

# PROJECT ACE

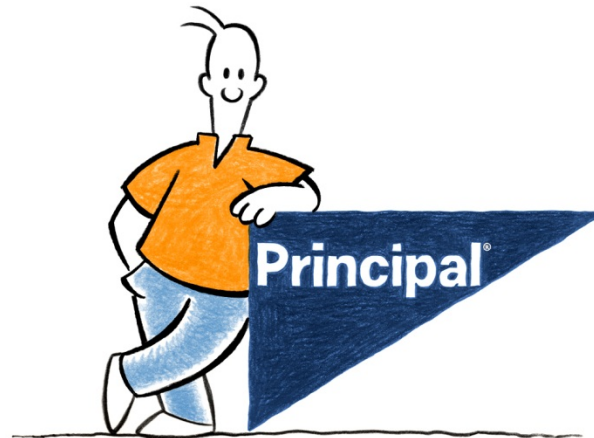
**Presented by:**

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*Retirement & Investor Services – FSA Operations & Quality*



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# Project ACE

## (Admin Support Compliance Efficiencies)

- Why Compliance Testing?
  - Compliance because of impact to so many clients
  - Service across all segments
- Began partnership with Implementation Partners Consulting January 2011
- Vision
  - Find efficiencies in compliance testing process
  - Create capacity for multiple roles across FSA
- Goals
  - Improve performance and increase productivity for compliance testers
  - Proactive clean-up of records prior to peak testing
  - Process more tests with fewer resources
  - Streamline process and workflow

# Project ACE

## Process & Performance

- Engaged Team Performance approach
  - Defined – Process mapping
  - Analyzed Process – Looked at current process and client expectations
  - Measured – Outcomes and work standards
- Findings
  - Testing tasks were complex
  - 120 people doing a few tests per year which led to inefficiencies
  - Team pushed to identify root causes of compliance errors to prevent throughout year
  - Designed new (3) Q's to manage work and result 16% reduction in reassigning and handles
  - Proactive clean-up approach result in 30,000+ fewer errors as test processed

# Organizational Realignment

- Movement of work across organization
  - Centralized team approach
  - Process 2012 1<sup>st</sup> quarter test volume with 4.5 fewer FTE
  - Capacity savings for CSAs equaled 713 hours

# Successes

- Engage partnership across market segments
- Right team members with right skills
- Support from Implementation Partners Consulting
- Positive feedback from business partners:  
*‘My team commented consistently how FAST the testing team turned around results; they loved it!’*
- Developed a list of next steps to continue to gain efficiencies, increase productivity and open capacity.

# Project ACE Approach

- Used the “7 Wastes” to identify areas of inefficiency (Waiting, Defects, unnecessary movement, excessive motion within a role, etc.)
- Detailed time logging to gather data: work done, time spent, hand-offs, touches, rework, etc.
- Process Mapping
- Proof-of-Concept to test out whether the proposed vision for flow would work
- Pilot to refine and make the process better
- Introduced Controls/Metrics

# Metrics/Controls for Project ACE

Two Key Pieces were Implemented

## Visual Data

- Work not yet touched
- Work touched but not done
- Work completed

## Metrics

- Team Performance charts
- Individual Performance charts

# Visual Data

- Produced automatically each morning (more frequently during peak season)
- EXCEL format
- Team is notified via e-mail when updated Visual is posted to our shared site each morning
- 4 tabs are populated with each update



# Visual Data – Tab 1

Work Group Name	Compliance - Q	Compliance - Pending	DOL - Q	DOL - Pending	5500 - Q	5500 - Pending
DYN Comp Level 1	2	16				
DYN Comp Level 2	1	5				
DYN Comp Level 3	2	8				
EM Compliance Q			3	24		
EM CORE Level 1 Q	144	59				
EM CORE Level 2 Q	88	72				
EM CORE Level 3 Q	9	3				
EM Govt Reporting Q					23	148
Sum:	246	163	3	24	23	148

- Displays work waiting to be touched (Q)
- Displays work already touched and sitting in worklists (Pending)

# Visual Data – Tab 2

Work Group Name	Compliance - Oldest	5500 - Oldest	DOL - Oldest
DYN Comp Level 1	10/5/2012		
DYN Comp Level 2	10/5/2012		
DYN Comp Level 3	10/4/2012		
EM Compliance Q			10/4/2012
EM CORE Level 1 Q	9/20/2012		
EM CORE Level 2 Q	9/20/2012		
EM CORE Level 3 Q	9/21/2012		
EM Govt Reporting Q		8/14/2012	

- Displays oldest date for work
- indicator of how long customer has been waiting

# Visual Data – Tab 3

Work Group Name	Request
<b>5500 - Past week EM Govt Reporting Q</b>	<b>74</b>
<b>Compliance - Past Week DYN Comp Level 1</b>	<b>27</b>
<b>Compliance - Past Week DYN Comp Level 2</b>	<b>5</b>
<b>Compliance - Past Week EM CORE Level 1 Q</b>	<b>126</b>
<b>Compliance - Past Week EM CORE Level 2 Q</b>	<b>71</b>
<b>Compliance - Past Week EM CORE Level 3 Q</b>	<b>3</b>
<b>Compliance - Today DYN Comp Level 1</b>	<b>5</b>
<b>Compliance - Today DYN Comp Level 2</b>	<b>2</b>
<b>Compliance - Today EM CORE Level 1 Q</b>	<b>8</b>
<b>Compliance - Today EM CORE Level 2 Q</b>	<b>5</b>
<b>Refunds due next 2 weeks EM CORE Level 2 Q</b>	<b>1</b>
<b>Sum:</b>	<b>326</b>

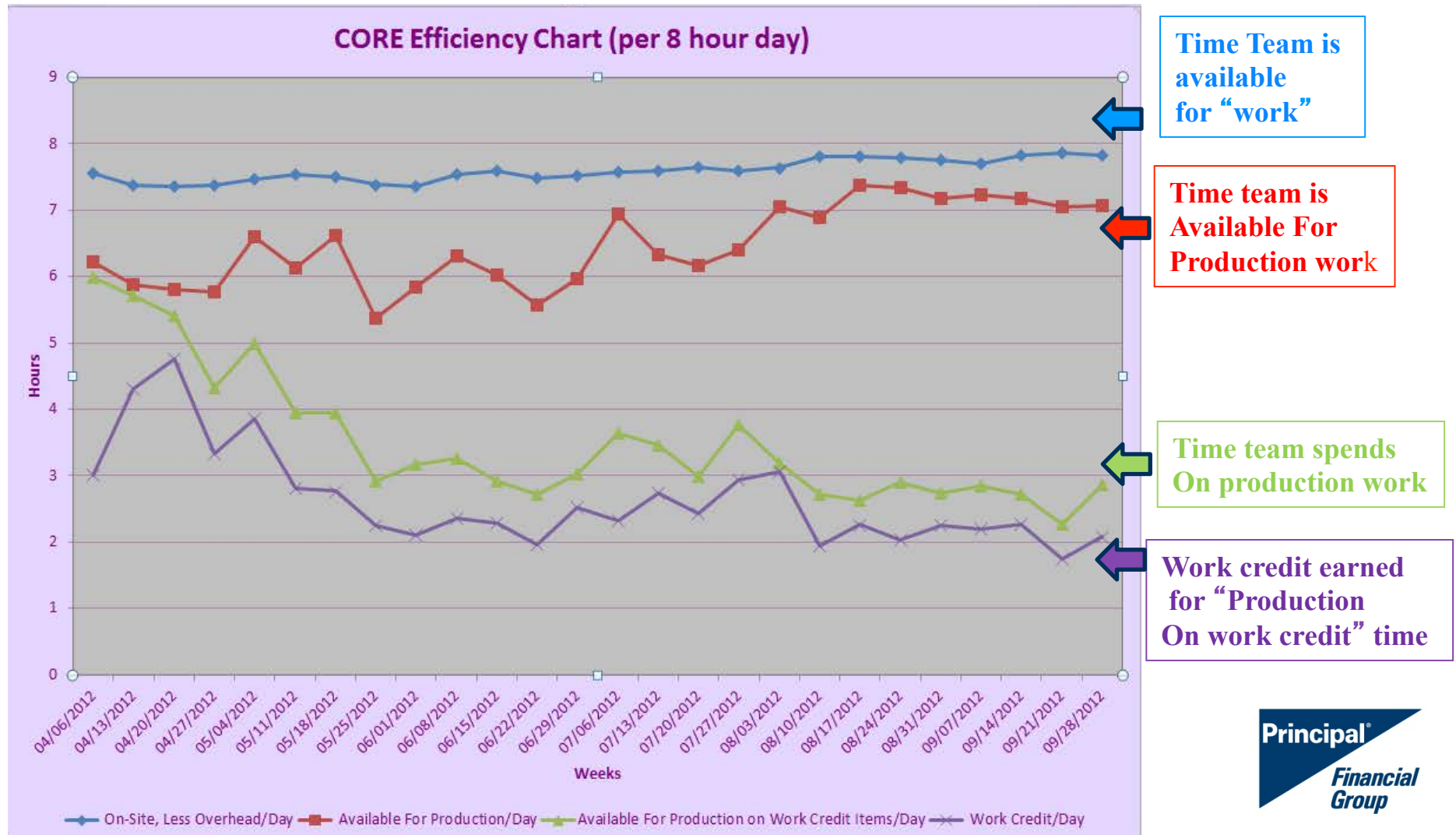
- Indicator of how much work is getting done
- Gives the team feedback on progress they make

# Visual Data – Tab 4

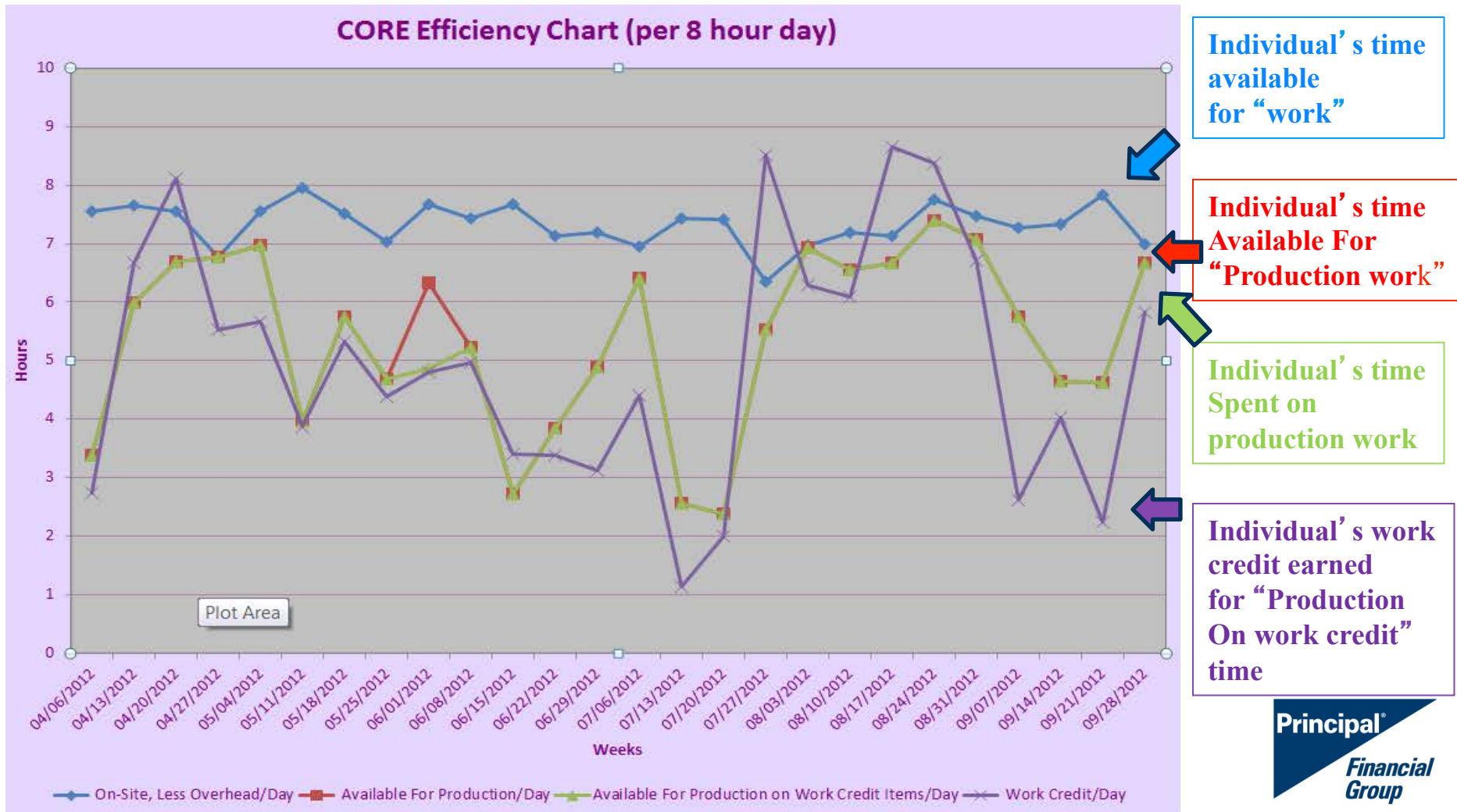
Request Number	Subtype Code	Effective Date	Received Date	Current User ID	Work Group Name	Work Group Number
23983	130803	12/31/2011	7/31/2012	B861887	EM CORE Level 2 Q	5240
112014	130803	12/31/2011	9/28/2012		EM CORE Level 1 Q	5645
252404	140229	07/01/2012	9/12/2012	H783860	EM Government Reporting Queue	5002
548214	140134	01/01/2011	10/3/2012	H783860	EM Government Reporting Queue	5002
558014	130803	12/31/2011	9/29/2012		EM CORE Level 2 Q	5240
696214	130803	12/31/2011	10/4/2012		EM CORE Level 2 Q	5240
926653	190302	01/01/2011	4/25/2012	M715167	EM Government Reporting Queue	5002
1058114	130803	12/31/2011	10/2/2012		EM CORE Level 2 Q	5240
1158014	130803	09/17/2012	9/29/2012		EM CORE Level 1 Q	5645
1448114	130803	03/31/2012	10/2/2012	G960359	EM CORE Level 1 Q	5645

- Details for data displayed on the first 2 tabs
- Supports work not yet touched & work touched but not yet not completed
- Leaders use to “drill down” to advanced details for individual pieces of work

# Metrics - Team



# Metrics - Individual



# Activity Breakdown - Team or Individual

WeekEndingFriday	(All)	
Segment - Person	(All)	
Name	(All)	
Row Labels		Sum of Elapsed Time
PD - SWAT Out		18.03%
PD - 111016 - DC Transfer Business Worksheet		10.39%
PD - 130803 - Participant Data		9.76%
OH - General e-mails		8.04%
OH - Lunch / breaks		6.32%
NP - Projects		6.05%
PD - 130803 - Test Checklist		4.19%
NP - Meetings		3.57%
PD - 140134 - 5500 Changes		3.44%
PD - 100905 - DOL Inquiry Govt Rept		3.41%
PD - 140229 - Final Govt Reporting		3.09%
PD - 130803 - Test Folder		2.34%
PD - 130803 - Test Criteria		2.30%
PD - 130803 - Results Analysis		2.28%
NP - Training		2.25%
PD - 190302 - 5500 Balancing Review		2.17%
PD - 130803 - Balancing		1.81%
PD - 130406 - Alt Comp Test		1.76%
NP - Mentoring		1.20%
NP - Answering contact ?		1.13%
PD - 140104 - 5500 Correspondence		0.99%
NP - In-bound client calls - no request		0.99%
PD - 130404 - General Test		0.75%
NP - Transfer Business Worksheet		0.71%
NP - 651 letter follow-ups		0.57%
PD - 130407 - Current Availability Test		0.42%
NP - System problems		0.36%
PD - 130703 - Average Benefits Test		0.29%
PD - 130803 - Finalize Test		0.28%
PD - 140702 - Life Count Review		0.24%
PD - 140133 - 5500 Review		0.24%
PD - 140137 - 8955		0.19%
NP - Sharepoint task - no request		0.18%
PD - 140136 - 8955 SSA review		0.13%
PD - 140108 - 5558 Extension		0.05%
PD - Data Scrub		0.04%
PD - 130801 - INSTITUTIONAL ONLY		0.04%
PD - 130405 - Uniform Points Test		0.01%
PD - 140135 - Audit Package Review		0.00%
(blank)		0.00%
<b>Grand Total</b>		<b>100.00%</b>

- Can be broken down by Team or Individual
- Can be isolated to specific weeks or blocks of time
- Leaders use to:
  - See how the team or an individual is spending time
  - Make quick decisions to redeploy resources to spend time on the “right work” .
- Team members use to determine if they spent their time wisely based upon business need for the period.

# 18 months in...and we're still learning

## Just a few of our **MANY** learnings:

- Brought to the surface time spent on tasks leaders were not previously aware of!
- Visual data gives leaders a tool to “right size the team” to match the work
- Efficiency charts show what tasks team and individuals spend the most time doing. Leaders can evaluate whether we're spending time on the right things.
- Quick and meaningful information
- This is a work in progress!



# QUESTIONS??

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