

Duplicate Mail Process Improvement Project

Background

The Client is a premier global consumer and commercial services company. Through its wholly owned subsidiaries, the Company provides essential pest control services and protection against termite damage, rodents and insects to more than two million customers in the Americas, APCA, and EMEA.

Problem Statement:

Hard copy mail distribution is controlled through a central mail department located at their corporate headquarters. Management received numerous complaints from employees, branches, and stockholders regarding the receipt of duplicate and/or multiple pieces of hard copy mail. “Duplicate” mailings were defined as when a person receives more than one copy of the same piece of mail at the same time, while “multiple” mailings were defined as when a person receives the same piece of mail more than once, but at different times.

The initial belief was that these duplications stemmed from redundant and/or inaccurate employee records. Based in this hypothesis, Company executive management initiated a project to find and resolve reported instances of individuals and branches receiving Duplicate or Multiple mailings. The objective of the project was to develop possible solutions and provide a recommended course of action.

Scope:

A three-week investigation and solution project was initiated and conducted on the main Company campus. The focus of investigation was on those activities involved in the mail production and execution to current and former Company employees, and stockholders.

Methodology:

This project used a two-phased approach. Phase 1 focused on data collection through employee interviews and work observations. Phase 2 focused on process analysis, utilizing Company employee, and solution determination and implementation.

Phase 1: Data Collection

Process data was collected through interviews with process owners and participants. The interviews lasted approximately one hour each, and focused on the process and data flow. As part of the interview process, data samples were reviewed, and active work observations conducted. The information was then synthesized in order to understand how the information flowed, and the needs of the process met.

Phase 2: Analysis

The analysis phase consisted of a two half-day Kaizen (improvement) events. Session 1 focused on the creation of current state process maps through the direct input of the process owners. This exercise created a common understanding from which the team identified improvement opportunities. Session 2 focused on the creation of the future state processes. Through idea generation, discussion, and future state process development, the people most involved in the area of focus designed new processes they agreed with and bought into.

Findings:

During the course of the data collection interviews observations and general ideas were developed regarding the flow of data and management of the process. The more prominent observations include:

- Of the 13 interviews conducted, only one person could point to a specific incident of duplicate or multiple mailings.
 - The mailroom did not have any “hard evidence” of duplicate or multiple mailings.
 - An email blast to employees requesting specific incident examples did not yield responses.
- The general problem appeared to be one of process definition and management rather than a technical database issue. The “System of Record” for employee data, and appeared to be the main, if not sole, source for any employee mail lists. The employee ID number, which is tied to the employees Social Security Number, is the key by which the list is created. Therefore, duplication is unlikely.
 - While the SOR system may produce a mailing list with multiple lines for an individual due to the specifications of how the data is pulled from the system, this is a known issue and steps are taken to rectify the duplications prior to sending out any mailings. If duplication occurs, it is more likely a human error not a technical database error.
 - It is possible duplicate mailings occurred due to the merger of two lists- one from SOR of active employees and one from SunTrust Bank of retirees/pension recipient. A lack of unique identifier key between the two lists may have contributed to duplication (see below).
 - The same message, but slightly different formats may go to both the branches and the employees’ homes. This action is by design in order to ensure communication to employees (especially around open enrollment). Communication to employees of this fact may clear up mis-understandings.
 - Duplicate or multiple mailing may come from the Benefits administrator (PF1), but their mailings are generated from their database (which is updated daily with changes from SOR). Vendor oversight and reporting could be improved in this area (currently reports are monthly, while mailing is done weekly). Changes are already in process to change administrators and this issue may be addressed through the change.
- There did not appear to be a formally identified single process owner. The current overall process had several owners of different pieces of the process.
- There did not appear to be a formal and defined process for mailing / communicating to the branches or employees.
- Branch mailings flow through the Duplication and Mailroom teams.
- There did not appear to be a robust QA/QC process for the creation or distribution of mailing.
- There did not appear to be any active vendor oversight program. This observation is in relation to mailings only, and not an indictment of the overall Company Vendor relationship practices.
- The internal generation of mailing lists for active employees appeared to come through the Payroll department and out of the SOR system only. An exception to this is the generation of the Retirees mailing list for the quarterly publication “Company Today.” An additional list is

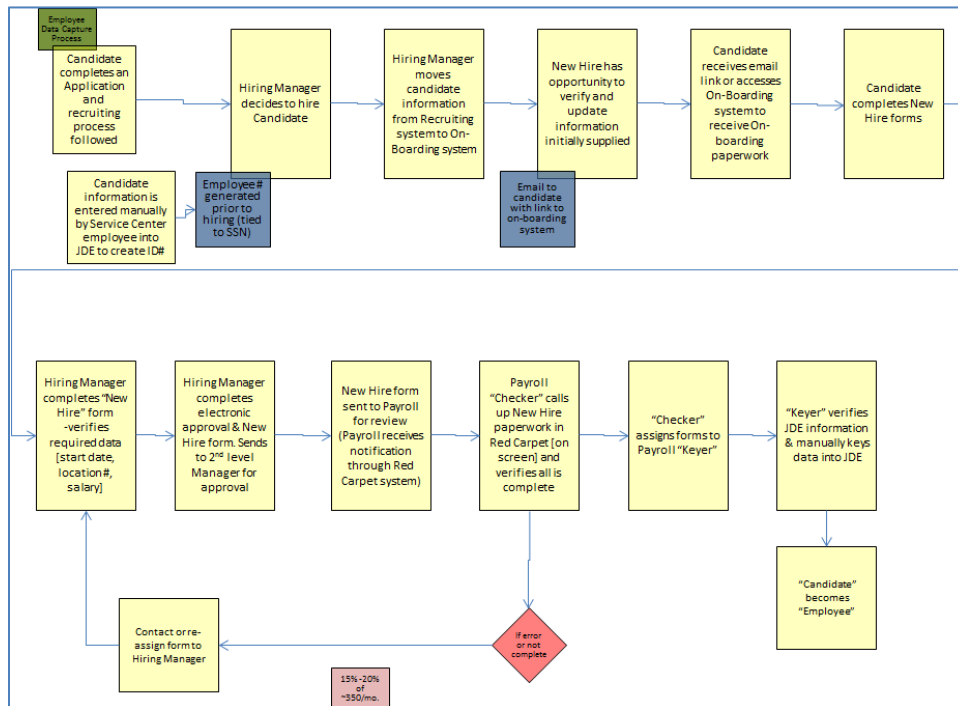
supplied by the Company's Bank though the Benefits department to the Marketing department, who must marry it to the active employee list. Some duplication is possible through this process.

- There appeared to be some communication gaps between departments. During the interviews, some people thought/assumed mail lists come from HR or Marketing, or do not know. Also, the Benefits group does not have insight into the new hire process.
- Some data is manually transferred between systems. This practice allows for the introduction of human error into the process and takes up employee time which could be used in more value added work.

Session 1: Current State Process Map Creation

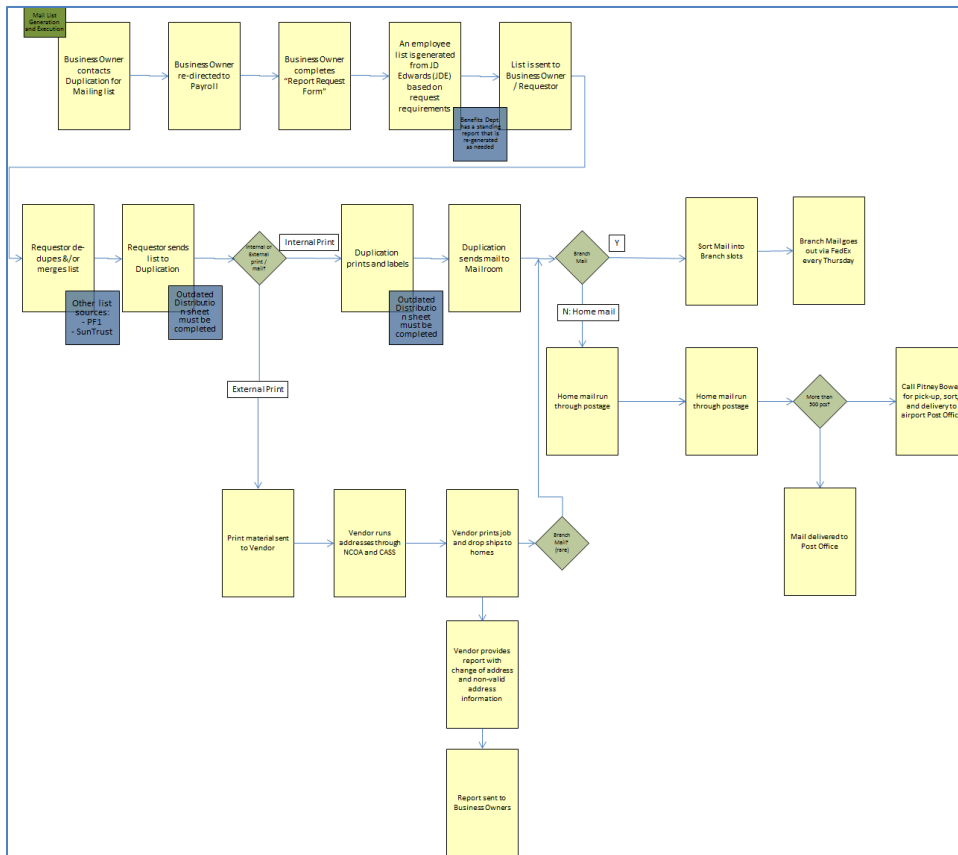
During the first Kaizen session, a team of seven Company employees worked together to create Current State Process Maps. Two maps were created during this session. The first map (Figure 1) created depicts the general process for capturing employee data into the SOR system (which acts as the System of Record) for Company employees. The purpose of understanding this process was to identify possible areas or practices which may lead to poor quality data entering the system and therefore creating the possibility of duplication (Garbage In, Garbage Out). Through the input of the team, the map below was developed.

Figure 1: Kaizen Event; Session 1: Current State Employee Data Capture Process Map



The second map created (Figure 2) depicts the general process for the creation of mailings (print pieces and labels) to both branches and employee homes. The purpose of understanding this process was to identify process gaps and practices that may allow for the duplication of mail to be delivered to Company employees.

Figure 2: Kaizen Event; Session 1: Current State Mail List Generation Process Map



Session 2: Future State Process Map Creation

During the second Kaizen Event session, desired future state processes were discussed and developed. Time constraints prevented in-depth process step development; therefore higher level processes with key changes noted were developed.

In order to facilitate the discussion and development of desired future processes, a brainstorming idea generation exercise was conducted. During this exercise, the team members independently generated ideas focused on addressing the current state deficiencies identified in the previous session. The ideas were shared, discussed, and categorized. Below is the complete list where the tier one bullets (in bold type) represent the category, and the tier two bullets (open circle) represent a single idea contributed by a team member.

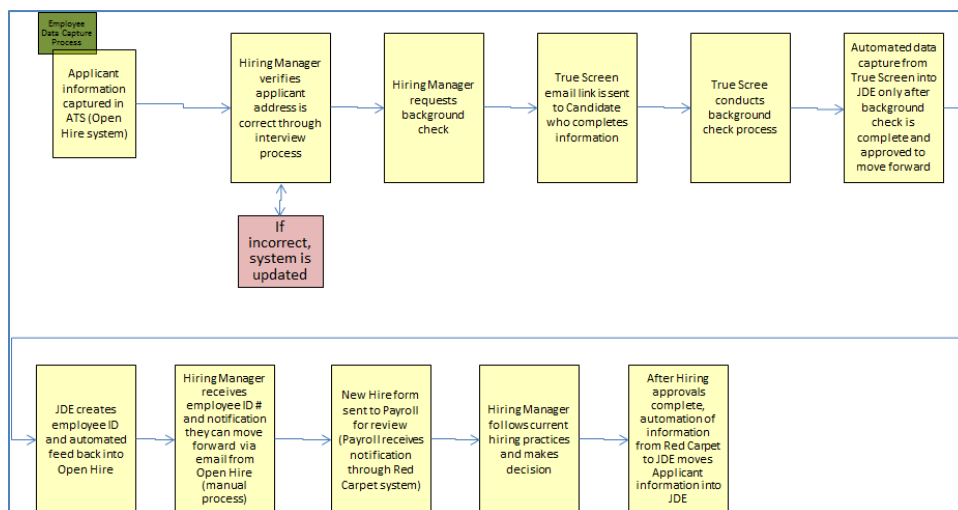
- **Mobile Numbers and Email**
 - Work with DHRMs/HR Managers to ensure BMs are held accountable for responding to emails
 - Make sure emails are being received; not blocked by server (McAfee)
 - Capture mobile numbers and text messages to employees
 - Capture employee email address and go paperless (some are in online wage statements)
 - Include email field and persona email address in SOR upgrade (*already planned*)

- **Process Ownership**
 - Someone should own this whole process
 - Give duplication the ability/responsibility to create mail lists from SOR.
 - Designate a department to enter correct address from CASS/NCOA reports
 - Have all print and mail jobs flow through duplication (Divisions included)
- **Miscellaneous**
 - Develop an employee portal where they sign in and see personal information that affect them
 - Kronos- address updates in the system
- **Independent Address Verification**
 - Implement CASS/NCOA to ensure addresses are correct and eliminate waste
 - Integrate software to verify address at time of Application
 - Get CASS and NCOA for SOR
 - Explore using NCOA to verify addresses
 - Add CASS and NCOA software in Print shop
 - Have Hiring Manager confirm [address] with candidate before completing New Hire Form; update on NH form
- **Employee Verification**
 - Encourage employees to update home addresses before Open Enrollment (By Sept 30)
 - Send all NH a welcome letter/post card with return address request
 - Once a year all employees asked to verify address is correct and that they want the employee information sent to this address
- **System Automation**
 - Automate the applicant tracking system upload to SOR to prevent/reduce mail entry errors and eliminate unnecessary man-hours.
 - Automate Red Carpet feed into SOR of NH information.
 - Incorporate workflow system to provide cross system integration
- **SSN from SunTrust**
 - Get SSN (or last 4) from SunTrust to match with SSN from Active Employee list to de-dupe Company Today mailing (Benefits handles and hands clean list to Marketing)
 - Explore the SunTrust pension process to see if it can be improved
 - Receive SSN/Partials SSN from SunTrust as unique identifier in an effort to eliminate Dupes of Company Today for EEs receiving a pension
- **Active Directory and Distribution List**
 - Clean-up the Duplication Sheet
 - Add address physical location to SOR or Active Directory information to allow electronic notifications to building groups.
 - Update mailroom distribution list. Include all brands and make electronic
 - Branch Directory: Tie directly to SOR and create a simple distribution list.
 - Investigate the source of data used for any branch mailings from the divisions
 - Add photo and subject of expertise to Active Directory info

- Make Active Directory correct
- Update Active Directory and assign owner
- **Standardization and Procedures**
 - Create standard reports for mailing
 - Location
 - Home Mailing
 - Only use Payroll as source of report, not Active Directory
 - Requesters verify no dupes on report before sending to print & mailings
 - Create written instructions regarding Procedures related to employee mailings
 - How to request file
 - What fields to include
 - Standardize format
 - How/what to do with information returned
 - Systems create a standard report for requestors. Build additional fields into that report as needed. Ensure that requestor realizes file may contain dupes, LOAs, Terms, etc.
 - Develop process measures to help manage and control the overall process
- **Quality Assurance / Quality Control (QA/QC)**
 - Visit the third parties to make sure we are getting what Company is paying for
 - Create QA/QC checks throughout process
 - Create/implement a vendor oversight process /management system

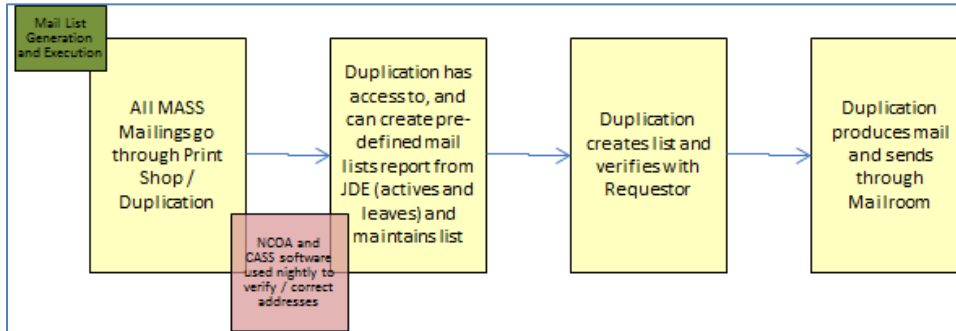
Following the brainstorming exercise, the team created two future state maps. The first map addresses attempts to incorporate the identified deficiency in quality control and assurance. The map below (Figure 3) outlines key changes to the front end of the overall flow. These changes are designed to help eliminate or reduce the need for manual data entry, which can be a source of error entry into the system, and reduce employee time and effort; thus allowing employees more time to address the remainder of their workload.

Figure 3: Kaizen Event; Session 2: Future State Employee Data Capture Process Map



The second future state map (Figure 4) created depicts a high level view of mail list generation. The main ideas governing this process change is to provide an owner of the process and therefore implement quality and process control of the generation of mail lists and mailings that go the Company employees. Since this is a high level map, additional detail work is required.

Figure 4: Kaizen Event; Session 2: Future State Mail List Generation Process Map



Recommendations:

The following recommendations are based on both the independent observations made through the data collection phase and team ideas generated in the analysis phase.

- **System Automations**
 - The implementation of cross-system integration to provide automated data feeds will reduce instances of manual data entry currently required for the transfer of some information from one system to another. By establishing properly controlled data feeds, the opportunity for human data entry error is reduced and data integrity is raised.
 - The inclusion of the NCOA and CASS software within the Company systems will provide in-process quality assurance checks and a means for more reliable data output from the system. It should also provide benefits to other Company departments by providing a means to check addresses and reduce returned mail.
 - The implementation of a Workflow system will help with cross-system integration, reduce manual input of data already captured electronically, provide easier communication between departments, and provide robust and flexible in-process and after-process reporting.
- **Single Print and Mail Process Owner**
 - Assign a Mail Process Owner. This person would be responsible for overseeing all aspects of incoming and outgoing mail. This includes the oversight and management of third party providers. This person would also be responsible for the creation and maintenance of all mail lists to be used.
 - *The team identified Trina Burgess DeRosia, Print Shop Manager as the logical choice for the role.*
 - *Process and Procedures will be developed and communicated to the field regarding mass mailing and employee mail lists.*

- Begin receiving partial SSNs from SunTrust when mail addresses are requested. The inclusion of the last four digits can be used as a key against which mail merger and de-dupe of active/current employee lists can be conducted.
 - *Benefits (Stacie Mundahl) will receive partial SSN's (last four digits) as part of the Retirees Mail List from SunTrust.*
 - *Benefits will merge and de-dupe the list using the partial SSN's as a unique identifier.*
 - *Benefits will supply the merged and de-duped list, less the SSN's to Marketing for Company Today mailings.*
- Create and maintain a single employee mail list. This list would include both active/current employees and retirees. A regularly scheduled merger of SOR and SunTrust list should provide an accurate employee mail list to be used for mail communication to employees.
 - *Trina will have access to a standing employee mail list from which to produce labels*
 - *See above (bullet #2) regarding SunTrust list*
- Create a process and report for returned mail. This is to help resolve issues resulting in mail being returned.
- **Vendor Oversight**
 - A vendor oversight and management program should be created and implemented. Under this program, third party vendors would be identified, service level requirements developed, and a management system implemented. The program should provide Company with the ability to monitor third party performance against defined and formalized Service Level Agreements (SLA's).¹
 - Vendor oversight procedures should include the description of on-sight inspections, reporting process, etc.
- **Document Processes and Procedures**
 - While Company had written policies, some of which have accompanying procedures, there do not appear to be formalized process maps or policies and procedures for ALL functions. This is evident in a lack of written procedures and no defined process for printing and mailing. The current system operates informally based on current employees understanding of how to do things.
 - ALL process and procedures should be posted to, and accessible through, the "myOrkin" intranet site. This appeared to be the case with Company procedures, but a more robust and easily accessible site would promote better communication and employee knowledge.

¹ If such a program already exists with Rollins, Inc., then the print and mail services should be included

- **Inter-departmental Communications of New Hires**
 - Create a report and reporting the flow of new hires to be distributed / shared with the Benefits Department and any other department needing insight into the status of newly hired Company employees.
 - This type of communication could easily be incorporated into the Workflow system described previously.
- **Quality Assurance and Quality Control**
 - All process and procedures should include quality assurance (process management) and quality control (output quality) measures.
 - Implement data verification checks in the interview process. The intent of this check is for the Hiring Manager to verbally confirm with the Applicant that the address data they have provided is accurate. If it had changed since the initial completion of the application, the Hiring Manager can make the change at that point, and thus increase the quality of the data going forward. This is a Quality Assurance check.
 - Implement annual contact (phone, address, email) information verification checks. This is a Quality Control check, and will help maintain data integrity. Emergency contact information may also be included.
- **Active Directory**
 - It was mentioned more than once during the interviews that Active Directory had not been kept up to date and that it is missing some information, such as branch information for other Company Brands. This directory is a heavily used directory, yet no one person appeared to be responsible for its accuracy and maintenance. An owner to the directory should be assigned and the directory itself updated with current information.