



# Department of Natural Resources

## Administrative Investigation and Discipline Process

**Presenters: Y'vette Helm, Green Belt**  
**Kandie Carson, Black Belt**

# History and Purpose of ODNR

- Created by the Ohio Legislature in 1949
- Charged with formulating and putting into execution a long term comprehensive plan and program for the development and wise use of the natural resources of the state
- >590,000 acres of land, including 74 state parks, 21 state forests, 136 state nature preserves, and 117 wildlife areas
- Jurisdiction over >120,000 acres of inland waters, 7,000 miles of streams, 481 miles of the Ohio River, and 2.25 million acres of Lake Erie

## History and Purpose of ODNR (cont.)

- ODNR also licenses all hunting, fishing, and watercraft in the state
- Oversees and permits all mineral extraction, monitors dam safety, manages water resources, coordinates the activities of Ohio's 88 county soil and water conservation districts, maps the state's major geologic structures and minerals resources, and promotes recycling and litter prevention

# ODNR Divisions

- Engineering
- Forestry
- Geological Survey
- Legal Services
- Mineral Resources Management
- Oil & Gas Resources
- Parks and Recreation, Natural Areas & Preserves, Watercraft
- Soil and Water Resources
- Wildlife
- Support Services (OBM, Coastal Management, Communications, External Audits, General Services, Human Resources, Information Technology, Real Estate)

# ODNR “AI” and Discipline Process

- Facilitated by Human Resources, Labor Relations for all Divisions and operations
- Historically a fully paper process that is not standardized between divisions for reporting incidents, opening administrative investigations ("AI"), submission/review of AI paperwork, obtaining approval to levy discipline, and issuance of discipline/non-discipline in the field.

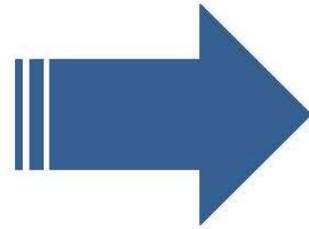
## What needed to change?

Transform the process by expediting notice and approval of AIs, implementation of online AI assignment and document storage, discipline/non discipline issuance through HR/Leadership, and data mining and reporting enhancement. State-wide implications through OCB.

# Event Scope

**First Step**

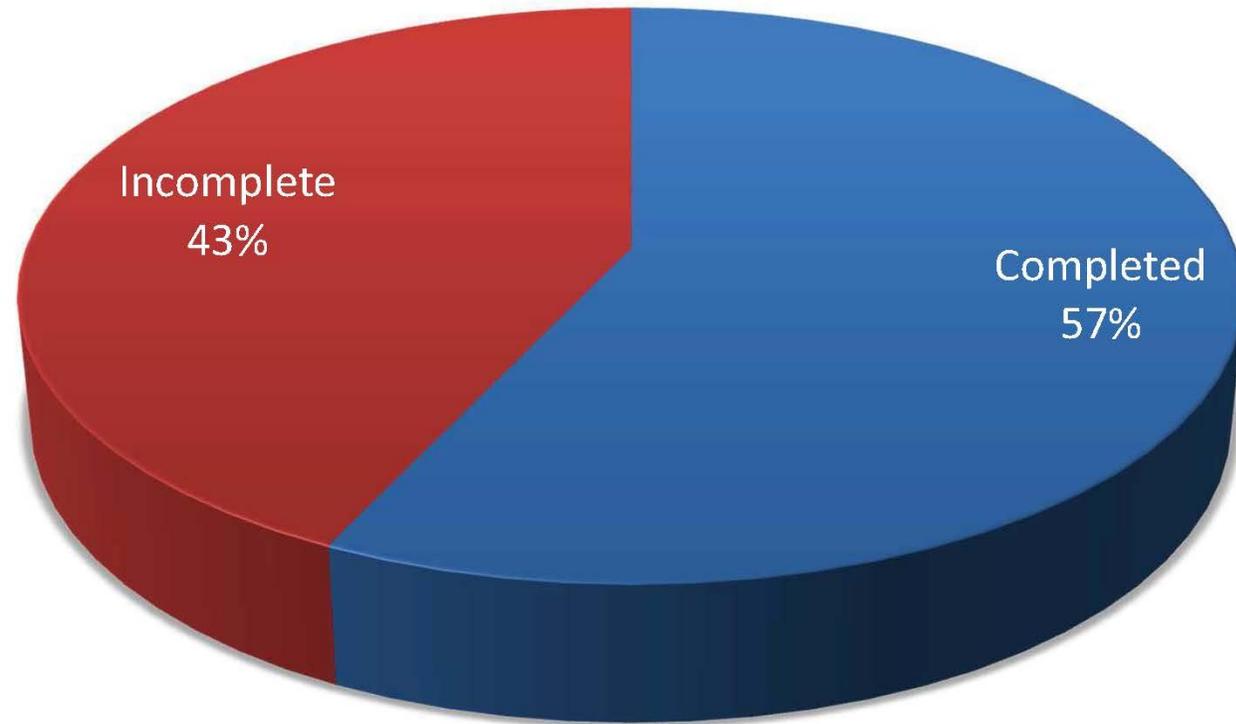
**Notice of  
incident that  
may involve  
opening an AI**



**Last Step**

**Disciplinary  
materials tracked  
and timely  
redaction from  
personnel files**

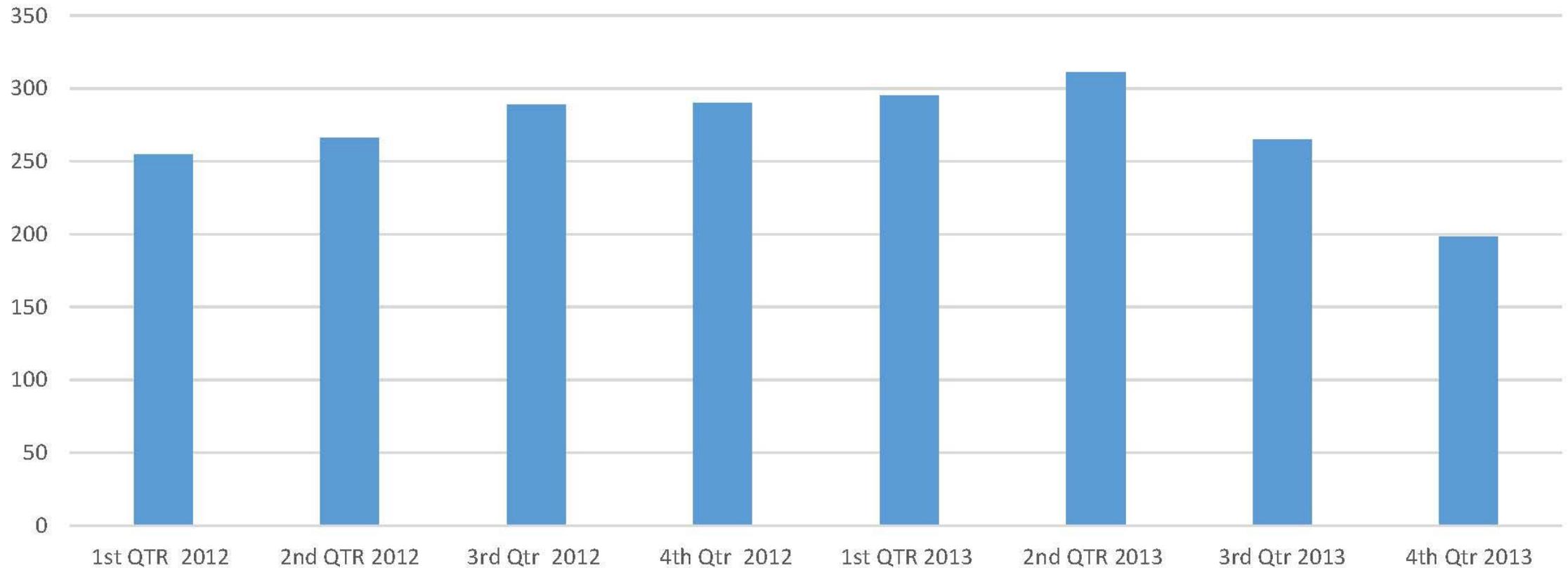
# Event Baseline Data



693 AIs processed from 2012 to 2014

# Event Baseline Data (cont.)

AVERAGE NUMBER OF DAYS TO COMPLETE ADMINISTRATION INVESTIGATIONS  
PER QUARTER (2012 - 2013)



# Charter: Process Improvement Goals

≥ 95% of AIs are completed within 30 days of assignment.

Completed AIs and pre-disciplinary hearing reports are reviewed by the Disciplinary team within 14 days of submission.

Disciplines are issued and served within 14 days (excepting interruptions); and system complies with records management requirement to ensure timely redaction.

Establish a fast and reliable system for incident reporting, AI assignments, AI document storage, disciplinary decisions, and disciplinary documents is implemented agency-wide.

# Our Kaizen Team

**Sponsor:**

Michael Luers  
Deputy Director and HR Chief

**Team Lead:**

Carrie Spradlin  
HR Labor Relations Administrator

**Team Members:**

Peter Angelas  
Scott Angelo  
Patrick Brown  
Brian Andrews  
Scott Fletcher  
Scot Hindall

Paul Kurfis  
Andrew Shuman  
Jon Rayfield  
Tammy Terry  
Dianne Tredway  
James Turner

**SME's/Members:**

Kate Nicholson, OCB

Alicyn Carrel, OCB

**Fresh Perspective:**

Julie Lee, DPS

**Facilitators:**

Y'vette Helm

Kandie Carson

**LeanOhio Mentors:**

Patrick Wilson, DPS

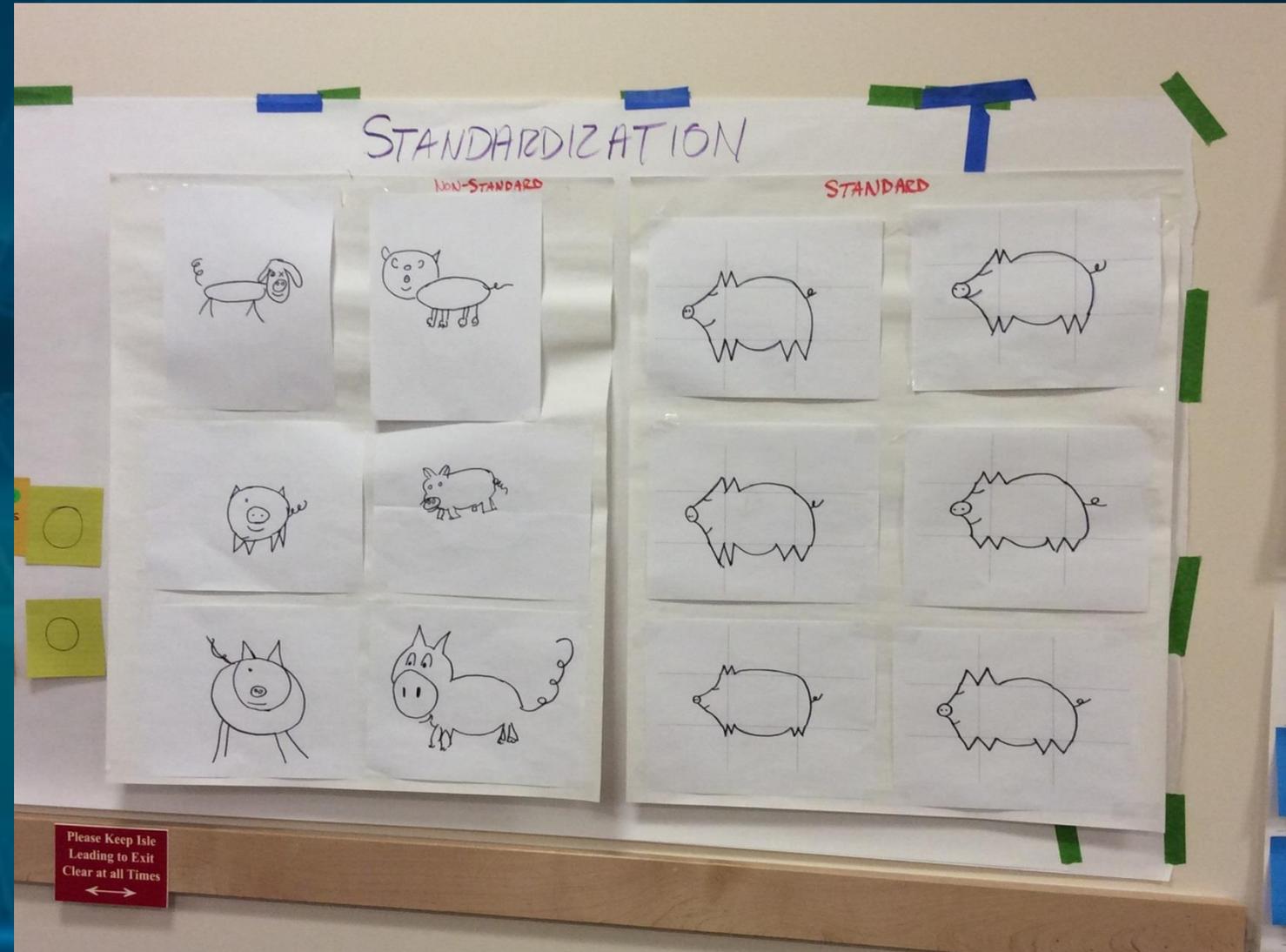
Michael T. Buerger, LeanOhio

# The Kaizen Process: Day #1



## Day One

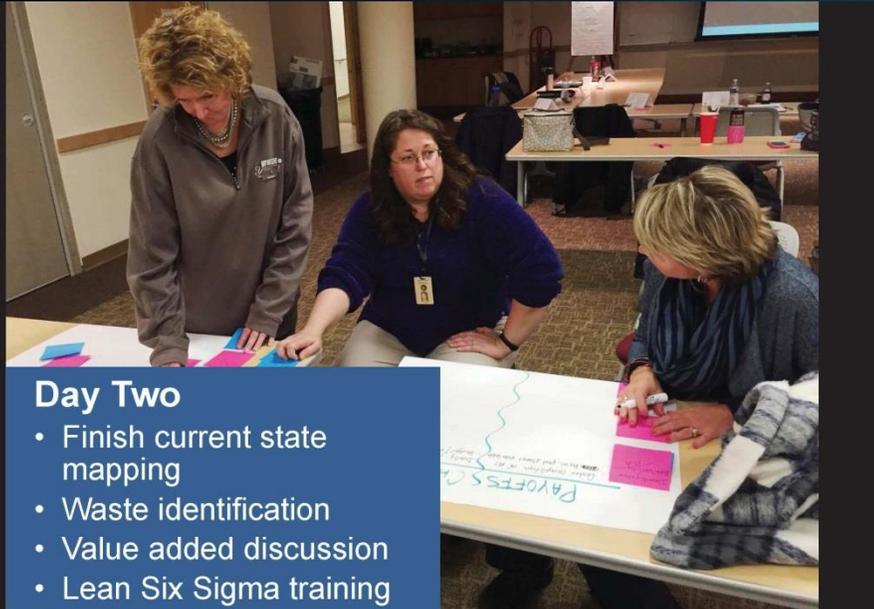
- Level setting
- Scope of event
- Stakeholder identification
- Current state mapping



# The Kaizen Process: Day #2

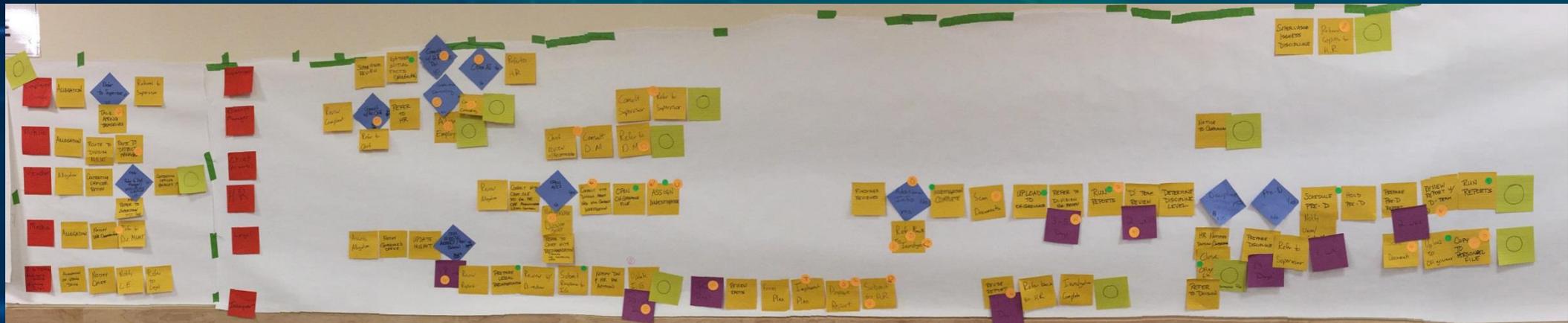
## TIMUWOOD

Process Steps:	91
Decision Points:	11
Handoffs:	26
Points of Waste:	36



### Day Two

- Finish current state mapping
- Waste identification
- Value added discussion
- Lean Six Sigma training



# The Kaizen Process: Day #3



## Day Three

- Brainstorming
- Analysis
- Problem solving
- Process redesign



# The Kaizen Process: Day #4



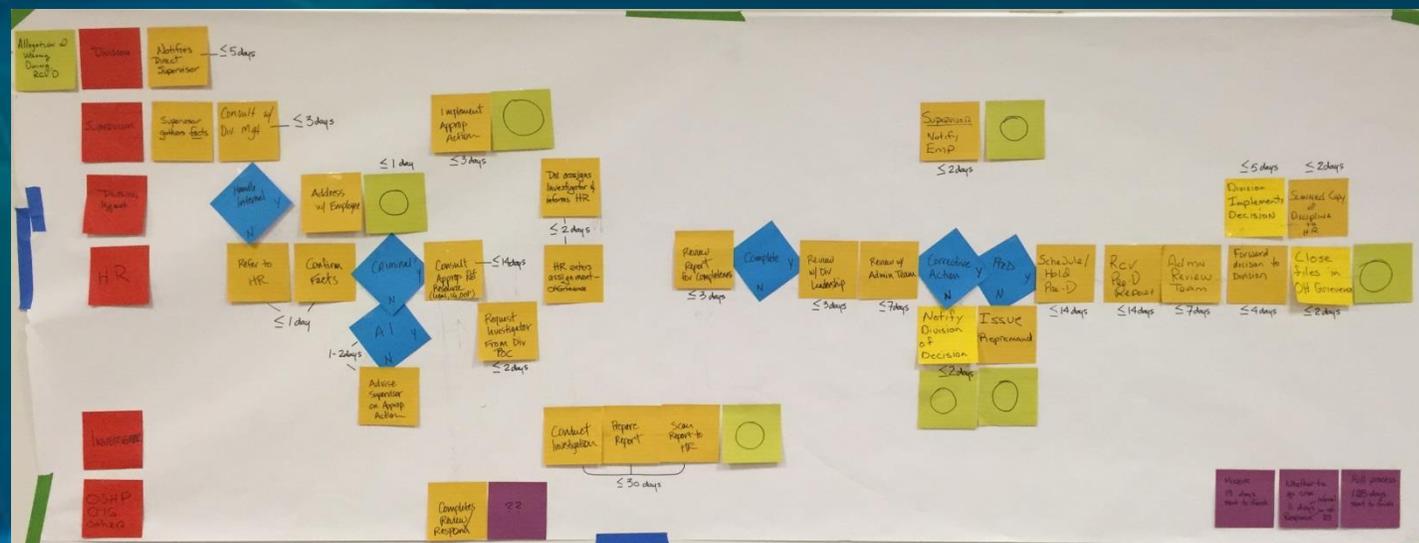
## Day Four

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

## Implementation Planning/ Action Registers:

- Forms/Communication
- Policies/Procedures
- Training
- > Reporting <

TRAINING		
WHAT	WHO	WHEN
INVESTIGATOR TRAINING	DNR HR	ASAP & ON GOING TWICE/YR.
POINT OF CONTACT TRNG.	HR	AT ROLL-OUT
SUPERVISOR INVESTIGATOR COACH TRNG. RECOGNIZE INTERACTIONS	DIVISIONS	2X ANNUALLY
OH GRIEVANCE	OCB/HR	AS EMPLOYEES CYCLE
INVEST. GUIDEBOOK	HR/DIV.	AT ROLL-OUT
NEW PROCESS OVERVIEW for SR. LEADERSHIP	HR / KAIZEN TEAM	AT ROLL-OUT/REPORT OUT
DECISION TREE CHECKLIST FOR FIELD ACTION		



# Summary Scorecard

Measure	Current Level	NEW	Change
Process Steps	91	34	63%
Decision Points	11	6	45%
Handoffs	26	13	50%
Process Lead Time	70 days – 547 days	11 – 74 days	59 – 473 days

# Implementation to Date (03/07/2016 – Present)

- **Policy revisions:** Disciplinary policy and grid currently under revision
- **OH Grievance modifications:**
  - Other-agency assignments loaded as investigators
  - Additional disciplinary “status” fields (e.g. “Pending Review,” “Pending Service”)
  - Communication, assignment, and weekly status request templates with e-Documents
- **Reports:** Finalized programming of:
  - Advisory/review team single weekly report
  - Data-mining reports (e.g. “Corrective counseling” metrics from “Comments” field)

# Results to Date: Trends

- **AI Completion Rate:**

100% of AIs have been completed within 30 days (95% goal), with average = 13.54 days

- **AIs and Pre-Disciplinary Reports Review:**

100% of completed AIs have been reviewed by the team within 14 days (0 – 7 day range!), with average = 2.62 days

- **Notice or Discipline Issuance:**

Pending data (day #36)

# Lean Benefits

## Simpler



- Less people touching the process
- Reduced decision-making
- One point of contact at the Divisions
- Improved forms
- Reduction of steps at the Division level and more time to focus on value added work

# Lean Benefits

## Faster



- Faster decision-making
- All documents travel through the process together instead of in pieces
- Reduction in people involved = reduced delays

# Lean Benefits

## Better



- Improved communication between HR and Divisions
- More transparent process
- More accountability for frontline supervisors
- Clearly defined roles
- More automated process by utilizing existing technology (OH Grievance)

# Lean Benefits

## Less Costly



- Less investigations which result in staff time spending more time doing value added work
  - One-third less full investigations (conservative estimate)
- Less travel
- Less paper in process
- Less time reviewing investigations by HR

# Additional Benefits

- **Trend Analysis:** Data analytics by Division, region, district, investigator, manager
- **Data-mining:** Corrective counseling, ODNR disciplinary grid violations, other-agency hand-offs/assignments/delays
- **Resource Management:** Focused deployment of mentoring and training resources to those in need
- **Records Management:** Records redaction and employee records connectivity via OHGrievance
- **Scalability:** Roll-out to agencies state-wide via OCB and OHGrievance

# Results to Date: Data-mining

Discipline Record Number	Employee	Employee Department ID	Initiation Date	Effective Date	Additional Agency Work Rule 1	Comments
						Corrective counseling was recommended due to a delay in processing the investigation caused by management. Incident not investigated until January 2016.
		DNR750570	3/24/2016	3/24/2016	ODNR-D(6)	
		DNR700755	3/29/2016	4/5/2016	ODNR - LE A(1)	Corrective counseling issued.//
		DNR700780	3/30/2016	4/5/2016	ODNR - LE A(1)	Corrective counseling issued.//
		DNR250220	4/5/2016	4/5/2016	ODNR-D(2)	Corrective Counseling recommended -- acs 4/7/16
		DNR301115	4/8/2016	4/12/2016	ODNR - D(6)	Corrective counseling issued.//

Corrective Counseling Report

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# Special Thanks To:

## Senior Leadership:

Director James Zehringer  
Assistant Director Eric Harrell  
Assistant Director Fred Shimp

## Sponsor:

Michael Luers, Deputy Director and HR Chief

## Team Leader:

Carrie Spradlin, HR Labor Relations Administrator

## SME's/Fresh Perspectives:

Kate Nicholson and Alicyn Carrel, Office of Collective Bargaining  
Julie Lee, Department of Public Safety