

RECORDS RETENTION & STORAGE

Green Belt Project Report Out
KARRY THACKER

State Medical Board of Ohio
December 2016



*To protect and enhance the health
and safety of the public through
effective medical regulation*

Meet the Medical Board

Licenses Regulated by the Medical Board

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

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

Project Title	RECORDS RETENTION & STORAGE
Project Facilitator	Karry Thacker (LeanOhio Green Belt)
Agency/Organization	State Medical Board of Ohio
Project Sponsor/Team Lead	Stuart Nealis, Agency Project Manager (Black Belt)
Charter Last Updated	9/2/2015

Project Background
SMBO is currently billed for 7,192 boxes of records (@2,400 pages/per box) from an offsite storage vendor. Equating to 17.2 million pages of paper records and activity fees for retrieving, returning, and maintaining boxes costing the agency upwards of \$15,000 annually. Additional costs being incurred for staff resources and customer delays for processing, accessing, reviewing and providing public records for transparency.

Problem/Opportunity Statement
Electronic technology increases faster access and better overall management of state records when utilized for the highest benefit. Original paper for active records is inevitable, however, historical storage of the crucial and necessary information can be made into an electronic format for permanent and efficient access. Excessive stored paper is cost-prohibitive to manage both internally and externally. The purpose of this Lean Routine project is to identify, address and reduce the offsite stored records and eliminate any future increase of stored paper items. Internal stored records must also be kept at a necessary minimum for efficient processing, customer service, and office space limitations. Agency records compliance, retention awareness, and management of records must occur as a regular priority for all employees creating work product for state business.

SCOPE (DEFINE BOUNDARIES)	First step in the process: Identify assigned Work Unit (Dept.) owners of current offsite stored records.
	Last step in the process: Proper electronic creation with RRS compliance & final authorized destruction of stored paper records.

Project Goals

- Reduce offsite stored items by 50%
- Develop Action Plan to avoid unnecessary future stored paper items
- Remove/Update/Create necessary SMBO specific Records Retention Schedules

Phased Implementation by Department	Current	Goal	Final	% Change
Phase 1: Licensure, Business, Executive, Legal	2,869	1,435		
Phase 2: Hearing, Enforcement-Investigations	4,322	2161		

Performance Metrics: What measures will tell you if you are successful.	Performance Metrics			
	Current	Goal	Final	% Change
Reduction of boxes stored with offsite storage vendor	7,192	3,596		50%
Reduction of new boxes sent to offsite storage vendor (monthly)				

Project Team	
Team Champion:	A.J. Groeber, Executive Director (Black Belt)
Project Mentor:	Tom Melfo, ODD (<i>Opportunities for Ohioans with Disabilities</i>) (Black Belt)
Process Owner:	Gary Holben, Agency Records Management Officer
Team Members:	Senior Staff, SMEs, Chantel Scott, Bill Schmidt, Peri Vest, Fonda Brooks, Bonnie Ristow
Subject Matter Experts:	Sallie Debolt, Dave Katko, Liz Hawk, Judy Rodriguez, Alana Noward
Team Partnership:	All Employees

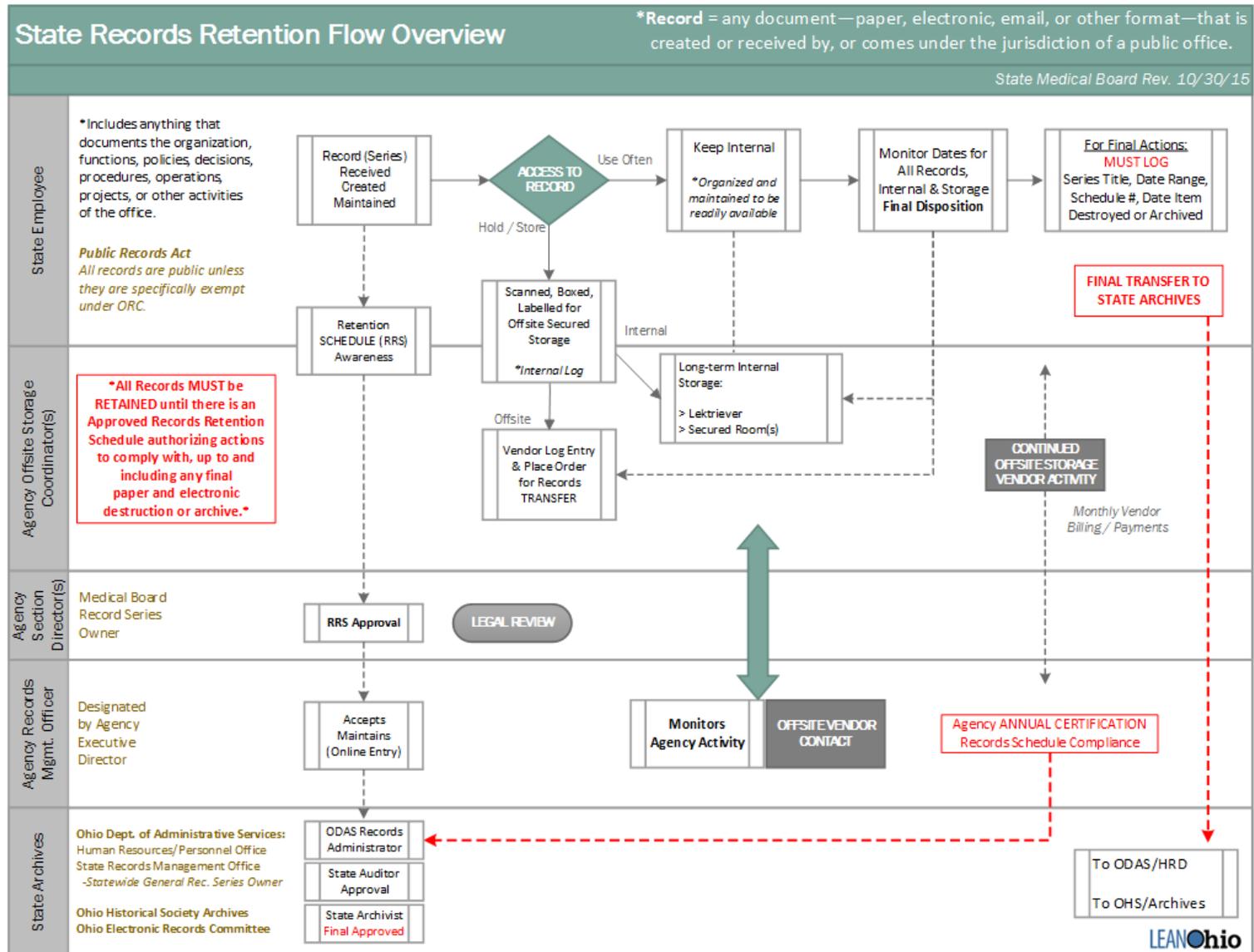
Project Champion Sign-Off: I am committed to supporting this project and implementing the teams improvements.

Champion (Executive Director): *A.J. Groeber* authorized by signature on file 5/20/15

Project Sponsor Sign-Off: I am committed to supporting this project and implementing the teams improvements.

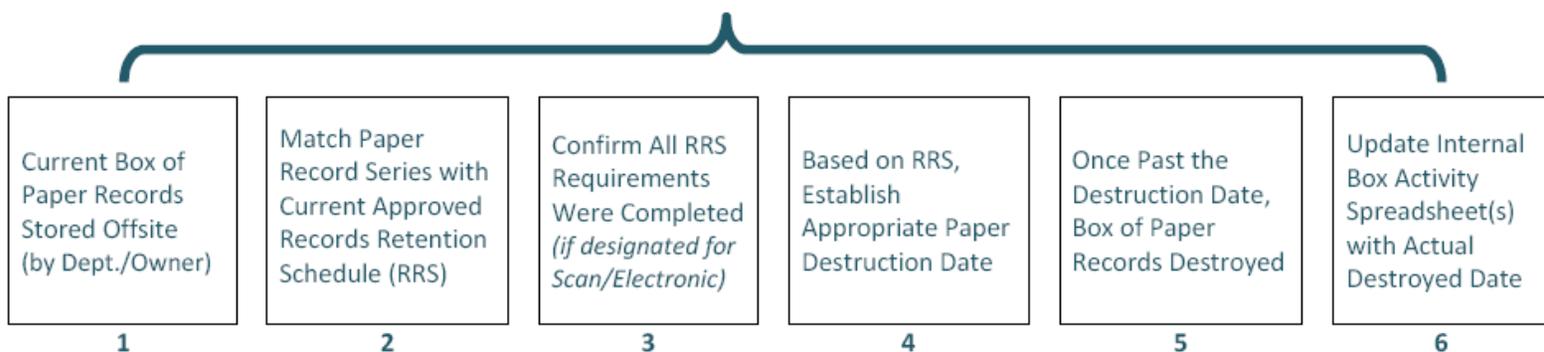
Stuart Nealis, Project Manager:  Digitally signed by Stuart Nealis
DN: cn=Stuart Nealis, o=US, ou=State Medical Board of Ohio, email=stuart.nealis@med.ohio.gov
Date: 2015.09.15 14:17:19 -0400

Unseen... into Viewable Format

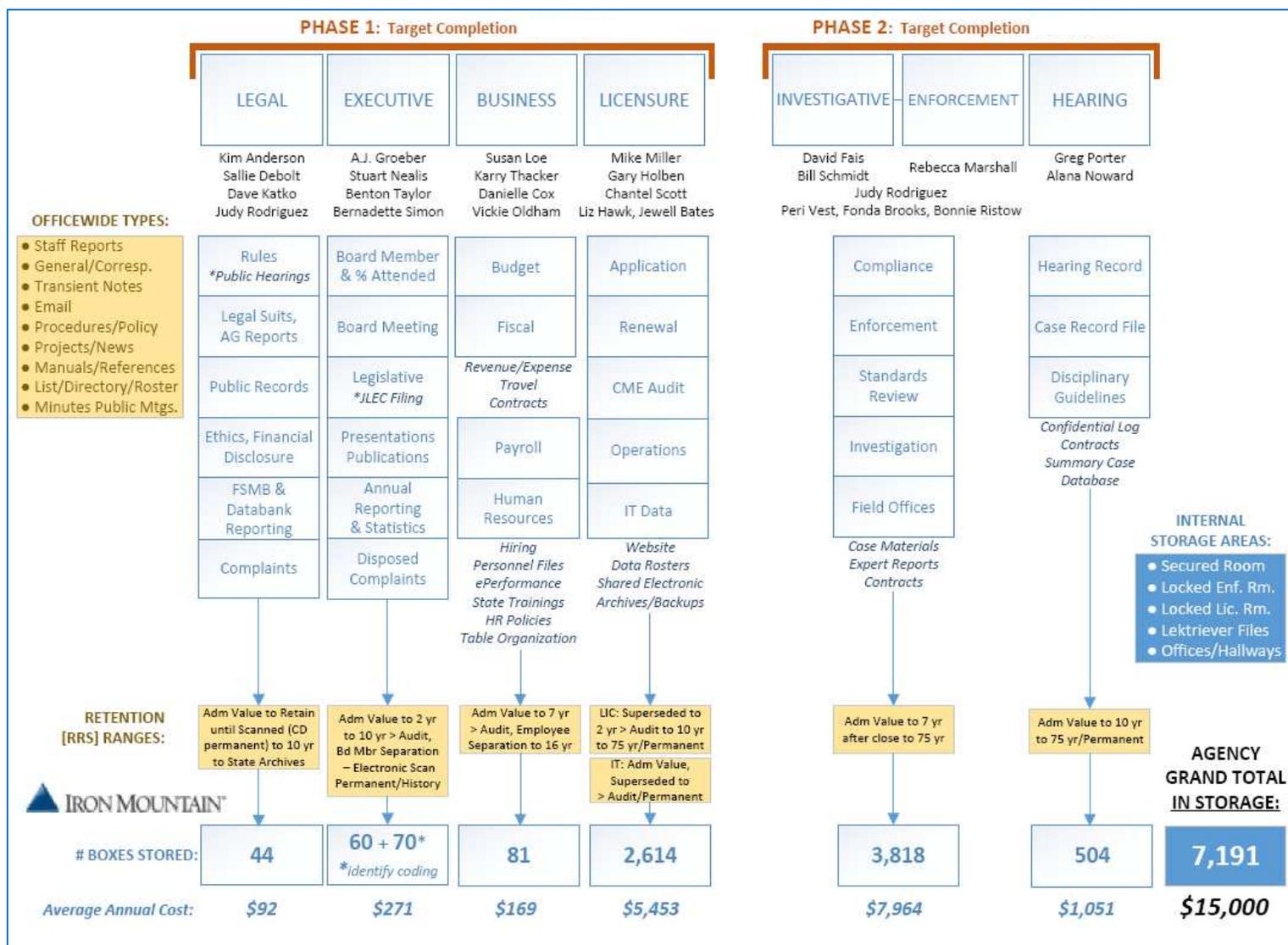


High Level Process – S I P O C

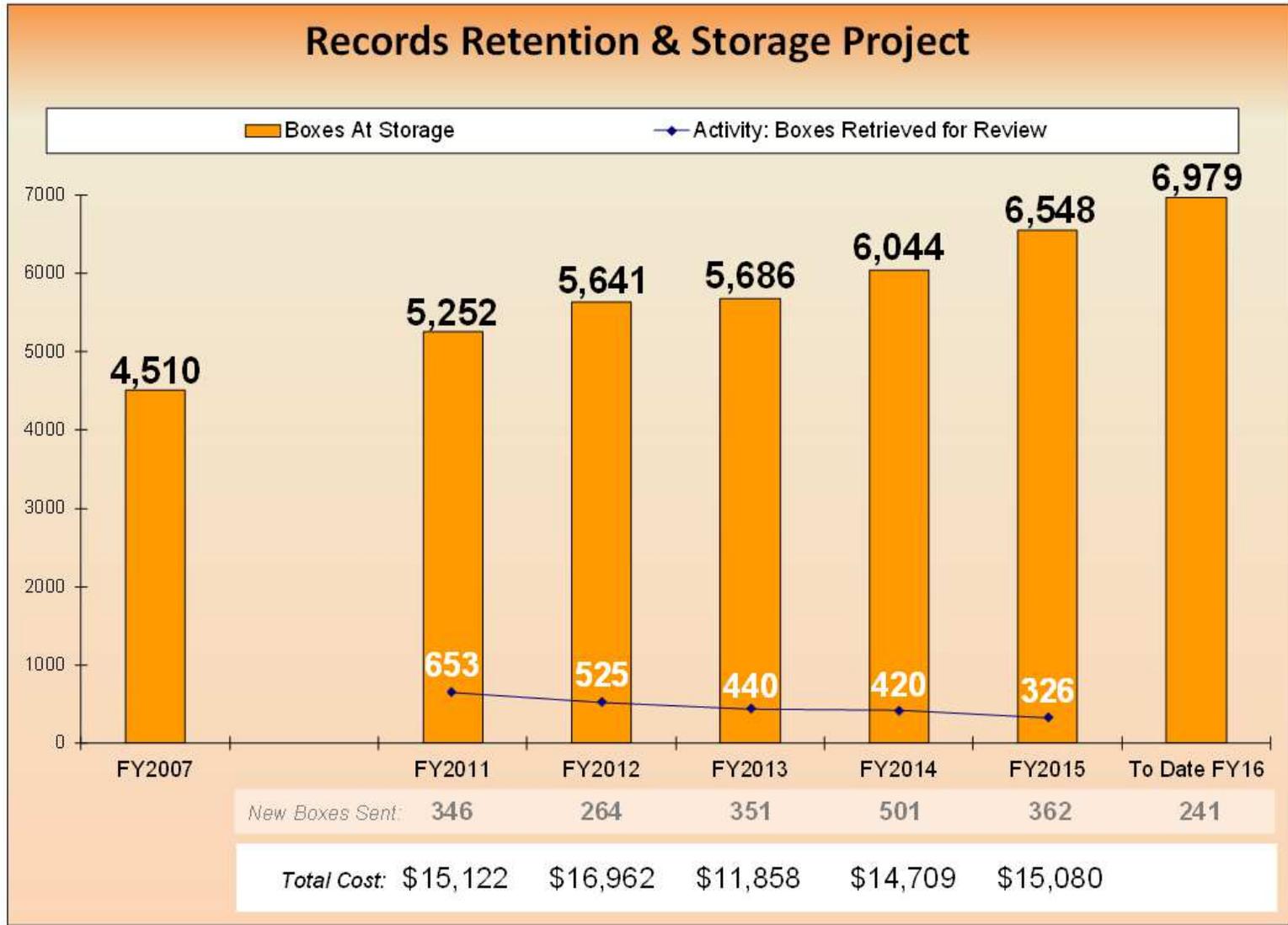
SUPPLIERS	INPUTS	PROCESS	OUTPUTS	CUSTOMERS
<ul style="list-style-type: none"> • Iron Mountain Offsite Storage Vendor • SMBO Licensees • General Public/Complaints • SMBO State Employees • Laws, Rules, Regulations 	<ul style="list-style-type: none"> • Paper Applications, Forms • Paper Reports, Documents • 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 		<ul style="list-style-type: none"> • Reduced Paper Backlog / 5 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 	<ul style="list-style-type: none"> • 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



Baseline Data: CT Flowdown



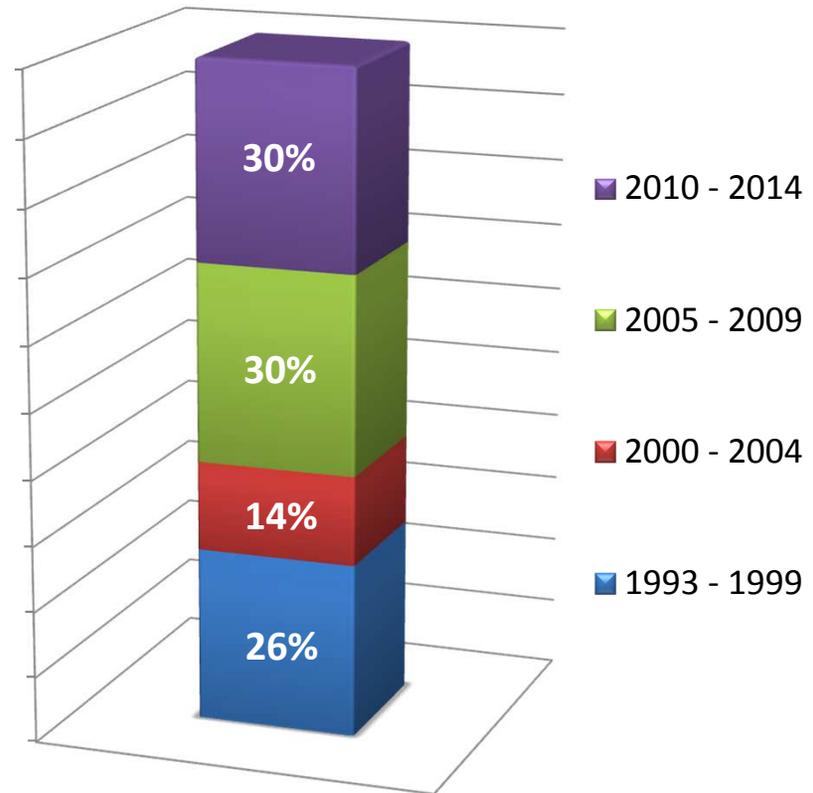
Baseline Data: Historical Review



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?

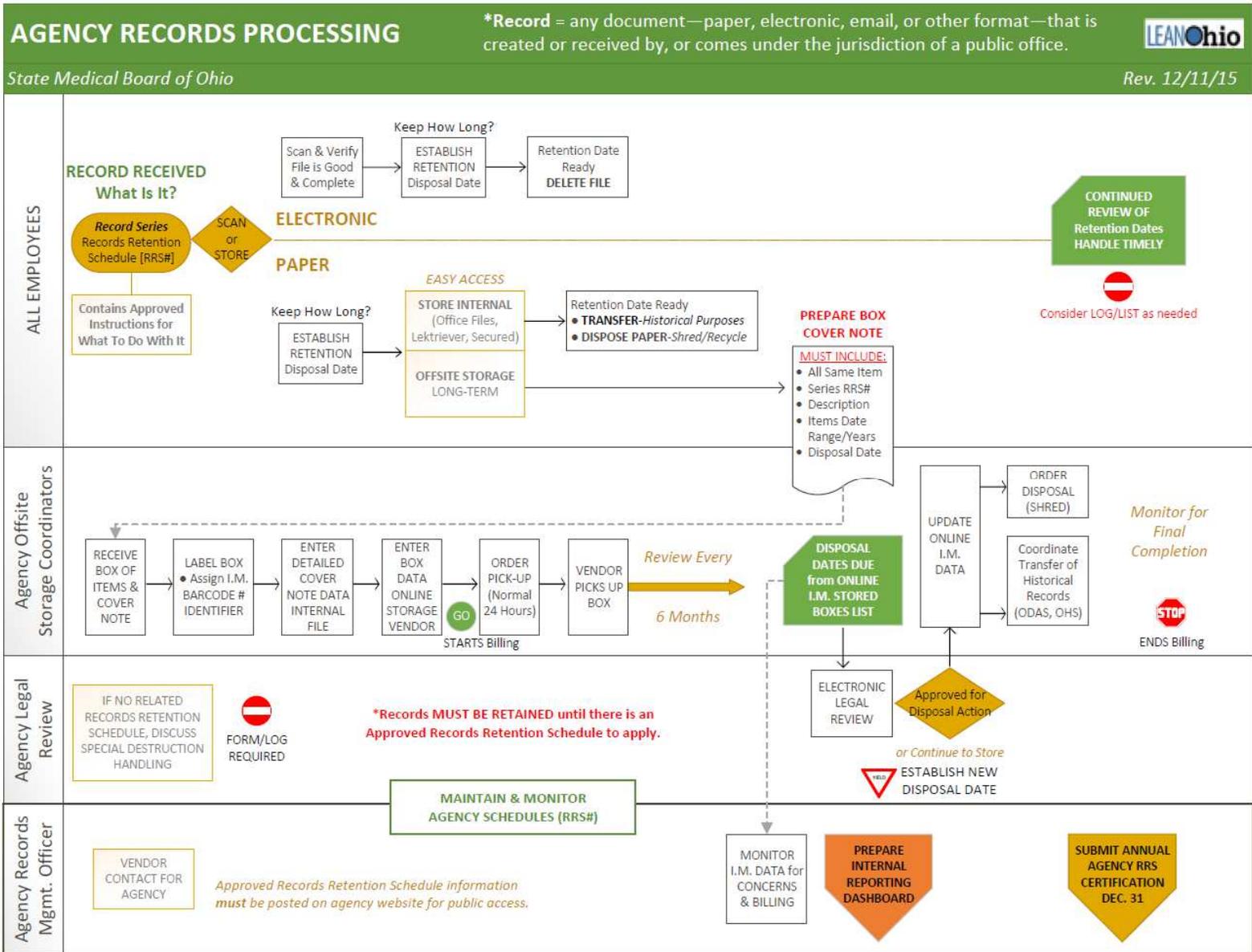
Why do we retrieve and return boxes incurring additional fees?

Why do we have permanent or 75 year storage requirements?

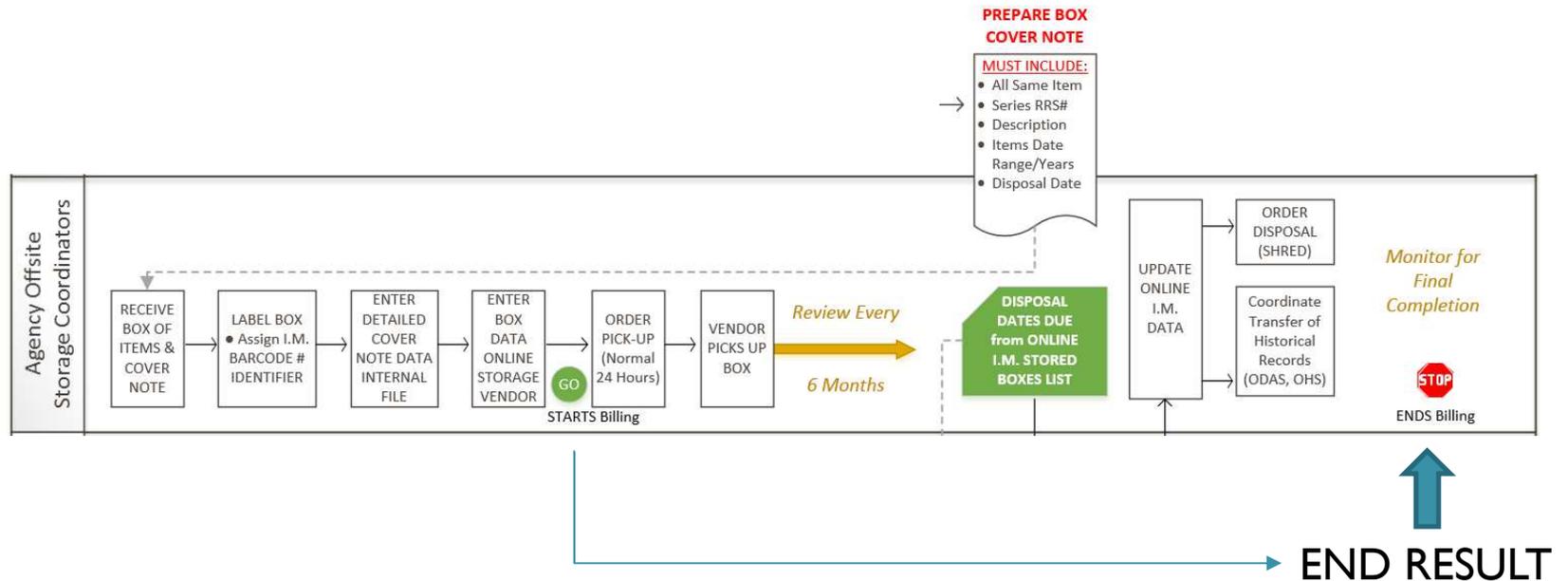
Why not scan documents for faster efficient & future access?

Why not properly dispose boxes past their retention date?

Process Overview



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

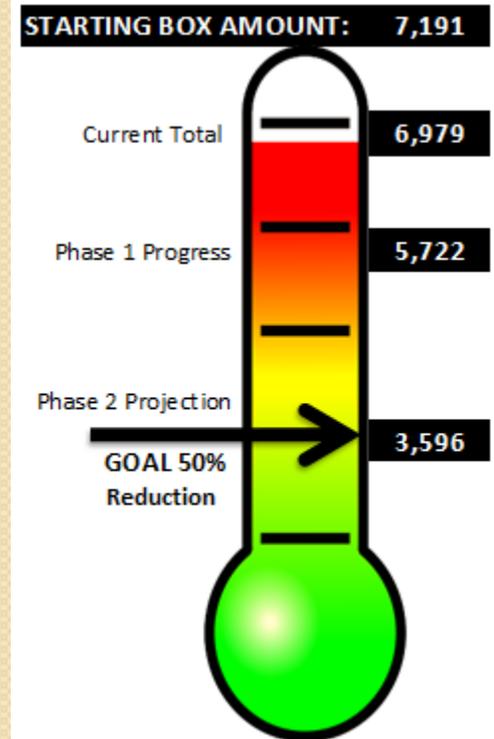
Visual Management



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

Executive Director (Black Belt) Provided Data & Visual Management Tools to Senior Team and Agency Staff

Project Status Success Meter



Project Metrics

Measure	Result
7,191 stored FY2015	5,722 33% Reduction
Phase 1 -1,196 boxes	Annual Cost Savings \$2,071
FY2015 June–Sept Qtr vs.	FY2016 Quarterly Savings \$556
FY2016 Year End	18% Reduction of new boxes going into offsite storage
Phase 2 In Progress for final Project Results	

Improvement Summary

Current

Storage Billing Starts

Increased Paper Backlog

Customer Access Delays

Outdated & Missing RRS#

Lack of Awareness

Future

Billing Ends

Record Accountability

Faster Response &
Electronic Formats Available

Current & Easy to Apply RRS#

Staff Engagement & Ownership

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 5S / Lean Reminders

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

Monthly Billing Invoice Review

- Shows New Activity & Older Stored Items
- Monthly Allows Prompt Response to Concerns

6-Month Database Review Stored Box Inventory

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

Records Retention Schedule Updates

- Creation of New Records Requiring a Schedule
- Several Revisions Still In Progress for Retention Changes

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