



Department of Commerce

Kaizen Event Report Out

**Unclaimed Funds
Claims Processing**
August 26-30, 2013

TEAM: UNITED WE STAND!



THE TEAM

- Michell Anderson, UCF
- Angelia Brown, UCF
- Larry Brown, UCF
- Tasha Butts, UCF
- Connie Gamble, UCF
- Janessa Haynesworth, UCF
- Toya Johnson, UCF
- Sonya Palm, UCF
- Deborah Mercer, UCF
- Sue Thomas, UCF
- Lee Thatcher, DIC
- Patrick Wilson, Public Safety



STAKEHOLDERS

- State of Ohio-General Public
- Unclaimed Funds Staff
- Government Entities
- Companies
- International-Banks
- Holder Communities
- Hospitals - Educational Institutions



EVENT OVERVIEW

- When an individual/organization discovers the State is holding their unclaimed funds, they submit a claim form to our Agency in order to retrieve their funds. Our process begins when the claim form is received and ends when the claim is either paid or denied.
- Overarching Theme:
 - Return unclaimed funds to the rightful owner accurately and faster



SCOPE OF EVENT

- **First Step:** Customer Obtains Claim Form
- **Last Step:** Customer Receives Payment, Claim is Denied or Claim is Dropped.



OUT OF SCOPE

The basis for transformation is improving the process with...

- No additional staff.
- No additional money.
- No IT solutions until the process is improved.
- No changes to laws or labor contracts.
- No one loses their job because of the Kaizen event, although duties may be modified.

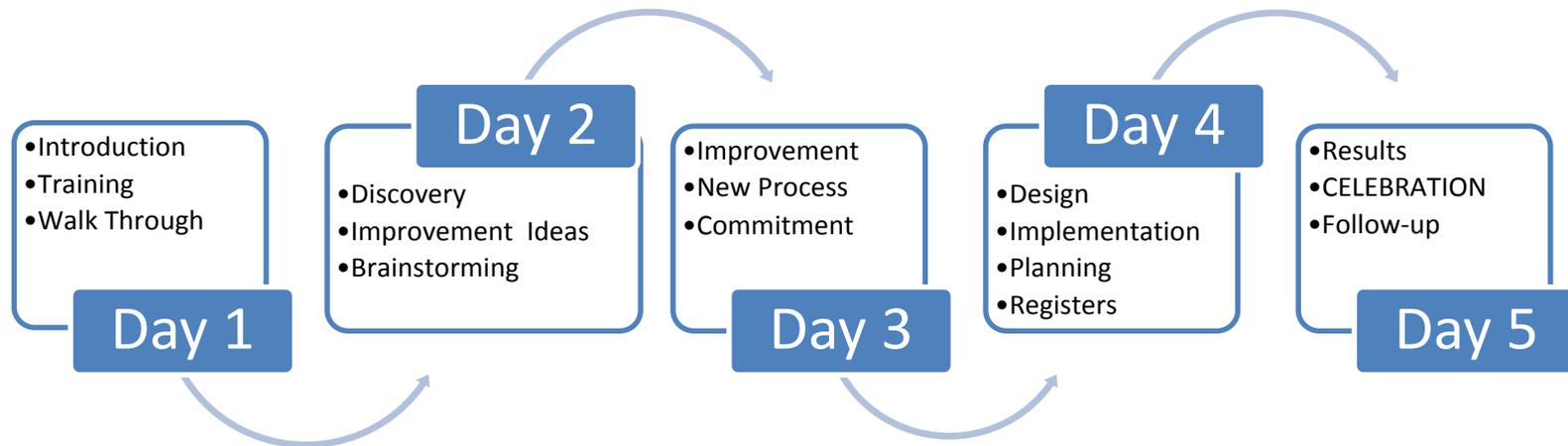


TO BREAK FOR THE BETTER

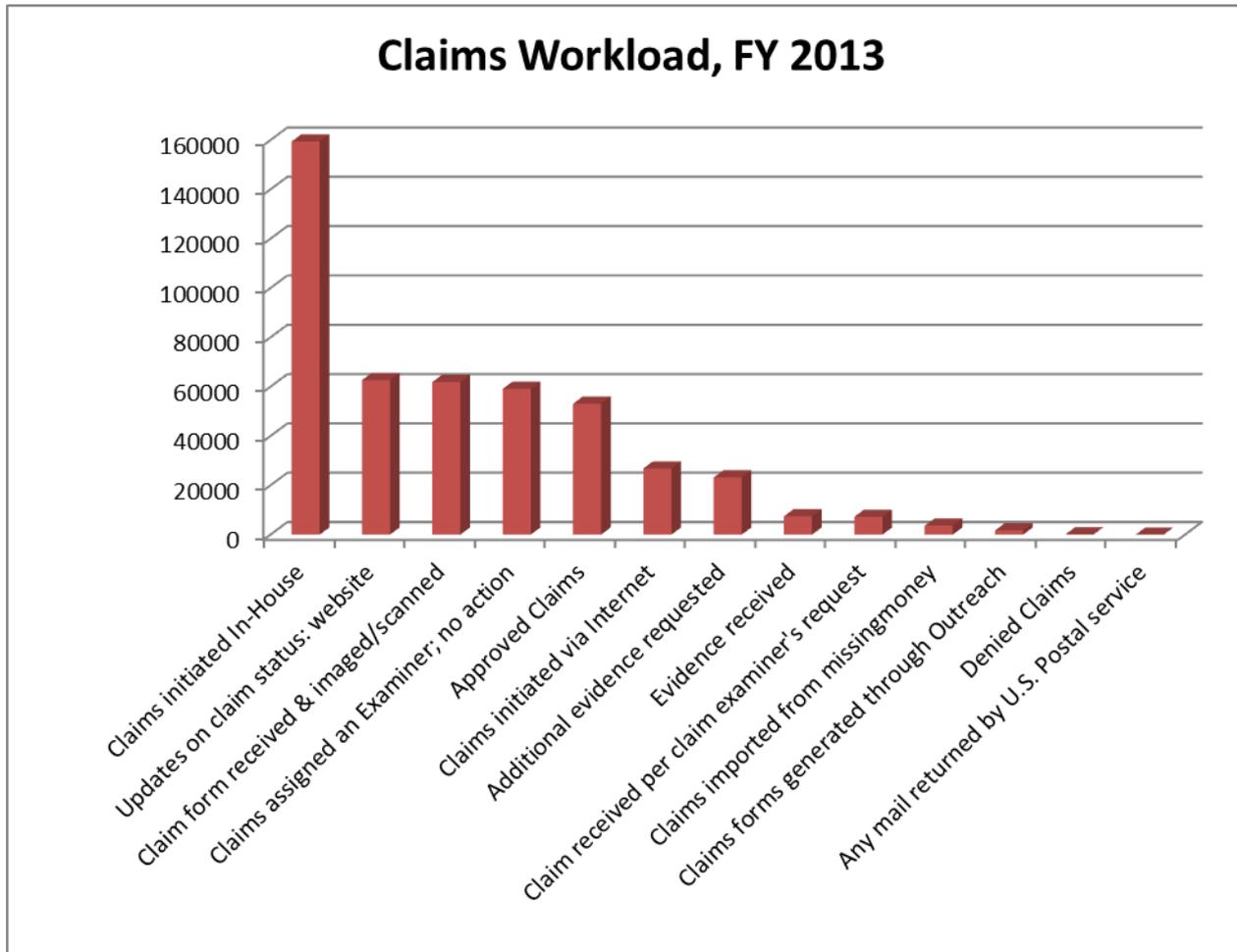
- Customer focused
- Work level team
- Tight focus on time (one week)
- Quick and simple, action first
- Necessary resources available right away
- Immediate results (new process functioning by end of week)



THE KAIZEN APPROACH

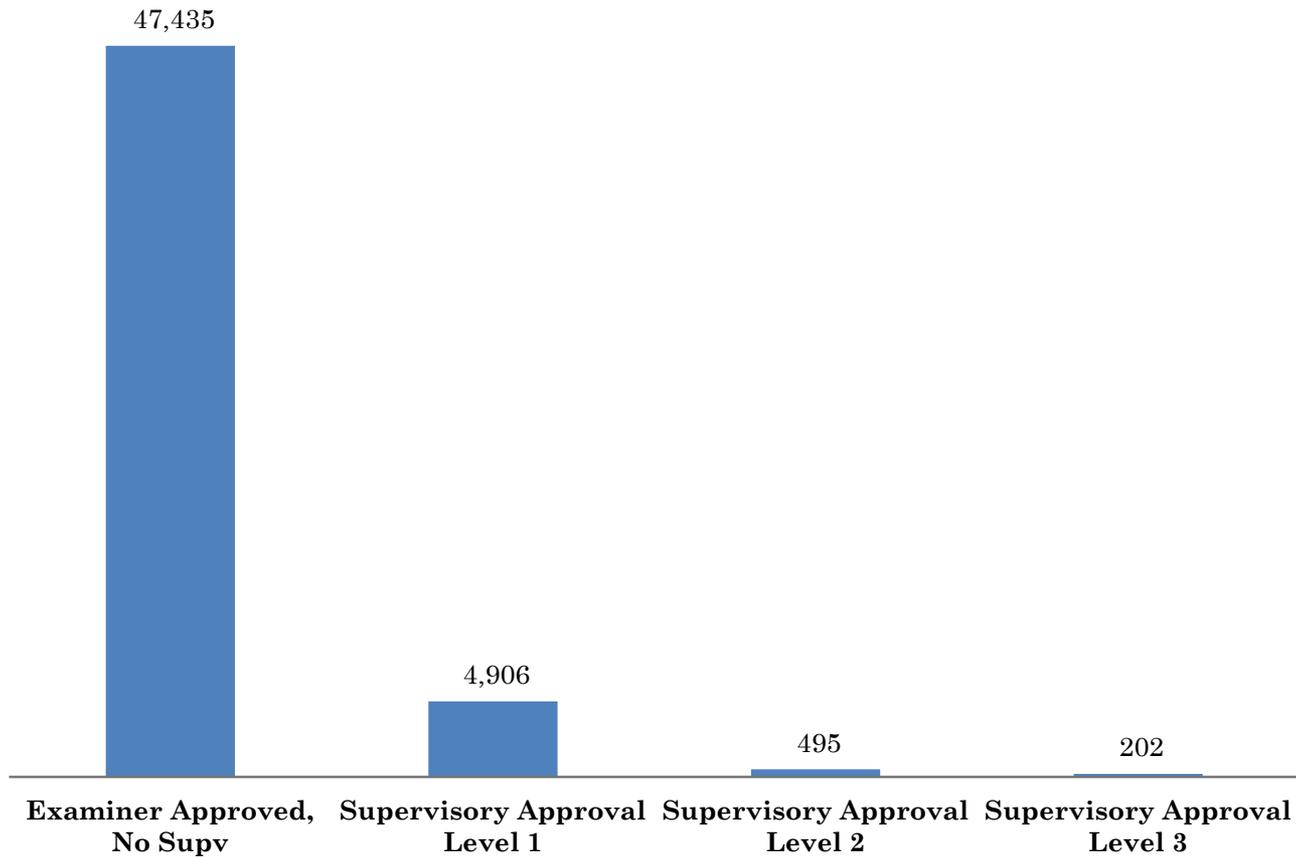


BASELINE DATA: CLAIMS WORKLOAD

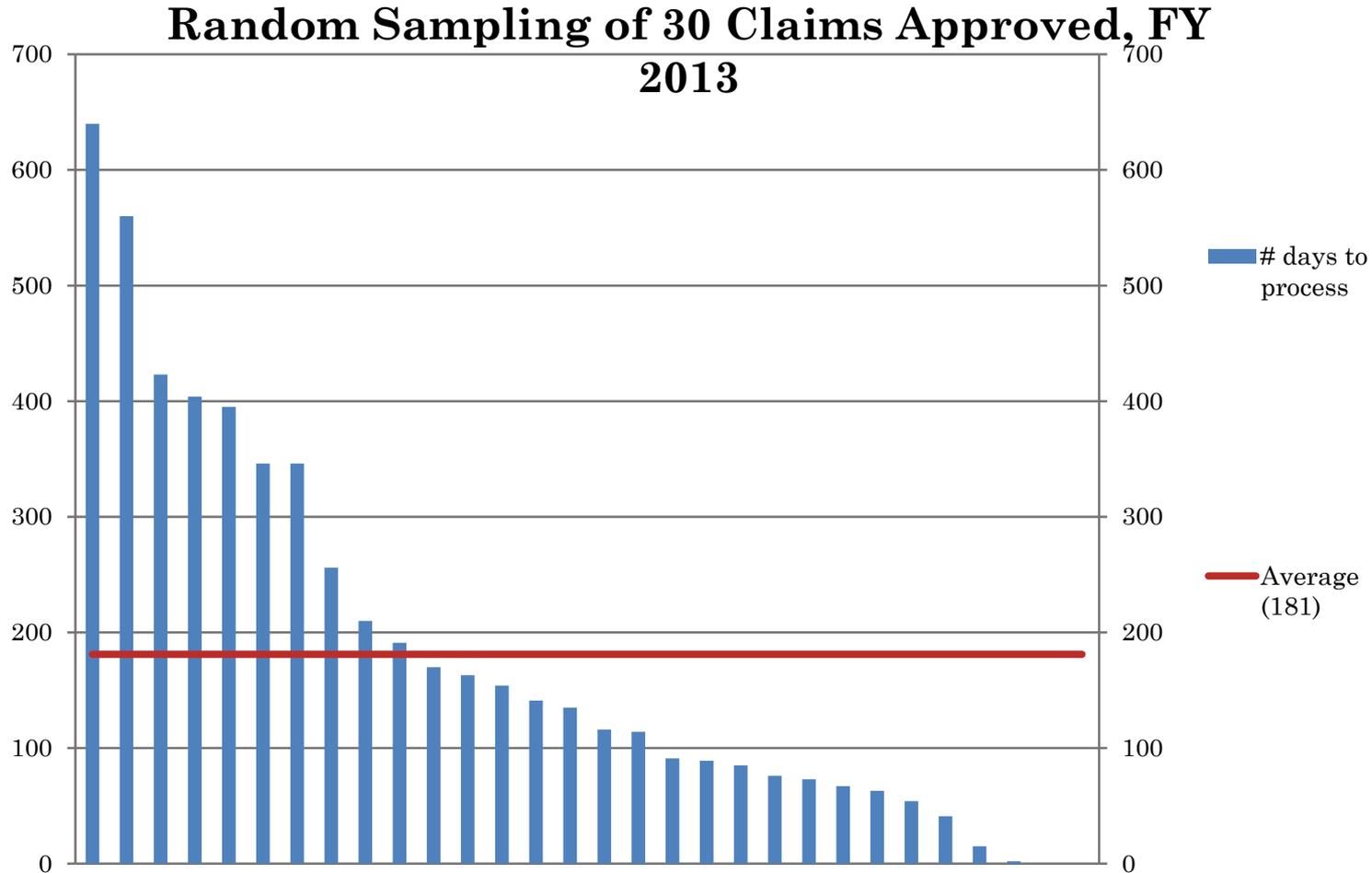


BASELINE DATA: LEVEL OF APPROVED CLAIMS

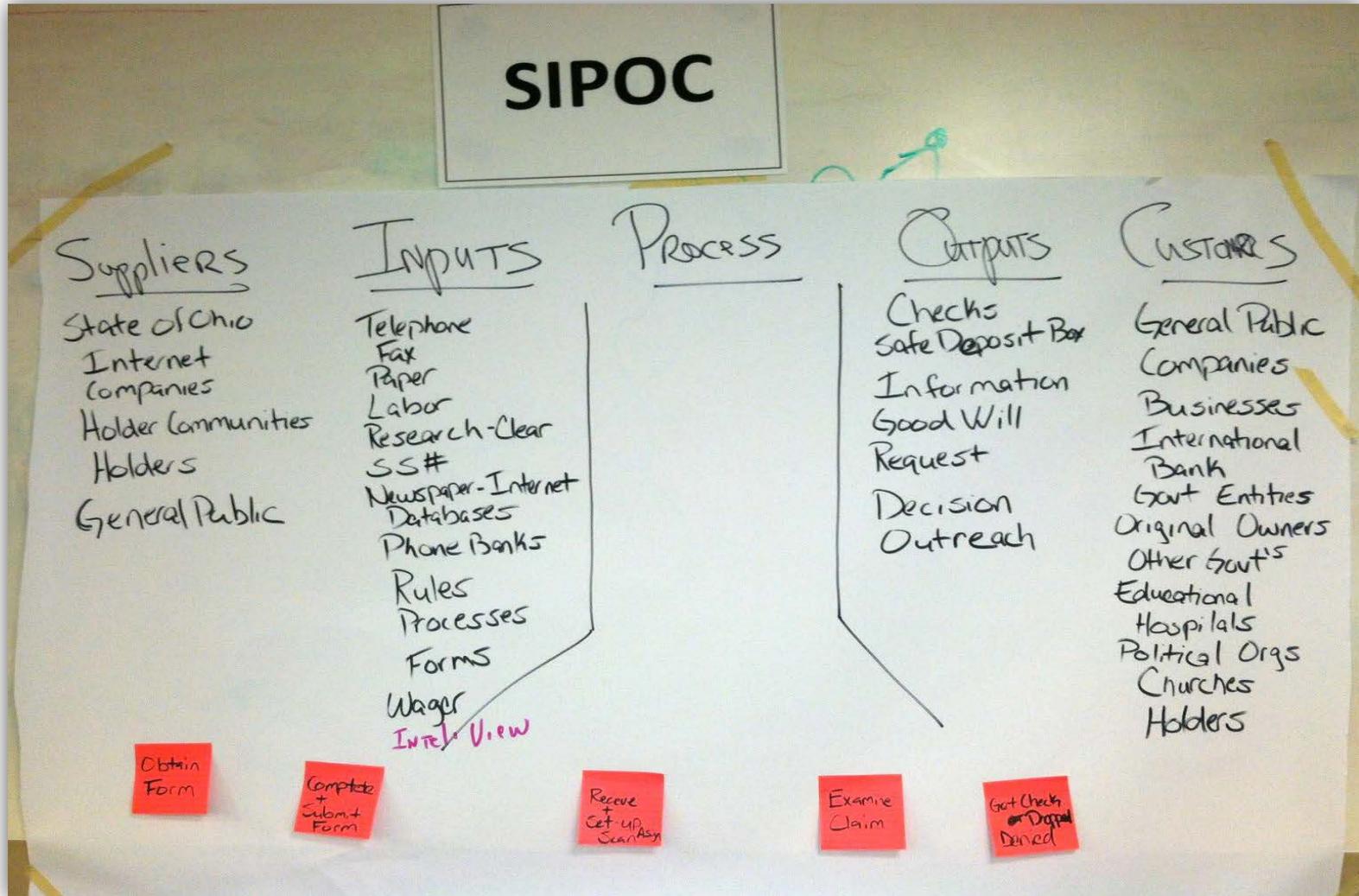
Level of Approved Claims, FY 2013



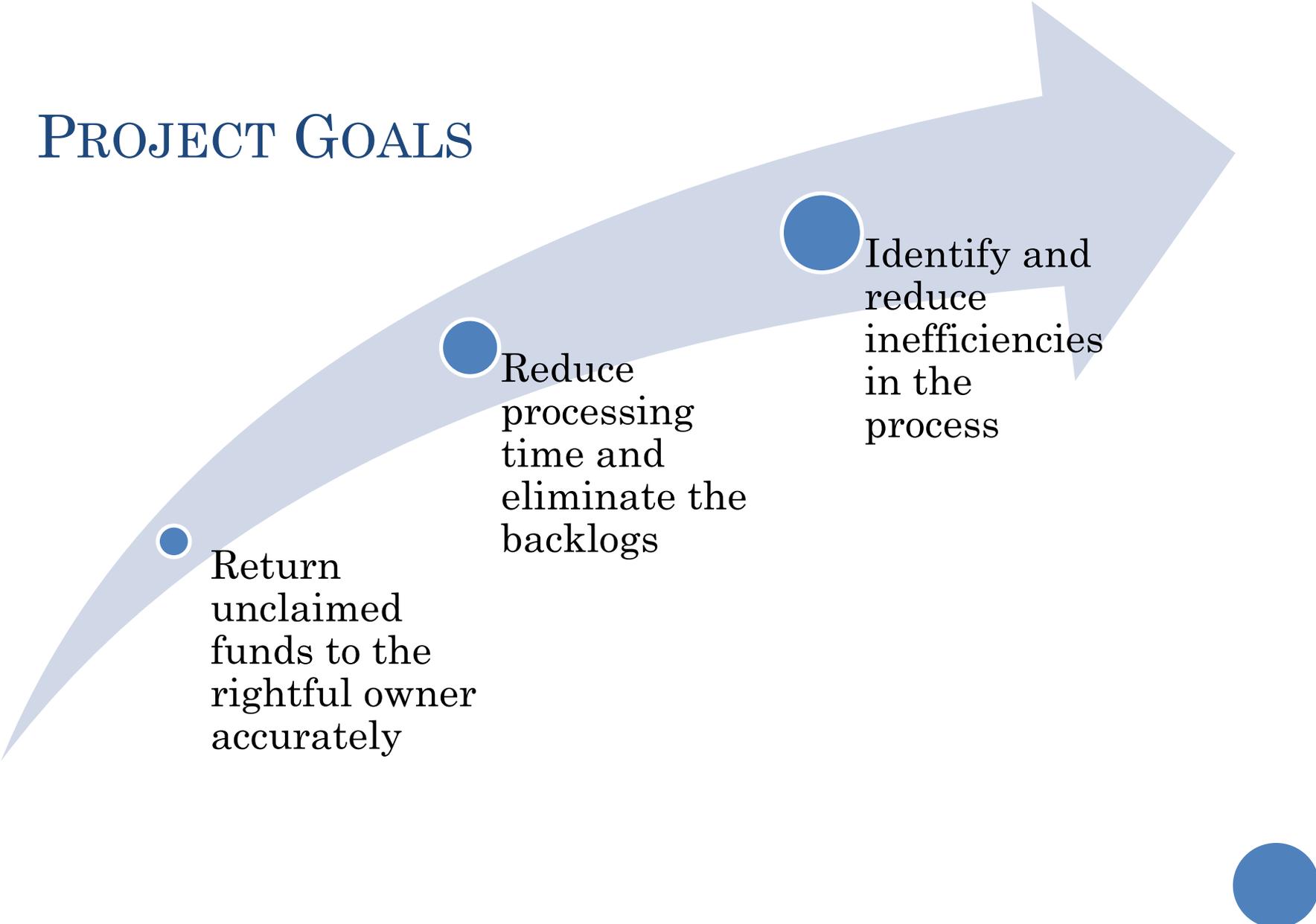
BASELINE DATA: RANDOM SAMPLING



HIGH LEVEL PROCESS - SIPOC



PROJECT GOALS



Return unclaimed funds to the rightful owner accurately

Reduce processing time and eliminate the backlogs

Identify and reduce inefficiencies in the process

CURRENT-STATE PROCESS MAP



- 154 Steps
- 36 Decisions
- 35 Waste Points
- 105 – 181 days Lead Time

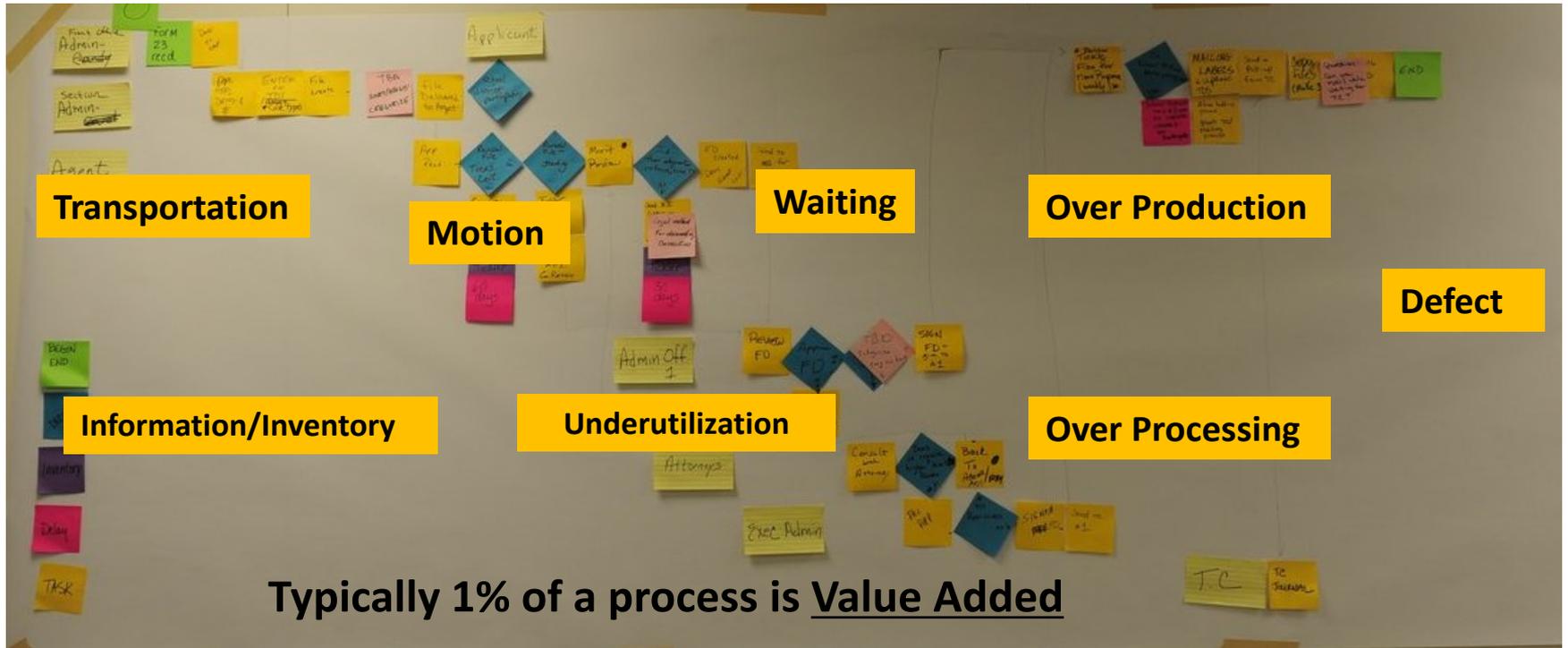


THE ORIGINAL PROCESSES HAD

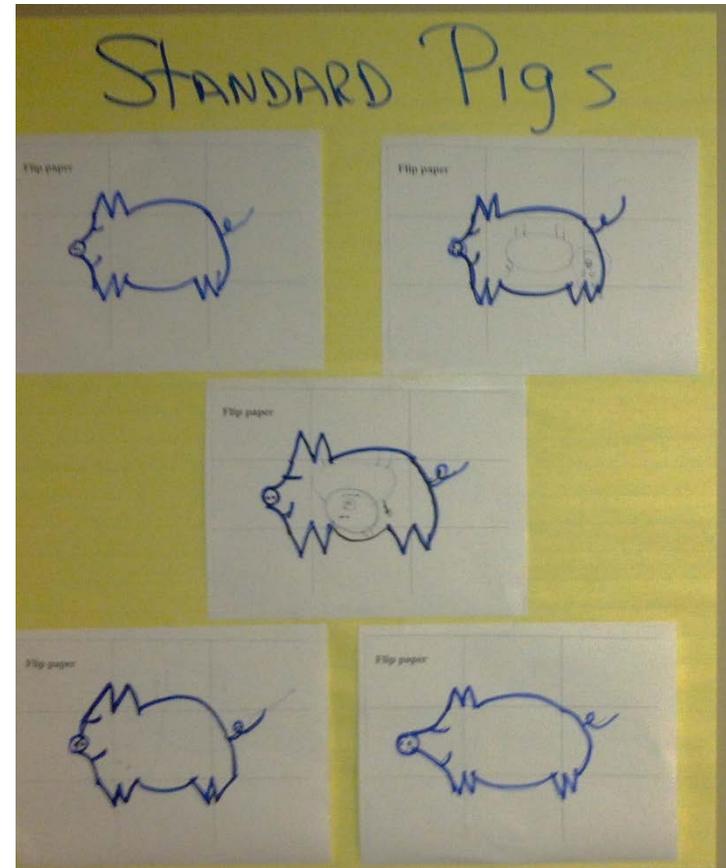
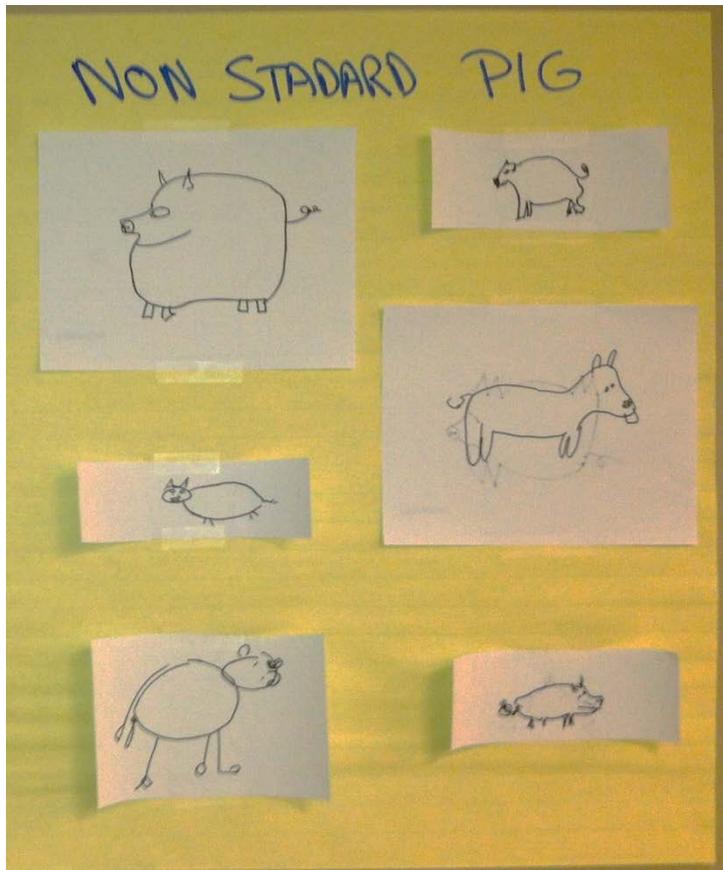
- Too Many Decisions
- Too Much Rework
- Too Many Handoffs
- Too Many Loop Backs
- TIM U. WOOD



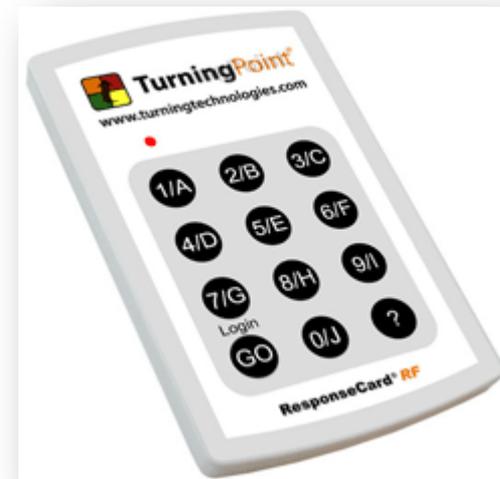
TIM U. WOOD



STANDARDIZATION



BRAINSTORM – 85 IDEAS!



THE TEAM ANALYZED AND EVALUATED ALL OF THE IDEAS

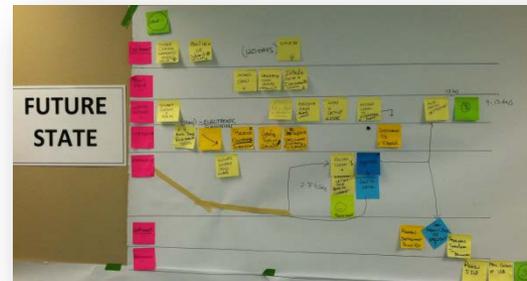
- Single Point-of-Entry
- Web-Based Processing
- Scanning on the Front End
- Eliminating Additional and Redundant Approvals
- Review of Claims Form



FUTURE STATE



82% Fewer Steps
92% Fewer Decision Points
92% Reduction in Waste



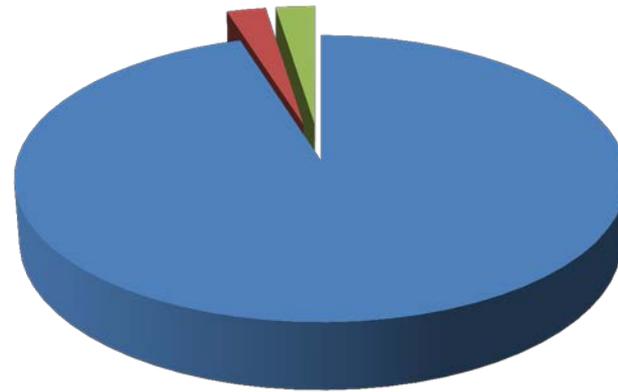
SCORECARD

Measure	Current Level	NEW	Change
Process Steps	154	28	82%
Decision Points	36	3	92%
Waste Points	35	1	92%
*Process Lead Time Typical 2 nd Approval Actual Sample (30)	Days 105-117 135-162 181 (avg.)	Days 14-22	81%

*From request for claim to check in hand

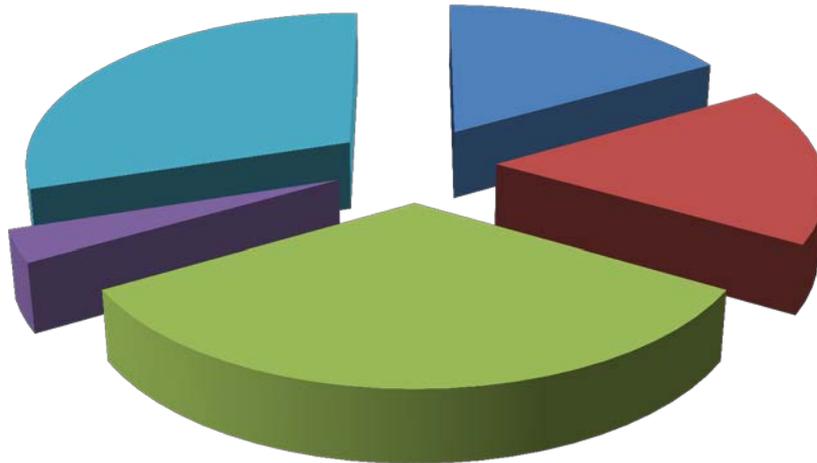
Direct Cost Annual Savings

COST-TIME
SAVINGS
ANTICIPATED



- Printing Imported Claims
- Multiple Mailings
- Fewer Documents

Cost Avoidance Savings



- Less Time Opening Mail
- Time Saved Setting Up Wagers
- Time Saved Scanning Documents
- No Batching Savings
- Less Time Examining Claims



COST-TIME SAVINGS ANTICIPATED

COST SAVINGS

	# ITEMS	PER ITEM	ANNUAL SAVINGS
DIRECT			
PRINT IMPDET CLAIMS	198K	1.25	198,000
MULTIPLE MAIL-SAVE	5K	1.00	5,000
RETURN DOCS	5K	1.00	5,000
AVOIDANCE	HOURS	COST/HOUR	SAVING
OPEN/SORT MAIL	2,500	20.00	50,000
SETTING UP CLAIM	2,500	20.00	50,000
SCAN	5,000	20.00	100,000
BATCH	500	20.00	10,000
EXAMING	180,000	30.00	5,400,000
TOTAL			\$508,000.00

(*) shred of string
- Libor

CUSTOMER
MAIL (REDUCED TIME)
REDUCED MAIL/COPY COSTS
LEAD TIME 181 DAYS AVG - 5-7 DAYS

\$508,000.00

COST SAVINGS



MORE RESULTS

- Better understanding of different sections jobs and workload
- Rebalancing and distributing of job duties.
- Elimination of Backlog
- Optimize Workflow and utilize already available IT solutions



IMPLEMENTATION PLANS

- Forms
- Information Technology
- Communication and Training
- Phasing
- Dashboard



FORMS PLAN



CONCENTRATION DIAGRAM

Empty (50 claims)

Claimant Name
 ID
 Business Authority
 Signature
 Joint Signature
 Proof of Reported Address
 " " Business Relationship
 SS#
 Death Certificate
 Date of Birth
 Probate Court Docs (Current)

Incomplete Claimant Info (0)

UNCLAIMED FUNDS
 AUG 3 3 2013
 Department of Commerce
 Division of Unclaimed Funds
 John R. Kasch, Governor
 Andre T. Porter, Director

Claim No. 7543375

Failure to complete this Claim Form including the submission of required Personal ID and other documentation will result in your claim being returned to you. It may take up to 120 days before your claim is reviewed.

Claimant Information

Claimant Name ANTHONY RECINELLA	Claimant Address 225 HILDA CIRCLE	Claimant City/State/Zip MANNINGVILLE, OH 43101
Home Phone Number 7402840304	Alternative Contact Number	
Are you the original owner of the funds? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	If no, what is your relationship to the owner? SPOUSE	Reason for claiming funds in place of owner OWNER IS DECEASED
Did you use a Paid Professional Finder? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>	If so, Finder's Name is?	Claimant's Date of Birth 4-3-42

Property/Holder Information

(A) Original Owner's Name RECINELLA, PATRICIA	(B) Original Owner's Address of Record 225 HILDA CIRCLE MANNINGVILLE, OH 43101
(C) Holder Reporting Funds UNIVERSITY OF PITTSBURGH MEDIC	(D) Date Funds Received 2012
(E) Certificate, Policy or Check Number	(F) Type of Funds Reported MISC OUTSTANDING CHECKS
	(G) Amount Reported 70.00

Additional Owner(s)

Certification and Notary

All claim forms must be signed. To claim funds \$100 and over, this form must be notarized. The undersigned claimant certifies that he/she is the proper claimant in the foregoing claim, that he/she read the foregoing claim and knows the contents thereof, that he/she is true and correct to his/her knowledge that the information and documentation are unaltered and not fraudulent, and that the claim is valid, and unpaid. The claimant understands that presentation of a fraudulent claim may result in criminal proceedings. The claimant further declares that upon payment of this claim, he/she will indemnify and hold harmless, the State of Ohio, Division of Unclaimed Funds officers and employees from any damages, claims or losses of any kind resulting from payment of the above claim. By signing this claim form, you are giving the Ohio Division of Unclaimed Funds permission to access confidential personal information in order to process your claim for payment.

Claimant Signature: Anthony Recinella Date: 8-20-13

Print Name of Claimant: ANTHONY RECINELLA

Co-Claimant Signature: _____

Print Name of Co-Claimant: _____

Sworn to and subscribed before me the _____ Day of _____ Year _____

Notary Signature: _____

State of _____ County of _____

Office Use Only

FORM OUF 4 COM552 (Rev 12/2006)
 778 South High Street
 20th Floor
 Columbus, OH 43215-6108 U.S.A.

Claim ID: 7543375
 Approval Date/Examiner Initial

814-466-4433
 Toll Free 877-644-6823
 www.com.ohio.gov

An Equal Opportunity Employer and Service Provider

ID - [red bars] NO Death Cer Dbr
 Authority - 11
 cur Prob - [red bars]

J+Sig

INFORMATION TECHNOLOGY PLAN



I.T. ACTION REGISTER

WHAT	Who	When
M.M. Sub....	SPalmer	Sept 13 th
Wagers Sub..	SPalmer	Sept 13 th
API Wager / <u>the</u>	SPalmer	Good ☺

OTHER PLANS

A P P R O V A L

Raise 1st Approval - \$1.00 to \$20,000.00 from
 Combine 3rd + 4th level Approvals \$1,499.99

- Mindful of interest added --
- Mindful of error rate @ 1 per month --
- Free supervisors to manage --
- understand that new examiners will be closer supervised and monitored ...
- Reduce backlog --
- Allows five managers Authority to voucher rather than 1 per section

B A C K L O G

TYPE 1 CLAIMS Not assigned	TYPE 2 CLAIMS Already assigned
<p>Solution 1 3 wks</p> <p>Focus on Claims support mail - Allows more time for set-up.</p>	<p>Solution 1 - Stop Stop giving New assignments to EXAMINERS who are back logged - Sup. will monitor Immediately</p>
<p>Solution 2 3 wks</p> <p>Utilize/experience employees where they can be most productive</p> <p><small>MAIL - US SCANNING</small></p>	<p>Solution 2 - Re-assign all back log claims among all EXAMINERS. Super will monitor Immediately</p>
	<p>Solution 3 As needed</p> <p>Repeat of Solution 2 on a quarterly basis - super will monitor</p>
	<p>Solution 4 Immediately</p> <p>SS#'s <u>mandatory</u> (NOT OPTIONAL)</p>

COMMUNICATION AND TRAINING PLAN



WHAT	WHO	WHEN	MODE
Presentation of Future State	Leau Offo Team (US)	1 month	Group Meeting
File conversion (PDF)	Toya Charles	2wks	Small groups
UPDATING MAILING LIST	MR BROWN TOYA		
New Claims Procedures	MR BROWN TOYA	2wks	CLAIMS ^{Examining} GROUP MEETING
New Mail Procedures Scanning & Imaging	Tasha Sue (Connie)	2wks	Group Meeting

What	Who	When	Mode
Internet instructor	William Mitchell ^{Robert}	New IT Launch	Add to Instruction Sheet Video WEB site
Internet Faster	Toya Bill ^{Robert}	↓	Media Outreach ^{Website} News Reports News Stories
Dropped Procedures	Lee Mitchell	1 month	Website Letters Instruction Sheet
Types of Evidence	Lee Ann Michele	1 month	WEB Instruction sheet letters
INTERACTIVE Levels of IT Security	LEE DANA YAN	NEW IT LAUNCH	WEB
COMMUNICATION			
Updating MAILED	DANISE/BRAD CONNIE		

IMPLEMENTATION TIMELINE - PHASING

What Begins Tuesday...

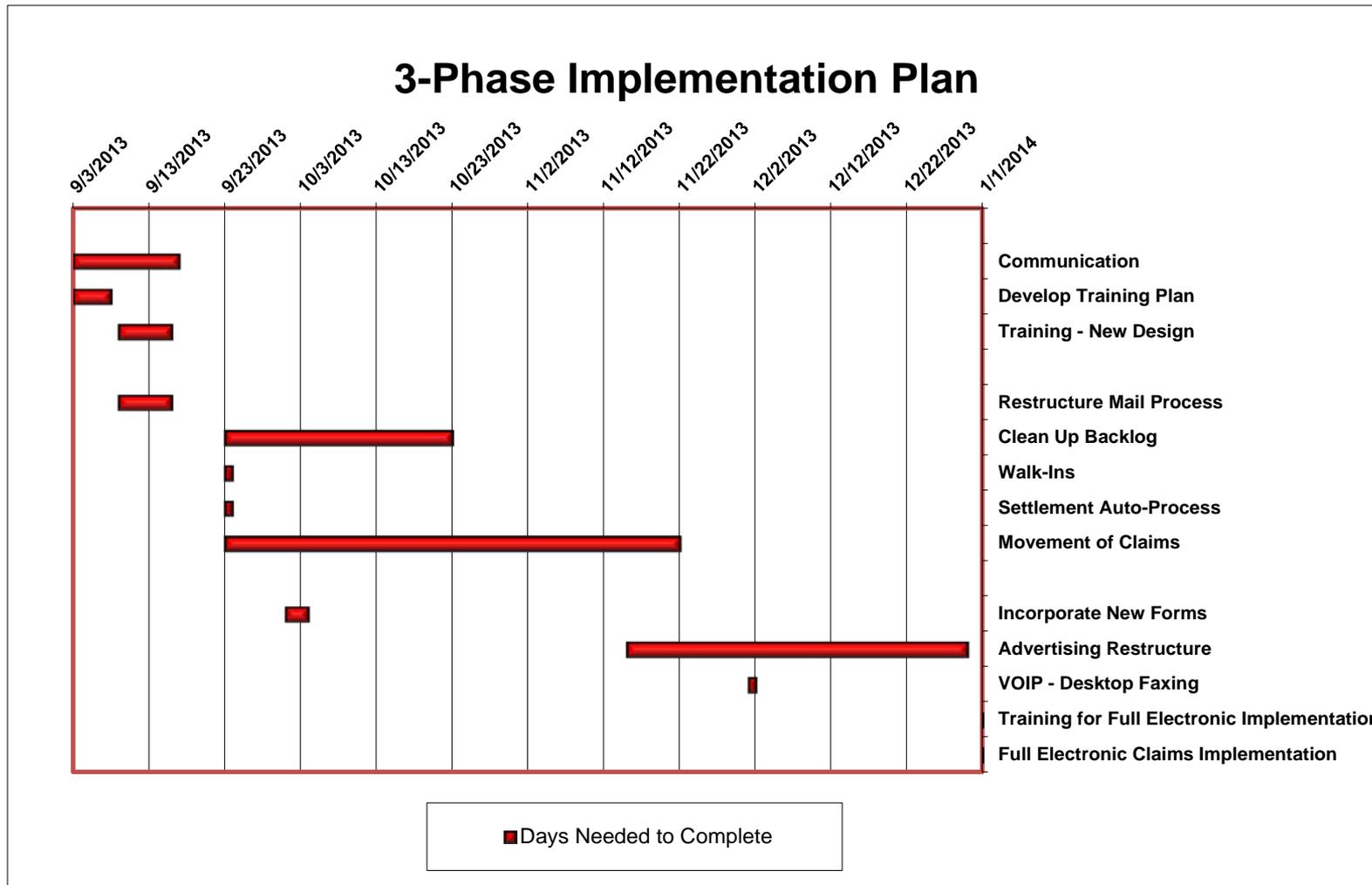
Phase Planning

- 1. CLEAN-up of CURRENT CLAIMS ON DESK
 - NO NEW ASSIGNMENTS - ELIMINATE BACKLOG
- 2. CLEAR COMMUNICATION OF NEW DESIGN
 - ROLES OF ALL LEVELS CLEARLY DEFINED
 - MANAGEMENT REINFORCE PROCESS CHANGES
- 3. RESTRUCTURE MAIL PROCESS
 - SEPARATE MAIL BY SECTION (ACCOUNTABILITY, COMPLIANCE, ADMIN, CLAIMS, ETC.)
 - COUPONS GO TO RESEARCH
- 4. INCORPORATE NEW CLAIM FORM AND LETTERS
- 5. ADVERTISING: MOVE LARGER COUNTIES TO SLOWER PERIOD (11-2014)
- 6. WALK-INS: INTAKE ONLY, HOLD FOR PROCESSING
- 7. VERIFY WITH WAGERS THE MOVEMENT OF CLAIMS TO ASSIGNMENT BASKET
- 8. UTILIZE AUTO-PROCESS FOR SETTLEMENT
 - NO MORE ASSIGNMENT SHEETS TO EXAMINERS
 - 1) HOW CLAIMS ARE ASSIGNED
- 9. TRAINING: WAGERS, ASSIGNMENT BASKETS, UPLOADING INTO INTELLIVUE
- 10. VOIP: START RECEIVING SCANS/FAXES VIA EMAIL (DESKTOP FAXING)
- 11. FULL ELECTRONIC CLAIMS PROCESSING + TRAINING

PHASED ACTION PLAN

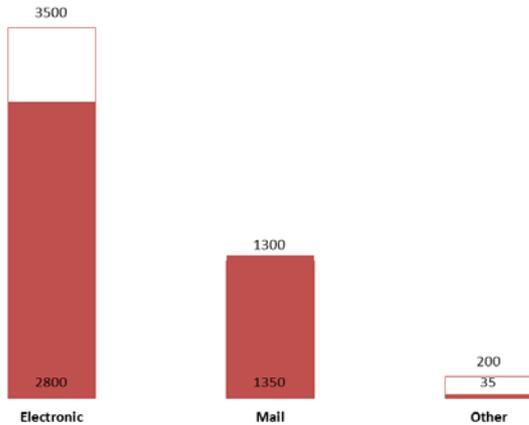
PHASE ONE			
WHAT	WHO	WHEN	
1. COMMUNICATION	SUPT, SUPV	9-3-2013	14 DAYS
2. TRAINING - NEW DESIGN	SUPV + SUPPORT STAFF	9-9-2013	7 DAYS
3. DEVELOP TRAINING PLAN	SUPV	9-3-2013	5 DAYS
PHASE TWO: IMPLEMENTATION			
WHAT	WHO	WHEN	
1. RESTRUCTURE MAIL PROCESS	SUPV, SUPPORT STAFF	9-9-2013	7 DAYS
2. CLEAN UP BACK LOG	SUPPORT STAFF CLAIMS	9-28-2013	30 DAYS
3. WALK-INS	NOTARY, SUPV, FRONT-DESK	9-23-2013	1 DAY
4. SETTLEMENT AUTO-PROCESS	SUPV, SUPPORT STAFF	9-23-2013	1 DAY
5. MOVEMENT OF CLAIMS	SUPV, WAGERS	9-23-2013	60 DAYS
PHASE THREE: FULL IMPLEMENTATION			
WHAT	WHO	WHEN	
1. INCORPORATE NEW FORMS / LETTERS	SUPV, WAGERS	10-1-2013	3 DAYS
2. VOICE-OVER (INTERNET PROTOCOL (DESKTOP FAXING CAPABILITY))	IT	12-1-2013	1 DAY
3. ADVERTISING RESTRUCTURE	COMMUNICATIONS ACCOUNTABILITY, SUPV	11-15-2013	45 DAYS
4. TRAINING FOR FULL ELECTRONIC CLAIMS PROCESSING	SUPV, SUPPORT STAFF	(CONTINGENT UPON IT/WAGERS)	7 DAYS
5. FULL ELECTRONIC CLAIMS IMPLEMENTATION	CLAIMS, SUPPORT, SUPV	IMMEDIATE UPON TRAINING	1 DAY

3-PHASE IMPLEMENTATION PLAN

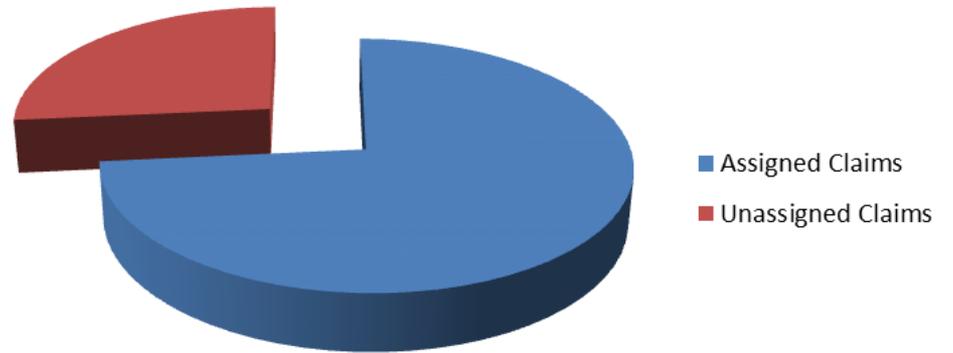


DASHBOARD PLAN

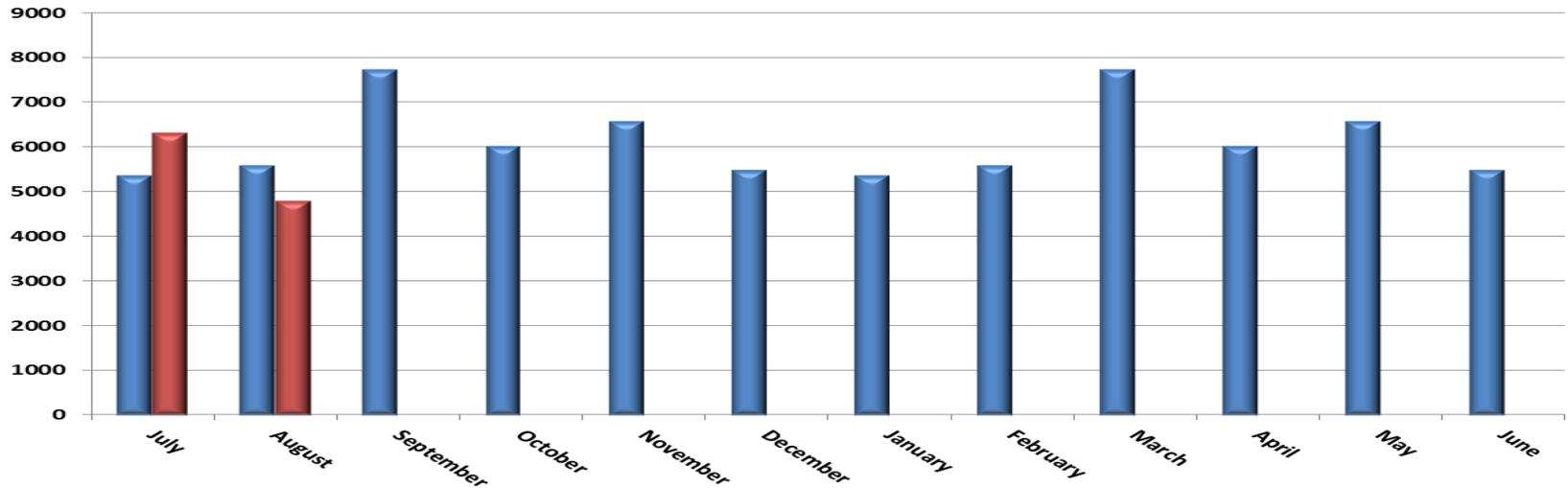
Commerce UCF Weekly Submissions



Backlog as of 9/3/2013



Claims Approved per Month



SPECIAL *THANKS* TO...

Senior Leadership:

Andre Porter, Director, Department of Commerce

Jayne Brown, Asst. Director, Department of Commerce

Sponsor:

Yaw Obeng, Superintendent, Division of Unclaimed Funds

Team Leaders:

Larry Brown, Supervisor, Claims Processing

Connie Gamble, Supervisor, Support Services

Subject Matter Experts:

Alan Shellhause, CIO; Teresa Philbrick, Asst. CIO; Denise Lee,

Division of Unclaimed Funds Legal Counsel; Dina Karshner,

Labor Relations Officer; Andy Shuman, Human Resources

Director

