. The project will be briefed to leadership having a status in the “Define” stage.



☞ **Internal Control 4: Review Charter**

**Control Objective:** Ensure CPI projects are executed within DLA guidance, sufficient information is provided, and anticipated results are accurate and complete.

**Risk:** Incomplete or improperly-executed projects may result in unintended changes to processes. Improperly-resourced projects are doomed to failure and waste the time of those involved.

**Control Activity: Management Review/Manual/One-Time/Preventive**

The Project Sponsor will submit all appropriate supporting documentation and justifications to the Project Champion for review before beginning the project.. The Project Champion will review the supporting documentation and any associated briefings before giving approval for the immediate improvement to be implemented.

☞ **Internal Control 5: Sign and Issue the Charter**

**Control Objective:** Establish the charter as official and approved.

**Risk:** Poorly scoped and/ or properly resourced projects are at high risk of failure. Unchartered projects will not be undertaken or entered into CAPER.

**Control Activity: Management Review/Manual/One-Time/Preventive**

The Project Sponsor signs the charter to verify it is completed and approved. The sponsor thereby documents their commitment to provide resources and leadership to ensure the success of the project. Information from the charter is then entered into the CAPER tool.

(8) Resource and train the CPI Project Team. The J6 Project Champion/Sponsor supports the Project Team by selecting the required resources as necessary. Green Belts and Black Belts undertaking projects who have not been trained will be provided the link for Gemba Academy ([www.gembaacademy.com](http://www.gembaacademy.com)), login: OSD, password: DoDLean) to work through the training online (Lean Modules for GreenBelt) or sign up for a DLA course when available. J613B will provide in person training courses when requested, but at a minimum, team members will be sent Awareness Training slides and Champions/Sponsors will be sent Champion/Sponsor Training slide deck.

☞ **Internal Control 6: Confirm the Training Status of Project Team Members**

**Control Objective:** Ensure Project Team members possess the necessary experience, knowledge and expertise.

**Risk:** Projects that do not have proper resources assigned to them may result in improper or unsuccessful execution of projects. In addition, the maximum benefits of the CPI methodology may not be attained.

**Control Activity: Management Review/Automated/One-Time/Preventive**

The Project Sponsor and selected Project Facilitator select Project Team members based on their subject matter expertise, possible process-related and/or CPI experience and/or training and certification.

(9) Enter Improvement Opportunity into CAPER. Once the project is chartered and team members identified, it is entered into CAPER by either the Project Sponsor or a member of the J613B IT Process Management Team. Once entered into CAPER the project is managed as part of the J6 process improvement project portfolio with regular status updates.

☞ **Internal Control 7: Verify CAPER Authorization**

**Control Objective:** Ensure that CAPER users are authorized to access the system.

**Risk:** Unauthorized CAPER access may result in use of information found in the system for unintended purposes due to lack of knowledge or understanding of CPI practices and procedures.

**Control Activity: System Control/Automated/Recurring/Preventive**

The user will have to verify identity each time CAPER is accessed. If a user does not have access to CAPER, they are required to submit a request to the J6 CAPER administrator. The J6 CAPER administrator determines need for access, based on current CAPER administration procedures, and adds the user to the user database for CAPER. Addition of a user to the database provides read/review access by default. , The J6 CAPER administrator forwards any requests for higher-level access to J5.

☞ **Internal Control 8: Ensure the Format of the CAPER Entry Is Standardized**

**Control Objective:** Ensure that information on an improvement opportunity entered in CAPER is submitted in a standardized format.

**Risk:** Entry of insufficient information regarding a process improvement opportunity in CAPER may lead to a delay in the execution of an RIE/ project opportunity. Lack of sufficient information may result in failure to capture cost savings in accordance with stewardship practices.

**Control Activity: System Control/Automated/Recurring/Preventive**

The J613B IT Process Management Team reviews CAPER entries to ensure accuracy. The required fields for entry of an improvement opportunity in CAPER include the following: Idea Name, Problem Description, Desired Goal, DLA Organization Impacted, DLA Sub-organization, and Submitter Name, Email and Phone.

(10) Conduct Pre-Event (or, for DMAIC, Define and Measure) Phase(s). All CPI projects require that the team clearly understand and document the current state process, detailing the specific work elements, where problems, wastes, defects, and costs occur and to what measurable extent. This is two separate steps for DMAIC projects (due to their complexity) and requires a leadership briefing between; but for most projects this is simply considered pre-event work since it occurs prior to deep analysis and the search for solutions.

(11) Brief Leadership to Confirm Project Way-Ahead. The Project Team conducts a leadership briefing (called a tollgate for DMAIC projects) to the Project Sponsor and sometimes the Champion. There are templates for conducting pre-event and Define and Measure Briefings on the J5 eWorkplace site that detail a number of CPI tools that can be used (though only those that bring value to the project should be utilized). Minimum requirements for this stage include the identification and quantification of customer expectations, a current state process flow and collection of “before” project metrics. If the Project Sponsor is satisfied that the problem has been properly defined, that the metrics chosen will demonstrate the impact of an implemented solution, and that baseline findings are accurate, the team will be given permission to proceed to the next steps of the chosen CPI methodology. If disapproved, the Project Team will address any comments, recommendations or deficiencies identified during the tollgate briefing before proceeding to the next phase.

**Internal Control 9: Enter Project Schedule and Milestones into CAPER. Update status / details in J6 Project List and, if applicable, in the AOP metrics**

**Control Objective:** CPI projects stay on schedule and receive appropriate approvals. Leadership briefings, including, but not limited to DMAIC tollgates, provide periodic opportunities to verify that the enablers critical to success (reasonable scope, achievable benefits, available resources, leadership engagement) are still in place. Leadership also needs to be made aware of any successes or unexpected consequences that are incurred as a result of the execution of CPI projects.

**Risk:** Projects that fall behind schedule or do not receive the necessary approvals at tollgate reviews run the risk of exceeding budget, failing to achieve stated objectives, and impacting the schedules of other projects and initiatives.

**Control Activity: System Control/Manual/Recurring/Preventive**

Project Facilitator works with J613B to enter the project schedule and milestones into CAPER, which then notifies Project Team members when required items and reviews are not submitted according to the entered project schedule. CAPER also informs the Project Sponsor when documents need to be approved prior to tollgate reviews. Also, working with J613 to update the status in the J6 Project list and the AOP Metrics will ensure that any briefings that contain these will reflect current realities.

(12) Begin the Event (or for DMAIC the “Analyze” Phase). During this phase, the team reviews and analyzes the process data and performs root cause analysis (using Pareto, Ishikawa or 5 why methods). Upon discovery of the root cause, the team develops suggested solutions and countermeasures intended to remedy the problem(s) and improve the performance of the process.

(13) Seek Approval on Analysis and Proposed Solution (DMAIC Analyze Tollgate): Once analysis is complete findings should be briefed to leadership. Also, proposed process changes, solutions and next steps should be presented in a decision brief. If approved, the team will move into the final stage of the event. If disapproved, the team will address any comments, recommendations or deficiencies identified during the briefing.

**☞ Refer to Internal Control 9 – Update Project Schedule and Milestones into CAPER. Update status / details in J6 Project List and, if applicable, in the AOP metrics**

(14) Complete the Event (for DMAIC, the “Improve” Phase). The Improve phase identifies and implements the specific improvement opportunities needed to address the root cause(s). In this phase, the CP teams finalizes the to-be process flow, and incorporates changes to the process into formal documentation (SOPs, Job Aid’s, Checklists). The team must identify all policy and other required documentation that will need to be created or changed as a result of the new process. The team assists process owners and affected employees in implementing the changes in the actual work being performed, to include conducting training briefings and meetings. The team will identify and prepare to collect post-event metrics.

(15) Approve New Process and Publish Associated Documentation (DMAIC, conduct Improve Tollgate). The Project Sponsor ( and/or Champion and other leaders as required / appropriate) will receive briefings regarding the new process and formally approve new or changed process documents and formally communicate these changes to the affected workforce. Other organizations will need to be informed as well. The Event (or DMAIC “Improve Tollgate”) is not complete until all affected leaders are aware of, formally endorse, and agree to enforce the new process.

**☞ Refer to Internal Control 9 – Update Project Schedule and Milestones into CAPER. Update status / details in J6 Project List and, if applicable, in the AOP metrics**

(16) Conduct the Post-Event (DMAIC, Control) Phase. Approved process documentation and evidential matter is uploaded into the appropriate repository in accordance with the IT Knowledge and Process Management SOP. Any necessary training artifacts are created, approved and delivered (via email, LMS, eWorkplace, etc). All changes, improvements or additions to the process metrics will be made in accordance with the IT Performance Management SOP. Leadership must communicate to the workforce that the process has changed and the new process must be followed and the new metrics collected. The team monitors, and assigns accountability for sustaining the gains made by the process improvements.

(17) Conduct the Post-Event Briefing (DMAIC Control Tollgate). The team reports to leadership the results of the implementation, including the before and after event metrics. The team explains how they have confirmed that the leadership messages regarding the new process have been received by those performing the process and that the new process is, in fact, formally and sustainably in place. For DMAIC projects, a control plan is presented. If leadership is satisfied that the new process is sustainable, the project is approved for closure. If the leadership remains unconvinced, they may request subsequent Post-Event Briefings, place the effort “On-Hold” awaiting the completion of an enabling function or “Cancel” the effort to pursue another approach to fix the problem.

**☞ Refer to Internal Control 9 – Update Project Schedule and Milestones into CAPER. Update status / details in J6 Project List and, if applicable, in the AOP metrics**

(18) Verify / Validate Financial Benefits For completed projects. J613B works with the facilitator and J5/J8 to quantify and verify financial benefits which may be in the form of direct cost savings or cost-avoidance. The facilitator will closely interact with a DLA Financial Analyst or budget representative throughout the process to make certain that cost savings have been properly applied and recorded.

(19) Closeout or Cancel Project. Upon Project Sponsor approval of the Post-Event or Control Tollgate, the Project Facilitator completes all close-out requirements to include, but not limited to, a control plan, an A3 report, the J8 financial validation and the final project checklist. All relevant project information is uploaded into CAPER, to include information on metrics, financial benefits, leadership briefings, final process documentation, checklists, and other requisite project artifacts. The minimum documentation in CAPER is the before and after data table. This information is the minimum that should be briefed to leadership as it demonstrates the impact of the improvement. The project, now listed as “Completed” should continue to be listed on the J6 Project List for one full briefing cycle and will appear in AOP metrics as long as financial benefits are still being captured.

In some cases, a J6 leader may elect to Closeout or Cancel a project before project completion. This can even happen shortly after project idea submission. Regardless of when the decision to close out the project occurs, the project will remain listed on the project list for one full briefing cycle displaying the “Cancelled” status and all affected parties will be notified of the decision.

☞ **Refer to Internal Control 9 Update Project Schedule and Milestones into CAPER. Update status / details in J6 Project List and, if applicable, in the AOP metrics**

☞ **Internal Control 10 Verify Project Results Are Documented Correctly**

**Control Objective:** Verify documented project results appear in CAPER in the required, standardized format.

**Risk:** Projects that are not properly documented in CAPER, run the risk of impacting J6 organizational performance through inaccurate or understated reporting of J6 metrics to higher authority. This may also lead to improper recording of financial or other benefits to J6 and DLA.

**Control Activity: Management Review/Manual/One-Time/Preventive**

The Project Sponsor reviews documents that were placed into the repository by the Project Facilitator. After ensuring that all documents were correctly entered, the Project Sponsor can approve the completion of the DMAIC project.

(20) If applicable, Complete Certification Application for Candidate Belt . If the facilitator was planning to use the project for certification, upon completion of project, J613B will assist the facilitator in working with J5 to submit an application for certification and provide any additional artifacts requested by J5.

(21) Publish J6 CPI Program and Project Status to J6 Leadership, J6 CPI Community, J6 Workforce, DLA CPI (J5), DOD CPI and any other interested parties. J613B monitors for accuracy the information regarding J6 projects in the J6 Project List, the AOP Metrics and in the CAPER tool such that when requested, but at least quarterly, J6 Leadership can be briefed on the status of the CPI program. Additionally, the current J6 Project list will be emailed quarterly to the J6 Leadership team and copied to the facilitators listed in the CAPER tool as well as anyone listed as a sponsor for an active project. For external reporting of metrics, the reporting of J6 metrics to DOD and other external entities is the responsibility of J5, per their policy.

**Internal Control 11: Project Champions Review CPI Projects for Feasibility / Value Added**

**Control Objective:** The J6 Leadership team ensures candidate CPI projects are feasible and have the greatest potential to add value to operations and processes.

**Risk:** Projects that are improperly scoped, not realistically attainable, or do not provide substantial benefit may continue to be executed. Valuable projects may be overlooked. Resources may be overscheduled.

**Control Activity: Management Review/Manual/Recurring/Preventive**

Quarterly, the Project Champions review the J6 Project List to ensure that projects are progressing at the intended rate, that those with an “On Hold” status have not become more pressing (and should be sponsored or resumed) or irrelevant (and should be cancelled) candidates will have the greatest chance of benefit to the agency. Intentional scheduling of events needs to be taken to avoid the undertaking of too many projects simultaneously such that individual persons or departments are overburdened. Also, only leadership can see that a project being worked could become irrelevant due to other activities being taken within DLA. They must stop that project before time is wasted pursuing a project that can never be completed.

c. **INPUTS/OUTPUTS:** Inputs to the ITPI process include existing process documentation, performance metrics, suggested opportunities for improvement and interested Belt Candidates. Outputs include Project Documentation, Leadership Briefings, Improved and updated process documentation (SOPs, Job Aids, etc), refined process metrics, improved performance, increased customer satisfaction, cost savings/avoidance, certified Belts and capable process owners.

## ENCLOSURE 3

### METRICS

(NOTE: Values for Goals can be found in the Annual Operating Plan (AOP).)

a. MEASURES

The following measures shall be collected for this procedure:

- Number of Completed CPI Projects
- Goal Number of Completed CPI Projects
- CPI Savings
- CPI Savings Goal
- Operating Cost Savings
- Operating Cost Savings Goal
- Cost Avoidance Savings
- Cost Avoidance Savings Goal

b. METRICS

The following formulas shall be used to produce the following metrics:

$(\text{CPI Savings Goal} - \text{CPI Savings}) / \text{CPI Savings Goal} = \text{CPI Savings Variance}$

- GOAL: Achieve CPI Savings Variance less than or equal to 0.05.

$\text{Number of Completed CPI Projects} - \text{Goal Number of Completed CPI Projects} = \text{Completed CPI Project Difference}$

- GOAL: Achieve CPI Project Difference greater than or equal to zero.

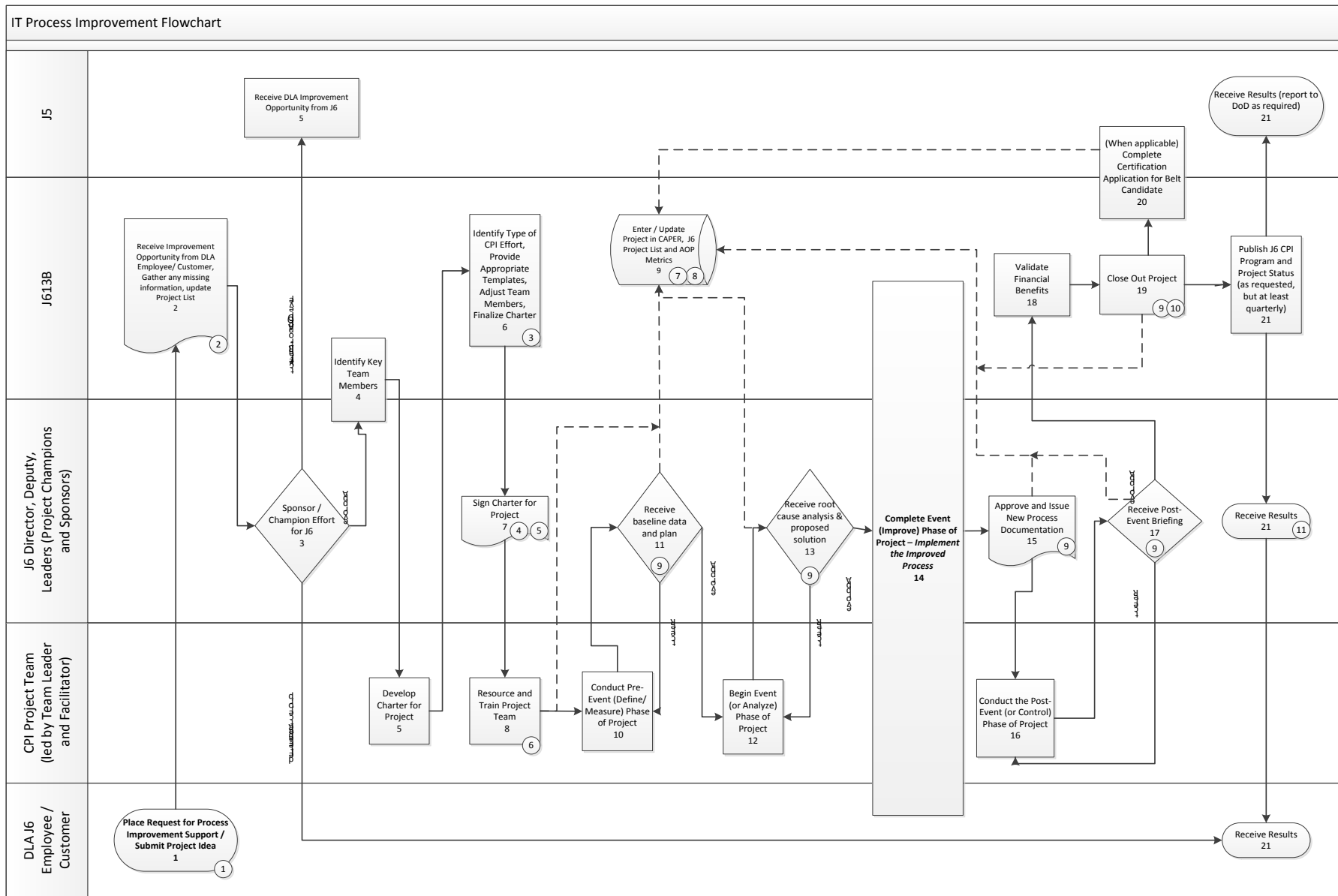
$(\text{Operating Cost Savings Goal} - \text{Operating Cost Savings}) / \text{Operating Cost Savings Goal} = \text{Operating Cost Savings Variance}$

- GOAL: Achieve Operating Cost Savings Variance less than or equal to 0.05.

$(\text{Cost Avoidance Savings Goal} - \text{Cost Avoidance Savings}) / (\text{Cost Avoidance Savings Goal}) = \text{Cost Avoidance Savings Variance}$

- GOAL: Achieve Cost Avoidance Savings Variance less than or equal to 0.05.

# ENCLOSURE 4 STANDARD OPERATING PROCEDURE FLOWCHART





## FORMS AND REPORTS

- All templates, forms and reports used throughout this process can be found on the J5 eWorkplace CPI Intranet site: *DLA eWorkplace > Organizations > DLA Strategic Plans and Policies (J5) > Shared Documents > DLA\_CPI\_Program > DLACPIPractitioner ToolsTemplatesChecklists.*

## ABBREVIATIONS AND ACRONYMS

AOP	Annual Operating Plan
CAPER	CPI Administrative Projects and Event Repository
CPI	Continuous Process Improvement
DLA	Defense Logistics Agency
DLAI	DLA Instruction
DLAM	DLA Manual
DMAIC	Define, Measure, Analyze, Improve, Control
ESA	Enterprise Service Area
EPS	Executive Planning Session
IDP	Individual Development Plan
ITPI	IT Process Improvement
JDI	Just Do It
J5	DLA Strategic Plans and Policies
J6	DLA Information Operations
J6X	A Specific J6 Enterprise Service Area
J613B	IT Audit Readiness and Process Management
LDS	Leadership
RIE	Rapid Improvement Event
SOP	Standard Operating Procedure
SIPOC	Supplier, Input, Process, Output, Customer

## RACI CHART

Below is a Responsible, Accountable, Consulted, and Informed (RACI) chart. The purpose of the RACI chart is to associate process activities with key roles.

<b>Roles</b>	J6 Employee/ Customer	Project Team	Project Sponsor	J6 Leaders (Champ ions)	J613B	J5
<b>Functions</b>						
1. Submit Improvement Opportunity	R			A	C/I	
2. Receive, Gather Details and Record Opportunity	R			A	R	
3. Obtain Leadership Endorsement	C/I			R	A	I
4. Identify Key Team Members		I/C	I/C	R	A	
5. Develop the Charter for the Project		R	R	A	C	
6. Identify Type of Project, Finalize Charter		R	R	R	A	
7. Sign Charter for Project		I	R	R/A	I	
8. Resource & Train Project Team		R	R	R	A	C
9. Enter Improvement Opportunity into CAPER			R		R	A
10. Conduct Pre-Event (DMAIC Define & Measure) Phase		R	R	A	C	
11. Approve Pre-Event Way-Ahead (Conduct Define & Measure Tollgate)		I	R	R	A	C
12. Begin the Event (DMAIC Analyze Phase)		R	R	A	C	

	J6 Employee/ Customer	Project Team	Project Sponsor	J6 Leaders (Champions)	J613B	J5
13. Review the Analysis and Approve Proposed Solution (DMAIC Analyze Tollgate)		I	R	R	A	C
14. Complete the Event (DMAIC “Improve” Phase)	I/C	R	R	A	C	
15. Approve New Process and Associated Process Documentation (“Improve Tollgate”)	I	I	R	R	A	C
16. Conduct Post-Event Activities (Control Phase)	I/C	R	R	A	C	
17. Approve the Post-Event Briefing (DMAIC Control Tollgate)		I	R	R	A	C
18. Verify / Validate Financial Benefits			R	A	R	C
19. Close Out Project (or in some cases “Cancel”)			R	A	R	
20. Facilitate Certification Application for Candidate Belt		A*(candidate only)			R	R
21. Publish J6 CPI Program and Projects Statuses	I	I	I	A	R	I