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

Mail Sealings
Background checks
QA

Webcheck

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

Team 1

Team 2

Team 3
Day Four

- Future State Process
- Discussion and consensus
- Implementation planning
- Details
Today - Day Five

• More implementation planning
• Celebration
• Sharing results
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 2\textsuperscript{nd} 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
# Summary Scorecard

<table>
<thead>
<tr>
<th>Measure</th>
<th>Current Level</th>
<th>NEW</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Process Steps</td>
<td>355</td>
<td>52</td>
<td>85%</td>
</tr>
<tr>
<td>Decision Points</td>
<td>50</td>
<td>10</td>
<td>80%</td>
</tr>
<tr>
<td>Handoffs &amp; Functional Areas</td>
<td>32</td>
<td>15</td>
<td>53%</td>
</tr>
<tr>
<td>Process Lead Time</td>
<td>Hit: 60 Days</td>
<td>Hit: 10 Days</td>
<td>Hit: 83%</td>
</tr>
<tr>
<td></td>
<td>No Hit: 2 Days</td>
<td>No Hit: 1 Day Exp/Seal: 1 Week</td>
<td>No Hit: 50%</td>
</tr>
</tbody>
</table>
Implementation Plans

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

<table>
<thead>
<tr>
<th>WHAT</th>
<th>WHO</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WHEN</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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</tr>
</tbody>
</table>

- **WHAT**: 
  - Sealed/Active Training
  - Consolidate Seal/Active

- **WHO**: 
  - Item: Clerk (all)
  - Erin, Mona, Admin

- **WHEN**: 
  - 2-3 weeks
  - Waiting on App
  - Mona/Criminal

**Value Added (VA)**

1. Done Right the First Time
2. Transformational
3. Customer is Willing to Pay For

**Top Ideas**

- Training
- Payoffs/Chall

**Less Costly**

- Lean.ohio.gov
Forms Plan

<table>
<thead>
<tr>
<th>What</th>
<th>Who</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>Out cards fill them out</td>
<td>Everyone</td>
<td>April 18, 2016</td>
</tr>
<tr>
<td>Name/vp's name will be added to letter</td>
<td>Civilian supervisor</td>
<td>April 18, 2016</td>
</tr>
<tr>
<td>Sealed form from arresting agency/court</td>
<td>Examiners/ident. supervisor</td>
<td>Week of April 18, 2016</td>
</tr>
<tr>
<td>Sealed/exp. form</td>
<td>Criminal AFIS</td>
<td>Week of April 18, 2016</td>
</tr>
</tbody>
</table>

# Communication Plan

<table>
<thead>
<tr>
<th>WHAT</th>
<th>WHO</th>
<th>WHEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. CCW</td>
<td>R: LE</td>
<td>4/18/16</td>
</tr>
<tr>
<td>2. Expedites</td>
<td>S: Radio Room</td>
<td></td>
</tr>
<tr>
<td>3. Consolidation of Clerk duties</td>
<td>R: WC agencies</td>
<td>4/18/16</td>
</tr>
<tr>
<td>4. Secaling/Exp. Cover-Sheets (current)</td>
<td>S: Cir &amp; QA</td>
<td>4/25/16</td>
</tr>
<tr>
<td>5. Updating S/E Cover-Sheets</td>
<td>R: Admin (Erin)</td>
<td>4/18/16</td>
</tr>
<tr>
<td>6. Updating Ident. Staff on changes</td>
<td>S: Belinda</td>
<td>4/30/16</td>
</tr>
<tr>
<td>7. Processing Expungement Changes</td>
<td>R: Ident. Staff</td>
<td>4/30/16 - section meetings</td>
</tr>
</tbody>
</table>

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<tr>
<th>WHAT</th>
<th>WHO</th>
<th>WHEN</th>
</tr>
</thead>
<tbody>
<tr>
<td>9. Specs for Future Plans</td>
<td>R: Vendors + MTG</td>
<td>5/15/16</td>
</tr>
</tbody>
</table>
| 10. Changes to Cir. Ref. Log | S: Ident. Sup + QA | 4/30/16  (update log)
| 11. Removal of Fingerprint | R: Vendors | 4/18/16 |
| 12. Send & forward Council agencies to overide fingerprint options. | S: Virginia/Reo/Ricketya | 5/13/16  (new letter in process) |

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<tr>
<th>WHAT</th>
<th>WHO</th>
<th>WHEN</th>
</tr>
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<tr>
<td>8. P &amp; P (Updates)</td>
<td>R: Ident. Staff</td>
<td>4/30/16</td>
</tr>
<tr>
<td>9. Specs for Future Plans</td>
<td>S: Ident. Sup.</td>
<td>5/15/16</td>
</tr>
<tr>
<td>10. Changes to Cir. Ref. Log</td>
<td>R: Vendors + MTG</td>
<td>4/30/16  (email)</td>
</tr>
<tr>
<td>11. Removal of Fingerprint</td>
<td>S: Belinda &amp; Ricketya</td>
<td>4/18/16</td>
</tr>
<tr>
<td>12. Send &amp; forward Council agencies to overide fingerprint options.</td>
<td>R: Not Vendors, Spees, Virginia/Reo/Ricketya</td>
<td>4/18/16</td>
</tr>
</tbody>
</table>
Training Plan

WHAT
OCR
- Everything - except one thing at a time
- Examiners provide guidance
- Cloning arrests - sealed arrest control
- HIT list/MC
- Delete completed from each queue
- Essential functions

WHO
CLERKS
CRIMINAL AFIS
SUPERVISORS
CIVILIAN
EXAMINERS

WHEN
NEXT WEEK
IN PHASES
FUTURE
IN PROGRESS
NEXT WEEK
NEXT FRIDAY
NEXT WEEK
A MONTH FROM NOW
WHEN AVAILABLE
FUTURE
FAITURE
UNION DEPENDENT

* Job shadowing per request
+ Held other sections as needed
IT Requirements

IT Business Req's

Functional
- Livescan and WebCheck vendors are on the current version of the specs.
- Submitting WebPortal for 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 with queue management and document management.
- OCR Technology to reduce data entry.
- Call Center Integration.

Current IT Req's

- E2 Exp. program
- Hit Report Needs to all contained in to 1 report
- System configuration to eliminate/reduce lost Verify (Civilian)
- Ensure that all of Idant has access to all programs needed to complete all processes
- Expedite IT (Tickets) W.O.'s from Idant Kaizen
- Training video on AG Website for Courts, Law Enf., and Webcheck agencies.
- Explain why Store & Forward Webcheck submission is go to Work for Quality check of W.O.'s Webb and do not.
Policy Changes

Civilian

1. Printing
   - Procedures on NHIH sheets
     - Exporting from CAFIs in BCI# only (2 reports until IT fixes)
   - PC report export in BCI# order
   - Not separating R/B/E/D strategy
     - Eliminate any # of HIH report

2. NS procedures
   - Signature will be added when typed and will not go to VP
     - Printed to comply with

3. Script for phones
   - "No exceptions" Except the exception of "As is"

4. 2 submissions for BCI before NS request
   - 1/4 to include Pharm Tech

5. Procedure to print letters
   - 1 letter

6. Immediate rejection letters going to copy center
   - 7:41 copy center

7. Receiving fingerprint cards
   - Exemption form
   - "Unable to capture" will go straight to Tech search
   - Others as usual

8. Phone schedule
# Dashboard/Metrics

<table>
<thead>
<tr>
<th>Metric</th>
<th>Now</th>
<th>New</th>
</tr>
</thead>
<tbody>
<tr>
<td>Civilian Entry</td>
<td>200</td>
<td>0</td>
</tr>
<tr>
<td>Criminal Entry</td>
<td>200</td>
<td>0</td>
</tr>
<tr>
<td>Dispositions</td>
<td>200</td>
<td>0</td>
</tr>
<tr>
<td>Exp. Settling Mail</td>
<td>200/500</td>
<td>0</td>
</tr>
<tr>
<td>Civilian Maint Processing Time</td>
<td>2HRS</td>
<td>1HRS</td>
</tr>
</tbody>
</table>

**Current**
- Awaiting CADIS
  - Over 30 Days: 15%
  - Under 30 Days: 85%

**Future**
- Awaiting CADIS
  - Over 30 Days: 0%
  - Under 30 Days: 100%

**Call's**
- Expedites: 240
- CADIS:
  - Over 30 Days: 1000
  - Under 30 Days: 40

**Expedites**
- 180

**Acceptance**
- 13,500

**Processing Time**
- 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