

LEANOhio

Ohio Department of Natural Resources

Administrative Investigation and Discipline Process

February 29 – March 4, 2016

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How Did We Get Here?

Why are we doing this event?

ODNR has historically maintained 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 needs to change?

ODNR seeks to 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.

A New **A**ldea



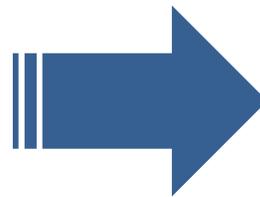
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Event Scope

First Step

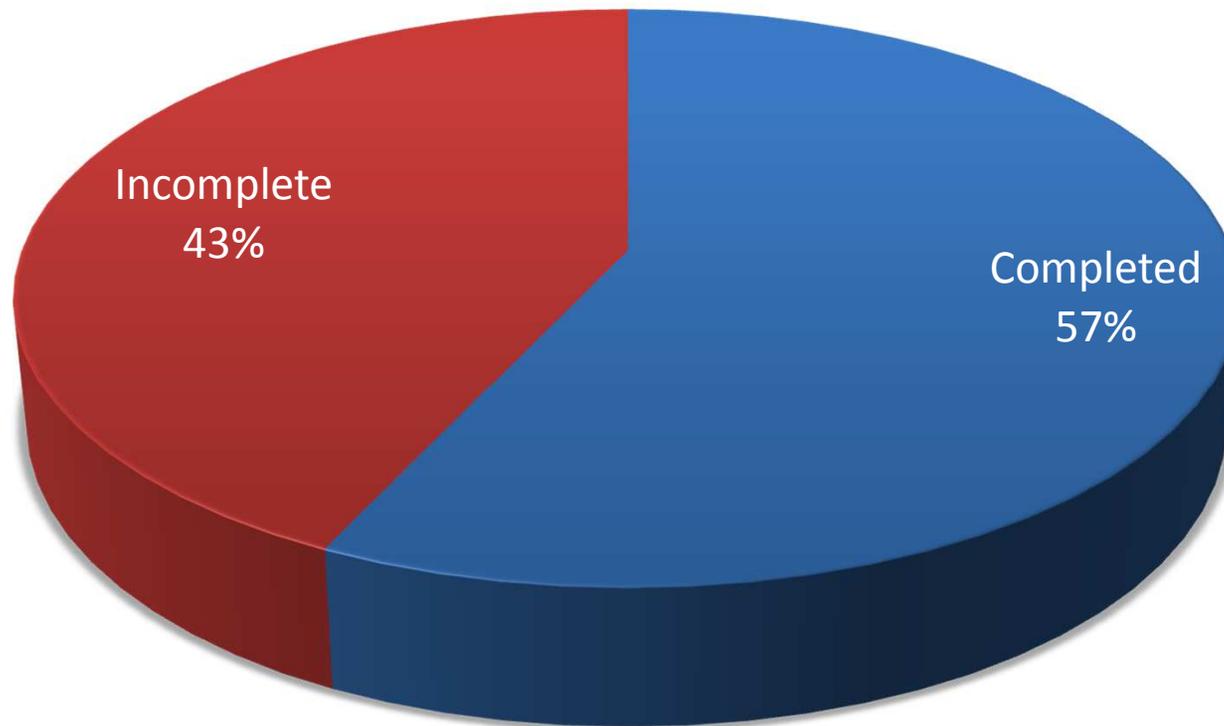
**Notice of
incident that
may involve
opening an AI**



Last Step

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

Event Baseline Data



693 AIs processed from 2012 to 2014

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.

Change for the Better

- Customer focused
- Right people changing the process
- One week-quick and action oriented
- Necessary resources available immediately
- New process reviewed immediately followed by implementation





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

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Day Four

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

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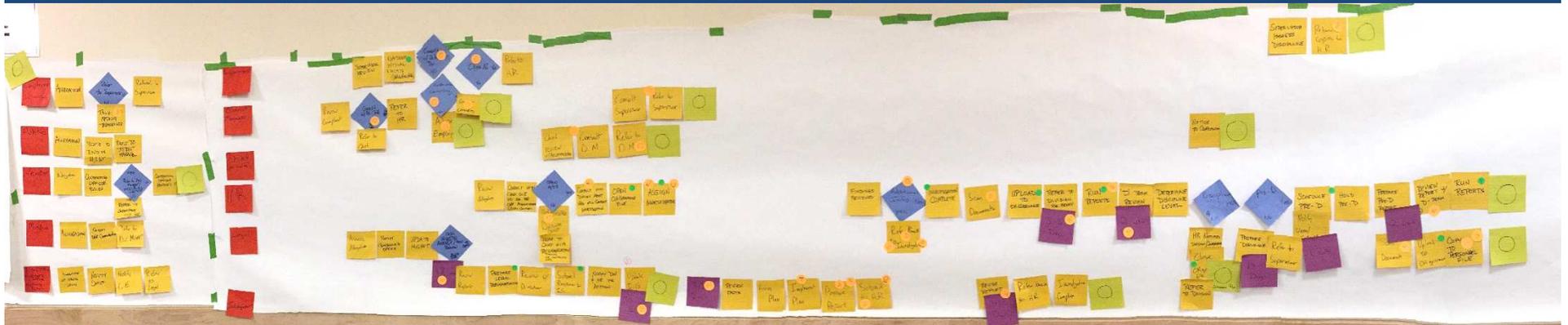
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Today - Day Five

- More implementation planning
- Celebration
- Sharing results

Current State

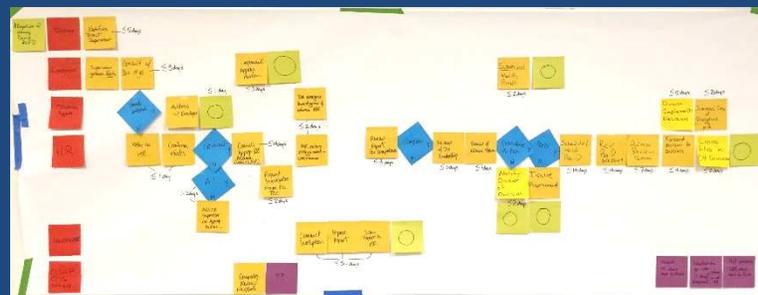
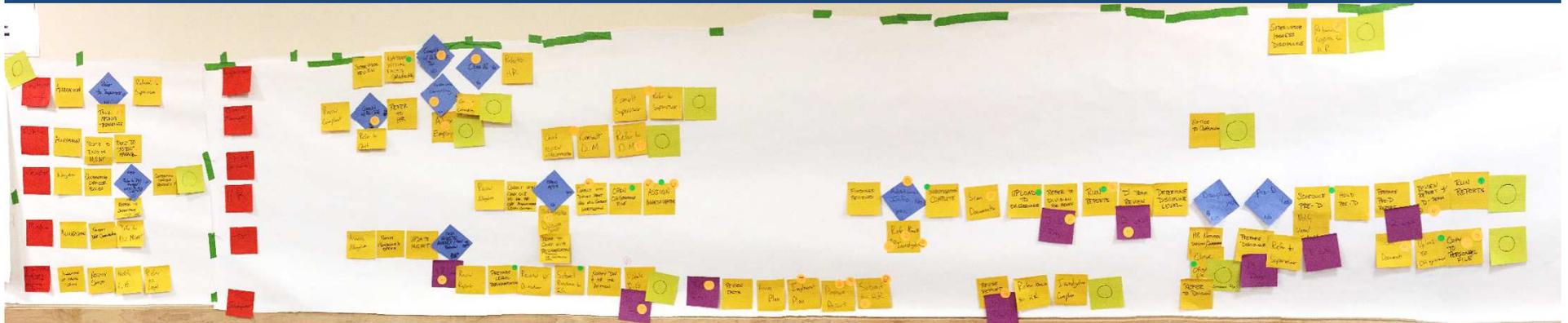


Process Steps	91
Decision Points	11
Handoffs	26
Points of Waste	36

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Current vs. Future



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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

Faster



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

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)

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

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 Plans

- Communication/Forms
- Training
- Policies/Procedures
- Reports/Metrics

Communication

Communications/forms

WHAT	WHO	WHEN
Process Flowchart (based on for > role - HR, Inmate, Complainant or employee)	HR	(Lead time to incorporate input) By time that training starts
Advise of new process - note 'why's' - clear w/ inefficiencies - redesigns/updates	HR ↓ Chiefs ↓ employees	As soon as rollout/training dates are established (to give solid info)
Find a way to establish clarity over the phone/by e-mail Scan/for signed copy	X	X
Reduce to (1) Investigative Report (not Short vs. long form)	HR	" "



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Training

TRAINING		
WHAT	WHO	WHEN
INVESTIGATOR TRAINING	DNR HR	ASAP & ON GOING TWICE/YR.
POINT OF CONTACT TRNG.	HR	AT ROLL-OUT
INVESTIGATOR SUPERVISOR COACH TRNG. RECOGNIZE INFRACTIONS	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

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Policies/Procedures



What	Who	When
^{Dept} Discipline Policy	Policy Review Team	Approval of Dis/AI Process
^{Dept} AI Procedure	HR/ Division Reps	" " "
Division Specific Policy/Procedure update (optional)	HR/ Division Specific Rep	" " "

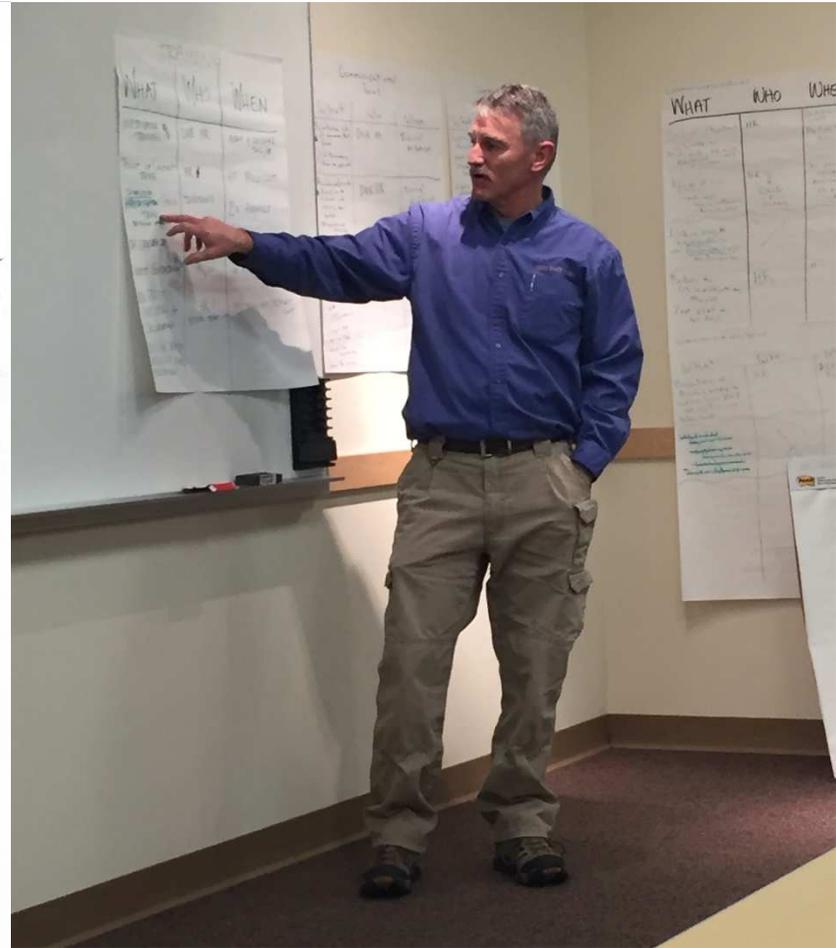
Subject to approval of Appointing Authority

Reports/Metrics

TRACK. HOW MANY OPEN A/I'S

- AVERAGE # OF DAYS. [30, 60, 90]
- TIME FRAME IN EACH STEP / Fields HR WAGES ADMIN
- ? FIELDS EXIST ↑ ? Y/N
- # REFERRALS OUTSIDE DNR
 - ↳ TIME FRAME [DELAY]
- FOP | OCSEA | EXEMPT
- TREND ~~ANALYSIS~~ ANALYSIS BY WORK RULES.
 - ① BY DIVISION
 - ② BY DISTRICT - COUNTIES.
 - ③ BY CLASSIFICATION ④ APPOINTMENT TYPE
- OUTCOME
 - ↳ N/A
 - ↳ WRITTEN
 - ↳ SUSPENSION: 1, 3, 5
 - ↳ TERMINATION
- BY INVESTIGATOR
 - IG
 - ETHICS
 - OSHP
 - OTHER
 - USFISH: WILDLIFE
 - EPA

Deputy Directors
Chiefs
HR TRAINERS
AI



Special Thanks to...

Senior Leadership:

Director James Zehringer
Assistant Director Eric Harrell

Sponsor:

Michael Luers, Chief of Staff

Team Leader:

Carrie Spradlin, Labor Relations Administrator

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