Ohio Department of Education
Professional Conduct

October 30 – November 3, 2017
How Did We Get Here?

• Cases are staying open too long (currently about a 12 month average)
• Increasing volume of incoming referrals
• Process has not scaled well to handle increased volume over the years; lots of “band-aid” and “one-off” steps
Case Crushers

SIMPAPER. FASTER. BETTER. LESS COSTLY.
Event Scope

• What is the first step in the process?
  – A complaint is received, or application comes into PC inbox.

• What is the final step in the process?
  – The referral is closed
Event Baseline Data

From the 2016 Annual Report:

• Number of customers
  318,000 licensed educators; 8,900 applicants

• Number of incoming items
  11,537 referrals

• Number of completed items
  1,361 investigations conducted (11.8% of referrals)
  1,032 cases resolved (75.8% of investigations)
    553 resulted in disciplinary action (53.6% of dispositions)
    479 resulted in no disciplinary action (46.4% of dispositions)

• Number in backlog items
  329 unresolved cases

• Current open cases
  1,569
Process Improvement Goals

- Reduce time to investigate cases by 50%
- Create consistent standards for case report to reduce guesswork in decisions
- Reduce intake process time/steps by 50%
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
- Value added discussion
- Lean Six Sigma training
Day Three
Brainstorming
• Analysis
• Problem solving
• Process redesign

157 Brainstormed Ideas!
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

- Single point of entry; one Intake inbox
- Paralegals out of Investigation process
- Staff Attorneys no longer scheduling interviews
- More autonomy
- Less duplication of effort
Faster

- Less time in Administrative Reviews
- Due dates for documents to be returned
- Disciplinary ranges for ABMR; less back and forth
- Recorded interviews
Better

- Revised Case Report
- Same AAG throughout process
- Increased follow-up on pending documents
- Intake checklists / decision trees
- Improved quality of records to AG
- Legal analysis in Investigation Report
### Summary Scorecard

<table>
<thead>
<tr>
<th>Measure</th>
<th>Current Level</th>
<th>NEW</th>
<th>Change</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total Steps</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Intake</td>
<td>291</td>
<td>200</td>
<td>31%</td>
</tr>
<tr>
<td>- Investigations</td>
<td>38</td>
<td>16</td>
<td>58%</td>
</tr>
<tr>
<td></td>
<td>62</td>
<td>26</td>
<td>58%</td>
</tr>
<tr>
<td><strong>Decision Points</strong></td>
<td>34</td>
<td>21</td>
<td>38%</td>
</tr>
<tr>
<td><strong>Handoffs &amp; Loopbacks</strong></td>
<td>116</td>
<td>62</td>
<td>47%</td>
</tr>
<tr>
<td><strong>Process Lead Time</strong></td>
<td>~ 12 months</td>
<td>6 months</td>
<td>50%</td>
</tr>
</tbody>
</table>
Implementation Plans

- Quick Hits
- Training
- Case Report
- IT
Quick Hits

- Update Case Report
- Update/Create training materials
- Best Practice Review
- Remove unnecessary forms/files from network storage
Training Plan

- Develop training, guidelines, and checklists for:
  - Paralegals
  - Staff attorneys
  - New intake process
- Training when new electronic process is developed

<table>
<thead>
<tr>
<th>Training</th>
<th>What</th>
<th>Who</th>
<th>When</th>
</tr>
</thead>
<tbody>
<tr>
<td>(for Paralegals)</td>
<td>Develop training &amp; update manuals; develop v. lists.</td>
<td>Aaron (Brittany, Rob)</td>
<td>Start now</td>
</tr>
<tr>
<td>For Staff Atty’s</td>
<td>Develop Training</td>
<td>Kelly (Abbie, Brandon, Jessica)</td>
<td>Start now</td>
</tr>
<tr>
<td>Intake Team</td>
<td>Develop Training Guidelines; v. lists.</td>
<td>Tom (Jason, Sarah, Montana)</td>
<td>Start now</td>
</tr>
<tr>
<td>New System Training</td>
<td>?</td>
<td>?</td>
<td>?</td>
</tr>
</tbody>
</table>
Case Report

I. Conduct / Convictions
   - Bullet point in CA Form (R....)
   - OR no misconduct (rare)
   
II. Summary of Investigation
   1-2 paragraphs providing referral source, allegation received, SD involved, position of R, other allegations, sources & witnesses (who talked), and outcome of SD, court, PD case.

III. Legal Analysis
   Strengths & weaknesses of case
   1-3 paragraphs analyzing credibility of witnesses explaining important facts were proven, description of unproven allegations, mitigating/aggravating factors R's demeanor (reliability/tude?)

IV. S.A. Recommendation
   [Bullet point like CA summary w/range]
IT Plan

- Auto-fill / online forms
- Internal dashboard
- Queue for Intake
- Tickler system
- Notifications for task changes
### What Begins Monday?

<table>
<thead>
<tr>
<th>CAN DO NOW</th>
<th>CAN’T DO NOW</th>
</tr>
</thead>
<tbody>
<tr>
<td>Everyone starts trying to move towards a &quot;good&quot; FIFO now.</td>
<td>Re-do non-disciplinary fines.</td>
</tr>
<tr>
<td>Quick Doc Mods (LOA in parallel sign)</td>
<td>Have a non-state webinar next week.</td>
</tr>
<tr>
<td>Interim - update processes with sign out - make sure to be signed against any changes.</td>
<td></td>
</tr>
<tr>
<td>Send any draft sub-powers sent draft to PU letters.</td>
<td></td>
</tr>
<tr>
<td>Send any draft sub-powers sent draft to PU letters.</td>
<td></td>
</tr>
<tr>
<td>Sarah will win Mail room to see if Mail line can be used to a better use.</td>
<td></td>
</tr>
<tr>
<td>New Case Report if need press media/press.</td>
<td>Staff puts draft newsletter.</td>
</tr>
<tr>
<td>Attack to request Treasury</td>
<td>Leave &quot;Mine&quot; inbox.</td>
</tr>
<tr>
<td>Send Tom IPTI Procedures (Jason)</td>
<td>- Streamline IPTI back-and-forth with OEL staff.</td>
</tr>
<tr>
<td>Lesly Jara's Angela letter</td>
<td></td>
</tr>
<tr>
<td>* Schedule Discussion</td>
<td></td>
</tr>
<tr>
<td>Agree on what needs to be proven (are there)</td>
<td></td>
</tr>
<tr>
<td>Set up meeting &amp;/or Manager Round Table</td>
<td></td>
</tr>
</tbody>
</table>
Special Thanks to...

Senior Leadership:
Paolo DeMaria, Superintendent, ODE
Melissa Huffman, Chief Operating Officer, ODE

Sponsor:
Julia Simmerer, Senior Executive Director, Center for the Teaching Profession, ODE

Team Leader:
Lori Kelly, Director, Office of Professional Conduct, ODE

Subject Matter Experts:
Max Hennon (Data/IT), Adam Bessler (OAG), Morgan Webb (HR), Sanjay Konar (IT), Maggie Sanese (Communications)
Results and Fact Sheet

July 2014 • Ohio Turnpike Commission
Procurement process for Turnpike facilities will move up to 85 days faster
Fact Sheet • Report-Out Presentation

July 2014 • Value-Stream Mapping Event
11 state agencies map out streamlined approach for managing federal grants
Report-Out Presentation

June 2014 • Ohio Development Services Agency
Grants for crucial heating and cooling assistance will be processed 16 weeks faster on average
Fact Sheet • Report-Out Presentation

June 2014 • Ohio Department of Rehabilitation and Correction
Streamlined reception process will move inmates more quickly to their home institutions, strengthening safety and family support
Fact Sheet • Report-Out Presentation

May 2014 • Ohio Department of Youth Services
Youth-focused intake process will ensure better communication, greater personalized attention, and faster assignments to home institutions
Fact Sheet • Report-Out Presentation

LeanOhio event fact sheet

Issue: Improving customer satisfaction for people who are served by the Ohio Attorney General's Information Technology Services call center.

Personalized Follow-Ups
Customers can select if they would like to be contacted and how they would prefer to be contacted. Customers can fill out a follow-up survey if they choose.

Customers able to fill work order information
Dashboard will allow customers to track, modify, and close its work orders.

Current State Process Map

Future State Process Map

Team members: Mark Smith (Team Leader), Laura Weatherup, Aaron Shays, Chad Ivey, Glen Patterson, Mark Edwards, Angela Cherry, Heather Stibbs, Kim Kozner, Jay Findlay, James Gregory, Debra Huber, Conchita Marson, Amy Brown, Deborah Elliott, Dustin Laczkine, Lecelma Roberts, Lindsey Goldam (DOH), and Kim Wiley (Federal Reserve Bank of Cleveland).

For more information please visit lean.ohio.gov or contact Steve.Wall@doa.ohio.gov