

Ohio Department of Transportation

Real Estate Records Retention Process Kaizen Event Report Out

January 23-27, 2012



Team “Out of the Box”



The Team

John Maynard, C.O.

Donna Stewart, Records, C.O.

Stephanie Castner, C.O.

Lori Spencer, C.O.

Dwight Neely, C.O.

Tammy Boring, District 6

Michele Sines, District 5

Daveen Goodman, C.O.

Dan Dougherty, District 12

Michael Buerger, C.O.

Katie Wood, C.O. DoIT

Marna Mulroney, District 1

Shell Miller, District 1

Jaclyn Noiro, District 2

Kimberly Allensworth, District 3

Cheryl Everett, District 4

Robin Castle, District 7

Cheryl Sears, District 8

Claudia Swartz, District 11

Denae Kotheimer, C.O.

Jayne Barker, C.O. DoIT

Lavone Cunningham, District 12

Background

Under the provisions outlined in Ohio Revised Code 117.49, ODOT is responsible for the retention of all right of way acquisition records. Paper records are compiled from the districts and sent to Central Office. These records have historically been housed in Central Office Real Estate, Records Section. This information is critical in providing customers accurate right of way documents in the preparation of ODOT and Local Governmental Agency project plans. The current record retention media is paper and microfilm, which is archaic and somewhat unreliable. The process has several layers of duplication and accessibility is cumbersome. Hard copy and microfilmed documents make retrieval of records labor intensive and inefficient for staff and customers.

Stakeholders

- Central Office Real Estate
- District Real Estate Offices
- Division of Information Technology
- Attorney Generals Office
- Local Governmental Agencies (LPA's)
- Right of Way Design Consultants
- Surveyors
- General Public



SIPOC

Suppliers

Inputs

Process

Outputs

Customers

Suppliers

- Staff
- Consultants
- Property Owners
- AD#0
- LPA's
- FHWA
- Surveyors
-

Inputs

- Final Right Way Plans
- Acquisition
- Construction Plans
- Legislation
- Proj. Agreements
- Everything in File

Process

Outputs

- Stored Data
- Boxes FF Floor
- Files Organized & stored
- " Accessible
- Happy Staff
- Backlog
- Film Record
- Duplication:

Customers

- Districts
- CO.
- LPA
- AGO
- Surveyors
- Property Owner
- Consultants
- opposing Council
- Politicians
- Taxpayers
- Interviewers
- State Auditor
- FHWA

District
An. File
Proposed
Plans

Transit
to
C.O.

Records
Review
Process

Transit
to
Records
Retention

Records
Retrieved
Stored

Jackie & Donna

Scope of Event

Scope:

The records retention process begins when the acquisition files are prepared by the districts and submitted to Central Office, Office of Real Estate. The process ends when the records have been stored for record retention.

Overarching

Process the real estate acquisition records in a manner to reduce duplication, backlog and enhance retrieval.

Out of Scope

Areas that will not change as a result of the Kaizen event are:

- No one loses their job because of the Kaizen event, but duties may be modified.
- Need for additional staff is not dependent on improvement process
- Need for additional monies is not dependent on improvement of process
- No legislative changes or changes related to collective bargaining.
- No IT solutions until it is determined that an IT solution is needed.

Goals & Objectives

- Eliminate the entire backlog within six to nine months.
- Convert all paper files to electronic files
- Reduce or eliminate file duplication
- Reduce customer wait time by 50%
- Increase staff and customer satisfaction

Stephanie

Current Backlog

350 Boxes

300
boxes

200
boxes

150
boxes

100
boxes

50
boxes

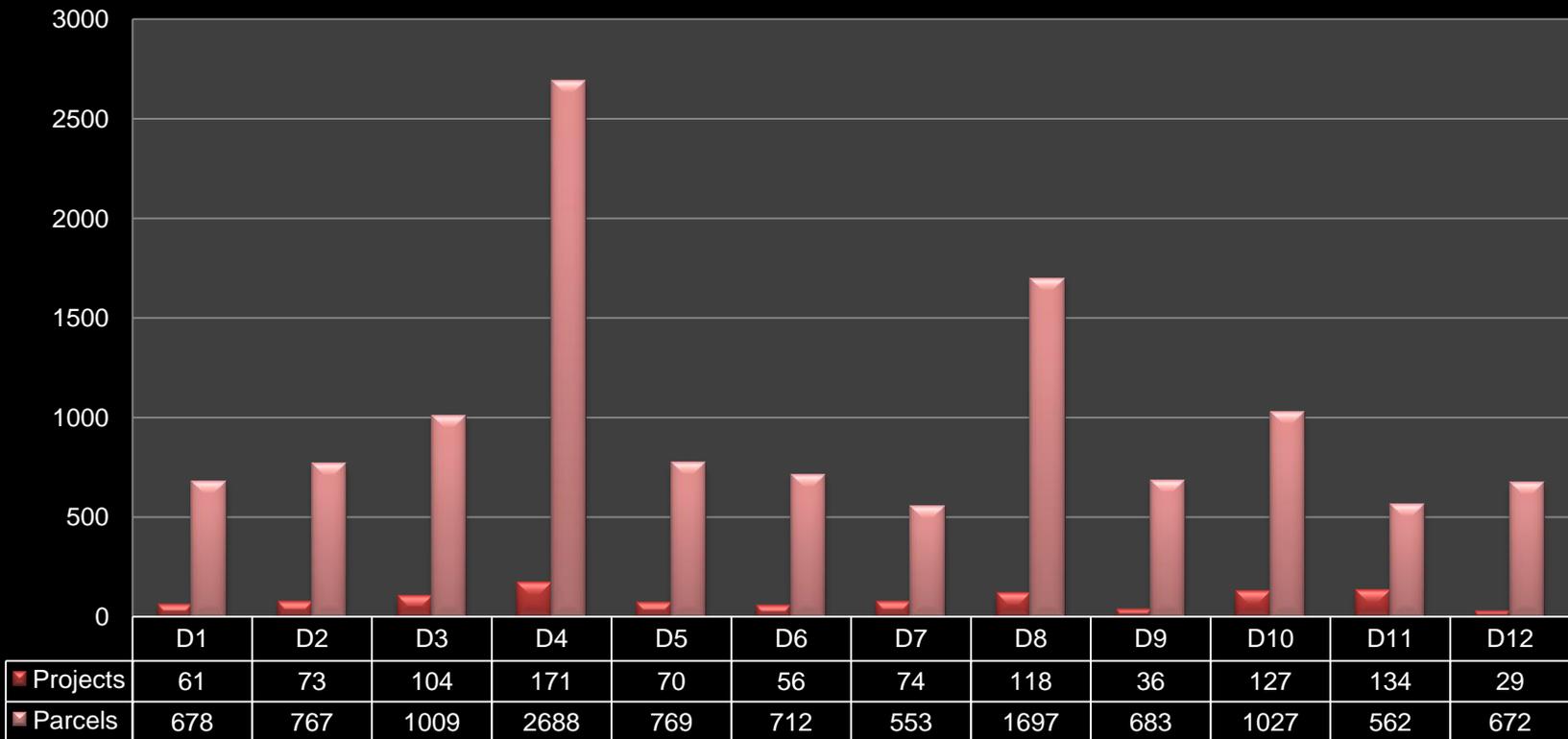


42 months of work

1 month 3 months 6 months 18 months 24 months 36 months

Baseline Data

Projects-Parcels FY02 - FY10



Walk-Through



Daveen

The Kaizen Approach

Team-based energy and creativity drives immediate process improvement

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
Day of Learning	Day of Discovery & Developing Improvement Ideas	Day of Improvement & Creating the New process	Day of Design Implementation & Documentation	Day of Celebration & Results Schedule 30-60-90-day follow-ups

At the end of the week, each Kaizen team has designed dramatic operational improvements

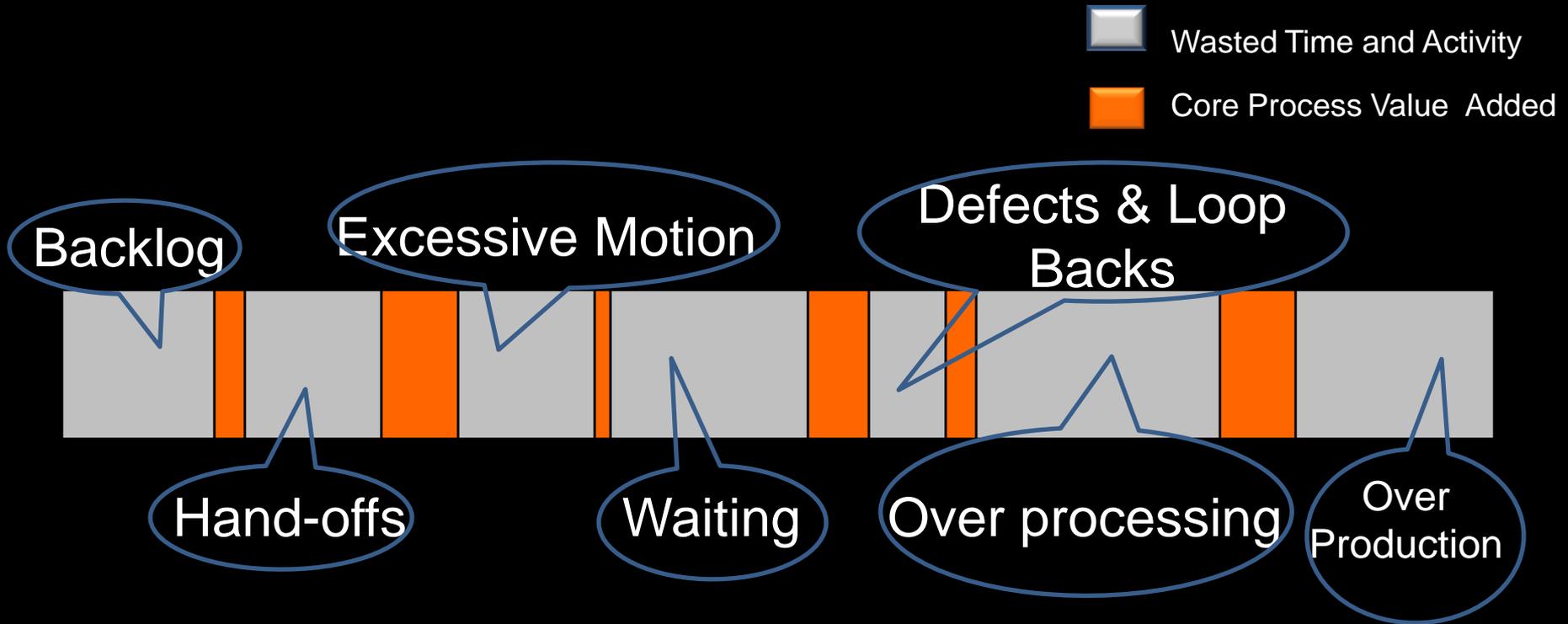


To Break for the Better

- Clear objectives
- Team process
- Tight focus on time (one week)
- Quick and simple, action first
- Necessary resources available right away
- Immediate results (new process functioning by end of week)



Lead time Reduction



Kim

Current-State Process Map



Blue “Post-its” are points of waste!

The original processes had:

- Too many steps
- Too many handoffs
- Too much paper
- Too much transportation

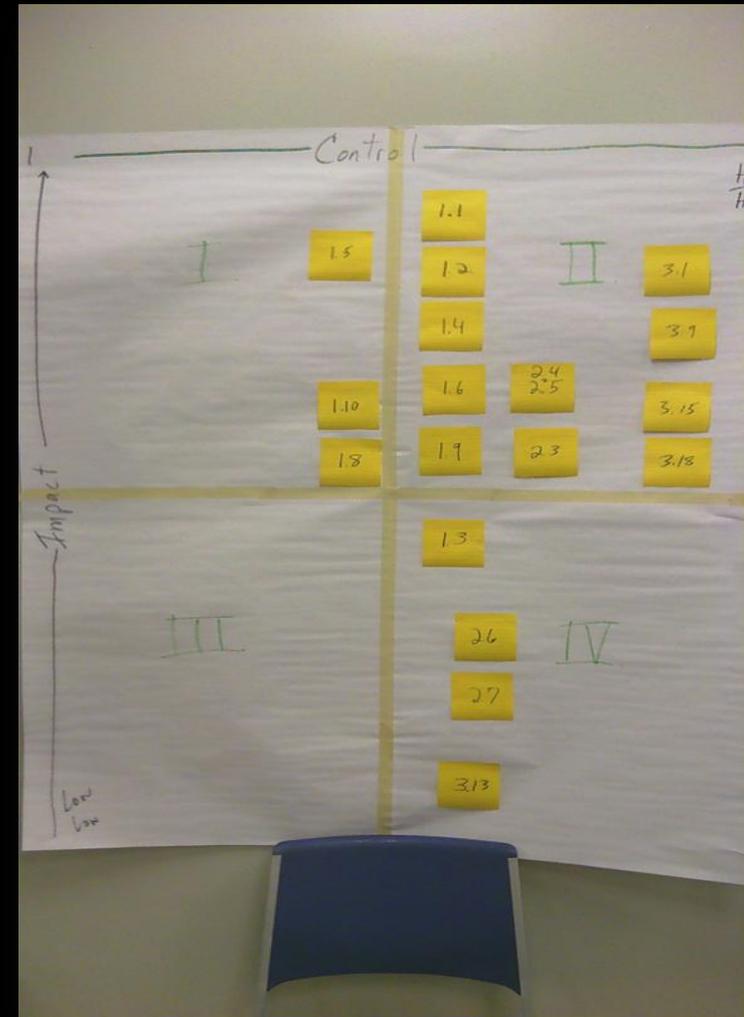
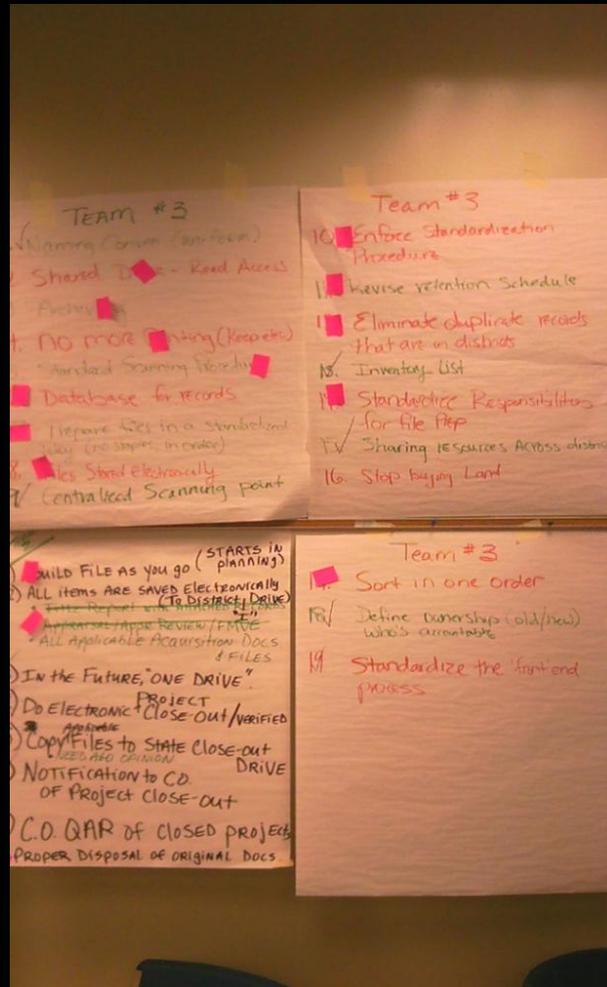


Intense work identifying Value and Waste

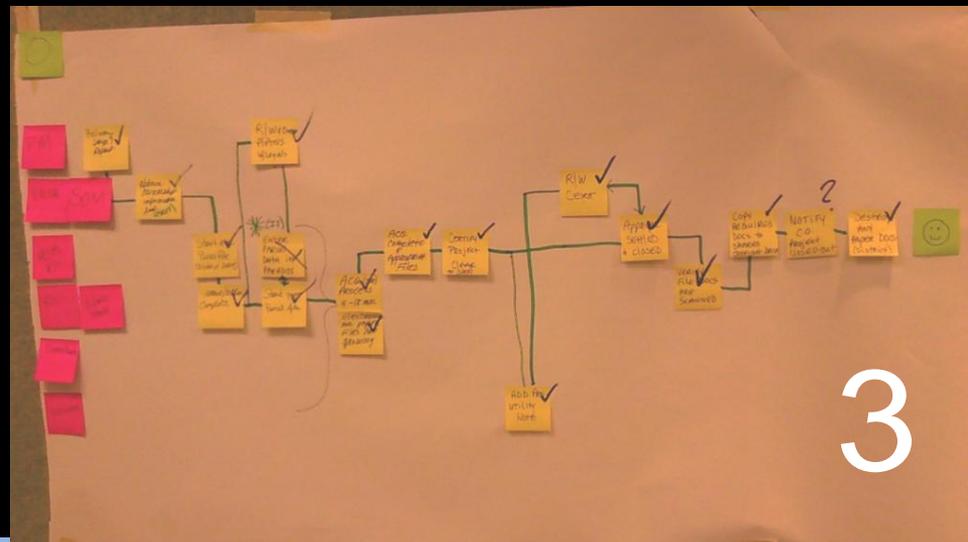
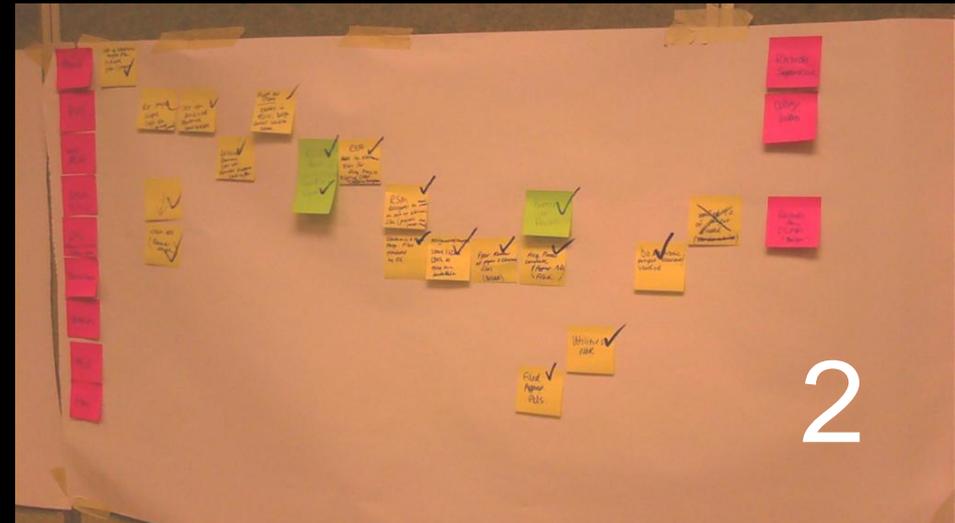
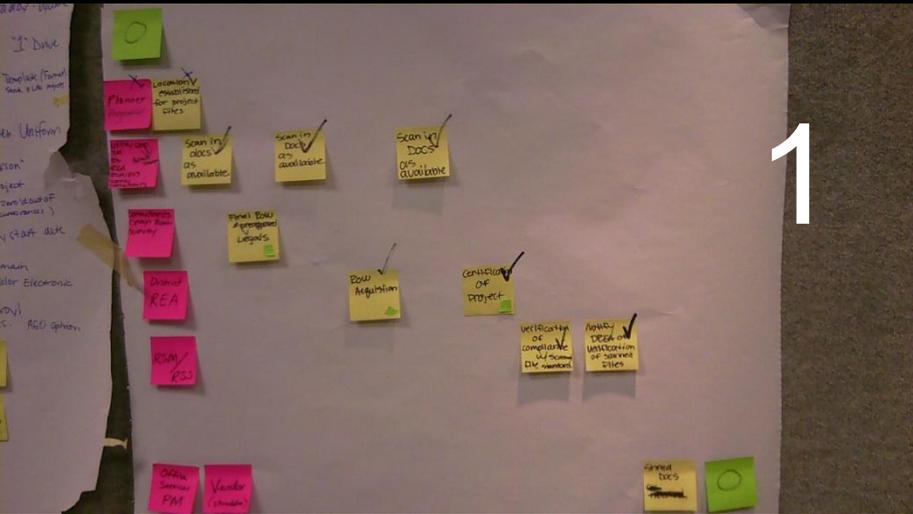


Lori - Shell

The team brainstormed and evaluated multiple improvement ideas



Clean Sheet Redesign



Michael & Cheryl

The Results

Measure	Before	Projected After	Difference
Steps	61	11	50 less steps 82%
Handoffs	22	8	14 fewer handoffs 64%
Lead Time	10 - 31months	6- 19 months	40%-31%
Delays	2 delays	0 delays	100%
Boxes waiting to be processed	Central Office - 146 boxes	0	100%
	Districts - 207	0	100%
	Warehouse - 4100 boxes	0	100%
Records Processes	13	1	90%

More Results

- Elimination of paper
- Faster retention
- Reduced duplication
- Easier access to records
- Reduced shredding
- No more microfilm



Error/Delay Avoidance

700,800 sheets of paper are handed off more than 25 times.....

17,520,000 fewer touches and fewer potential errors or delays

Dwight & Cheryl

Projected Cost Savings Analysis

Cost Savings and Cost Avoidance

Cost Savings

Paper 700,800 sheets @ .006 = \$4,402

Printing 700,800 @ .015 = \$10,512

Actual Cost savings = **\$14,716 per year**

Cost Avoidance

Cost to process 1 box

Old method = \$705

New method = \$1

Total Cost Avoidance

\$190,404



Current Key Issues	Kaizen Improvements
Paper records	Electronic storage
Multiple district drives	One shared statewide drive
Outdated/inefficient process	Streamlined/efficient process – reduce duplication & enhance retrieval Pushed decision-making to earlier in the process
Microfilm and movement of boxes of records	Scanned documents/reduce boxes
Process generates backlog	Eliminate backlog
Labor intensive and costly	Cost savings in labor/time/materials & increase employee production

Denaë

Implementation Plans

- Policy, Process and Forms Plan
- IT enhancement plan
- Backlog plan
- Communication and Training plan

Policy, Procedures, Retention Plan

OFFICE OF PRODUCTION RETENTION SCHEDULE

- 3 YRS AFTER PROJECT FINALIZED
- THEN ELECTRONICALLY ARCHIVE R/W & CONSTRUCTION PLANS
- AFTER 3 YEARS DOCUMENTS CAN BE DESTROYED OR ELECTRONICALLY ARCHIVED FOR FUTURE DESIGN REFERENCE

NEW RETENTION SCHEDULE 40 YEARS OR FOREVER ?

- APPRAISALS / REVIEW / RE-ZZ / FIVE
- CASE SETTLEMENTS / JUDGEMENT ENTRIES
- CONTRACT ^{FOR} SALE & PURCHASE (?)
- CONVEYANCE DOCUMENTS
- NEGOTIATOR NOTES
- TITLE REPORT
- TAX ~~B~~ INFO (?)

EMERGENCY
EXIT
ONLY

Jayne

IT Enhancement Points

- PRINTING
- NEW RETENTION POLICY ^(SOL) & SHREDDING PROCEDURE
- EXPLANATION OF DISTRICT DO IT ASSISTANCE + PROCESS FOR COMMUNICATING FEEDBACK TO CO

IT Plan

What	Who	When
1. Initiate Request for Shared Drive	Jayne Barker/ Charles Ash	14 days
2. IT creates drive w/ Standard File Structure (Proposal #2) - for 90 days	C.O. IT/ Jayne Parker	30 days
2a. IT give Read Access to All Employees in Real Estate (statewide) Full Access to REA's	C.O. IT/ Jayne Barker	30 days
3. Survey Districts About Scanning Capabilities	C.O. IT/ Jayne Barker (contact)	14 days
3a. Pull Survey results	C.O. IT/Jayne Barker	30 days
3b. District IT/co. IT work together to get Scanning Equipment Estimates	District/co. IT	45 days
4. Create Folder Security/Permission List		
4a. C.O. Permissions Coordinator → Donna Stewart - C.O. District Permissions Coordinator → District REA's		60 days
5. Create Real Estate Email Group		60 days
6. Create Backlog Countdown	→ Katie Wood → Katie & [unclear]	15 days 20 days

John & Stephanie

Backlog Plan

BACK LOG PLAN

WHAT	WHO	WHEN
<ul style="list-style-type: none"> Identify what projects have already been scanned in Regions and sent to CO (may eliminate boxes) 	Districts to coordinate with Donna. Districts held responsible for decision to shred documents	30 days or less
<ul style="list-style-type: none"> Identify active files (Piece-mailed) 	CO ; District Contact	30 days or less
<ul style="list-style-type: none"> Any Remaining files will be microfilmed if currently @ CO 	DONNA/Dwight	JUNE 30
<ul style="list-style-type: none"> Any COMPLETED PROJECT FILES currently @ District will be scanned <ul style="list-style-type: none"> Contact person from Kaizen in each district will provide hard numbers on numbers boxes 	District staff, Divisional Intrens, Any other avail. District staff (from another District)	6-8 months

*Rule: Projects must be stored as a whole in ONE media source/type!

- According to revised retention schedule, what must be retained? How long?
- Do ADC. ~~Files~~ Files need to be retained?

4100 BOXES @ WAREHOUSE

WHAT	WHO	WHEN
<ul style="list-style-type: none"> Identify what files have been microfilmed and hard copies retained. 	Donna, Stephanie, Avail. District staff ; division intrens	30 days or less
<ul style="list-style-type: none"> Search "Federal ; State" projects boxes to identify 	Donna, Stephanie, Avail. District staff ; division	

P

SH

SH

*BEST BUYS

AS D

SCAN

THEN

NO P

IF SH

FACT

- E

Katie & Michele

Communication and Training Plan

Training on Process changes

- Identify people involved in scanning
 - train on standard directory structure
 - train on equipment (scanning, saving, retrieving)
 - train on naming conventions

Develop Training:

Present Training:
Katie
John
Kim
Tep from
WIS
Kaizen
for ec
District

Provide Example !!

- Document the standard Directory structure & communicate it
- Create Subcommittee to communicate manual changes
 - train consultants & R.E. Staff
- Communicate WHY is #1
- Take training to them!
(by former Region)
- Provide a 1 sheet bulleted list of main objectives to give to everyone

Pilot to Kaizen Group

Backlogged Files

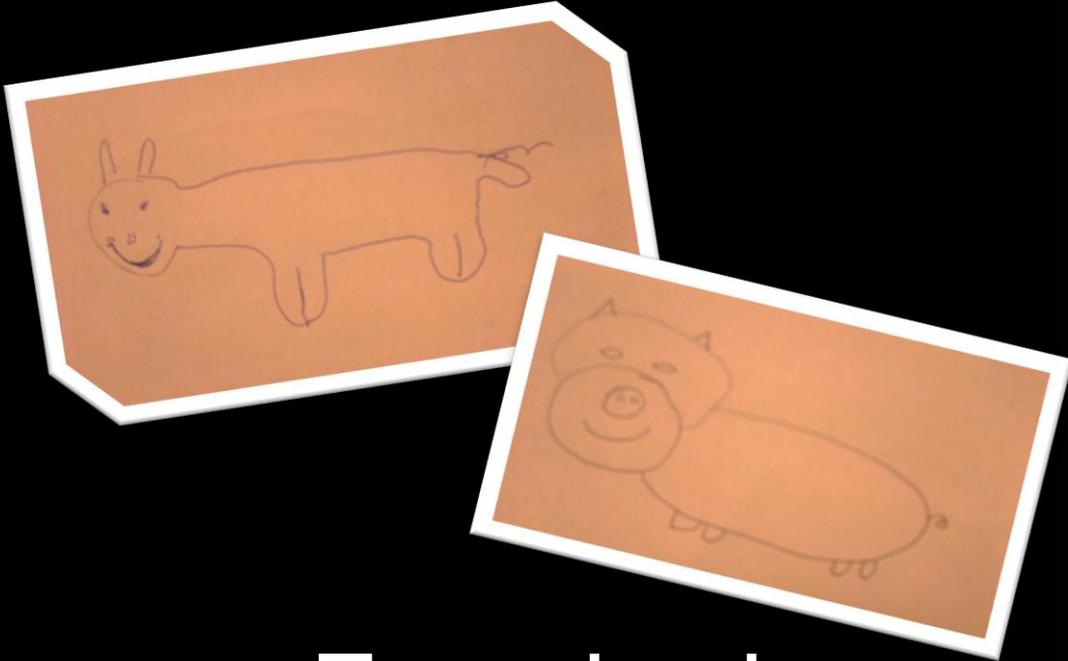
- Communicate plan for:

Kaizen Benefits

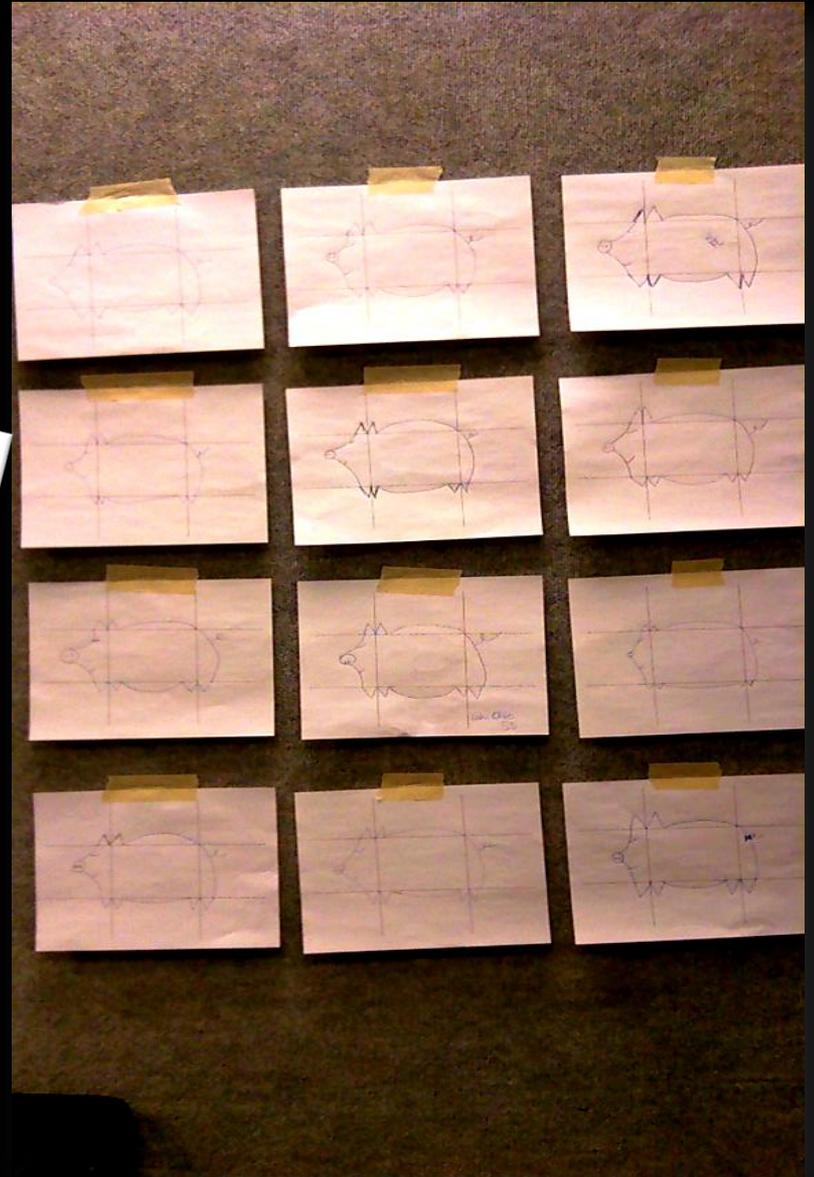
Open Communication
Bringing everyone involved together
Kept us on track and focused
We used compromise
Users involved
We really learned the process
Group decision making
Ownership
The right people in the room



Standard Process

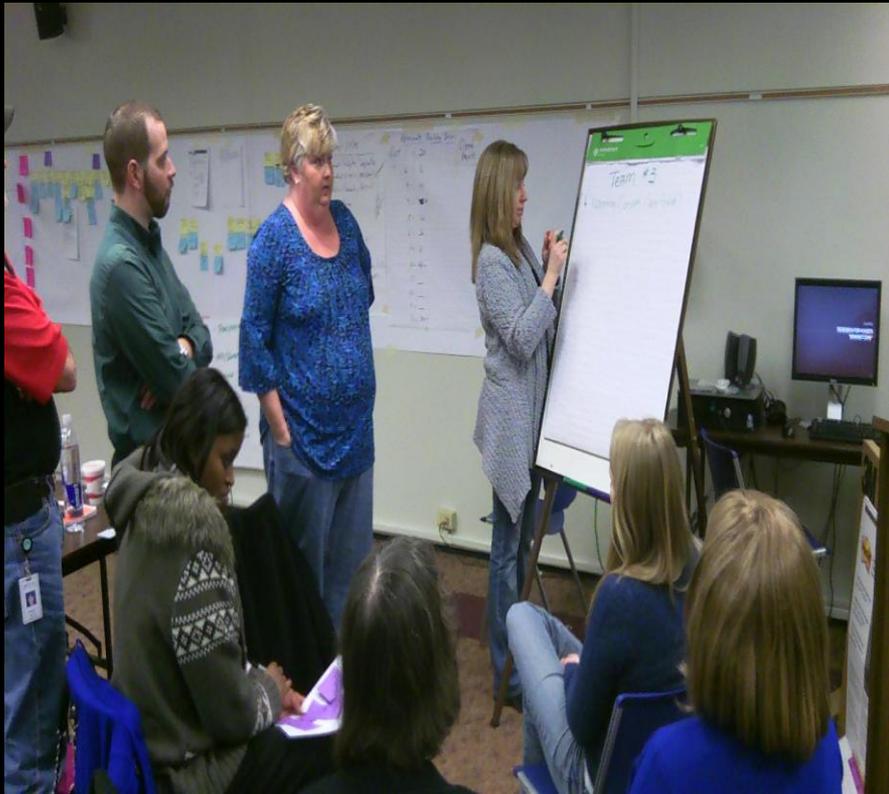


Everybody
doing the same
process the
same way!



Robin

What changes Monday?



- Communication
- Training Plans
- District Backlog
- C.O. Backlog
- Policies and Procedures
- Pilot drive work

Marna & Claudia

Personal Lessons Learned

We are part of the solution

Many District changes

Session overcame my sleep apnea

Groups made many changes

We made great progress

We had full leadership support

Shell & Lori

Life as a member of a Kaizen event Team...



Special *THANKS* to...

Senior Leadership:

James Young, Deputy Director, Division of Engineering

Sponsor:

John Maynard, Administrator, Office of Real Estate

Team Leader: Donna Stewart, Records

Subject Matter Experts: Laura Philabaum, District Real Estate Administrator, District Five, Matt Kouskouris, Reality Specialist Supervisor, Real Estate, Heather Sullivan, Chief Legal

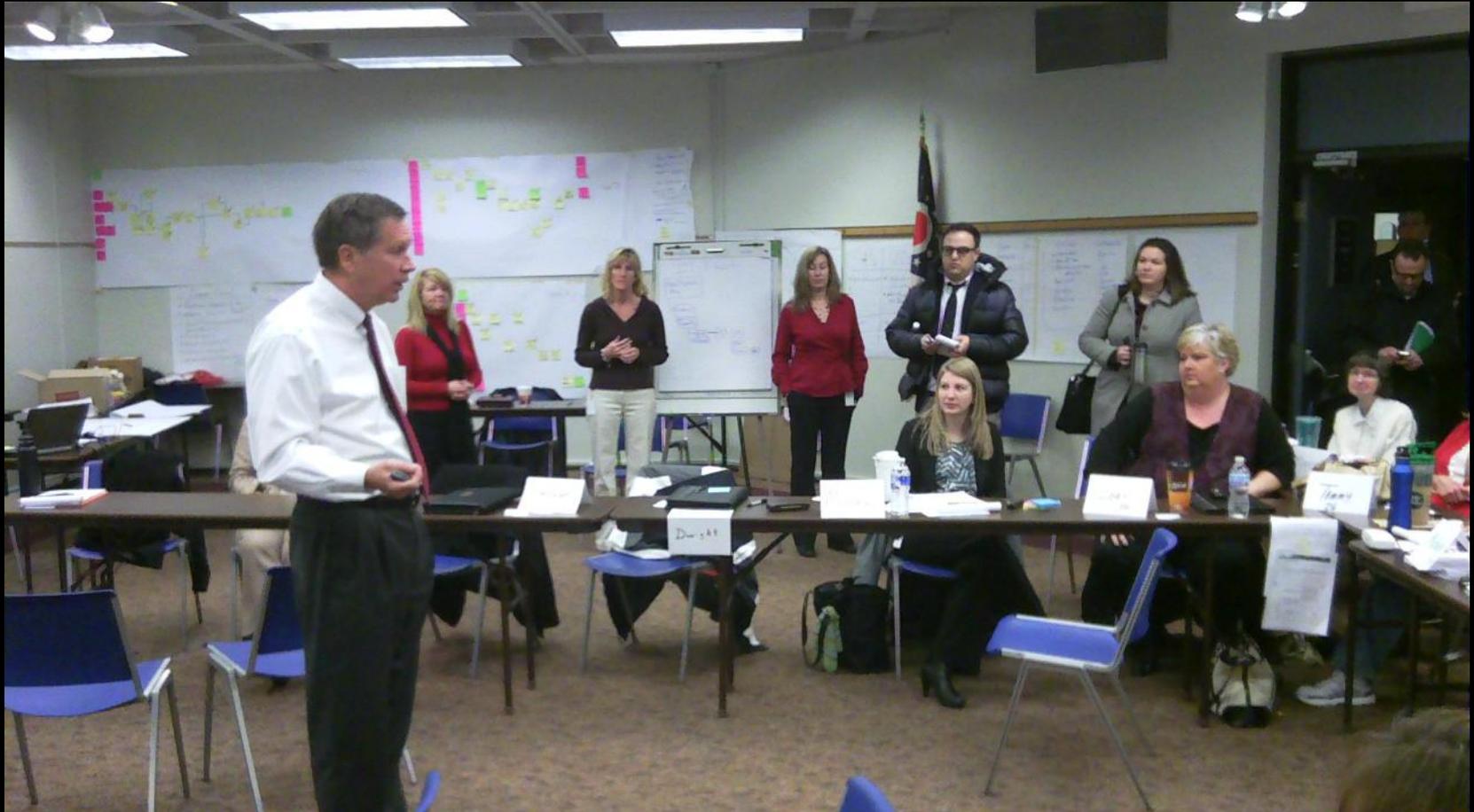
Governor's Visit



Governor's Visit



Governor's Visit



Governor's Visit



Governor's Visit



What Questions/Comments do you have?

