Ohio Attorney General, Bureau of Criminal Investigation

Background Check and Expungement Process

April 11 – 15, 2016

Why Are We Here?

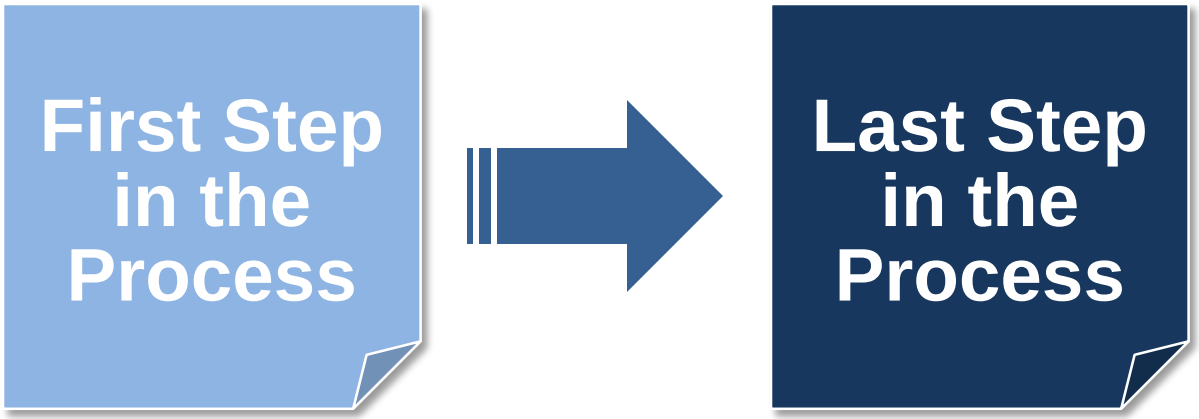
To aid the Identification section of the Bureau of Criminal Investigation (BCI) in streamlining processes and creating efficiencies in the way we process the daily workload: submission of data (fingerprint and disposition data), processing of background check results, sealing/expungement requests, etc.

The Kaiz-Dent WIP Crew

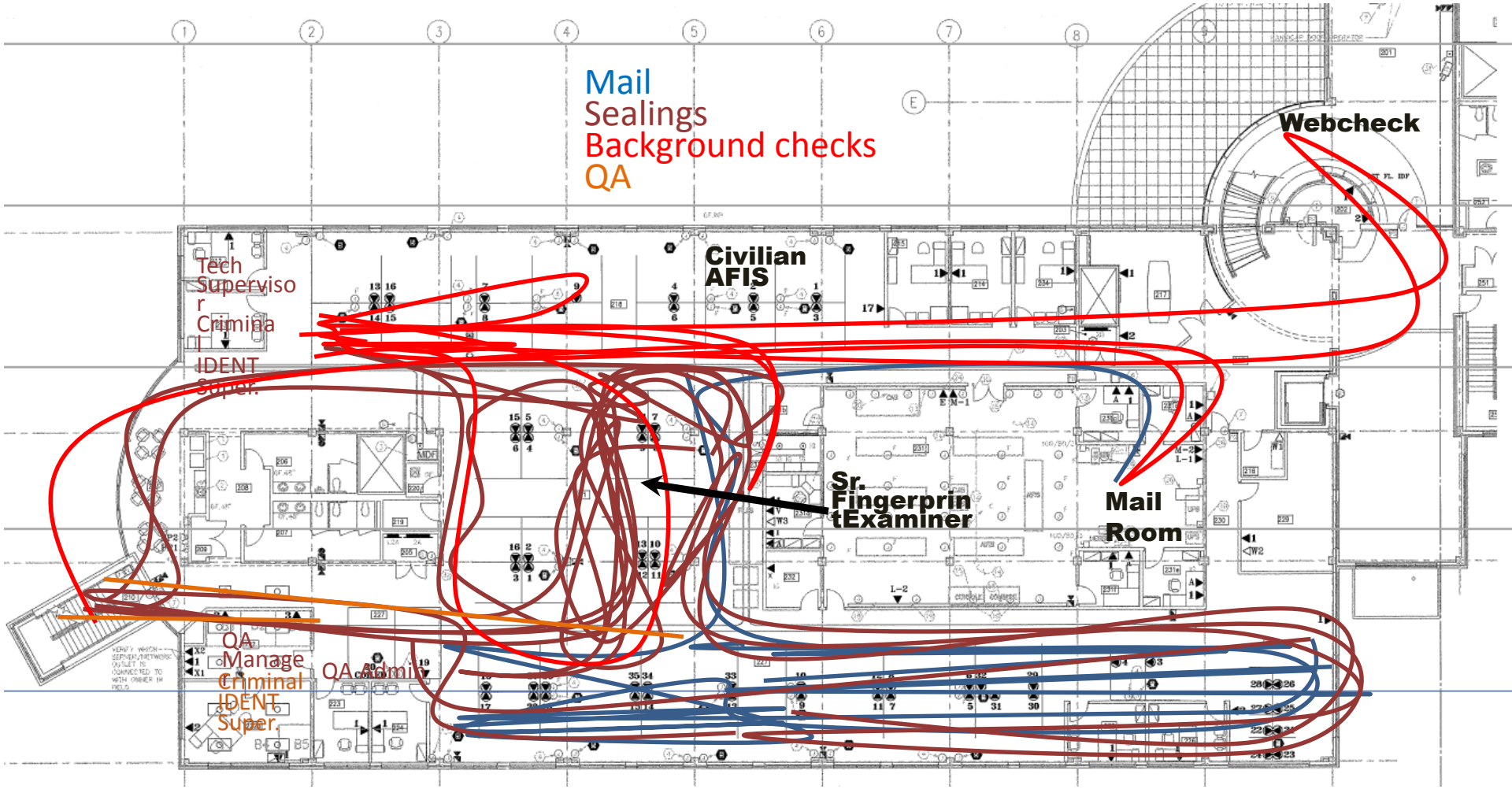
Event Scope

- What is the first step in the process?
  - Our process begins with receipt of fingerprint submission.

- What is the final step in the process?
  - Our process ends with updating/verifying a record and/or mailing the result of the background check.



Event Baseline Data



Over 3 miles!

Process Improvement Goals

- Reduce/improve the back and forth/handoffs between sections
- Clearly defined processes and policies
- Ensure adherence to statutory obligation deadlines
- Improve response time to customers

Change for the Better

- Customer focused
- Right people changing the process
- One week-quick and action oriented
- Necessary resources available immediately
- New process implementation begins next Monday

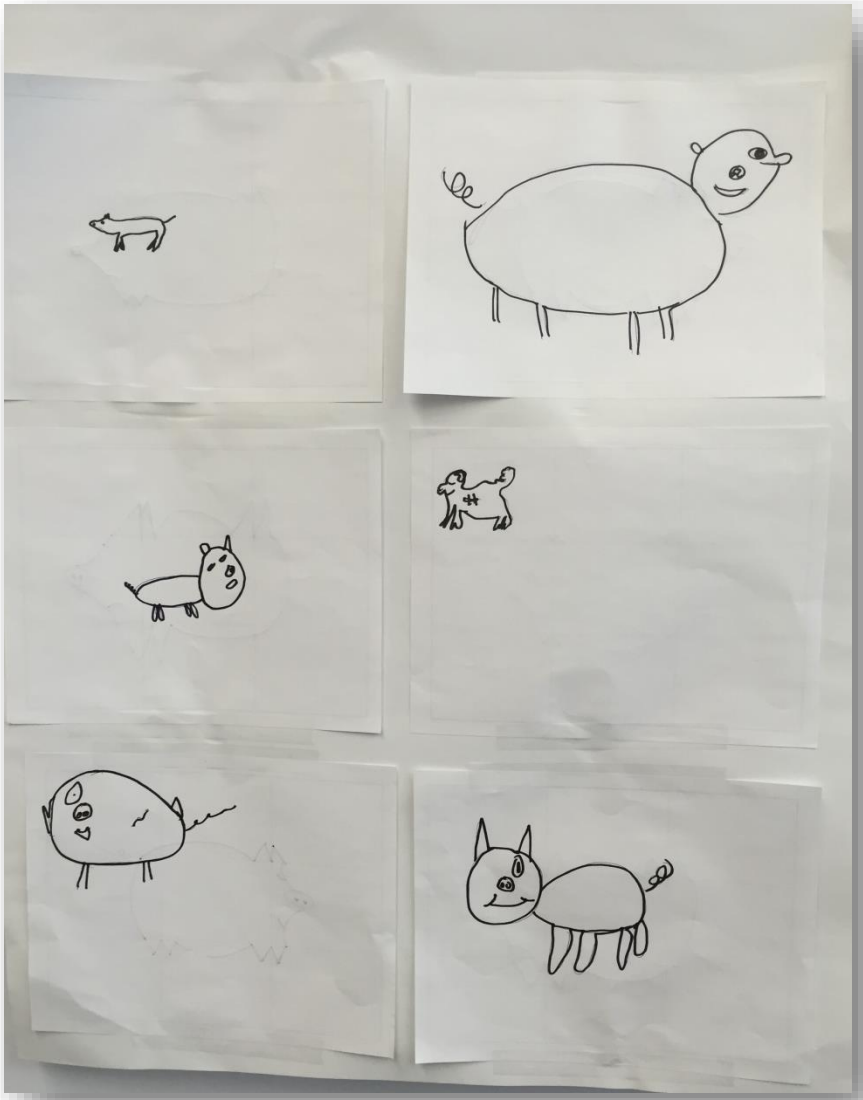
Day One

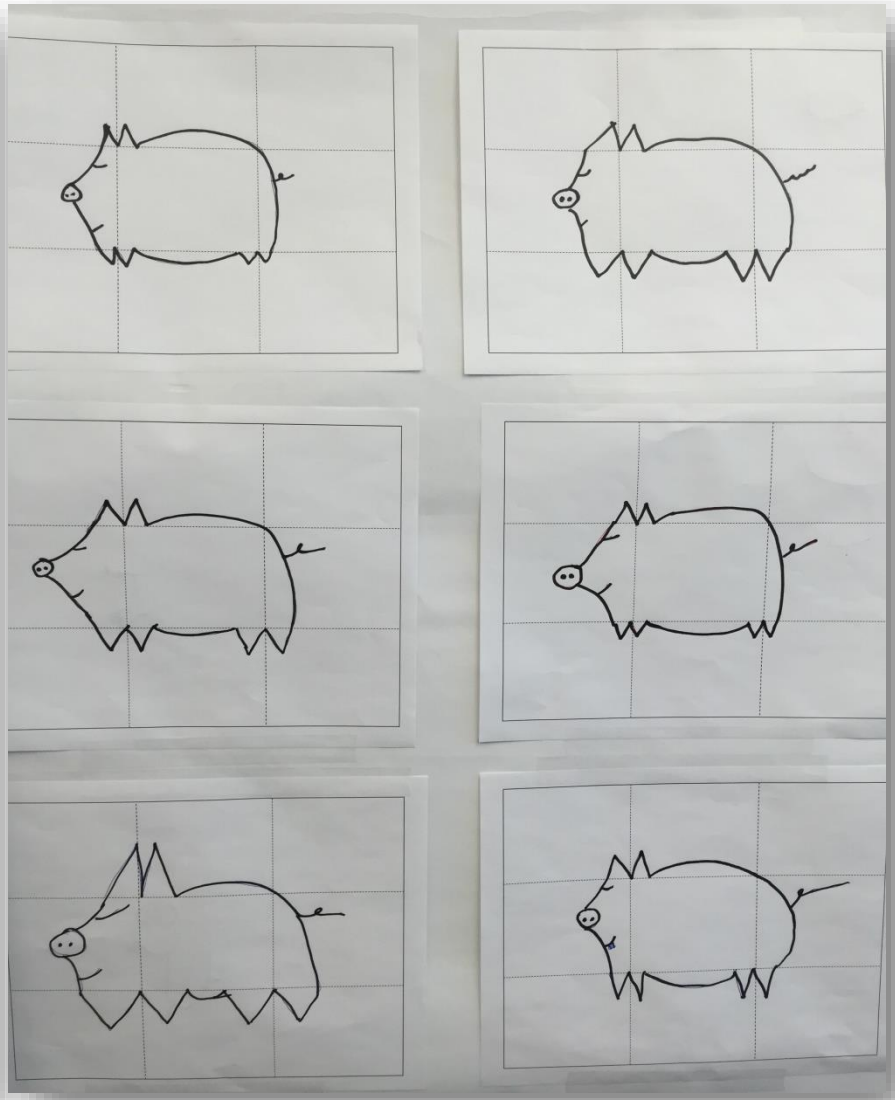
- Level setting
- Scope of event
- Stakeholder identification
- Current state mapping

Day Two

- Finish current state mapping
- Waste identification
- Lean Six Sigma training

Standard Work

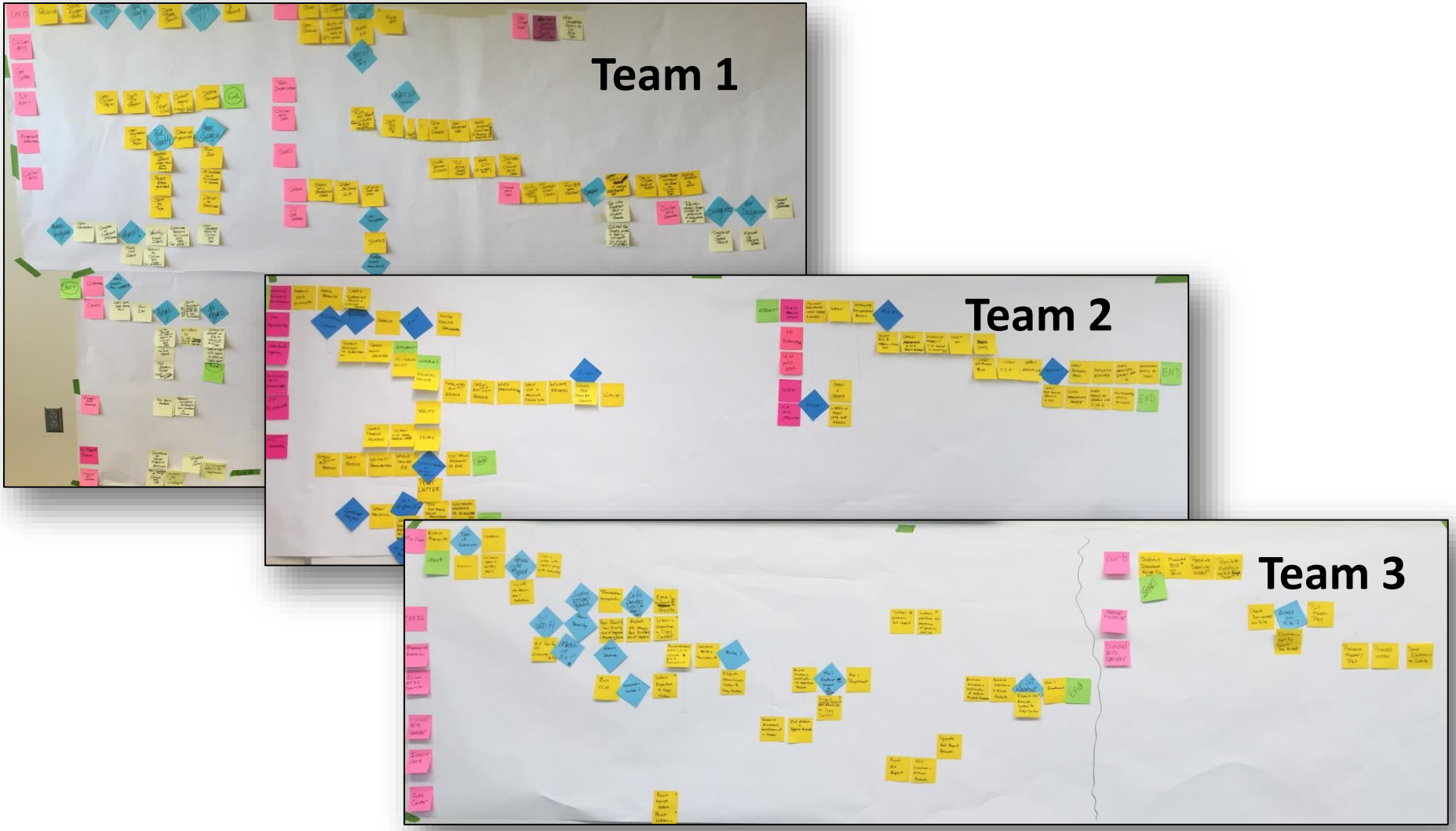




Day Three

- Brainstorming
- Analysis
- Problem solving
- Process redesign

Process Redesign



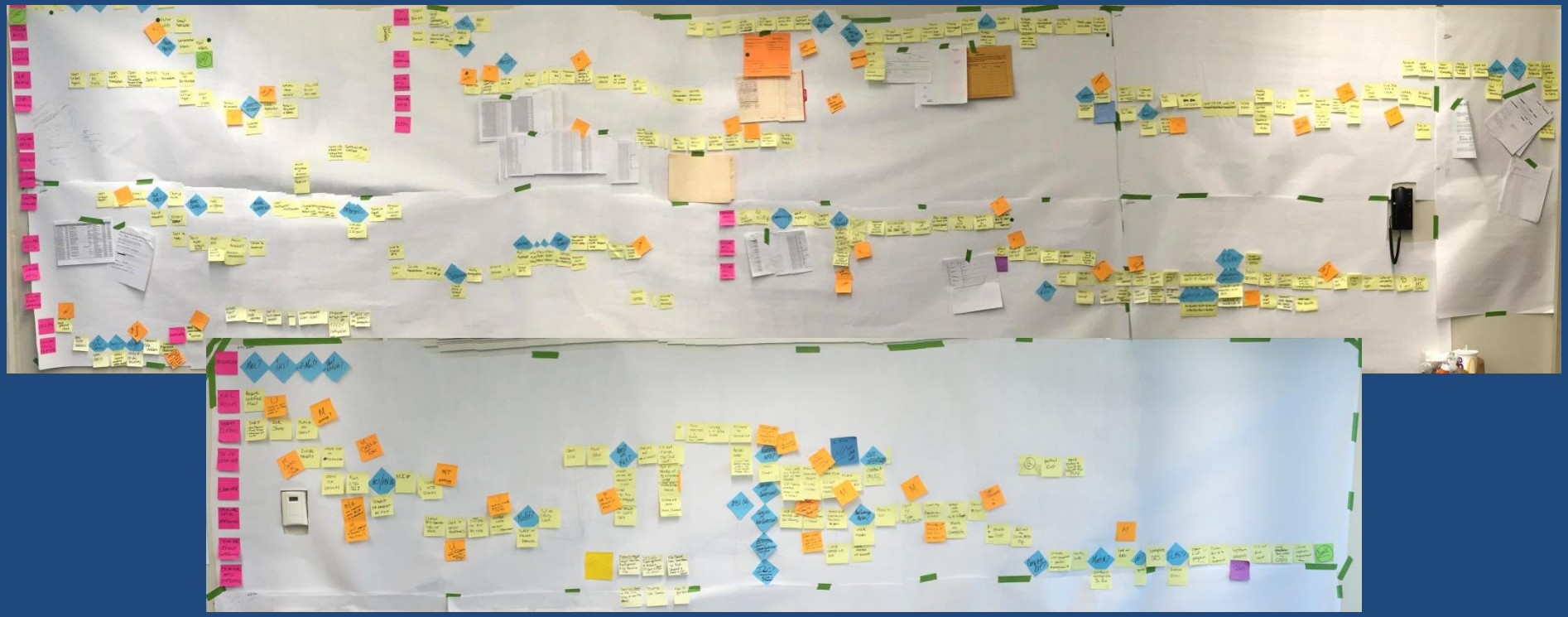
Day Four

- Future State Process
- Discussion and consensus
- Implementation planning
- Details

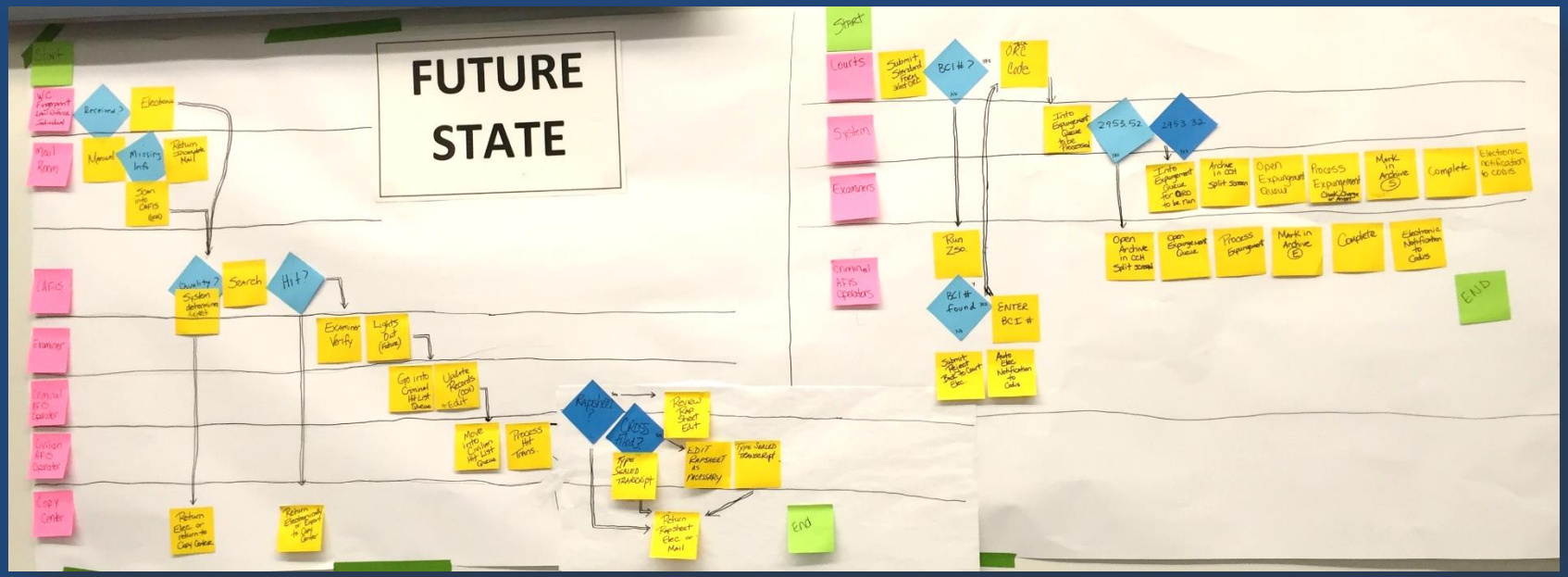
Today - Day Five

- More implementation planning
- Celebration
- Sharing results

Current State



Future State



Simpler

- Fewer decisions in poor quality
- Fewer steps in thru process – way of thinking carried over into other processes
- Standardized forms
- More efficient process due to cross training
- Less confusion from outside agencies and courts

Faster

- Less motion
- More automation
- Faster turnaround time
- Lower phone time hold
- Only having to 2nd verify prints
- Printing sealing/expungement off archive will save time with no pulling sealing order
- Less manual pulling of pockets, etc.

Better

- Less sealing orders being lost or destroyed
- Less “Work in Process” = happier employees and customers
- More time available to evaluate other tasks
- More time for 5S
- Improved public image
- Less escalation of problems

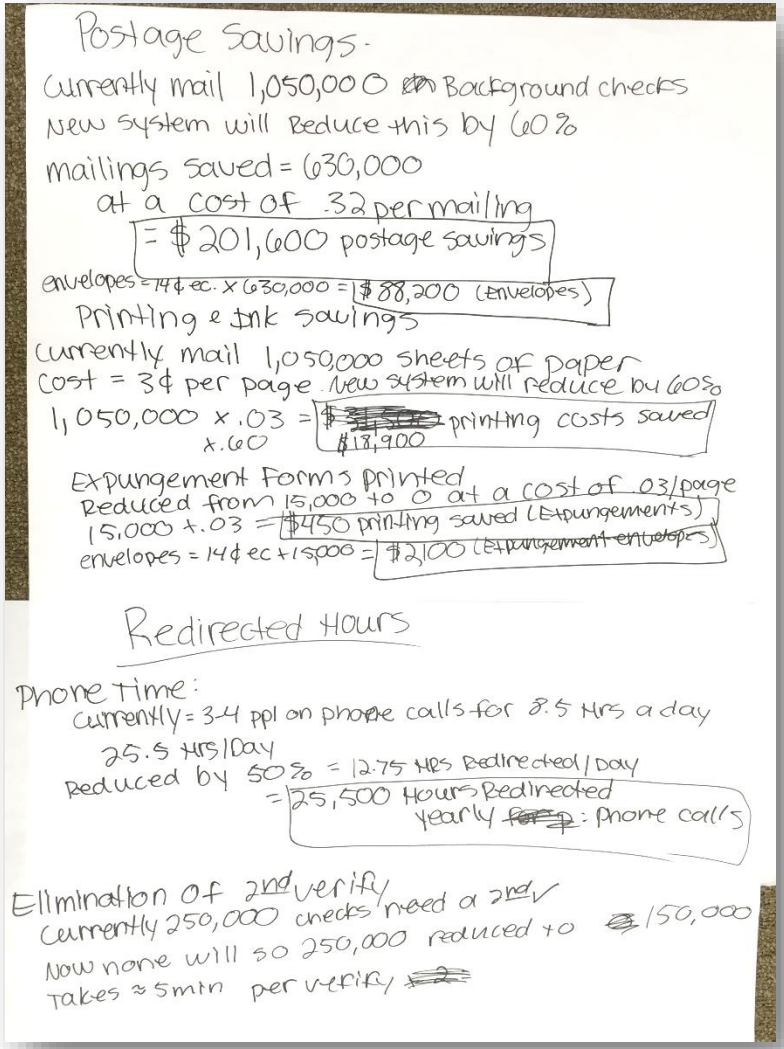
Less Costly

- Less time spent of phone calls
- Less postage
- Less paper and ink/printer
- Less overtime
- Less travel expenses for training purposes
- Less stress for employees = less time off

Less Costly

Redirect Hours: 565,00

Cost Savings: $311,250



Postage Savings.

Currently mail 1,050,000 Background checks

New system will Reduce this by 60%

mailings saved = 630,000

at a cost of .32 per mailing

= $201,600 postage savings

envelopes = 14¢ ec. x 630,000 = $88,200 (envelopes)

Printing & Ink savings

Currently mail 1,050,000 sheets of paper

cost = 3¢ per page New system will reduce by 60%

1,050,000 x .03 x .60 = $18,900 printing costs saved

Expungement Forms printed

Reduced from 15,000 to 0 at a cost of .03/page

15,000 x .03 = $450 printing saved (Expungements)

envelopes = 14¢ ec x 15,000 = $2,100 (Expungement envelopes)

Redirected Hours

Phone time:

Currently = 3-4 ppl on phone calls for 8.5 Hrs a day

25.5 Hrs/Day

Reduced by 50% = 12.75 Hrs Redirected/Day

= 25,500 Hours Redirected yearly: Phone calls

Ellimination of 2nd verify

Currently 250,000 checks need a 2nd ✓

Now none will so 250,000 reduced to 150,000

Takes ≈ 5min per verify

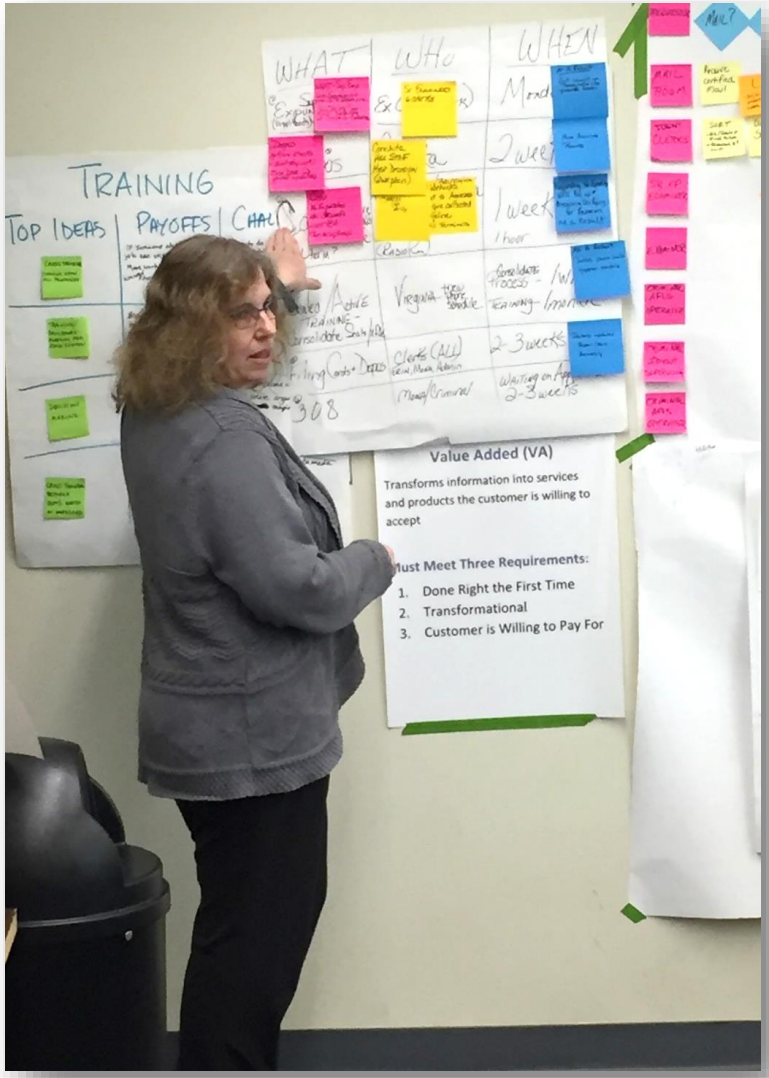
Summary Scorecard

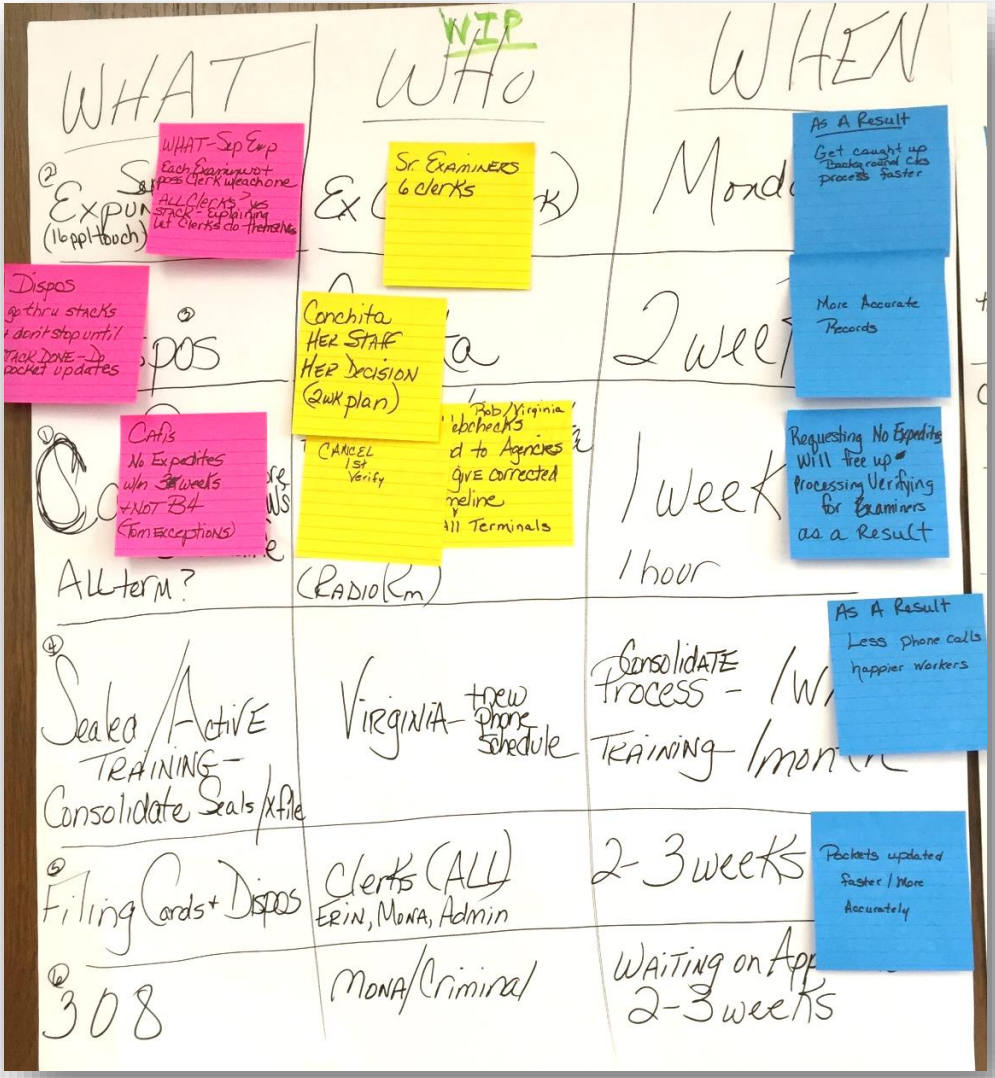
Measure	Current Level	NEW	Change
Process Steps	355	52	**85%**
Decision Points **Handoffs &** **Functional Areas**	50 32 32	10 15 11	**80%** **53%** **66%**
Process Lead Time	Hit: 60 Days No Hit: 2 Days	Hit: 10 Days No Hit: 1 Day Exp/Seal: 1 Week	**Hit: 83%** **No Hit: 50%**

Implementation Plans

- Work in Process (WIP)
- Forms
- Communication
- Training
- IT Requirements
- Policy Changes
- Dashboard/Metrics

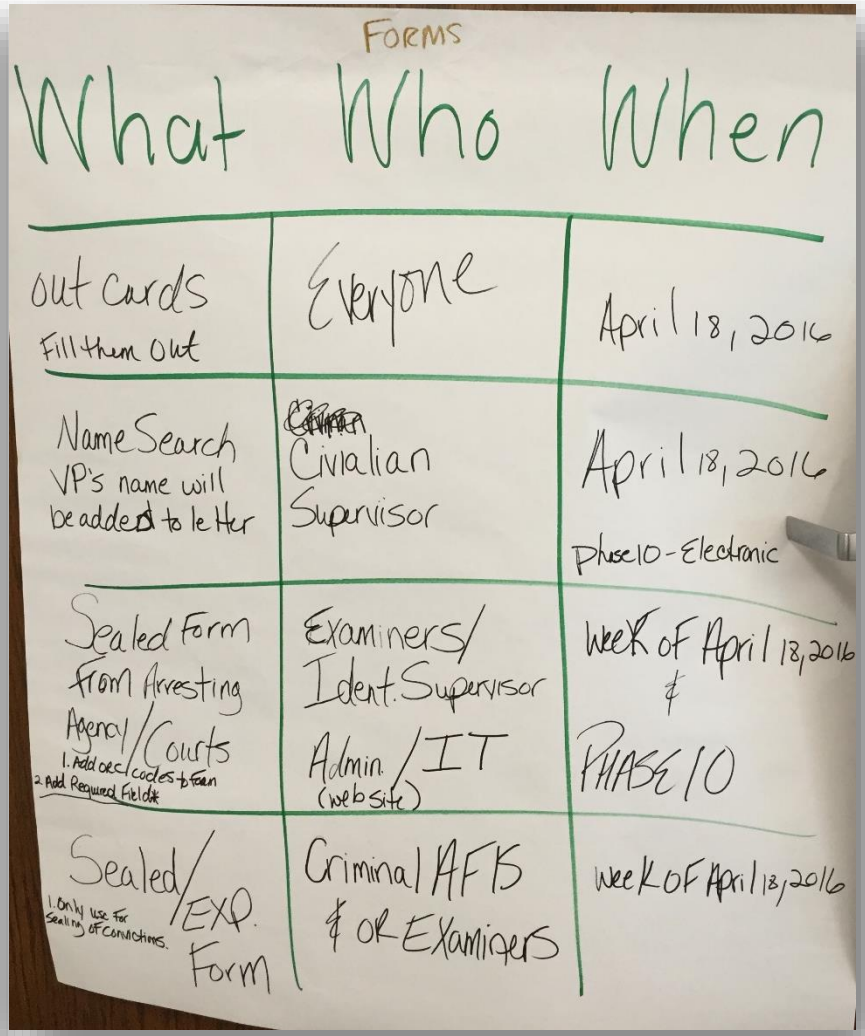
WIP Plan


TRAINING
TOP IDEAS
PAYOFFS
WHAT
WHO
WHEN
Value Added (VA)
Transforms information into services and products the customer is willing to accept
Must Meet Three Requirements:
1. Done Right the First Time
2. Transformational
3. Customer is Willing to Pay For

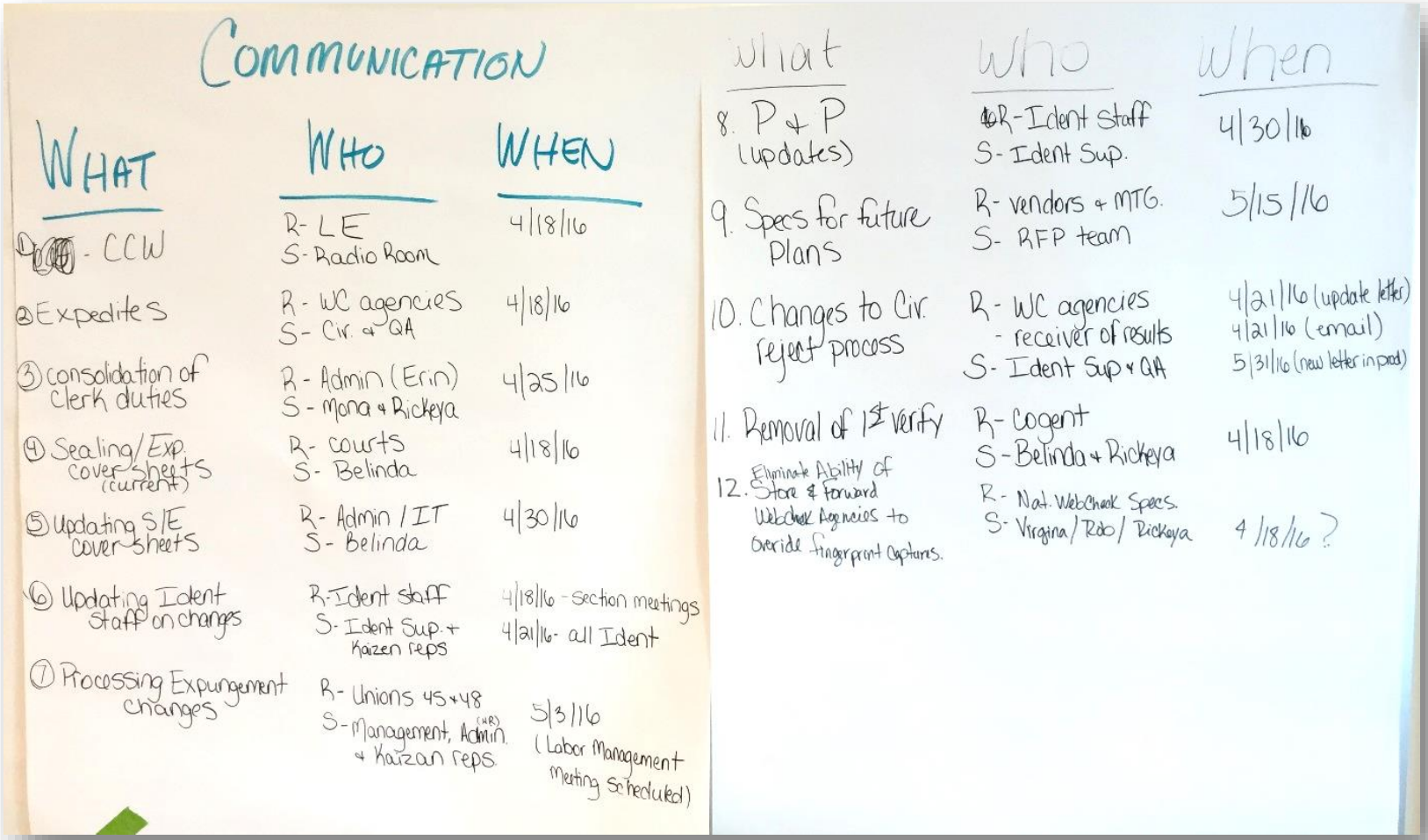

WIP
WHAT
WHO
WHEN
WHAT-Sep Exp
Each Examiner not
ALL Clerks? yes
Sr. Examiners
6 clerks
As A Result
Get caught up
Dispos
Conchita
HER STAFF
HER DECISION
(Quik plan)
More Accurate
Records
Cafis
No Expedites
NOT B4
CANCEL
1st
Verify
Requesting No Expedite
Will free up
Processing Verifying
for Examiners
as a Result
1 week
1 hour
All term?
(Radio Km)
As A Result
Less Phone calls
happier workers
Sealed Active
TRAINING-
Consolidate Seals/xfile
Virginia-
Consolidate
Process -
TRAINING
Filing Cards + Dispos
Clerks (ALL)
ERIN, MONA, Admin
2-3 weeks
Packets updated
faster / More
Accurately
308
MONA/Criminal
WAITING on
2-3 weeks

Forms Plan

What Who When
out cards
April 18, 2016
Name Search
Civilian Supervisor
April 18, 2016
Sealed Form from Arresting Agency/Courts
Examiners/ Ident Supervisor
Admin/IT (website)
Sealed/EXP Form


Forms
What Who When
out cards
Fill them out
Everyone
April 18, 2016
Name Search
VP's name will be added to letter
Civilian Supervisor
April 18, 2016
Phase 10 - Electronic
Sealed Form from Arresting Agency/Courts
1. Add oec codes to form
2. Add Required Fields
Examiners/ Ident. Supervisor
Admin. /IT (web site)
week of April 18, 2016 &
PHASE 10
Sealed/EXP. Form
1. Only use for Sealing of Convictions.
Criminal AFIS & OR Examiners
week of April 18, 2016

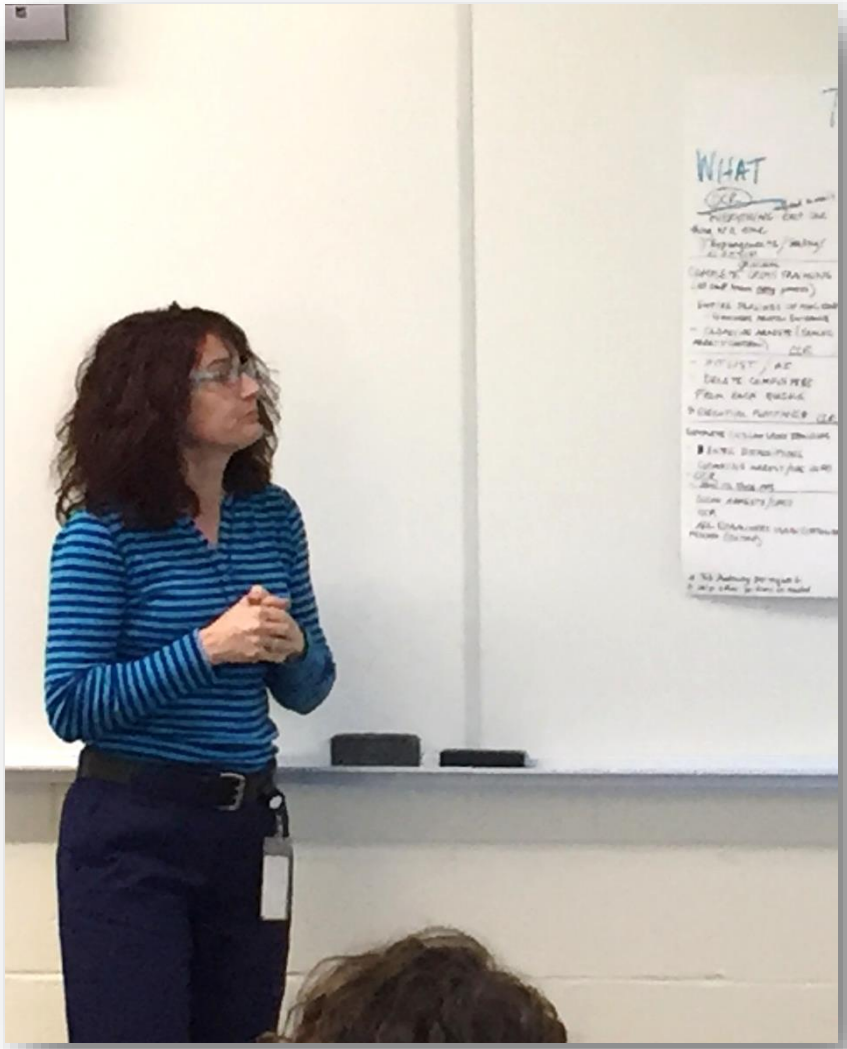
Communication Plan

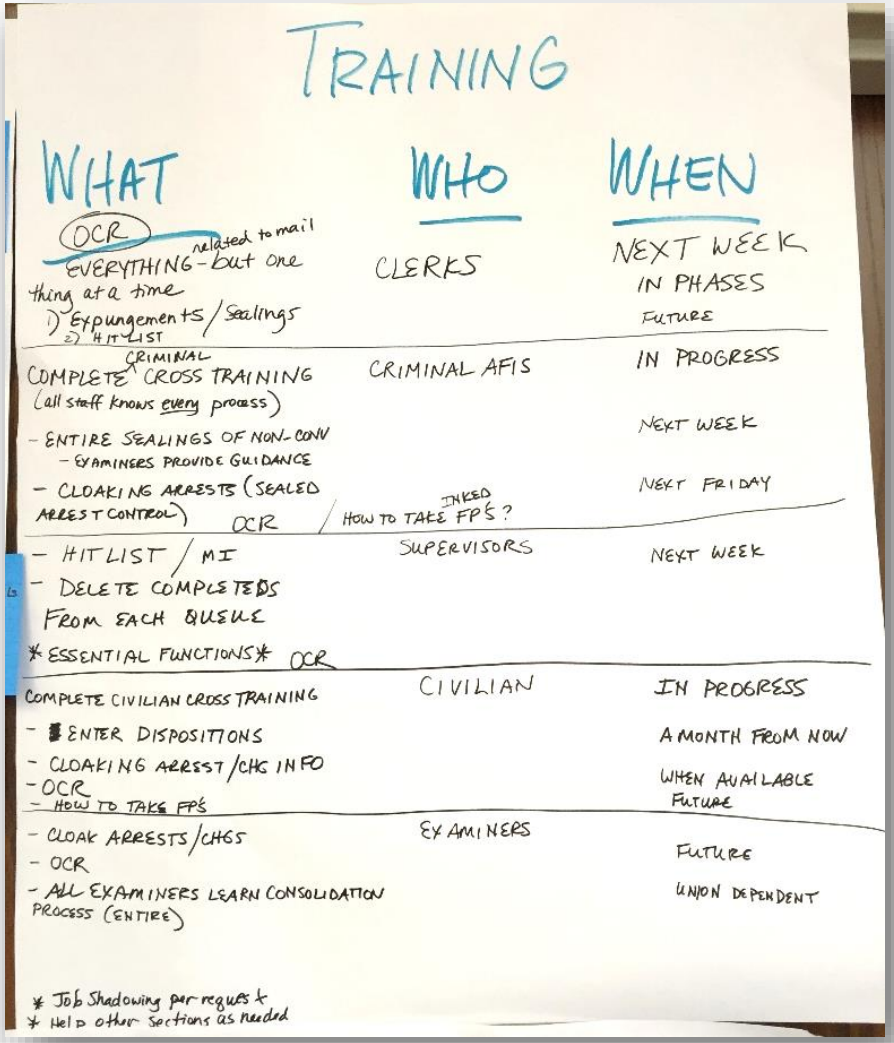


COMMUNICATION

WHAT	WHO	WHEN
1. - CCW	R- LE S- Radio Room	4/18/16
2. Expedites	R- WC agencies S- Civ. & QA	4/18/16
3. consolidation of clerk duties	R- Admin (Erin) S- Mona & Rickeya	4/25/16
4. Sealing/Exp. cover sheets (current)	R- courts S- Belinda	4/18/16
5. Updating S/E cover sheets	R- Admin / IT S- Belinda	4/30/16
6. Updating Ident staff on changes	R- Ident staff S- Ident Sup. + Kaizen reps	4/18/16 - section meetings 4/21/16 - all Ident
7. Processing Expungement changes	R- Unions 45 & 48 S- Management, Admin. (48) & Kaizen reps.	5/3/16 (Labor Management meeting scheduled)
8. P & P (updates)	R- Ident Staff S- Ident Sup.	4/30/16
9. Specs for future plans	R- vendors & MTG. S- RFP team	5/15/16
10. Changes to Civ. reject process	R- WC agencies - receiver of results S- Ident Sup & QA	4/21/16 (update letter) 4/21/16 (email) 5/31/16 (new letter in prod)
11. Removal of 1st verify	R- Cogent S- Belinda & Rickeya	4/18/16
12. Eliminate Ability of Store & Forward Webcheck Agencies to Override fingerprint Captures.	R- Nat. Webcheck Specs. S- Virgina / Rob / Rickeya	4/18/16 ?

Training Plan





IT Requirements

IT Business Req's

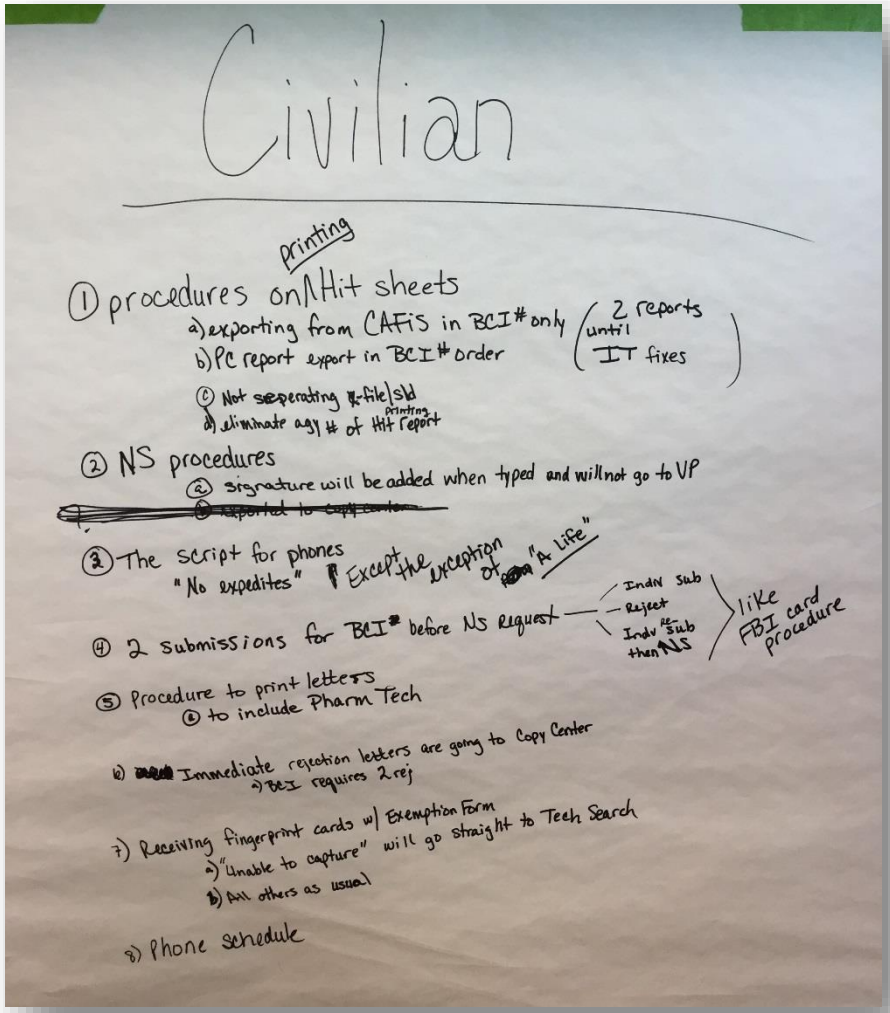
Functional

- Livescan and WebCheck Vendors are all on the current version of the Specs.
- Web Portal for Submitting disposition information.
- Ability to convert all submitted documents to electronic version.
- Return background check results electronically via Secure web portal.
- Automated letter production module.
- Automated workflow processing w/queue management and document mngmt
- OCR Technology to reduce data entry.
- Call Center Integration.

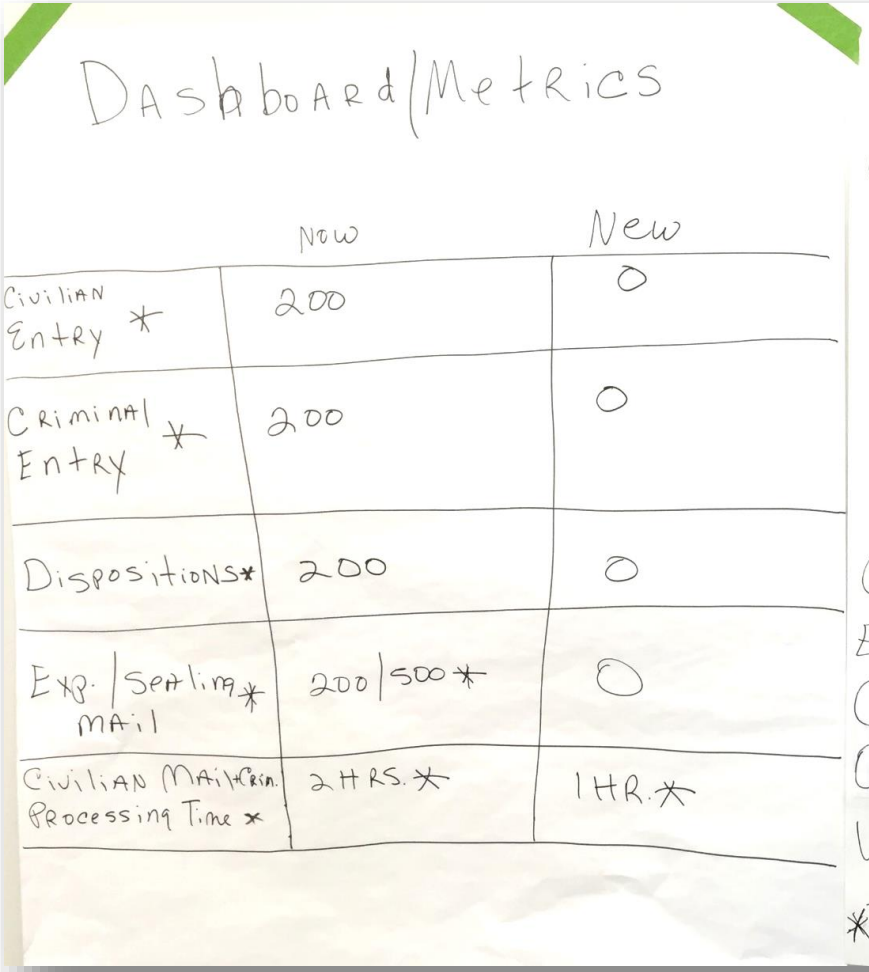
Current IT Req's

- CR Exp. Program
- Hit Report Needs to all Contained into 1 Report
- System Re-Configuration to eliminate/reduce 1st Verify (Civilian)
- Ensure that all of Idunt has access to all programs needed to complete all processes
- Expedite IT (Tickets) W.O.'s from Idunt Kaizen
- Training Video on AG Website for Courts, Law Enf., and WebCheck agencies.
- Explain why Store & forward WebCheck submissions go to "Wait for quality check" vs. Webb ased submissions do not.

Policy Changes

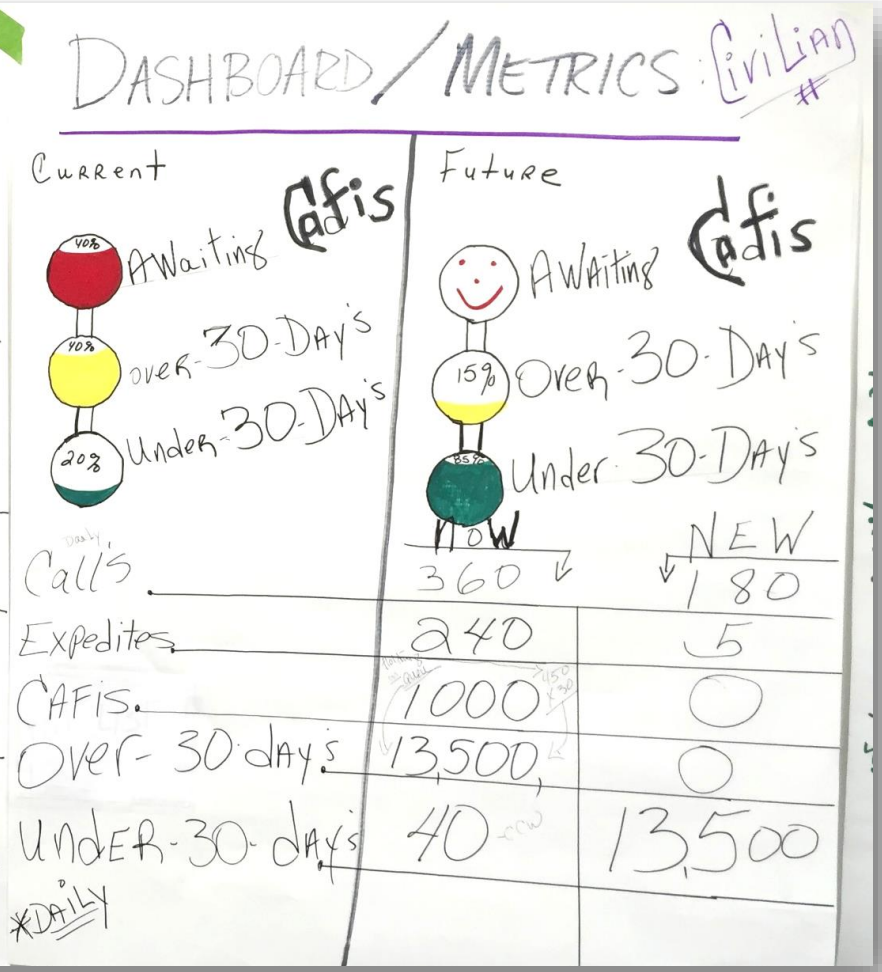


Dashboard/Metrics



Dashboard/Metrics

	Now	New
Civilian Entry *	200	0
Criminal Entry *	200	0
Dispositions*	200	0
Exp. / Sealing Mail *	200 / 500 *	0
Civilian Mail+Crim. Processing Time *	2 HRS. *	1 HR. *



DASHBOARD / METRICS: Civilian #

Current

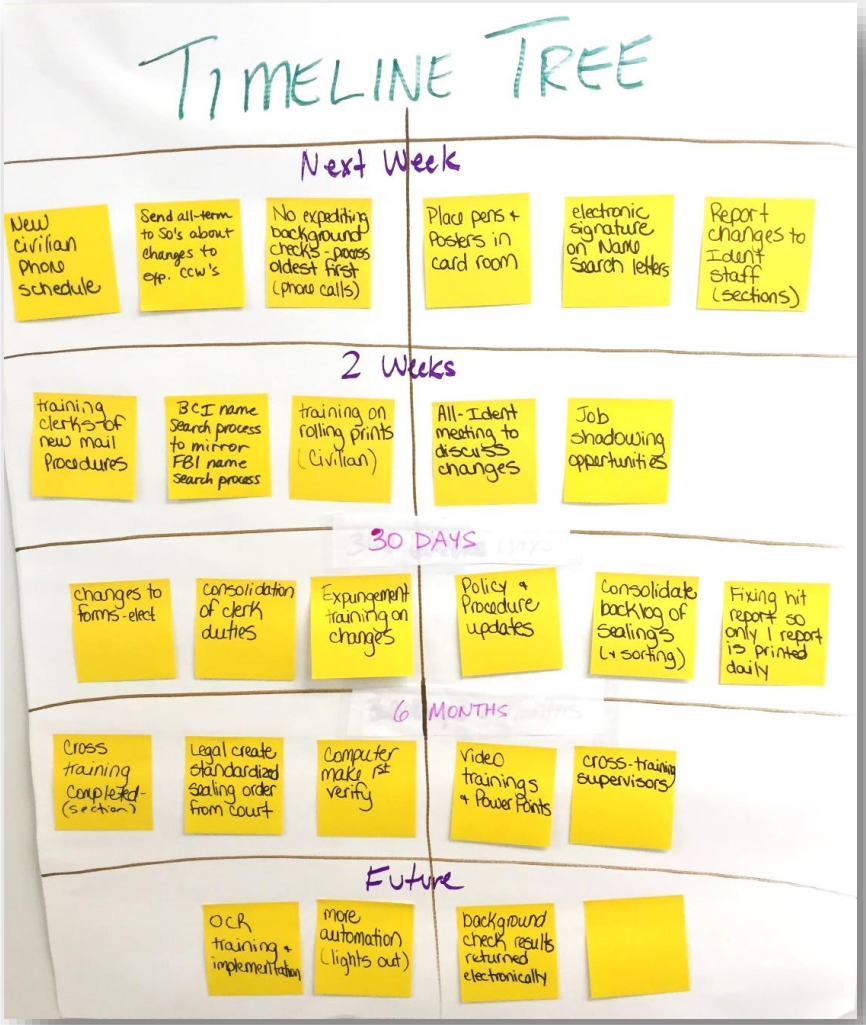
Future

	Now	New
Daily Calls	360	180
Expedites	240	5
CAFIS	1000	0
Over-30 days	13,500	0
Under-30 days	40	13,500

*DAILY

What Begins Next Week?

- New civilian phone schedule
- Electronic signature on name search letters
- Report changes to Ident staff (sections)
- Place pens and posters in card room



Your Kaizen Experience

Special Thanks to…

Senior Leadership:

Tom Stickrath, Superintendent

Karen Huey, Assistant Superintendent

Sponsor:

Rickeya Franklin, Director of Identification

Team Leader:

Virginia Potts, Identification Supervisor

Belinda Davis, Identification Supervisor

Subject Matter Experts:

SME Names