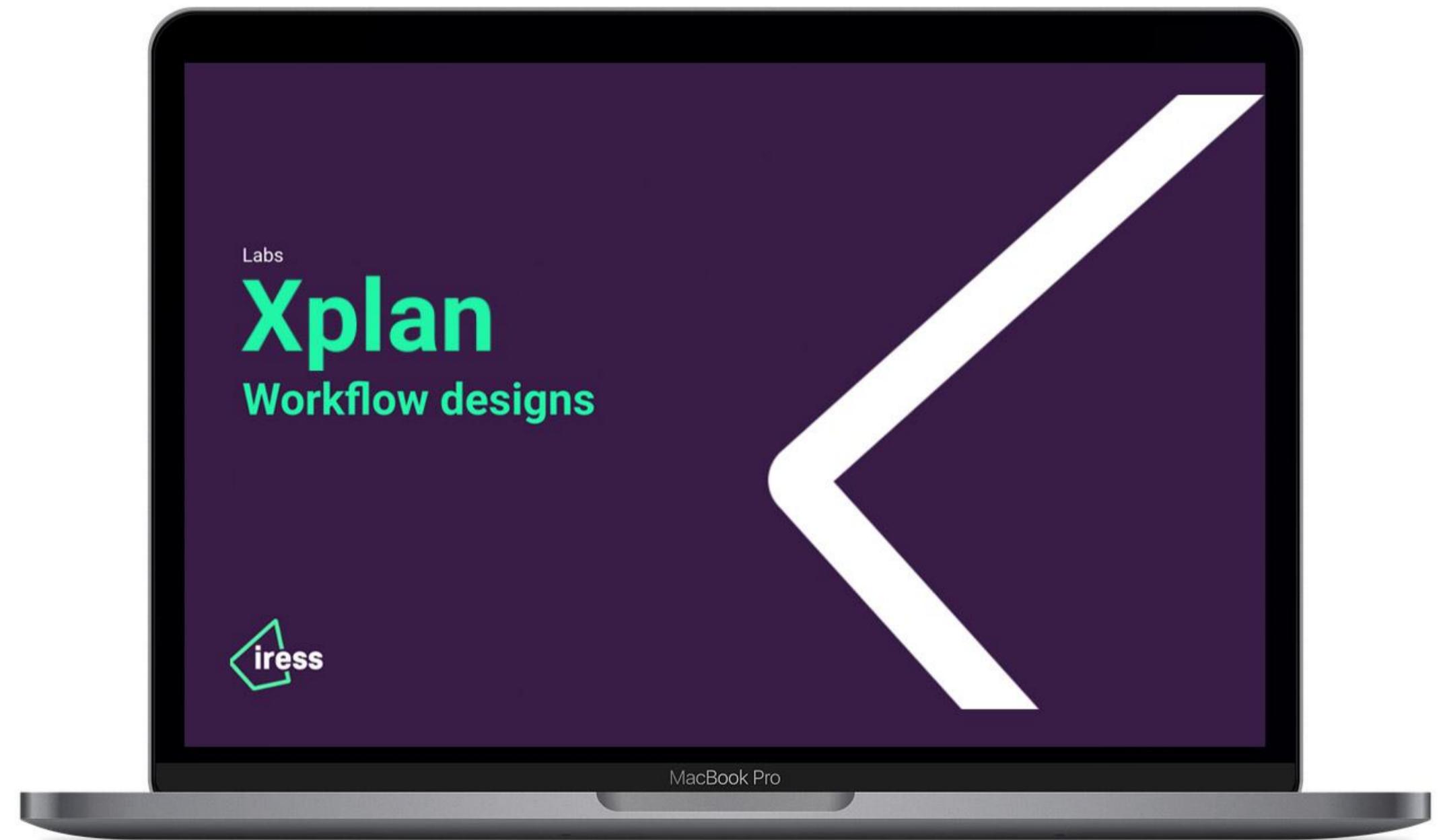


# Workflow Management

Xplan -Workflow

**Suma Narayan**



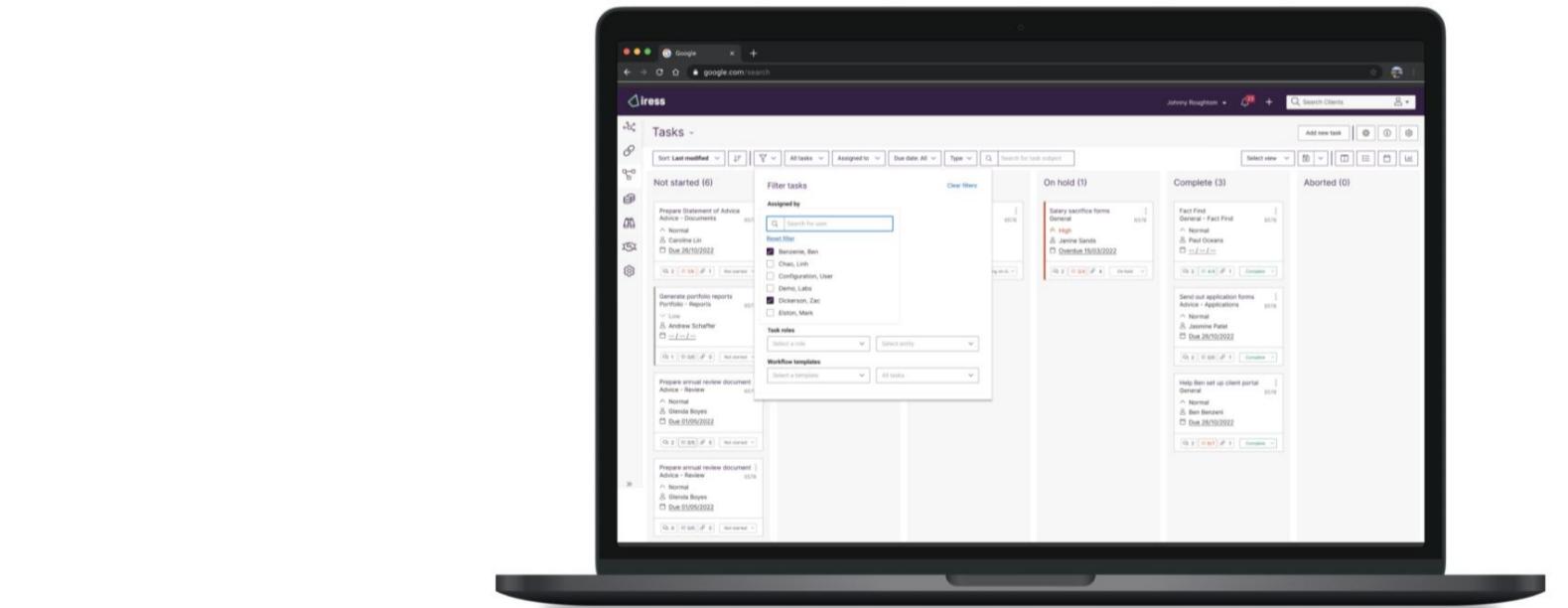
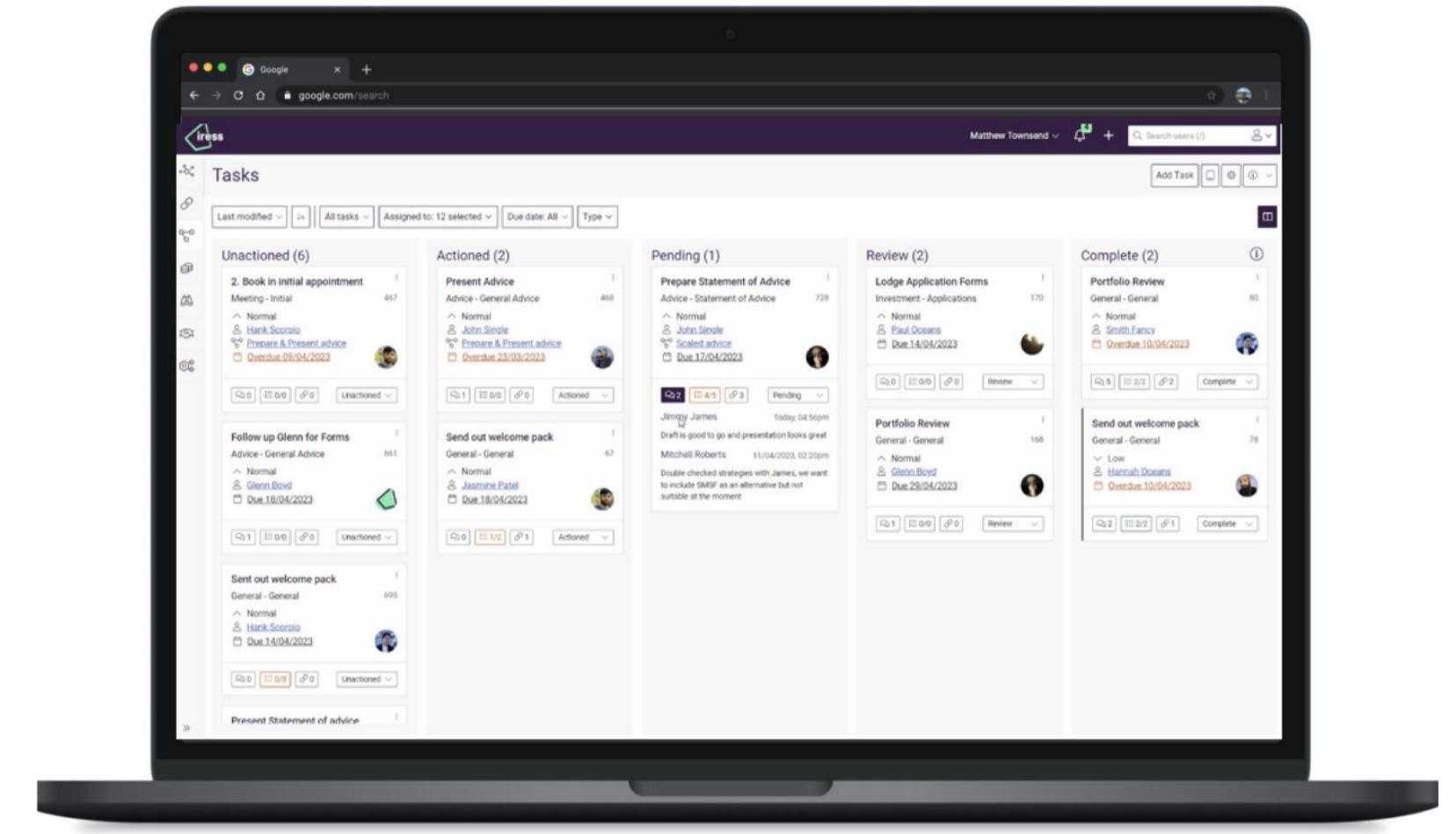
**Client**

**IRESS**

# Product Overview

Iress's leading product - Xplan was once the most sorted **Advice management tool** for financial planning professionals in the Wealth Industry . However after years of additional features. It was high time to bring Xplan back to core capabilities and improved system performance to satisfy customers.

Workflows represent a **digitised business processes** and are formed by a series or **sequence of tasks**, that when completed delivers on the overall process outcome.



## Responsibility

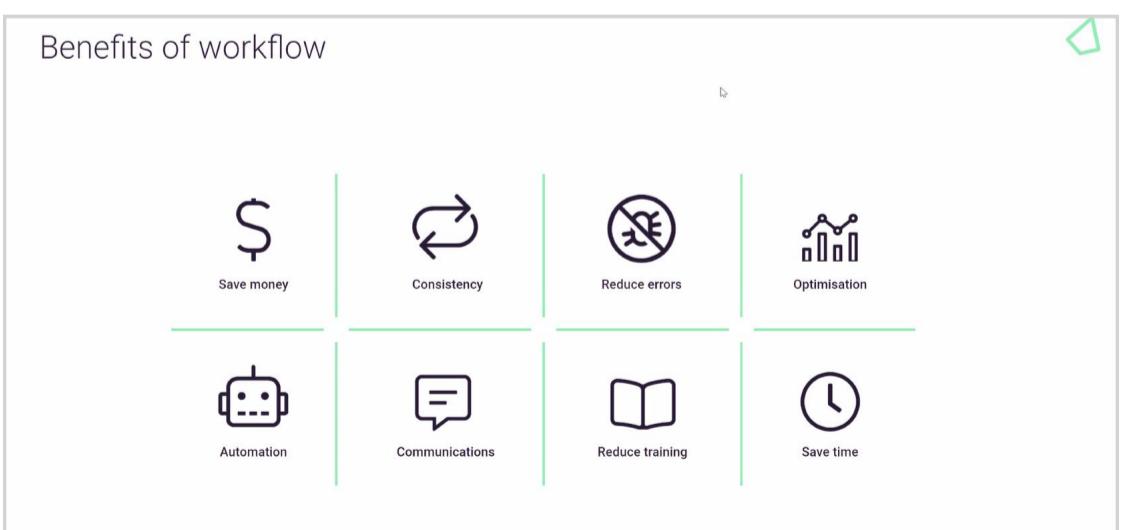
- UX Researcher
- Prototyping
- Usability Testing

## Tools

- XD & Figma - Prototypes, Hi-Fi
- Google Drive
- Miro- Collaboration
- Dovetail
- Zoom
- Heap.io & Datadog

The screenshot shows the iress platform interface. On the left, the 'Workflow Tracking' module displays a list of 29 tasks across various categories like SOA Preparation, Review Process, and Discovery. On the right, the 'Outstanding Tasks' module shows a list of tasks such as 'Insurance Renewal', 'First meeting/Fact find', and 'Tours'. A sidebar on the right contains sections for 'My preferences', 'Help via the iress Community', 'Tours', 'Grant support access (Assist)', 'Username', 'Last session', 'About Xplan', and 'Log out'.

The screenshot shows the 'Tasks to do' module. It features a search bar at the top with filters for Entity (All Clients), Categories (All), and Priority (High, Normal, Low). Below the search bar is a table listing numerous tasks, each with columns for Action, ID, Type, Subject, Status, Priority, Entity, Assignee, and Activation Date. The tasks are categorized under 'Advice Compliance' and include items like 'Executive fees: 5 clients', 'Allocated funds exceeding 5 clients', and 'Fast first incomeletter: 2 paying clients'.



# Problem Statement

Understand how different clients used Xplan to manage their workflows. Identify the areas of improvement in the workflow

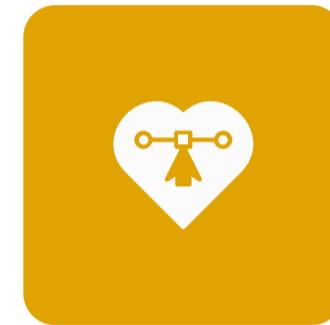
# Goals

Our goal is to give users more time in their day. We will achieve this by providing market leading workflow experiences for staff in financial planning firms. **Unlocking simplicity, improving efficiency and deeply integrate into the planning process to deliver delightful experience.**

In financial planning, common processes - using workflows - include things like: **new client process, the review process and the advice process.**

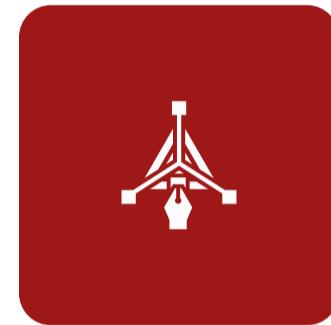
# User Centered Design Process

The methods used here changes depending on what we're trying to solve and what timeframe we're looking at. Here are some of the methods we used to better understand the problem and come up with the right solution for the given amount of resources.



## Understand

User Research  
User Interview  
Competitive Analysis



## Define

User Personas  
Empathy Map  
User Journey



## Ideate

User Flow  
Information Architecture



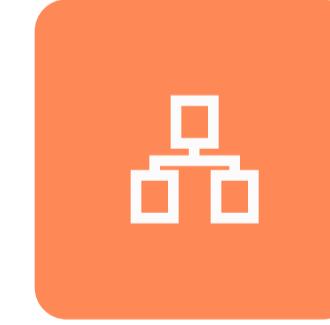
## Design

Wireframe  
Hi-Fi Designs  
Prototype



## Test

Feedbacks  
Conclusion  
Future Concept



## Develop

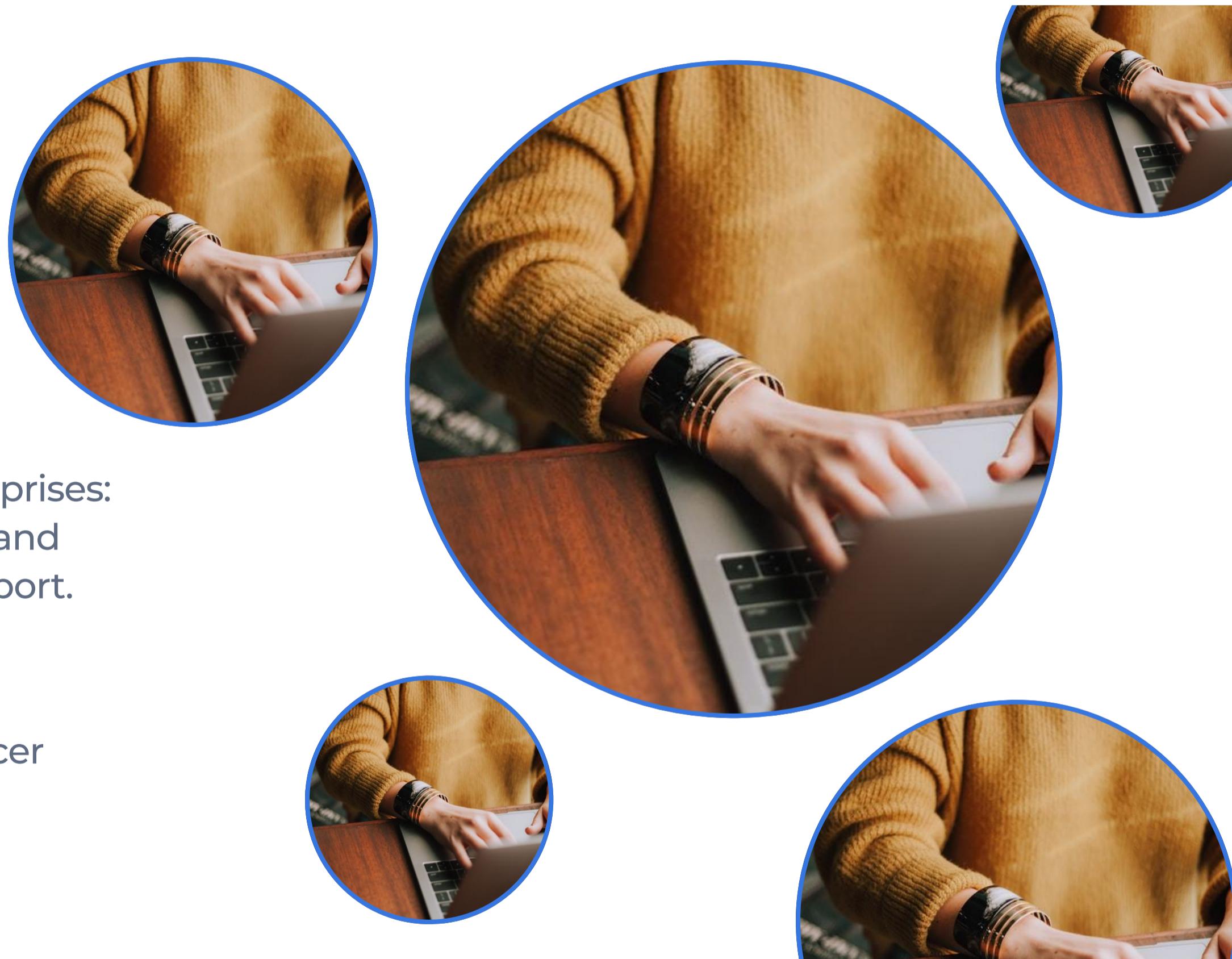
Iterate  
Launch  
Repeat step 1

# Target Audience

Xplan is delivered as a total solution, which comprises: infrastructure, integration, data transformation and migration and, most importantly, on-going support.

## **Personas:**

- Managers
- Advisers
- Para-planners
- Client Service Officer
- Xplan Admin



# Research Approaches

---

## ⇒ User Research

Research interviews, conversations, prototyping, feedback, user testing (where applicable). Consider how we can leverage community when time comes.

## ⇒ Competitive Analysis

Analysis into direct and indirect competitors in the workflow space. Valuable guidance.

## ⇒ Analytics

Heap and datadog metrics that will allow us to understand customer usage, behaviours and flow - before and after.

## ⇒ Existing Data

Aha ideas, ISC, previous workflow research.  
We should be aware of what clients have taken the time to tell us in the past.

# User Research

[View/edit full task - Page view](#)

Majority of our clients who use Xplan as their main tool, are mostly relying on **tasks to manage their workflow**. We wanted to make sure that we **provide a better experience** with our products for our clients by getting feedback from them directly.

From the data we know the task details screen is one of the most widely used pages in Xplan and we have the numbers that explains it



## Approach to User Research Activities

#coi\_design

**Document Aim:** this template should help you to really think about the approach you will take for your research activity. When completed, anyone should be able to read it and understand your approach.

### Core Information

Topic/Project	Advice Compliance - Business Insights
Researcher Name	
Product Manager	Adrian Cabello
Team	Suma Narayan

### Background

Purpose	<b>Why should this research happen? What do you want to learn? What will it enable you to do?</b>  Goal is to understand the client and user needs of the Xplan market in relation to business insights for example: <ul style="list-style-type: none"><li>• Operations/Practice mgmt</li><li>• Business coaching</li><li>• Client mgmt</li></ul>
Existing knowledge	<b>Is there other evidence that supports the need for this research? Is there an initiative canvas already? (If so, link to it). Can we speak with people internally first (client facing, analytics etc)?</b>  <a href="https://miro.com/app/board/uXjVP917-Ss=/#tpicker-content">https://miro.com/app/board/uXjVP917-Ss=/#tpicker-content</a>
Research Goals	<b>Can you specify key goals/assumptions/questions you are trying to address through this research?</b>  <ul style="list-style-type: none"><li>• Understand the BI needs of the Xplan Market</li><li>• Understand the data availability</li><li>• Determine personas</li><li>• Determine key problems</li><li>• Understand competitors and current solutions</li></ul>

## Workflow Discussion Guide

### Introductions

Hi, I'm Suma Narayan, a Product Designer and this is Trista Wang/Vignesh Sathyamoorthy, Business Analyst from Iress. I will be running the session with you today. The aim is to understand more about your current Workflow. It's an informal chat that will help us to learn more about you and your needs and this session will be for an hour.

With your permission, we're going to record the session and our conversation. This is just so that we can revisit the conversation to analyse what you have told us. It also means I can concentrate on talking to you rather than taking notes! Is that ok?

Do you have any questions so far?

Ok, we'll get started then...

### Introductory Opener

Before we start getting into the detail, I'll just ask you a couple of quick questions:

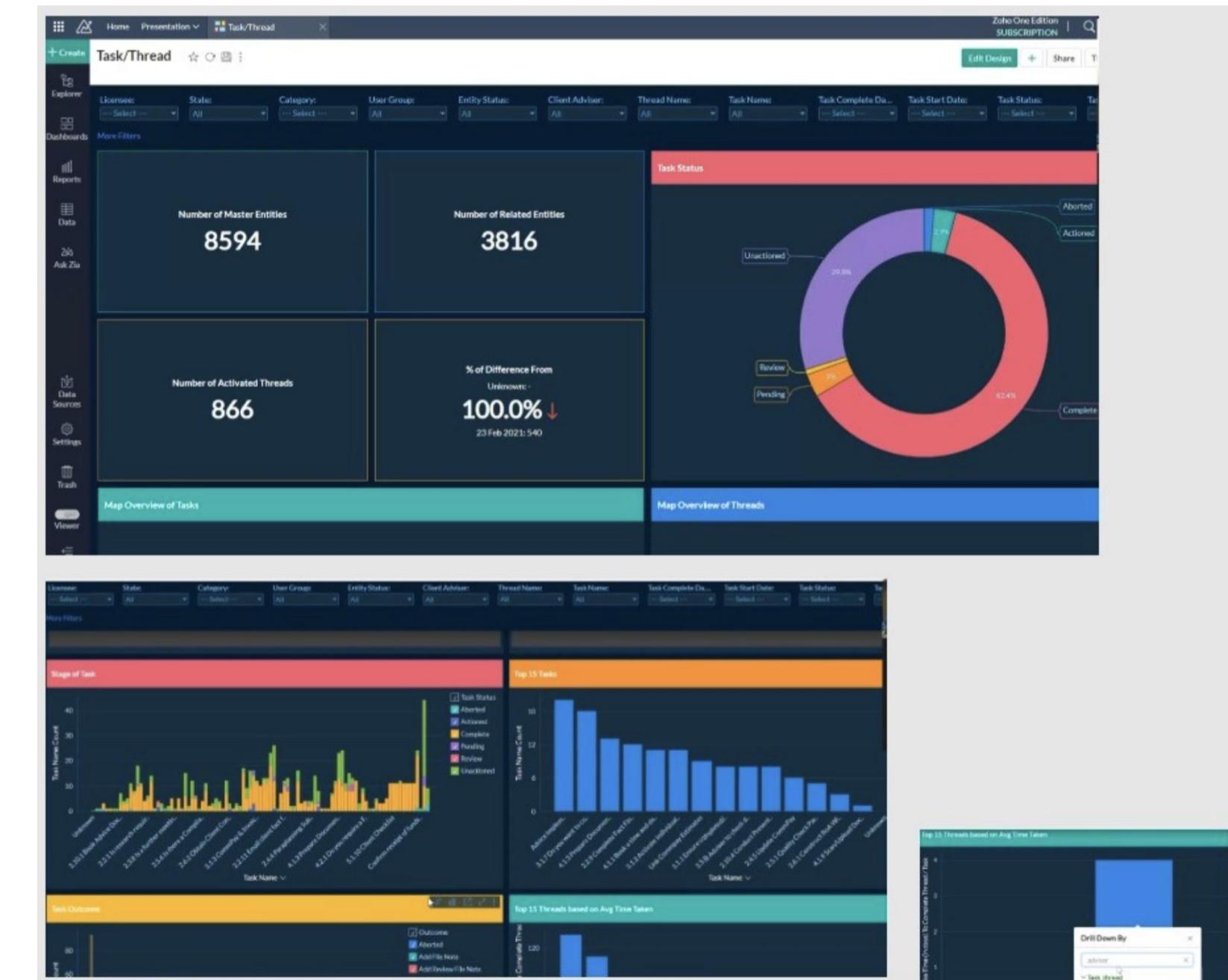
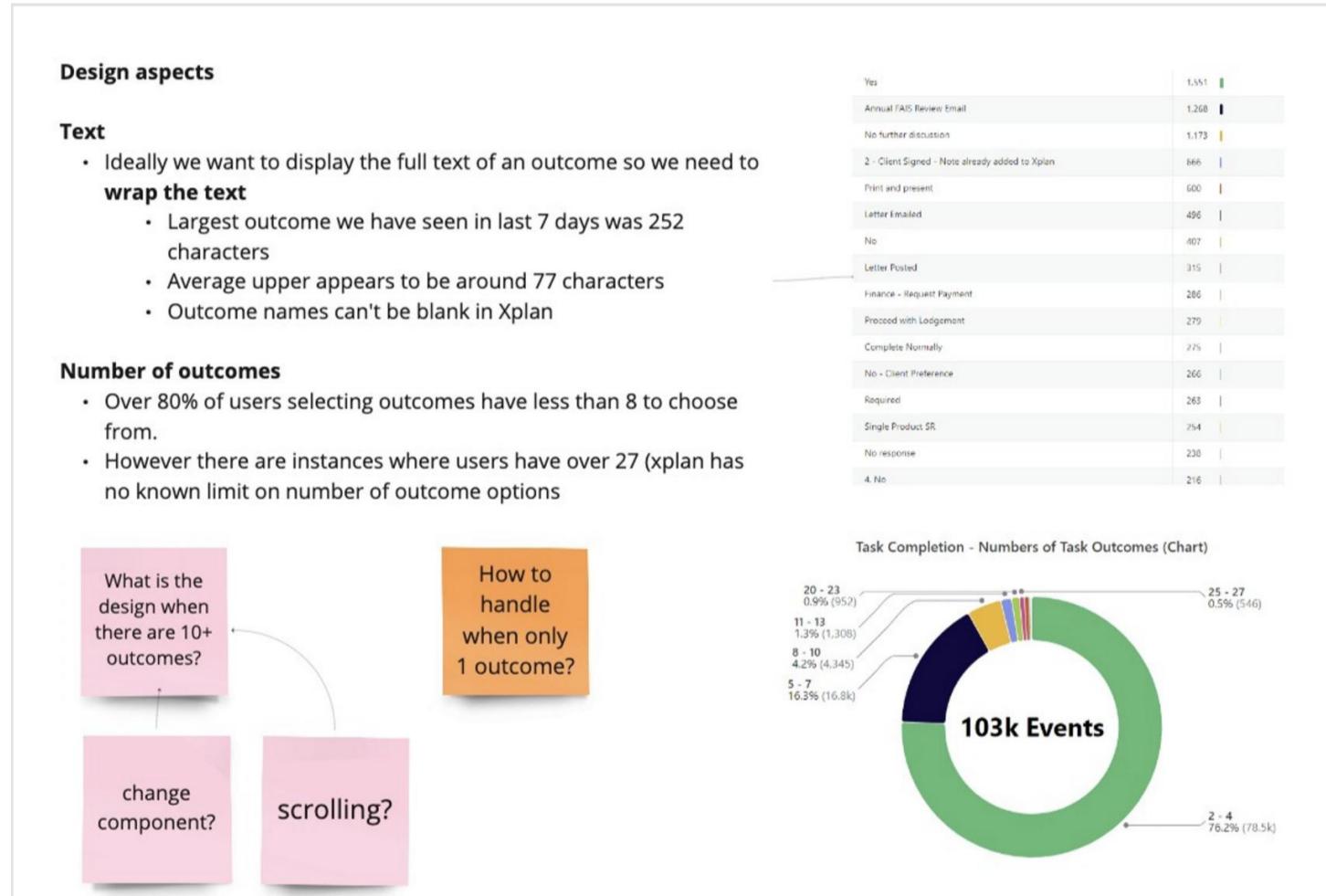
- Can you tell me a bit about yourself and your role within the company?
- What does a typical workday look like for you?
- What is the size of your company? How many clients do you have?

Ok, we'll get into some of the details now then...

### Detailed questions

# Existing Data

- While a staggering **13.3k** of our users are editing the task details screen
- What is more impressive is the number of times users are navigating to the **task detail page to view, edit**, as shown in the graph



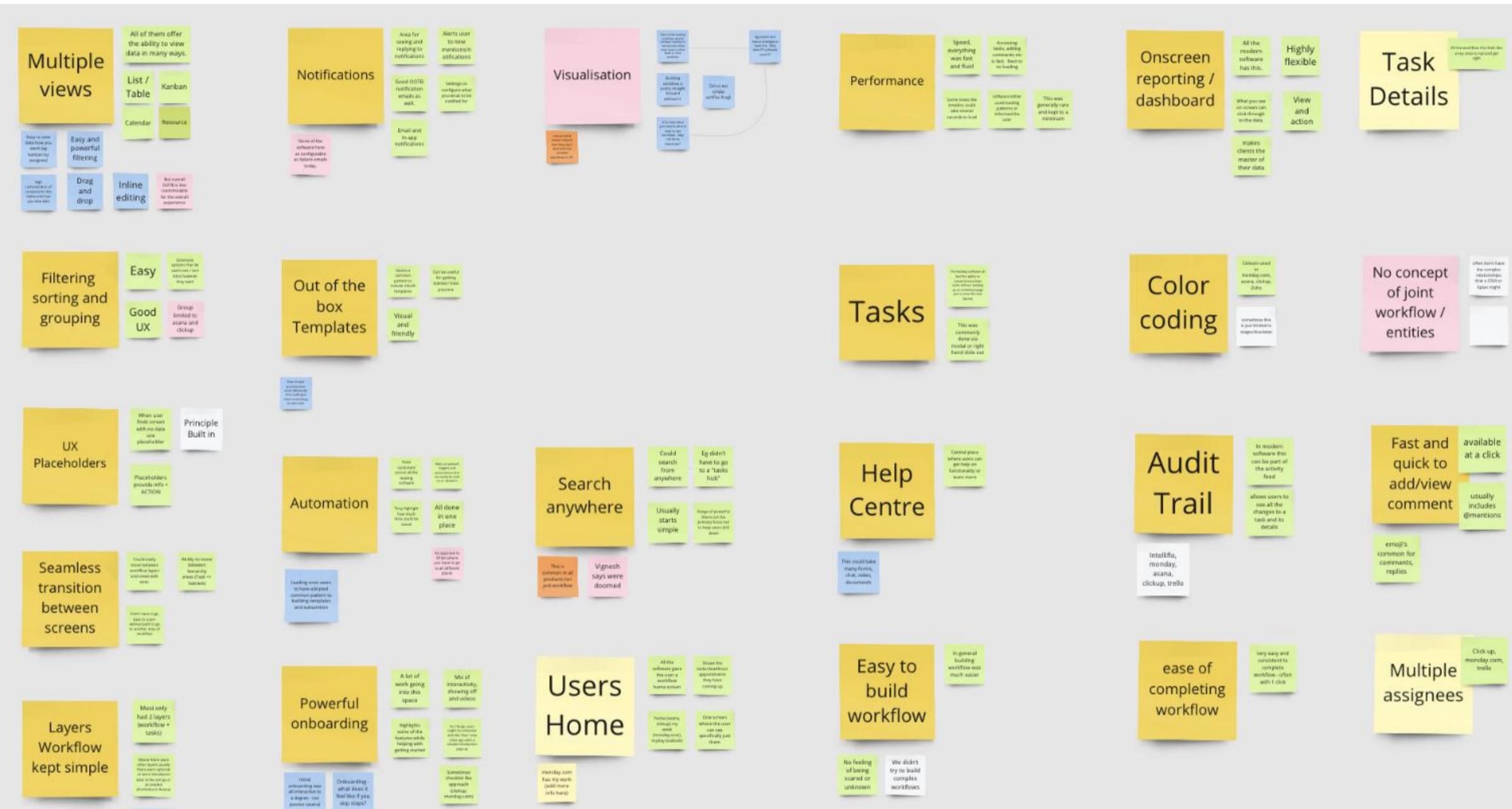
# Competitive Analysis

This activity helped us take an audit of competitor's offering and assess what functionalities are expected and what unmet needs our product could fulfil.

The image shows two matrices of sticky notes comparing competitors. The left matrix, titled 'Wealth Competitors', lists Intelliflo, AdviserLogic, MidWinter, Practifi, Advice Intelligence, and Xeppo. The right matrix, titled 'Workflow Competitors', lists Asana, Monday.com, SugarCRM, Zoho, Clickup, Wealthbox, Keap, Pipedrive, and worksorted. A pink note on the workflow matrix states: 'Unable to get a trial and find sufficient info. We hear it mentioned by clients a bit though'.

	Pipedrive	Keap	Advice intelligence	Monday.com	Zoho	Wealthbox	Asana	Clickup
<b>Onboarding</b>								
Was there an onboarding process?	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
What kind of onboarding? Tours/Video/Links to training academys etc	Tours/hotspots/videos	Tours/hotspots/videos	Tours	Checklist/tours/videos/templates	Tours/Auto filled sample leads/tasks/dashboards	Tours/Videos	Interactive onboarding and a help and learning menu	Onboarding, videos, pop-ups and help for training and learning
How easy was it to get started? 1 - very hard   10 very easy	7	8	7	8	8	7	8	8
How would you rate the onboarding experience?	6	9	9	8	9	7	9	8
Other feedback on onboarding	Was enough and some parts of it were modern. okay.	It's a go to place for a new or already a existing user of this tool	It creates a sample data for the user to show how	<ul style="list-style-type: none"> <li>Easy to find help information</li> <li>the fields small help descriptions well designed, easy to understand</li> <li>templates help to on board quickly and easily</li> </ul>	Sample filled data gives us the user how the dashboard and reports look like.		Excellent onboarding, initial set up is slightly interactive and delightful.	Felt like too many pop-up's
<b>Workflow</b>								
Pipeline / high level layer that groups items together?	Yes called deals. Tasks/activities link back to these		Leads and opportunities. Tasks/activities link back on these	Yes, workspace->folder->broad->group->line->columns(fields)->subitems	Leads/Deals. Tasks linked to leads and deals	Opportunities > Workflows> Tasks	Projects is their main workflow and encapsulated in that is tasks	Tasks is their top layer and has subtasks
How easy is it to create this layer?	7		7	7	9	8	9	9
How configurable is it?	Very taken a forms based approach. Users can customise and add their own data points. Definite strength		Very configurable.	Very configurable	Highly configurable	Highly configurable	8	8
How would you rate the UX?	6		9	9	7	6	9	8.5

# Key features

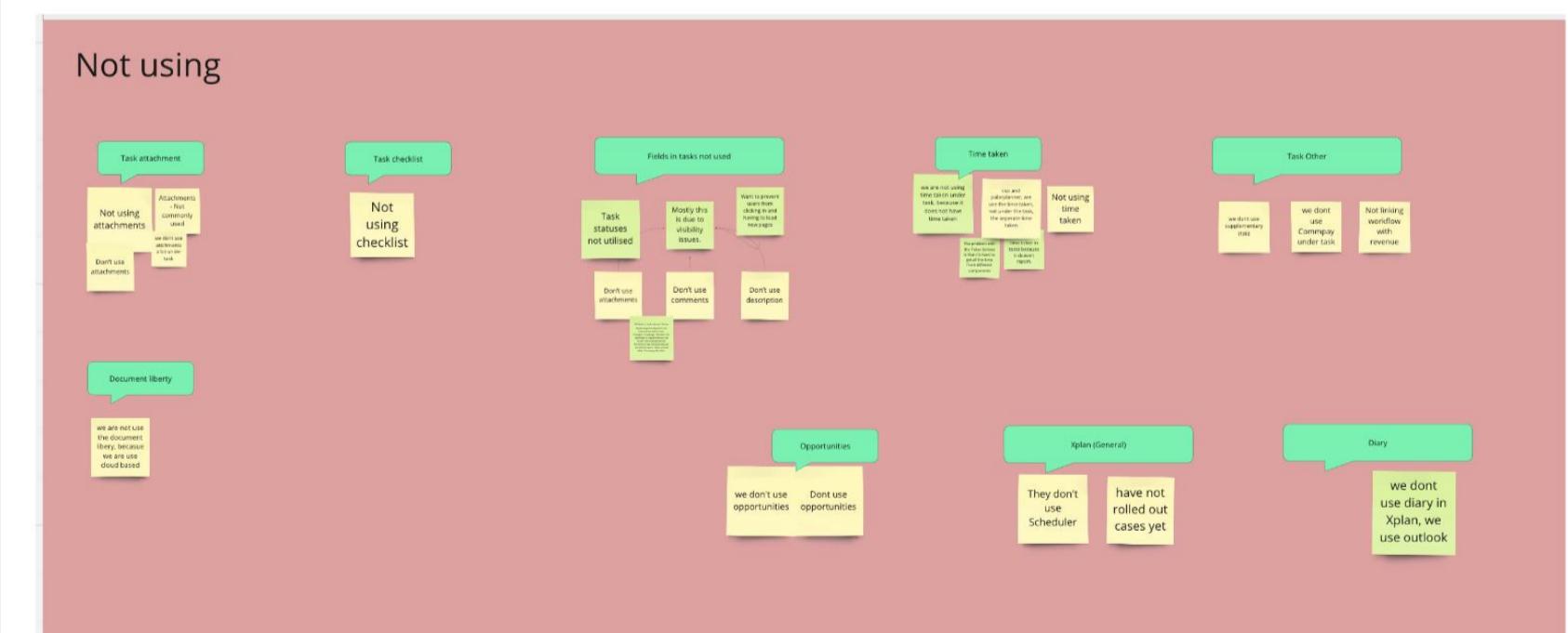
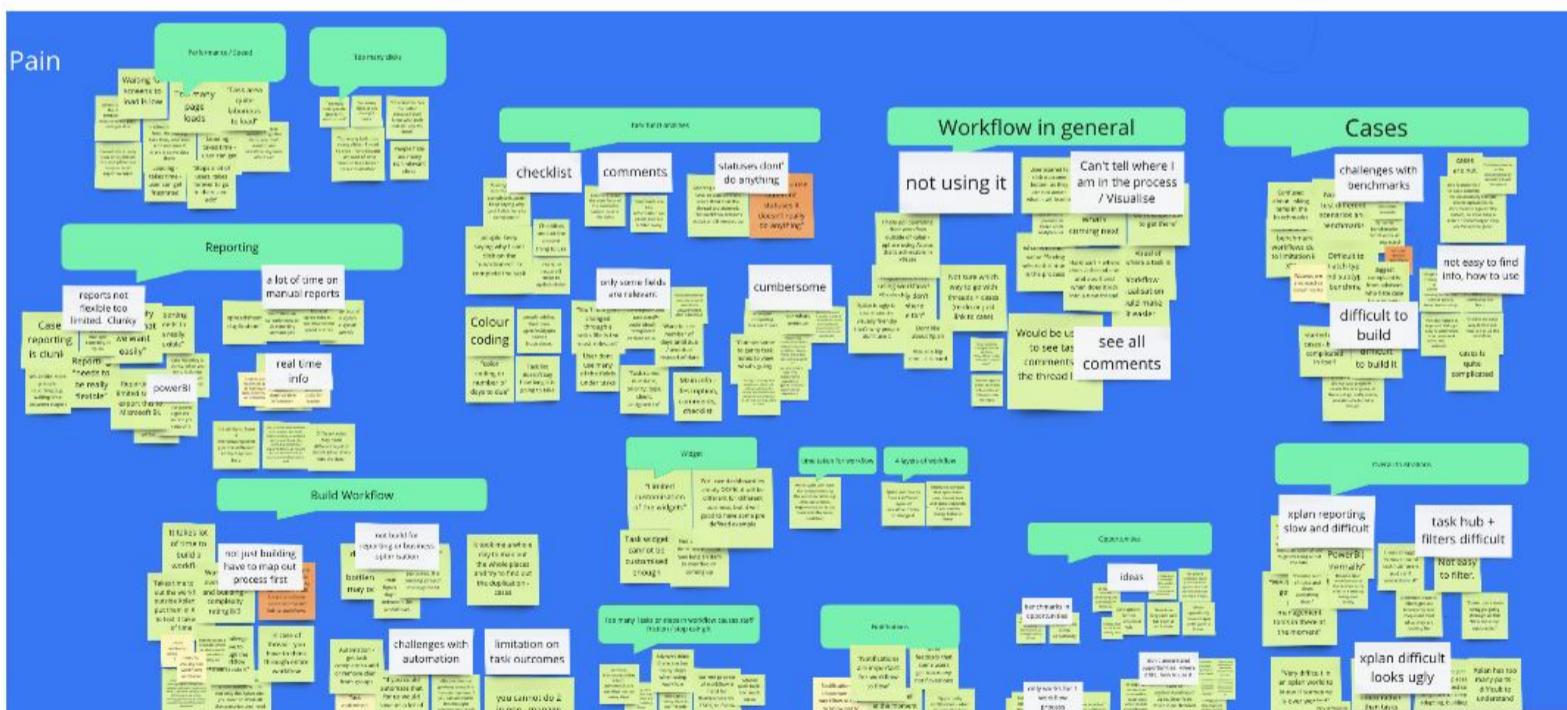


# Empathy Map



# Mental Modal

Capturing user **behaviour, pain points, motivations, and needs** from **contextual inquiries and interviews**. Grouping into logical pillars. Mapping out product features for each pillar to identify coverage, opportunities, and feature bloat.



# User Persona

## Managers

**What do they do?**

This is a broad group encapsulating general managers, operation managers, paraplanning managers.

Typically though they look after team(s), farm out work to team members, have a need to understand capacity, who is working on what, where and understanding bottlenecks and optimisations for the business.

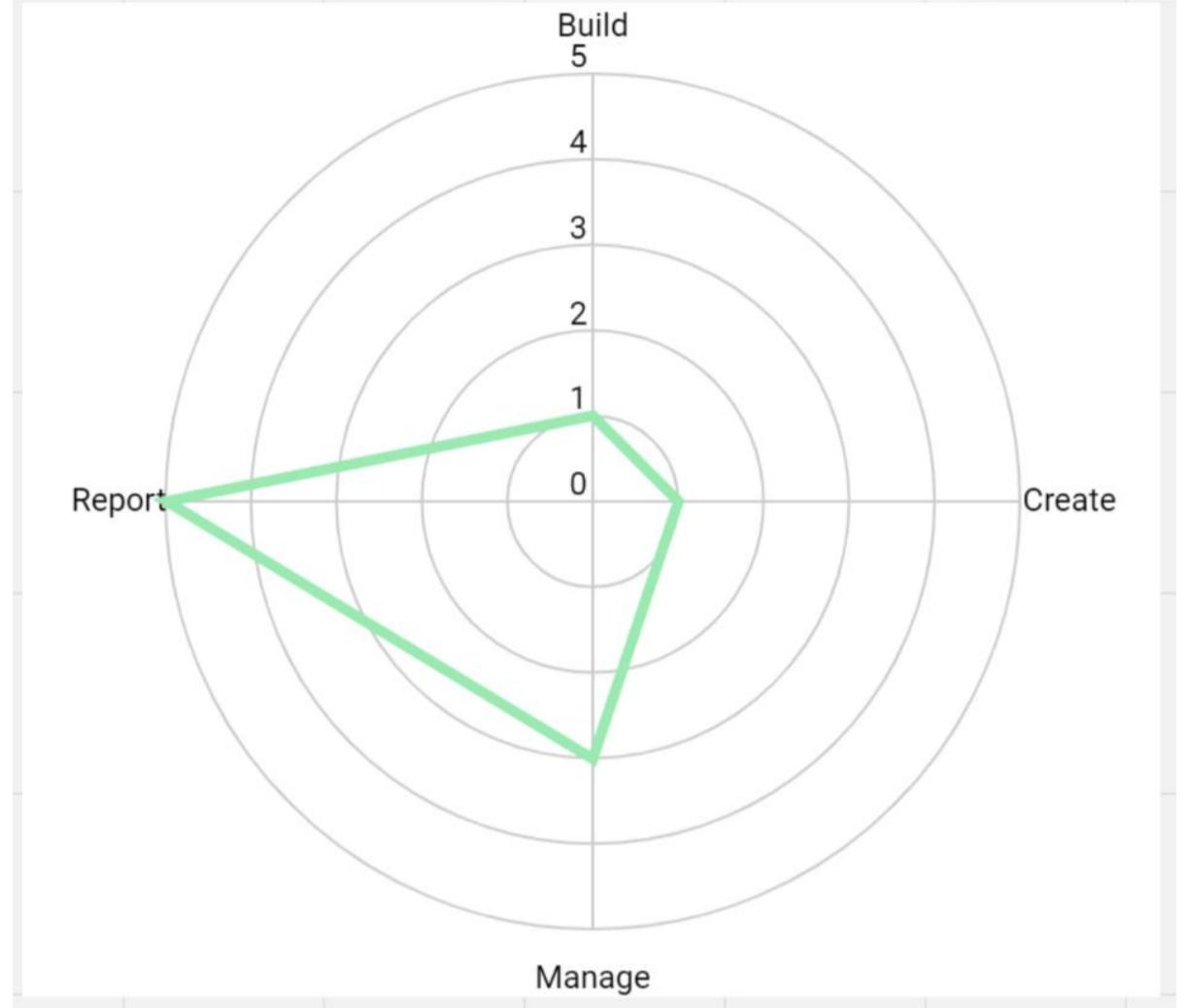
**Average Xplan Experience**

Indeterminate

**More Information**

Reporting	Monitoring workflow	Build workflow	Staff Training
Reporting is very important for this role, they are the ones seeking to understand business capacity, planning and looking for optimisations and risks in the practice. Revenue focus as well.	Managers may assign tasks but do little completing or updating them. They are focused on seeing what their users have on and detecting overdue and other risks in the workflow.	In some practices the manager was also the xplan specialist also building out the workflow.	Larger licensees have dedicated training resources but for individual practices often it can be the manager who mentions training staff on new processes/roll outs.

Managers typically can be logged in Xplan all day



## Xplan administrator

**What do they do?**

Responsible for the configuration and management of an Xplan site.

The larger the practice or Licensee the more likely it is they will have an in house xplan specialist. In smaller practices the Xplan specialist may wear other hats such as: CSO, Parapanner etc.

**Average Xplan Experience**

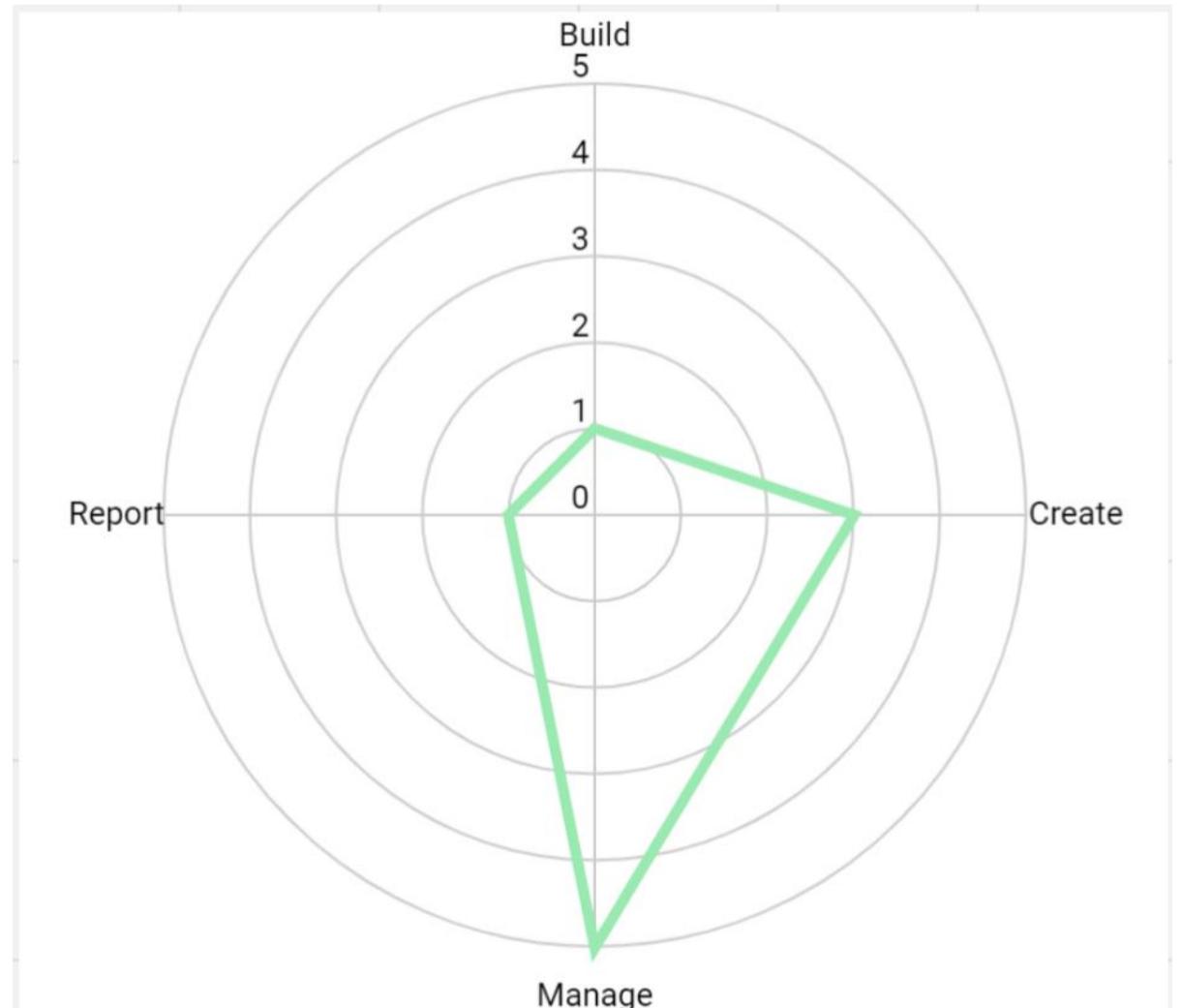
All participants we had spoken to have been using Xplan for 4+ years.

**Day to day**

Building workflow	General Projects	Support	Reporting	Training
Mapping out the process Documenting processes Building in Xplan Updating workflow	Varied, i.e managing the roll out of Prime, Lumen through to Model office. Typically seems to include things in Xplan that require multiple steps like running a campaign or bulk mail out.	All manner of Xplan support from Resetting passwords to answering why a thread may not have kicked off, or tracking down a task, users cannot find.	Creating exports/xmerge etc. Running or automating them Collating the data	Typically involves putting materials together so users have something to reference. Some Xplan administrators will run training for their colleagues.

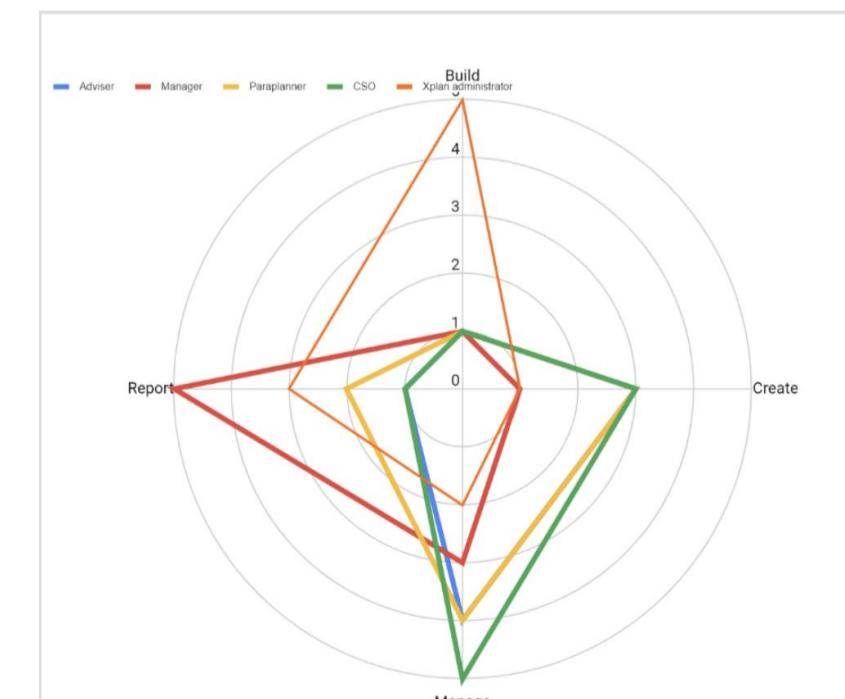
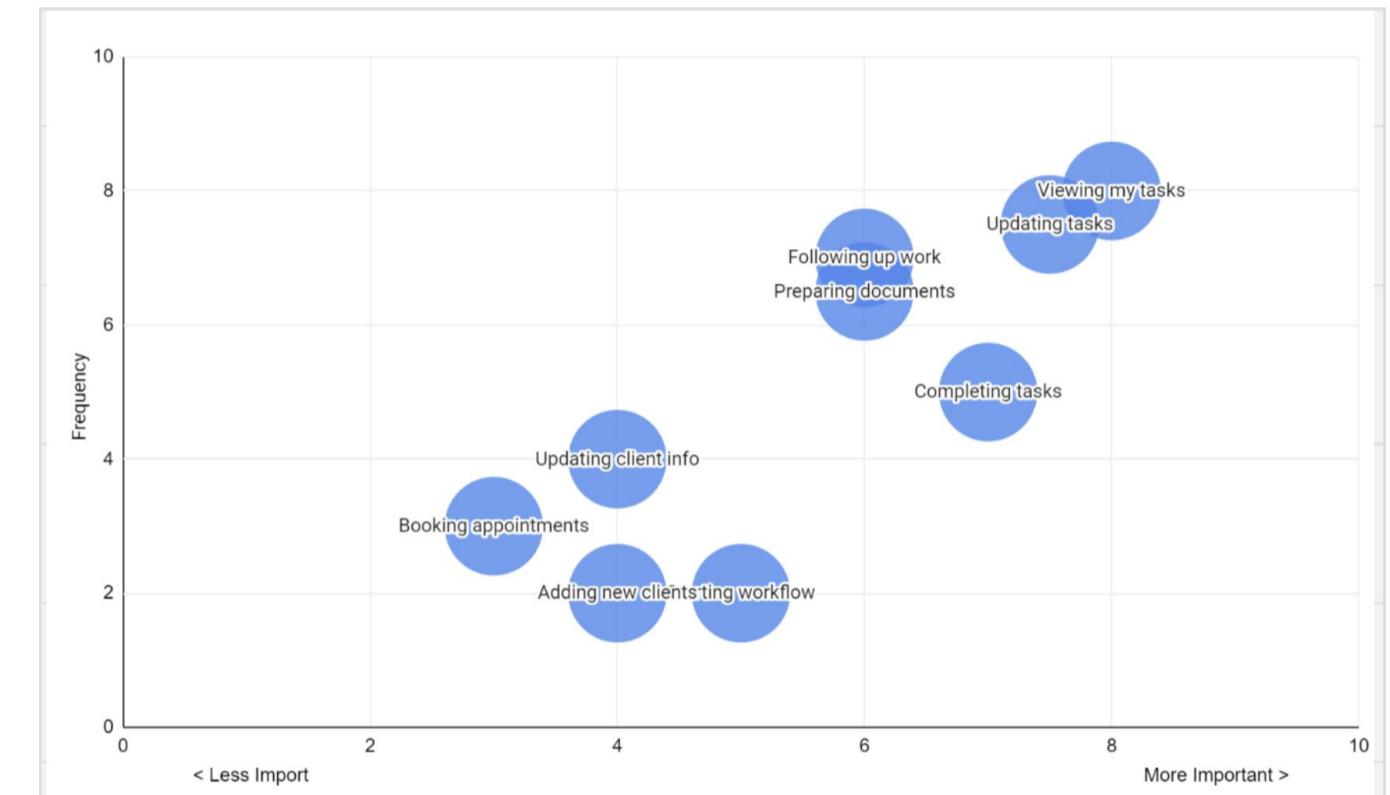
Xplan administrators told us their days could be varied day to day or based on projects that are in progress.

Xplan administrators may also be the CSO/Parapanner/Operations Manager in smaller practices



# Impact/Difficulty Matrix

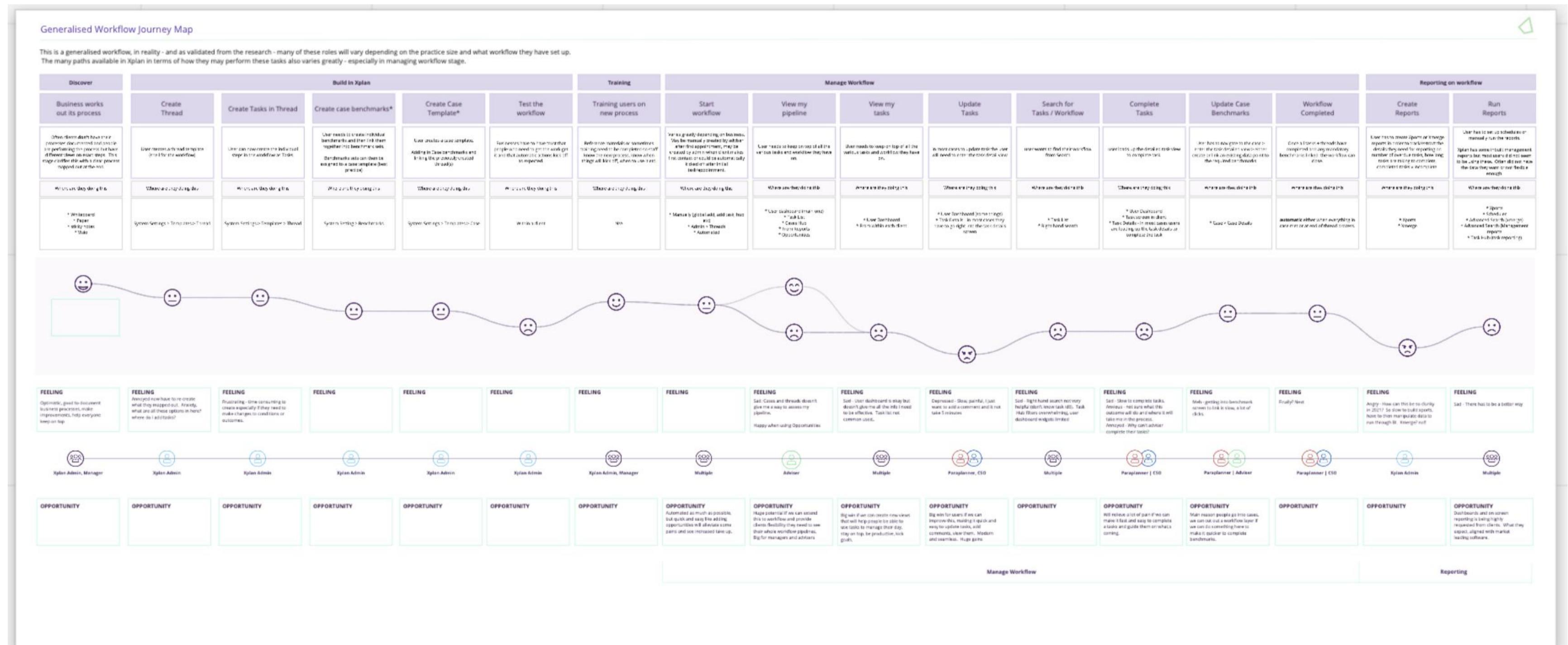
Sort solutions the team comes up with horizontally from hardest to easiest to implement. Then move the solutions up or down depending on how impactful it'll be in addressing the problem. The solutions on the top-right are quick wins and the ones on the top-left are major initiatives.



# User Journey Map

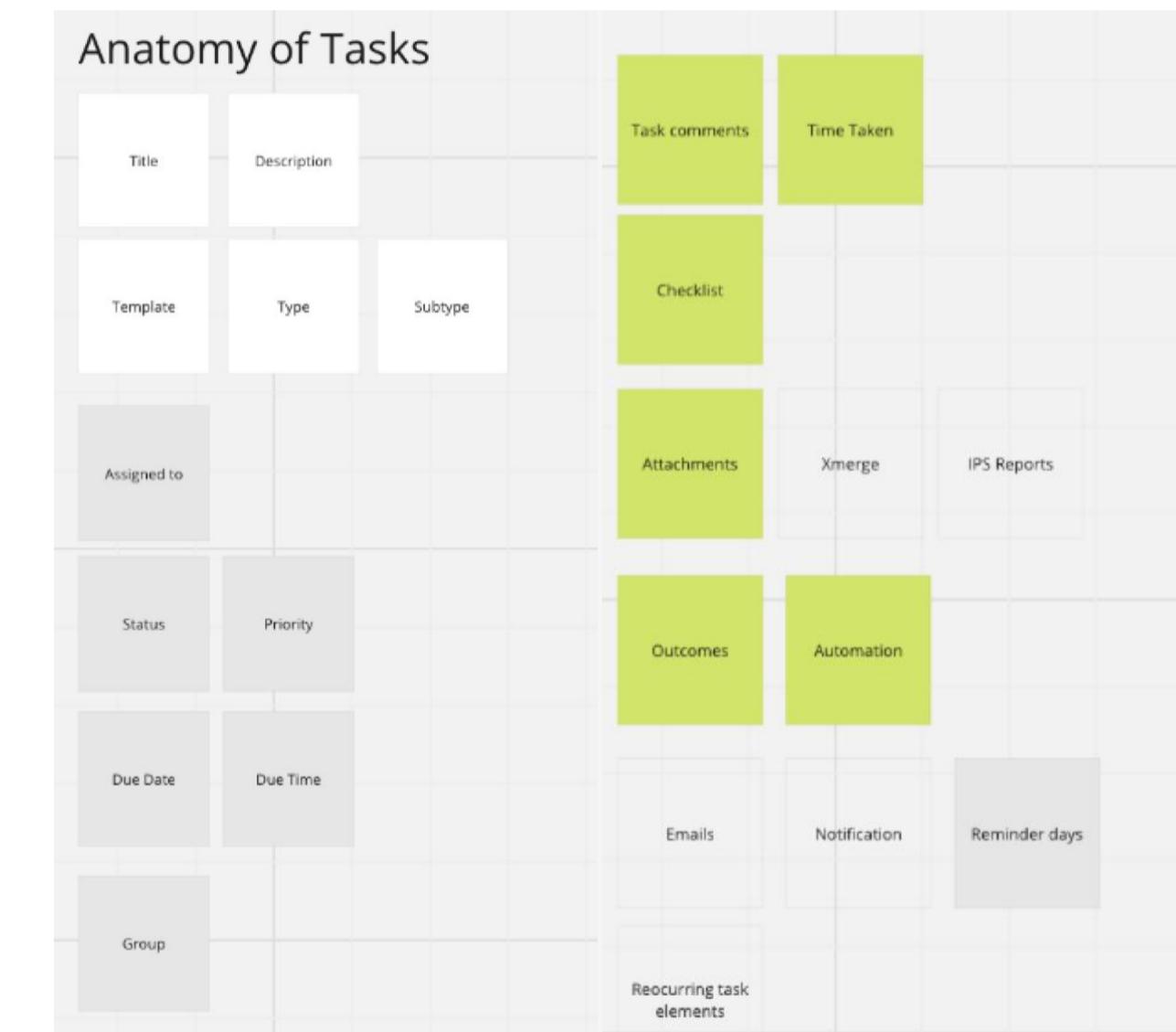
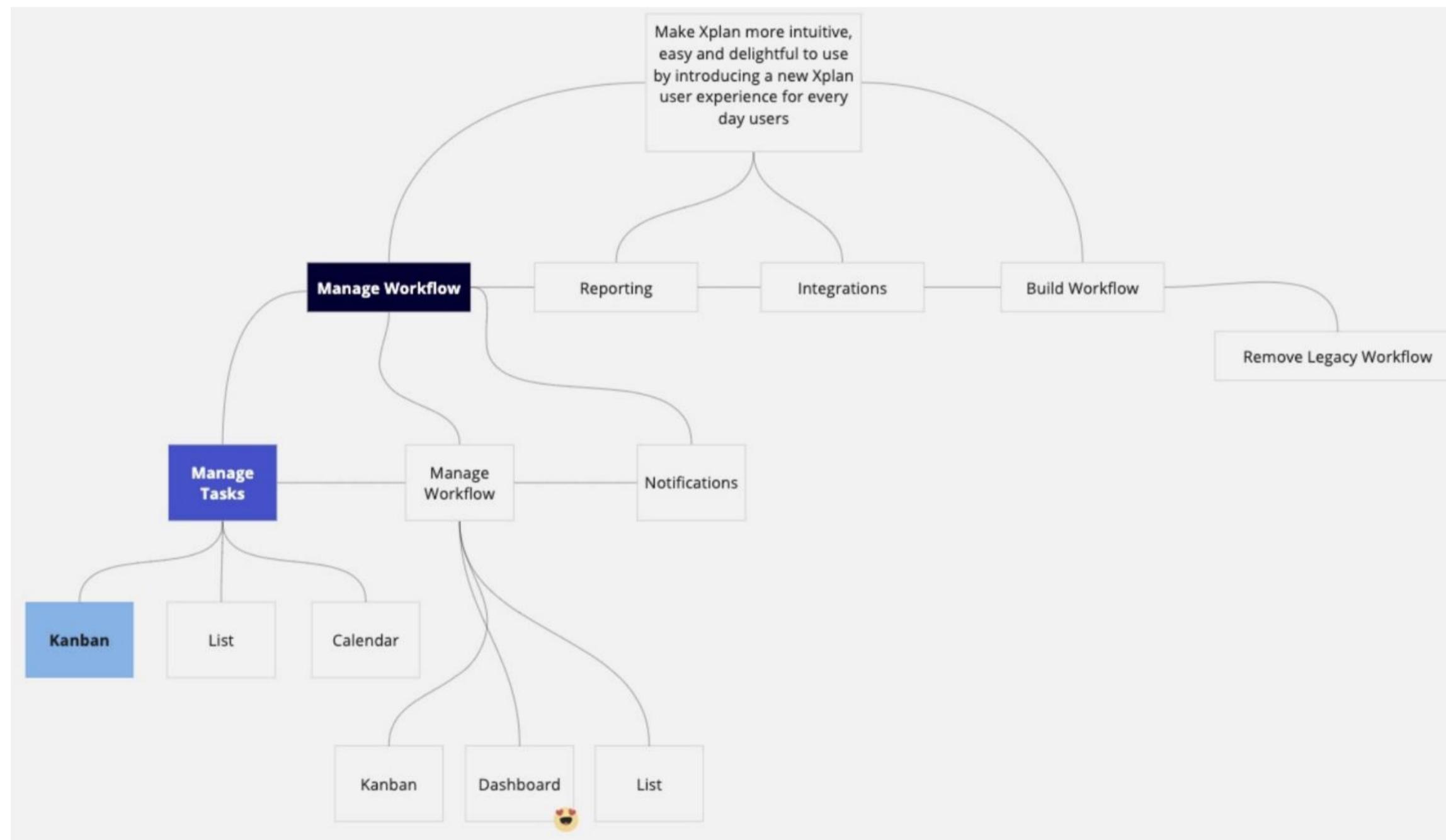
Use customer journey maps to plot out the user's experience as they progress through critical paths of your product. Capture any positive or negative observations you have for each part of the journey. Then, come up with possible solutions that can **change their frustrations into delightful moments**.

Partner with Product Manager to conduct **25+ user interviews**, directly shaping the product roadmap.



# Information Architecture/User Flow

- Determining the navigation structure, including menus, links, and navigation paths, to guide users to their desired content effectively.
- Helping how users search for information within the system



# Sketches/Low-fidelity Wireframes

These initial sketches/low - fidelity wireframes helped us get ideas out of your head and down on paper. Rapidly iterate through obvious solutions and dig deeper to discover innovative or more effective ways to solve our users problem. Used these sketches to generate feedback and ideas early on with users, colleagues, and stakeholders. These mockups were created in Adobe XD.

Enhanced continuity between the Figma design system and Storybook, reducing cycle time between designers and developers.

## Prototypes - Initial walkthrough of the concepts

The image displays six wireframe prototypes for a client management system, likely created in Adobe XD. The prototypes are arranged in two columns of three. Each prototype is a screenshot of a web-based application with a dark header bar containing the brand logo, user name (Johnny Roughton), and search bar.

- Workflows Dashboard:** Shows a summary of total workflows (216), open workflows (48), and workflow outcomes (112). It includes a pie chart showing success (72%), lost (20%), and aborted (8%). Below this, it shows an overview of overdue workflows (4), aged workflows (over 90 days) (6), and tasks with no activity (1 week) (17).
- Tasks List:** A grid view of tasks with columns for Subject, Status, Due date, Client, Assigned to, and Type. Each task item includes a small preview of the task details and a delete icon.
- Task Details:** A detailed view of a specific task, showing its full description, due date (10/12/2022), client (Rikka Panamee), assigned to (Ben Benze), and status (In progress).
- Settings:** A configuration screen for workflows. It lists four workflows: Annual review, Comprehensive advice, Retirement workflow, and Retirement workflow. Each entry has fields for Activity, Stage, Due date, Client, Assigned to, and Status.
- Customise Task Status:** A modal dialog for managing task statuses. It shows a list of new statuses (To do, In progress, Waiting on client, Needs review) and classic statuses (Unctioned, Actioned, Pending, Review, Complete, Aborted).
- Complete Task:** A modal dialog for finalizing a task. It asks "Select an outcome to complete this task" with options: Client proceeding (signed ATR), Client proceeding (with amendments), Client not proceeding, and "Selecting this outcome will...". It also includes a "Back" button and a "Cancel/Complete" button.

# Sketches/Low-fidelity Wireframes

Task Modal - Add to checklist - Form add

Send out welcome pack

Status: Uncheckeded | Priority: Normal | Assigned to: User3, Labs | Due date: 07/03/2023

Description: Send out the welcome pack as a part of the client onboarding

ID: 496  
Assigned by: Lin Chao  
Type: Email  
Group: Select an option  
Entity: Client  
Assigned to: User

Comments Checklist Attachments

Viewing all comments from workflow

- Letter of authority template
- thebestfilename
- Final Advice 230922

Click to browse or drag and drop your files

Add item

Due date 14/03/2023 | Cancel | Add

Due date 07/03/2023 | Cancel | Add

Save | Cancel

Task Detail Side Pane - Tags better colors?

Comments Checklist Attachments

Standard checklist item 14/03/2023  
Hover state has delete option? 14/03/2023  
Due Date has been reached 14/03/2023  
Completed checklist item? 14/03/2023  
This could be a really really long checklist item that will wrap over two or so lines...

Add item

Due date 14/03/2023 | Cancel | Add

Task Detail Side Pane - No attachments

Comments Checklist Attachments

Standard checklist item 14/03/2023  
Hover state has delete option? 14/03/2023  
Due Date has been reached 14/03/2023  
Completed checklist item? 14/03/2023  
This could be a really really long checklist item that will wrap over two or so lines...

Add item

Due date 14/03/2023 | Cancel | Add

Task Detail Side Pane - No attachments

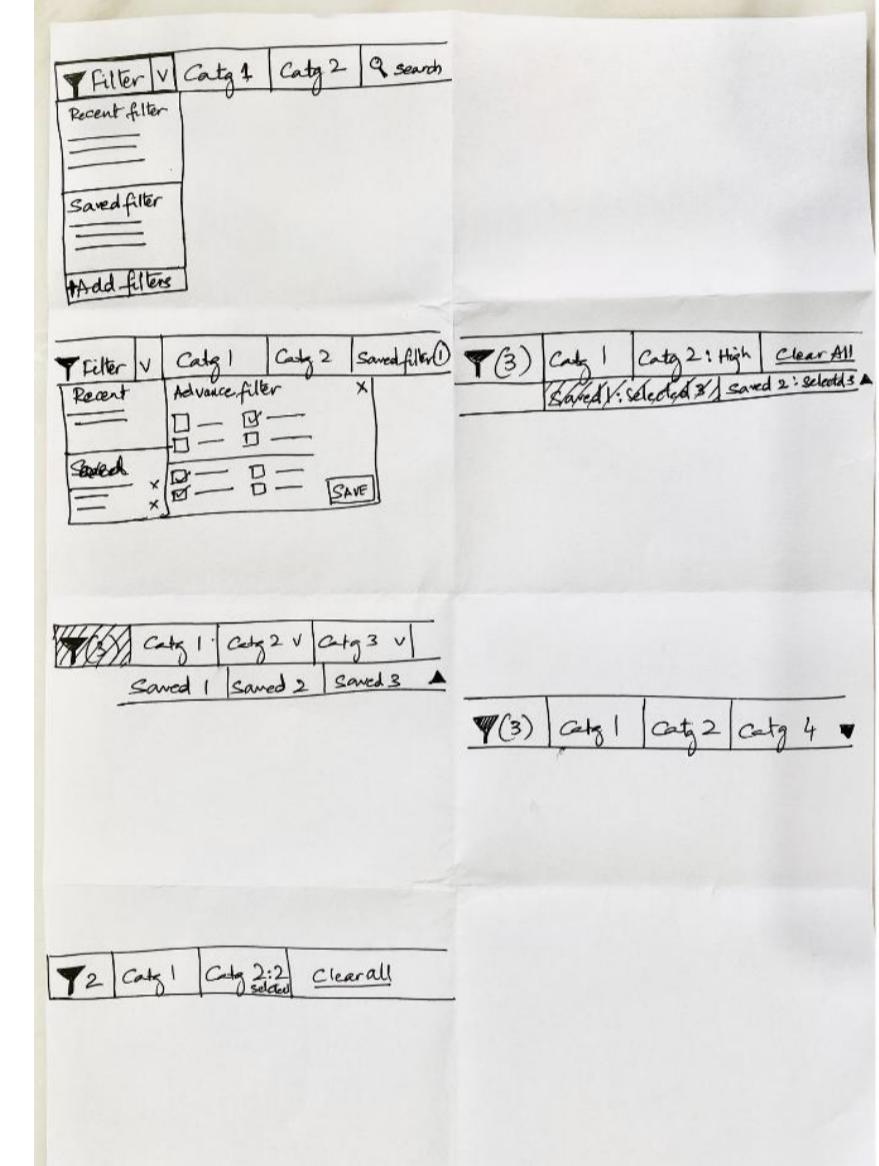
Comments Checklist Attachments

No checklist

Show the key steps for this task and make sure nothing gets missed

Add item

Due date 07/03/2023 | Cancel | Add



Task - Main - Kanban - Preferences - 2

Tasks

Subject: Status: Not started (6)

Workflow: Prepare Statement of Advice, Advice - Documents, Normal, Due 26/03/2022

Notifications: Generate portfolio reports, Generate Ltr, Due 26/03/2022

Appearance: Generate annual review document, Advice - Review, Normal, Due 01/05/2022

Reports: Generate portfolio reports, Generate Ltr, Due 26/03/2022

Learn more

Cancel | Save

Loading State (required API call)

Error: This text is really informative and helps our users! Bravo!

Close icon

Font size - 14 Regular  
Colour - #545454

Label size - 14 Bold  
Colour - #C12546  
Vertical line colour - #C12546

Info: This text is really informative and helps our users! Bravo!

Close icon

Font size - 14 Regular  
Colour - #545454

Label size - 14 Bold  
Colour - #0073CD  
Vertical line colour - #0073CD

Warning: This is a warning & suggests there may be trouble ahead.

Close icon

Font size - 14 Regular  
Colour - #545454

Label size - 14 Bold  
Colour - #C7520C  
Vertical line colour - #C7520C

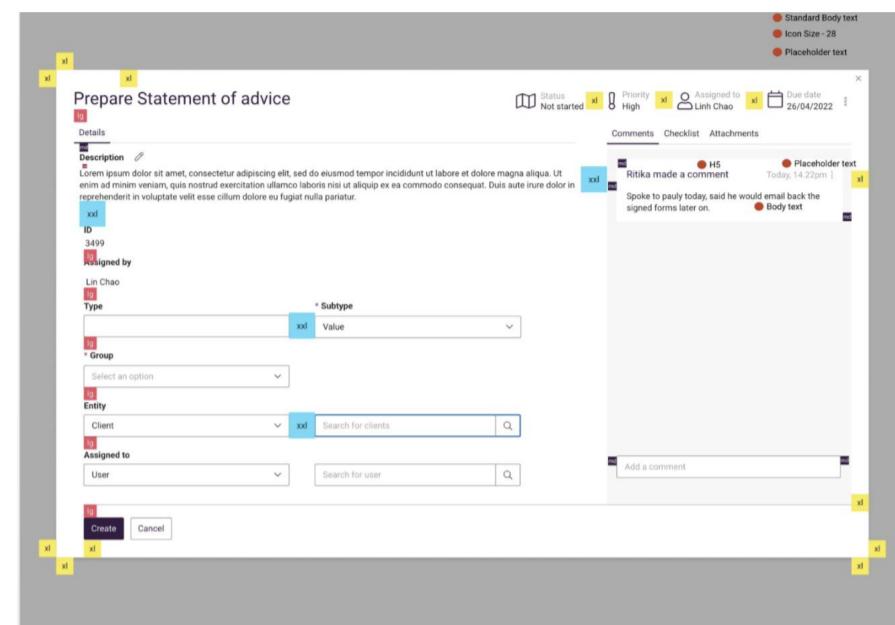
Success: This text tells you something has been successful! Yay!

Close icon

Font size - 14 Regular  
Colour - #545454

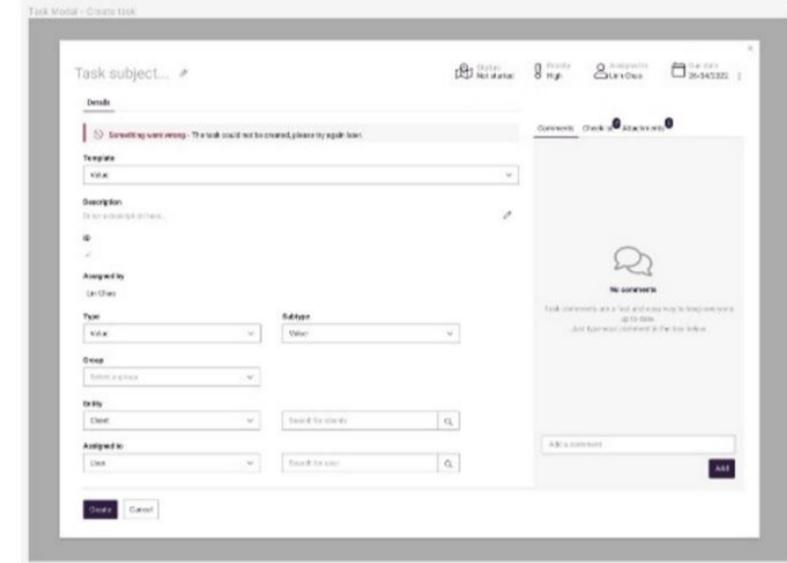
Label size - 14 Bold  
Colour - #009556  
Vertical line colour - #009556

# Reviews



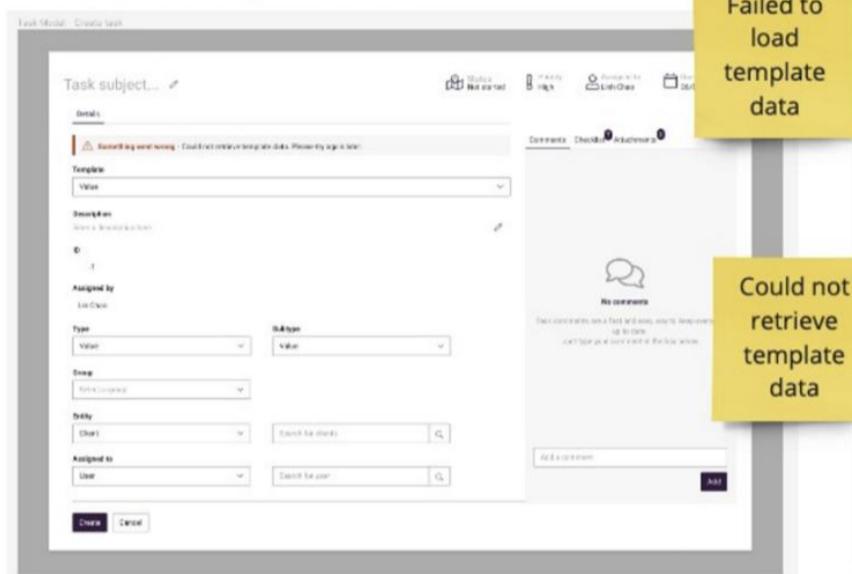
**Context:** In the create task modal, once the user updates all the required input to create the task and saving the create button -> The Task API might fail for any reason and return an error without creating the task.

**Solution:** Display an alert message shown below to inform the user that the system failed to create the task.



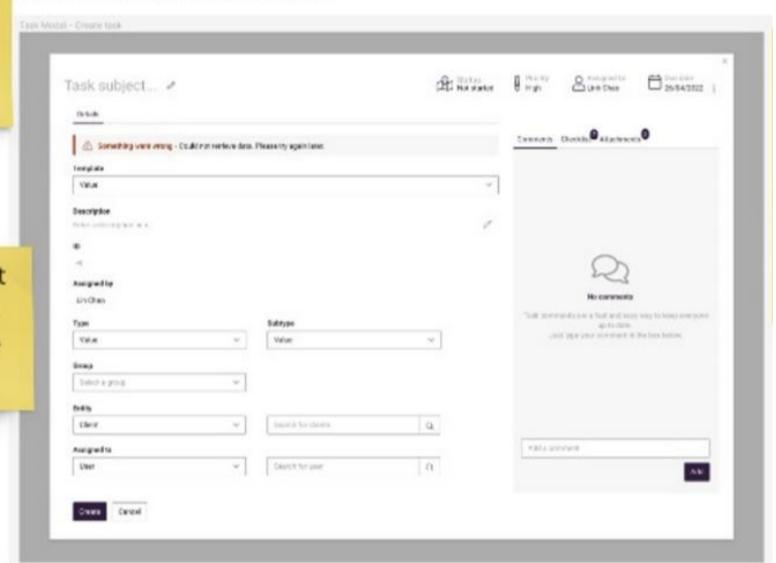
**Context:** In the create task modal, the user needs to select a template to proceed with task creation. The list of templates dropdown might not return a failure, preventing the user from viewing any template on the dropdown.

**Solution:** Display an alert message shown below to inform the user that the system failed to retrieve a list of templates to chose from.

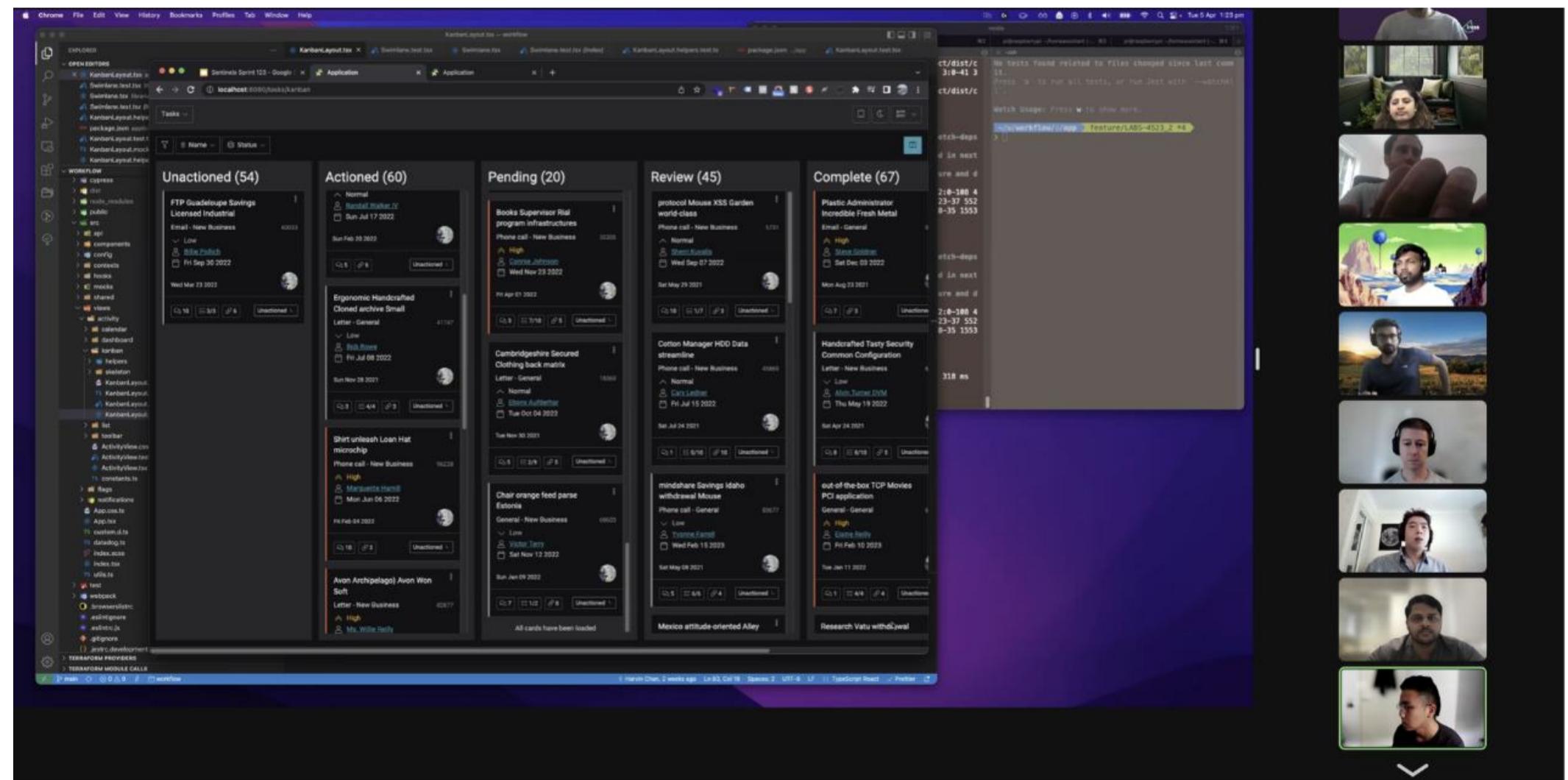


**Context:** In the create task modal, the user has optional fields like type, subtype, groups, priority, status, assignee, entity to select from, to create the task. Any of the input components listed below could fail to retrieve data from Xplan which might prevent the user from selecting the correct value they intend on the task.

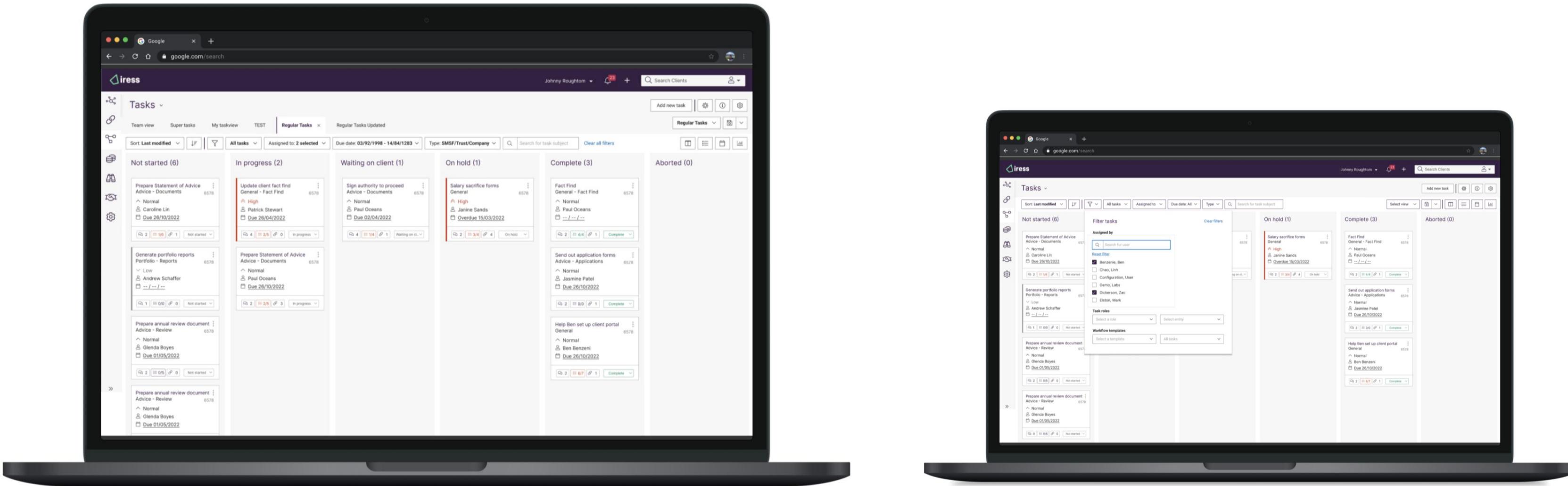
**Solution:** Display an alert message shown below to inform the user that the system failed to retrieve field data to chose from.



Daily standups, retros sessions, and discussions with Engineers, BAs and testing teams



# High Fidelity Screen



# Other Screens

## All features - Workflow Management

Labs Workflows

Section: Task Modal

PROTOTYPE

<https://xd.adobe.com/view/10407bb3-6dc5-4774-9816-a201a5169e78-4513/>

Labs:  
Task Hub

Complete Task (All in one)

Outcomes  
\* Complete the 'Salary sacrifice forms' task

PROTOTYPE

<https://xd.adobe.com/view/b123c6e5-ec62-421d-9e5c-24b10b8ed181-e470/>

# Other Screens

**Labs Workflows**

Filters - User testing - Option 2

Similar to Advanced filters - Hide all options in a pop over  
Displaying only default filters on the screen

**PROTOTYPE**

<https://xd.adobe.com/view/2475a57e-a920-453e-b2e4-97909e618f32-7126/>

**Labs Workflows**

Section: Notifications

A look at a concept for workflows TBA

# Design System

## Best Practices

### DS Components



Each component has a page where it is displayed in all possible visual variations



#### Form

- [iress-slider](#)
- [iress-button](#)
- [iress-checkbox-group](#)
- [iress-field](#)
- [iress-form](#)
- [iress-input](#)
- [iress-radio-group](#)
- [iress-select](#)
- [iress-comboobox](#)
- [iress-slider](#)



#### Layout

- [iress-col](#)
- [iress-container](#)
- [iress-inline](#)
- [iress-panel](#)
- [iress-row](#)
- [iress-stack](#)



#### Presentation

- [iress-badge](#)
- [iress-card](#)
- [iress-hide](#)
- [iress-icon](#)
- [iress-progress](#)
- [iress-skeleton](#)
- [iress-table](#)
- [iress-text](#)
- [iress-tooltip](#)



#### Interactive Panels

- [iress-expander](#)
- [iress-modal](#)
- [iress-popover](#)
- [iress-slideout](#)
- [iress-tab-container](#)

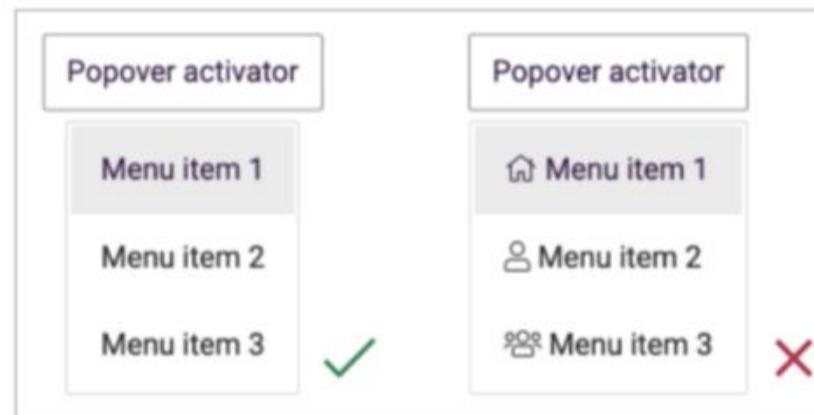
# Best Practices Documentation

## Icons

Note: We currently use the [Font Awesome \(FA\) v5.15.4 library of icons](#). This can be a little limiting. At some point, IDS will be looking at ways to see if we can manage both FA and our own bespoke icons within one library, using our [Icon component](#).

Icons are to be used with care and only in certain circumstances. Don't fill your designs with icons, as they can add visual distraction/noise. Sometimes, just using explicit, succinct wording can be easier to understand. It is much easier for users to recognise information than to have to recall its meaning. [Read this article on recognition vs recall by NNGroup](#).

Do not use icons in **Popover Menus**, as you will find it hard to always come up with appropriate icons in the future.



Ideally, every icon has a label. This is particularly true of applications where they aren't used very often, or very rarely. You can't always rely on people immediately understanding a pictorial representation of a word.

[Example of an icon with a label](#)

For applications that are used every day, then you may be able to remove the label, but you will need to think about how you onboard people to enable them to understand the icons purpose - whether that be introducing them to the icon with a label on one page, to help them understand its use without a label later, or onboarding them with a 'tour'.

If your icon doesn't have a label you **must** add a **Tooltip** as alt-text so that it can be read by the **Screen Reader**. Although this is done at the code level, as the designer, you should specify the alt-text you'd like the developer to include.

[Playroom example](#)

## Storybook

```
<iressSelect name="select3" placeholder="W2" width={iressSelect.Width.Two}>
<option value="google">Google</option>
<option value="newspaper">Newspaper</option>
<option value="friend">Friend</option>
<option value="other">Other</option>
</iressSelect><br />
<iressSelect name="select4" placeholder="W4" width={iressSelect.Width.Four}>
<option value="google">Google</option>
<option value="newspaper">Newspaper</option>
<option value="friend">Friend</option>
<option value="other">Other</option>
</iressSelect><br />
<iressSelect name="select5" placeholder="W6" width={iressSelect.Width.Six}>
```

# Team involvement

**UX involvement feedback**

Within the User Experience team, we are always looking for ways to improve and gauge the experience of non-UX team members participating in design and research activities.

The below survey will take you less than 3 mins and will help us improve our processes as well as show the value of what we do.

Please answer below in context of your most recent User Experience activity (e.g. user research, design sprint, design brainstorm, usability testing)

suman.narayan@iress.com Switch account 

 Not shared

\* Indicates required question

What was the most recent activity you took part in? \*

- User research / interviews
- Design sprints
- Design brainstorming
- Usability testing
- Workshop
- Other ...



# Testimonial from Clients

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## Task Hub - What are clients saying?

"Great to see the regular enhancements keep coming through for the task hub.. The new format is definitely growing on me, I find the process for choosing completion options and dealing with checklists is much smoother."

Susie Vincent (CEO) Goldsborough Financial Services

“

Well done with this update!  
I agree with all the suggestions above.

Hi Matthew and Team,  
What a fantastic development, well done on all the work that has gone into this and getting it to us before the end of the year.  
I have had a look around this morning and have some feedback and questions, some of which you are probably already working on.

Morning,

Great development. We've enabled Task Hub on our site and have a couple of quick questions:

”

# UX impact

Leads created

1,892

By Users

369

Top UK Client

Succession

Top AU Client

RI Advice

72%  
Increased  
Community  
Traffic

Info

Succession account  
for 41% of leads  
created and are  
already looking to  
move to  
Opportunities.

Info

This was from 8  
users across 2  
practices who have  
created 158 leads in  
the last 30 days.

Sites

565

+84%

Users

4,950

+65%

Top UK Client

Intrinsic (UK)

Top AU Client

VFGL

Most used workflow

Overdue Tasks

Most used quick add

Tasks

48.44%

Most used Activity Feed

Tasks, Tasks, Ta...

# **Key Takeaways**

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- Prioritising and understanding the needs and preferences of users throughout the design process with regular user feedback and testing are essential for creating intuitive and user-friendly experiences
- Effective collaboration with cross-functional teams, **including developers, product managers, and stakeholders**, is crucial for **aligning design decisions with business objectives**.
- Embracing an iterative design process that allows for **continuous improvement** based on feedback and testing results. Iterating on designs ensures that solutions evolve to meet user needs effectively
- Staying updated on **industry trends, emerging technologies, and implementing best practices** in UX design.



# Thank you for viewing

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