

FACILITATOR GUIDE · HALF A DAY, NINE PEOPLE

One workflow, marked by the people **who would have to sign for it**

The workshop takes one of the firm's own workflows across every box of the map. It ends with a marked map, the disagreements written down with a name against each, and a first step with owners and dates.

What the session decides, and what it does not

It decides

- the scope: one workflow, one act, one legal entity, one environment
- where each box stands today, with the evidence the room could show
- which disagreements remain, and who resolves each
- the first step, its owner, and its date

It does not

- approve a deployment or certify a control
- choose a vendor
- settle what the law requires: it records the room's reading for the legal team
- score the firm: a count of boxes in place is not a readiness score

Who must be in the room

SEAT	WHY THE SESSION NEEDS IT	IF ABSENT
The business owner who would sign the mandate	marks w3 and w6 , and owns the first step	postpone: without the signatory the marks under the mandate are opinion
Operations lead for the workflow	volumes, referrals, the fallback, the customer	send the volumes in advance
The CRO or a second-line delegate	ceilings, the control standard, the challenge right	marks on e3 , e4 , w6 stay provisional
Compliance or the data protection officer	applicability of the law, the customer's explanation	the law slide of part four is read, not decided
The CISO or the security architect	identity, the kill path, the platforms	p1 and p3 stay provisional
The platform or enterprise architect	where the check sits, the three joins	p4 and the joins stay provisional
Model risk and validation	the release, the evidence, the test before widening	w1 and p6 stay provisional
Finance, or the business sponsor	the business case, the cost of control	e6 is marked unknown
The knowledge function, or the senior source owner	the sources, their owners and versions, what the check reads at w2	e2 and w2 stay provisional

What to ask for two weeks before

One process map of the workflow, one sample decision record, the current authority documentation (who may decide what today), basic volumes, and the name of the business owner. Whatever cannot be produced becomes a finding: it is recorded as unknown, not argued in the room.

THE AGENDA • FOUR HOURS

Five working blocks, **one break, one read-back**

TIME	BLOCK	MATERIAL	OUTPUT
09:00 – 09:25	Scope and silent marks. Agree the scope card. Each participant marks every box alone, on paper, in round 1.	scope card; print map, one per person	the unit of assessment; nine sets of silent marks
09:25 – 10:00	The territory, briefly. The map from part one, then the room places its own act on it.	part one: the map, by altitude and essential, and the control plane strictly	shared terms
10:00 – 10:50	The dossier. In pairs, then together: what happens after the check said yes.	the decision dossier of the case nearest the room (motor claims, held payments, SME credit, corporate actions, collections, housing allowance, SME credit by a chain of agents); its answer guide for the facilitator; the situation cards if time allows	the room's answers, compared with the guide
10:50 – 11:05	Break. The facilitator enters the round 1 marks in the explorer.	explorer, workshop mode	round 1 recorded
11:05 – 12:05	Their workflow. Box by box, starting where round 1 disagreed most. Evidence first, then the mark. Round 2 in the explorer.	print map; rights over authority; what the law asks (part four); the scale	round 2 marks, evidence notes, disputes with a name
12:05 – 12:40	From gaps to a first step. The three joins against their workflow; what stays "not yet", with a date.	part four: how to start; the first-agent checklist	the first step, its owner, its date
12:40 – 13:00	Read-back and export. Read the summary aloud. Agree what the research extract may contain.	explorer: summary, export, print	the dossier for the sponsor; the extract, with consent

Keeping the room working on the same map

- **Evidence before opinion.** For each box, ask "what could we show?" before "where are we?". A claim nobody can show is marked designed at best.
- **The most senior person speaks last** on each box. Use a round: each seat says its mark and its evidence in one sentence.
- **The vendor lens stays closed while marking.** Product names start a debate the map cannot settle; they come back in the last block.
- **Ten minutes per box at most.** A box still open after ten minutes is marked disputed, with a name and a date, and the room moves on.
- **Never average two marks.** If the first and second line disagree, the box is disputed and both views go into the evidence note.

THE MARKING PROTOCOL

The states, and the ways to say **we cannot yet tell**

One mark refers to one box, for the workflow, legal entity, and environment on the scope card. The same firm can mark a box evidenced for one workflow and not in place for another.

MARK	MEANING	THE TEST QUESTION
Not in place	nothing exists for this box today	Is there anything at all, even on paper?
Designed	written down or built, not yet running for this workflow	Does it act on this workflow's decisions today?
Operating	running for this workflow	Could we show it working on last week's decisions?
Evidenced	running, with evidence someone outside the team has checked against what it is offered to prove	Who outside the team has checked it, and when?
Unknown	nobody in the room can say	Who could? Their name goes in the note.
Disputed	the room disagrees	Who resolves it, and by when? Both views go in the note.
Not applicable	the box does not apply to this workflow	Why not? The reason goes in the note.

Two rounds

Round 1, before discussion, is silent and on paper: each participant marks alone. The facilitator enters the mark most of the room chose, and notes in the evidence field when the room split. **Round 2, after discussion**, is the room's adjudicated mark. The explorer keeps both, so the export shows what moved in discussion, and the research use can tell what the room believed from what it established.

Reading the result

- Start from the questions for any agent that acts, in the explorer: the first one answered "no" or "partly" is the first weak link in the thread from mandate to loop.
- A missing check outweighs five strong boxes. Never present the count of boxes in place as a score.
- Unknown is a finding in its own right. Five unknowns under the mandate say more than any mark.

The research extract. With the room's consent, the JSON export holds the scope, both rounds, the evidence notes, the disputes, and the answers to the questions for any agent that acts, with no names of people. Before it leaves the firm, remove the names from the evidence notes and from "who resolves". The sponsor receives the full export and the printed summary.

PRE-READING PER SEAT

What each seat reads before the session

Everyone reads the dossier of the chosen case, pages 1 to 4 (ten minutes). Then one route per seat, from the decks of the set.

SEAT	ROUTE	ARRIVE READY TO DISCUSS
Business owner	Part one: every box, for people and for agents. Part two: the decision, the mandate, the check. Part four: rights over authority.	what she would sign, and what she does on the day it narrows
Operations lead	Part two: the decision, the loop. Part four: the people.	referral volumes, staff, and the exceptions that need a person
CRO	Part one: the control plane strictly. Part four: rights over authority, the three lines. Part three: narrow on a rule, widen on a signature.	one widening the second line would challenge
Compliance and data protection	Part two: one record, every reader. Part four: what the law asks. Part three: claims, and the record.	one customer outcome and its challenge route
CISO	Part three: it is never just the agent, the check. Part four: the estate.	one real identity chain and how it is revoked
Architect	Part two: between the permit and the act. Part three: the check, the three joins. Part four: the estate.	one target-system action and every route to it
Model risk	Part three: the agent, the record, the loop. Part two: the loop.	what a release contains, and one change that forces a new validation
Finance	Part two: the decision and its business case. Part four: the value.	a baseline and who owns the saving
Knowledge function	Chapter 05, whole. Part three: govern the claim.	one source, its owner, its version in force, and who the check calls at the act

The scope card

FIELD	THE ROOM'S ANSWER
The workflow	
The act the agent takes, or would take	
Legal entity and country	
Environment and deployment stage	
Who signs the mandate today	
Volumes: a year, a day, the share referred	
Seats in the room, and seats absent	