Green Belt Project Report Out
KARRY THACKER

State Medical Board of Ohio
December 2016
Meet the Medical Board

Licensees Regulated by the Medical Board

<table>
<thead>
<tr>
<th>License Type</th>
<th>Total Active Licensees as of 6/30/16</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acupuncturist – L.Ac.</td>
<td>242</td>
</tr>
<tr>
<td>Allopathic Physician – MD</td>
<td>40,665</td>
</tr>
<tr>
<td>Anesthesiologist Assistant – AA</td>
<td>241</td>
</tr>
<tr>
<td>Cosmetic Therapist – CT</td>
<td>183</td>
</tr>
<tr>
<td>DO Training Certificate</td>
<td>1,071</td>
</tr>
<tr>
<td>DPM Training Certificate</td>
<td>96</td>
</tr>
<tr>
<td>Genetic Counselor</td>
<td>221</td>
</tr>
<tr>
<td>Massage Therapist – LMT</td>
<td>11,560</td>
</tr>
<tr>
<td>MD Training Certificate</td>
<td>3,594</td>
</tr>
<tr>
<td>Mechanotherapist – DM</td>
<td>15</td>
</tr>
<tr>
<td>Naprapath – NAP</td>
<td>1</td>
</tr>
<tr>
<td>Oriental Medicine Practitioner</td>
<td>32</td>
</tr>
<tr>
<td>Osteopathic Physician – DO</td>
<td>6,164</td>
</tr>
<tr>
<td>Physician Assistant – PA</td>
<td>2,720</td>
</tr>
<tr>
<td>Podiatric Physician – DPM</td>
<td>969</td>
</tr>
<tr>
<td>Radiologist Assistant – RA</td>
<td>14</td>
</tr>
<tr>
<td>Telemedicine Licenses</td>
<td>134</td>
</tr>
<tr>
<td><strong>Grand Total</strong></td>
<td><strong>67,922</strong></td>
</tr>
</tbody>
</table>

RECORDS:

- Applications
- Renewals
- CME Audits
- Legislation / Rules
- Complaints / Investigations
- Enforcement / Compliance
- Administrative Hearings
- Budget / Fiscal / HR
- Board Members
- Public Meetings
- General Correspondence
Project Charter

PROBLEM

7,191 boxes stored offsite

- Monthly Charges
- Access to Records
- Staffing Resources
- Annual Cost $15,000
- @2,400 paper/per box = 17.2 Million Pages

GOAL

50% Reduction

7,191 boxes stored offsite

GOAL

50% Reduction
Unseen… into Viewable Format

State Records Retention Flow Overview

- Record = any document—paper, electronic, email, or other format—that is created or received by, or comes under the jurisdiction of a public office.

State Medical Board Rev. 10/30/15

Public Records Act
All records are public unless they are specifically exempt under ORC.

*All Records MUST be RETAINED until there is an Approved Records Retention Schedule authorizing actions to comply with it, up to and including any final paper and electronic destruction or archive.*

FINAL TRANSFER TO STATE ARCHIVES
### High Level Process – S I P O C

#### Suppliers
- Iron Mountain Offsite Storage Vendor
- SMBO Licensees
- General Public/Complaints
- SMBO State Employees
- Laws, Rules, Regulations

#### Inputs
- Paper Applications, Forms
- Paper Reports, Documents
- Paper Storage Boxes, Labels
- State Requirements
- Records Retention Schedules
- SMBO Internal Box Activity Spreadsheet(s)
- SMBO Legal Review
- Electronic File Copies/Scans
- Iron Mountain (I.M.) Vendor Database (Online Entry/Files)
- I.M. Monthly Billing Invoices
- I.M. Service Confirmation email Notices

#### Process
- Reduced Paper Backlog / S S
- Faster Access/Info Sharing for Public Transparency
- Increased Electronic Files
- Initial Increased Workloads
- Increased Paper Recycle/Shred
- Offsite Shredding & Retrieval Costs
- Reduced Monthly Storage Costs
- Storage Vendor Billing Cleanup
- Updated/Completed RRS
- Staff Engagement/Awareness
- Staff Visibility/Knowledge Transfer
- Agency Compliance for Records Mgmt. & Annual Certification
- Satisfied SMBO Executive Director
- LeanOhio Green Belt Candidate Report Out (Completion)
- Statewide Process Share

#### Outputs
- SMBO Licensees
- SMBO Board Members
- SMBO State Employees
- Federal / State / Local GOvt.: Agencies, Bds., Commissions
- ODAS Records Mgmt. Office
- Licensee Associations
- Other States Medical Boards
- Law Enforcement / Courts
- General Public

#### Customers

#### Current Box of Paper Records Stored Offsite (by Dept./Owner)

#### Match Paper Record Series with Current Approved Records Retention Schedule (RRS)

#### Confirm All RRS Requirements Were Completed (if designated for Scan/Electronic)

#### Based on RRS, Establish Appropriate Paper Destruction Date

#### Once Past the Destruction Date, Box of Paper Records Destroyed

#### Update Internal Box Activity Spreadsheet(s) with Actual Destroyed Date
Baseline Data: CT Flowdown

**Phase 1: Target Completion**

- **Legal**
  - Kim Anderson
  - Sally Deboit
  - Dave Katko
  - Judy Rodriguez
- **Executive**
  - A.J. Ginther
  - Stuart Neals
  - Benton Taylor
  - Bernadette Simon
- **Business**
  - Susan Lee
  - Kary Thacker
  - Danielle Cox
  - Vickie Colham
- **Licensure**
  - Natalie Miller
  - Gary Holbien
  - Chantel Scott
  - Liz Hawk, Jewell Bates

**Phase 2: Target Completion**

- **Investigative**
  - David Foss
  - Bill Schmidt
  - Peri Vest
- **Enforcement**
  - Rebecca Marchall
  - Fonda Brooks
  - Bonnie Ristow
- **Hearing**
  - Greg Porter
  - Alana Howard

**Officewide Types:**
- Staff Reports
- General/Corresp.
- Transient Notes
- Email
- Procedures/Policy
- Projects/News
- Manuals/References
- List/Directory/Roster
- Minutes Public Mtgs.

**Retention (IRS) Ranges:**
- Adm Value to Retain until scanned (40 years) to 50 years to State Archives
- Adm Value to 2 yr to 10 yr > Audit
- Belw Mfr Separation
- IT: Administrator > 10 yrs
- Superseded to 200 yrs
- Superseded to 20 yrs
- IT: Administrator > 75 yrs
- Permanent

**# Boxes Stored:**
- Legal: 44
- Executive: 60 + 70
- Business: 81
- Licensure: 2,614
- Investigative: 3,818
- Enforcement: 504
- Hearing: 7,191

**Average Annual Cost:**
- Legal: $92
- Executive: $271
- Business: $169
- Licensure: $5,453
- Investigative: $7,964
- Enforcement: $1,051
- Hearing: $15,000

**Internal Storage Areas:**
- Secured Room
- Locked Enf. Rm.
- Locked Lic. Rm.
- Librarian Files
- Offices/Hallways

**Agency Grand Total in Storage:**
- 7,191

**Iron Mountain:**
- 44
- 60 + 70
- 81
- 2,614
- 3,818
- 504
- 7,191
- $15,000

LEANOhio
Baseline Data: Historical Review

Records Retention & Storage Project

<table>
<thead>
<tr>
<th>Year</th>
<th>Boxes At Storage</th>
<th>Activity: Boxes Retrieved for Review</th>
</tr>
</thead>
<tbody>
<tr>
<td>FY2007</td>
<td>4,510</td>
<td></td>
</tr>
<tr>
<td>FY2011</td>
<td>5,252</td>
<td></td>
</tr>
<tr>
<td>FY2012</td>
<td>5,641</td>
<td></td>
</tr>
<tr>
<td>FY2013</td>
<td>5,686</td>
<td></td>
</tr>
<tr>
<td>FY2014</td>
<td>6,044</td>
<td></td>
</tr>
<tr>
<td>FY2015</td>
<td>6,548</td>
<td></td>
</tr>
<tr>
<td>To Date FY16</td>
<td>6,979</td>
<td></td>
</tr>
</tbody>
</table>

New Boxes Sent:
- FY2007: 346
- FY2011: 264
- FY2012: 351
- FY2013: 501
- FY2014: 362
- FY2015: 241

Total Cost:
- FY2007: $15,122
- FY2011: $16,962
- FY2012: $11,858
- FY2013: $14,709
- FY2014: $15,080
Box Activity Review

- 64% of stored boxes had no further activity; potentially unneeded or due to staffing turnover and knowledge transfer—unknown that they exist.

- Another 2,128 boxes were called back to office for review.
- Over 200 of those boxes were retrieved & returned at least 3 different times.
- One box retrieved 12 times.
- Incurred retrieval & return fees when initial scanning was not processed before offsite storing.

4,623 Untouched Storage
Data Collection Summary

Offsite Storage Continuously Growing:

- STORED BOXES: 7,191
- PAPER MANAGEMENT: 17.2 Million Pages
- ANNUAL STORAGE & RETRIEVAL COSTS: $15,000

Purpose of this Lean Routine project is to identify, address and reduce offsite stored records and eliminate potential future increase of unnecessary stored paper.
Root Cause Analysis

Why do we pay $15,000 annually for offsite storage fees?

Why do we retrieve and return boxes incurring additional fees?

Why do we have permanent or 75 year storage requirements?

Why not scan documents for faster efficient & future access?

Why not properly dispose boxes past their retention date?
Process Map: Current State

Multiple Steps  ♦  Billing Starts  ♦  No Retention Review  ♦  No Billing End
Process Overview

AGENCY RECORDS PROCESSING

State Medical Board of Ohio

*Record = any document—paper, electronic, email, or other format—that is created or received by, or comes under the jurisdiction of a public office.

Rev. 12/11/15

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**Record**

- **Records Management**
  - **Records Retention Schedule (RRSE)**
  - **Retention Schedule**
  - **Disposal Schedule**
  - **Electronic Records Management**
  - **Paper Records Management**
  - **Other Formats**

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**Agency Review**

- **IF Record Pertains to**
  - **Regulatory**
  - **Legal**
  - **Financial**
  - **Other**

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**Agency Records Management**

- **Mgmt. Officer**
  - **Vendor Contact**
  - **Agency Records**

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**Disposal**

- **Approved Records**
  - **Disposal Action**
  - **Approved for Disposal**
  - **Continue to Store**

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**Continuous Review of Retention Dates**

- **Handle Time**
  - **Keep Going**

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**Consider Logistics as needed**

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**Maintain & Monitor Agency Schedules (RRSE)**

- **Monitor**
  - **Concerns & Billing**
  - **Prepare Internal Reporting Dashboard**

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**Approved Records Retention Schedule Information**

- **Must be posted on agency website for public access**

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LEANOhio
Process Improvement Map

ESTABLISHED
• Initial paper processing—where storage is not required
• Store same records in a single box
• Box assigned Record Retention Schedule #
• Box assigned a Destruction Date
• 6-Month Review of stored boxes
• Regular retention destruction and transfer
Operational Definitions

RECORDS RETENTION & STORAGE DEFINITIONS

RECORD
- Any document—paper, electronic, email, machine readable, or other format—that is created or received by, or comes under the jurisdiction of a public office.
- Records include anything about the organization, functions, policies, decisions, procedures, operations, systems, projects, or other activities of the office.
- PUBLIC RECORDS ACT: All records are public unless they are specifically exempt under ORC.
- ODAS Records Management—Records are a crucial component of the governing process. As a state government resource, records and the information they contain need to be managed well to ensure accountability, efficiency, economy, and overall good government.

RECORD SERIES
- Identifies a specific group of records (i.e. License Application, Executive Correspondence, Staff Reports, Revenue Receipts, Enforcement Files, etc.) which can be received or maintained in several formats such as paper, email, or other electronic/machine readable.
- A Record Series in all original formats MUST BE RETAINED if no Approved Records Retention Schedule exists.

RECORDS RETENTION SCHEDULE (RRS#)
- Approved handling instructions for a Record Series, and identifies appropriate Retention requirements for paper and machine readable (i.e. electronic, scanned files, emails, external drives, audio tapes, evidence, electronic communications, etc.).
- Schedules are Approved by the agency department director, agency legal review representative, agency records officer, State ODAS Records Administrator, State Archivist, and State Auditor.
- Approved Schedules must be posted on the agency’s website.
- Agency must submit a Certificate of Compliance for Agency Records Retention Schedules to ODAS State Records Administrator by December 31 annually (ORC § 149.33).

OFFSITE STORAGE LONG-TERM
- A storage box must contain the same Record Series only, and can be maintained in other locations when required retention periods are longer than reasonable for onsite space limitations. This is considered when Retentions require maintaining records longer than two years. For high-volume Series, one year may be necessary in some instances.
- Financial constraints must be considered regarding monthly fees charged for activity, storage, and disposal.
- The agency utilizes offsite storage services with a secured records warehouse vendor.
Process Improvement Awareness

Staff Awareness & New Hire Onboarding

- Agency Records Processing Map
- Staff Responsibilities—Office Policies
- Operational Definitions
- User-Friendly Searchable RRS# Spreadsheet
- 6-Month Review of Offsite Stored Boxes
- Vendor Data & Billing Review for Sustainability
Executive Director (Black Belt) Provided Data & Visual Management Tools to Senior Team and Agency Staff

Visual Management

7,000+ Boxes = 8,500 Cubic Feet = 60,000 Gallons

Project Status Success Meter

- STARTING BOX AMOUNT: 7,191
- Current Total: 6,979
- Phase 1 Progress: 5,722
- Phase 2 Projection: 3,596
- GOAL 50% Reduction
## Project Metrics

<table>
<thead>
<tr>
<th>Measure</th>
<th>Result</th>
</tr>
</thead>
<tbody>
<tr>
<td>7,191 stored FY2015</td>
<td>5,722</td>
</tr>
<tr>
<td></td>
<td>33% Reduction</td>
</tr>
<tr>
<td>Phase 1 -1,196 boxes</td>
<td>Annual Cost Savings $2,071</td>
</tr>
<tr>
<td>FY2015 June–Sept Qtr vs. FY2016</td>
<td>Quarterly Savings $556</td>
</tr>
<tr>
<td>FY2016 Year End</td>
<td>18% Reduction of new boxes going into offsite storage</td>
</tr>
<tr>
<td>Phase 2 In Progress for final Project Results</td>
<td></td>
</tr>
</tbody>
</table>
## Improvement Summary

<table>
<thead>
<tr>
<th>Current</th>
<th>Future</th>
</tr>
</thead>
<tbody>
<tr>
<td>Storage Billing Starts</td>
<td>Billing Ends</td>
</tr>
<tr>
<td>Increased Paper Backlog</td>
<td>Record Accountability</td>
</tr>
<tr>
<td>Customer Access Delays</td>
<td>Faster Response &amp; Electronic Formats Available</td>
</tr>
<tr>
<td>Outdated &amp; Missing RRS#</td>
<td>Current &amp; Easy to Apply RRS#</td>
</tr>
<tr>
<td>Lack of Awareness</td>
<td>Staff Engagement &amp; Ownership</td>
</tr>
</tbody>
</table>
As A Result

- Reduced Paper Backlog / 5 S
- Faster Access / Public Transparency / Customer Response
- Reduced Monthly Storage Costs
- Storage Vendor Billing Cleanup
- Awareness / Updated Records Retention Schedules
- Staff Engagement / Visibility / Knowledge Transfer
- Satisfied Executive Director
- Statewide Process Share
Sustainability

New Hire Onboarding
- State & Agency Policies
- Agency Records Processing Map, Definitions, Staff Contacts, Website Reference, Records Retention Schedules

Staff Awareness
- Announcement at Agency Audit Conclusion
- March & October Staff Reminders to Review for Retention

5S / Lean Reminders
- Shows New Activity & Older Stored Items
- Monthly Allows Prompt Response to Concerns

Monthly Billing Invoice Review
- Helps Sort & Plan for Items Found Past Their Retention
- Set Up Next Destruction Date

6-Month Database Review
- Stored Box Inventory
- Creation of New Records Requiring a Schedule
- Several Revisions Still In Progress for Retention Changes

Records Retention Schedule Updates
Questions | Comments

Green Belt Candidate: Karry Thacker
State Medical Board of Ohio

Special **THANKS** to…

**Senior Management Team**

**Champion:** A.J. Groeber
*Executive Director*

**Sponsor:** Stuart Nealis
*Project Manager*

**Mentor:** Tom Melfo, OOD

**Subject Matter Experts**
- Liz Hawk
- Gary Holben
- David Katko
- Judy Rodriguez