

# ***Delaware County Board of Developmental Disabilities***

Electronic Records Management

Presented By:

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# Scanning Priorities

- **Vouchers**
- **Board Documents** (i.e. Board Agendas, Meeting Minutes, Board Packets)
- **Contracts**
- **Audit Reports**
- **Consumer Files - Phase One (Active Files)**
- **“Pole Barn Documents” - Phase Two** (i.e. Terminated, Inactive, Deceased)
- **Support Documentation - Phase Three** (i.e. Behavior Support Plans, MUI)
- **Personnel files and Special Projects**

## Our Purpose For ERM Is Divided Into Three Topics

- **Records Management**
- **Records Retrieval**
- **Records Preservation**

## **Keys Words**

**Primary Solutions Inc. – Software Vendor**

**Indexes – Metadata for Individual Document Types**

**GateKeeper – Consumer Information Database Software**

**DocWorker – Document Imaging/Indexing Software**

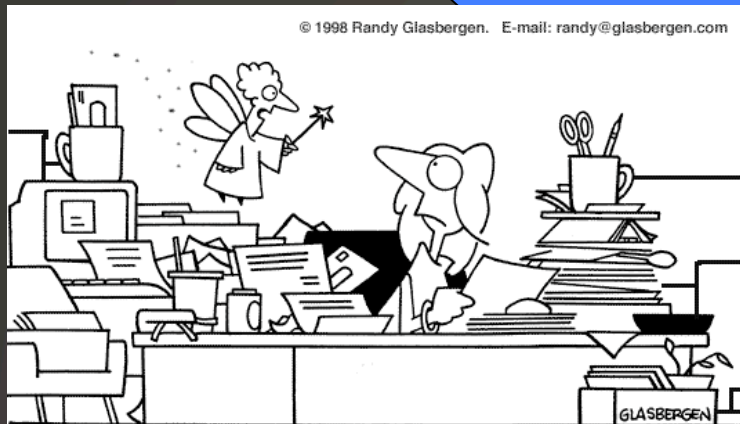
# Our History In Records Management

- 1990's
- Microfilming
- Part Time Consumer Assistance
- County Records Center
- 15,000+ Jackets of Film
- 1 Million Pieces of Paper Micro Filmed
- One Central File Location at the Administrative Office
- One of The First County Boards to Implement ERM



# Forming Electronic Records Committee

## First Meetings



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"I'm the Clutter Fairy. I'll come back ...  
I'm gonna need a much bigger wand!"

- Records committee
- Met with Primary Solutions Inc.

# Scanning of Consumer Files

- Formed a Document Imaging Policy to Follow
- Completed List of Document Type Indexes For DocWorker
- First Test File Scanned
- Small Consumer Files were Test Subjects
- Feed Back "Back to the drawing board"
- Full Time Records Technician
- IS Dept. and Records Dept. Merged
- Part Time Staff Hired



# Document Imaging Policy

**Our policy and procedures for Document Imaging for all records pertaining to the Delaware County Board of Developmental Disabilities (referred to as DCBDD). Following the guidelines of the Boards retention schedule, Delaware County Records Center, and the Ohio Historical Society.**

# Table of Contents

## Metadata

<b>Section 1</b>	<b>Current Plan (Current information only)</b> <b>Current plan and addendums/revisions/updates/attachments</b> <b>(includes IFSP, IEP, Cluster, etc.)</b> <b>Behavior Support Plan</b> <b>Plan of Care</b> <b>Program Quarterly Progress Notes</b> <b>(OT, PT, Speech, Psychological)</b>
<b>Section 2</b>	<b>Team Meetings (Current plan year only)</b> <b>Team Meeting Minutes</b> <b>Meeting Notes</b> <b>Other Team Correspondence</b>
<b>Section 3</b>	<b>Previous Plan (One year prior to current year)</b> <b>Previous plan &amp; addendums/revisions/updates/attachments</b> <b>Previous Behavior Support Plan</b> <b>Previous Team Meeting Minutes &amp; Correspondence</b> <b>Previous Program Quarterly Progress Notes (OT, PT, Speech,</b> <b>Psychological)</b>
<b>Section 4</b>	<b>Waiver (Do not remove)</b> <b>Waiver/State Information &amp; Correspondence</b> <b>Waiver PAS Confirmations</b> <b>Level of Care (LOC)</b> <b>Previous LOC's</b>
<b>Section 5</b>	<b>Assessments/Medical (Do not remove)</b> <b>Assessments: OT, PT, Speech, Psych, MFE, Voc. Evals., etc.</b> <b>Medical Information</b> <b>Adaptive Equipment</b> <b>PASSR: State determination of the need and delivery of services to individuals</b> <b>living in a nursing facility with MRDD</b>

# Table of Contents [Continued] Metadata

- Section 6**      **Quality Assurance (Do not remove)**  
Quality Assurance/Compliance Reviews  
Residential Home Visits  
Non CAFS Service Documentation (remove after one year)  
(All CAFS Service Documentation is maintained by the Alternative Funding Department)
- Section 7**      **Case Management/Communication (Remove after 3 years)**  
Target Case Management Notes (Hard copy available for dates prior to January  
01, 2003. Electronically stored in Gatekeeper for all dates subsequent to December 31, 2002).  
Information/Picture Releases  
General correspondence, other communication
- Section 8**      **Intake/Discharge (Do not remove)**  
Enrollment/Application/Referral Forms/Information  
Birth Certificates  
Social Security Information (card)  
OEDI/COEDI/Eligibility  
CAFS Eligibility Verification/Authorization  
Guardianship  
Court-related paperwork  
Insurance/Medicaid/Medicare Card  
Discharge Summary  
Original Individual Information Forms (IIF)

**Special Notes:**

All other original non-CAFS service documentation is maintained by the provider.

All original provider logs (nursing logs, medication administration sheets, weight logs, nursing assessments, etc.) are located in the provider file.

Original occurrence reports are kept by the MUI Coordinator at DCBDD.

# Document Types

## Metadata

### **Archives**

**Assessments - Medical Info**

**Assessments - MFE/ETR**

**Assessments - Non-Traditional**

**Assessments - Occupational Eval**

**Assessments - Physical Therapy Eval**

**Assessments - Psychological Eval**

**Assessments - Speech Eval**

**Assessments - Vocational Eval**

**Communication - Appeals, Denials**

**Communication - General Corr**

**Intake/Discharge - (IIF)**

**Intake/Discharge - App for Services**

**Intake/Discharge - Birth Cert/SSN**

**Intake/Discharge - Court Paperwork**

**Intake/Discharge - Discharge Summary**

**Intake/Discharge - Eligibility**

**Intake/Discharge - Enrollment**

**Intake/Discharge - Guardianship**

**Intake/Discharge - Insurance Info**

**Intake/Discharge - OEDI/COEDI**

**Intake/Discharge - Referral Forms**

**Plans - DCBDD Plans**

**Plans - IEP**

**Plans - Other Plans**

**QA - Compliance Reviews**

**Release of Information - Media**

**Release of Information - Pictures**

**Release of Information - Records**

**Team Meeting - Meeting Notes**

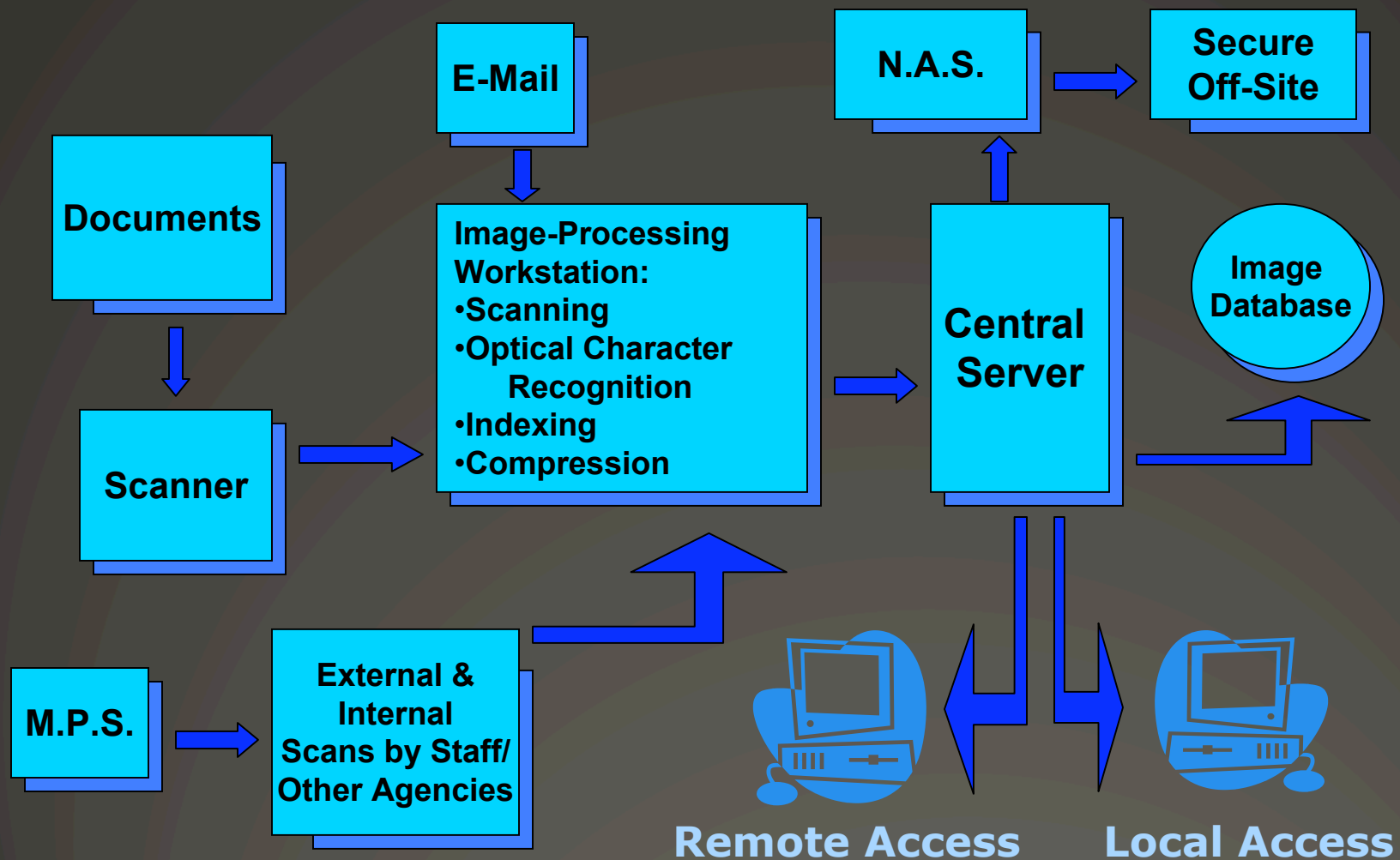
**Waiting List**

**Waiver - Level of Care**

**Waiver - PAS Confirm**

**Waiver - State Info**

# Process Diagram



# **Key Points for Managing Records**

- **Creating, approving, and enforcing records policies.**
- **Short and long-term storage of physical records and digital information.**
- **Identifying existing and newly created records.**
- **Coordinating access and circulation of records.**
- **Using a retention policy to archive and destroy records.**

**“Don’t think about it just do it”**

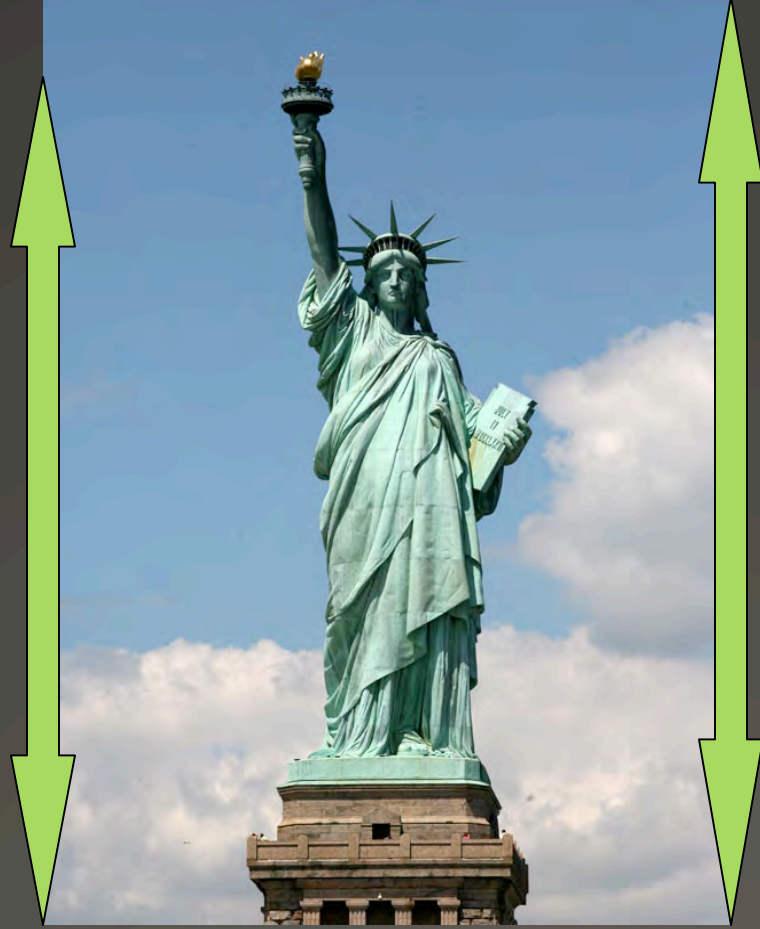
**-Robert Morgan, Superintendent DCBDD**

# Prepping Stations

- Prepping
- Purging
- Sorting
- Q/A of Sorting
- Scanning
- Indexing
- Q/A of Indexing
- UNIFORMITY!**



**305 Ft. Tall**



**Scanned Documents 315 Ft. Tall**

# Cost

- DocWorker Application - \$11,000 (one time cost)
- DocWorker – Two Additional Scanning Licenses: \$2,000 (one time Cost)
- DocWorker Support \$1,500 (annual cost)
- DocWorker Interface: \$500 (annual cost)

- One Time Cost

- Total \$13,000

- Annual Cost

- Total \$2,000

# Total Scanned

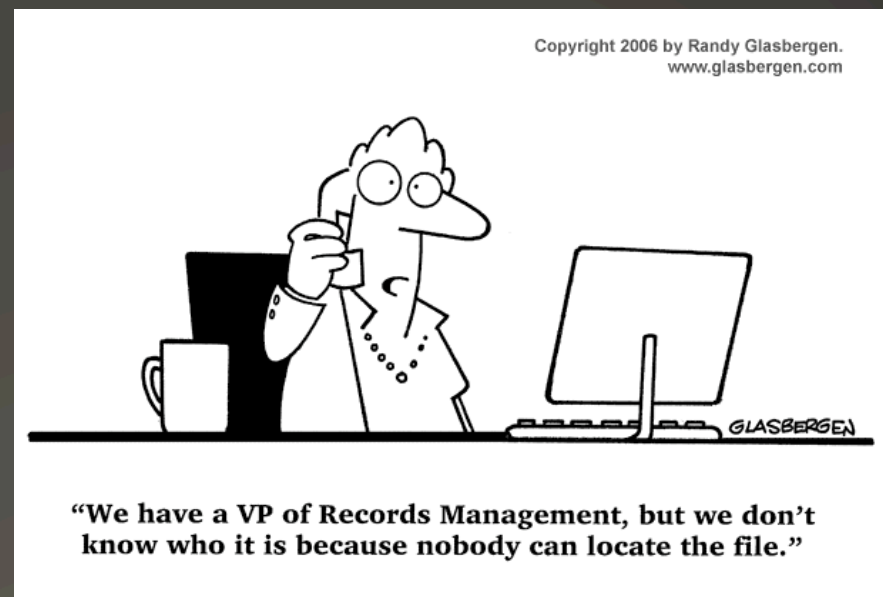
- 1,593 Files Scanned as of March 2008
- As of today we have completed 2000+ Scanned Files
- 1.9 Million Pieces of Paper
- 359 Miles of end to end paper
- If stacked, 315 feet tall
- Continuous Everyday Scanning
- 53.6 GB of Information

# Software Solutions



# Records Retrieval

**Now that our records are stored in an electronic environment...we are able to assign permissions to particular individuals...or groups of individuals to view files...this gives us total control over the files.**



# GateKeeper

## Scanned Documents Interface Window

The screenshot shows the 'Gatekeeper for DCBDD' application window. The title bar includes 'File Edit View Tools Window Help' and a toolbar with various icons. Below the title bar is a 'View Document Images' section with a 'Scanned Days' input field set to '9999' and an 'Ago' button. The main content area is a table listing scanned documents, grouped by category. Each row includes a document title, a document icon, the name of the person who scanned it, and the date and time it was scanned.

Assessments - Medical Info	Scanned By	Date/Time Scanned
Medical History	RDAVIS	07/16/07 10:36
Communication - General Corr	Scanned By	Date/Time Scanned
Notice	CGRYWALSKI	02/05/08 13:18
Golden Buckeye Card	RDAVIS	07/16/07 10:31
Intake/Discharge - (IIF)	Scanned By	Date/Time Scanned
	RDAVIS	07/16/07 10:32
Intake/Discharge - App for Svs	Scanned By	Date/Time Scanned
	RDAVIS	04/10/07 10:43
Intake/Discharge - Birth Cert/SSN	Scanned By	Date/Time Scanned
Driver's license	RDAVIS	07/16/07 10:32
Intake/Discharge - OEDI/COEDI	Scanned By	Date/Time Scanned
	RDAVIS	04/10/07 10:45
Intake/Discharge - Referral Forms	Scanned By	Date/Time Scanned
	RDAVIS	04/10/07 10:41
Plans - DCBBDD Plans	Scanned By	Date/Time Scanned
Addendum 3	RDAVIS	05/02/08 15:32
ISP with Addendum 2	CGRYWALSKI	12/28/07 09:50
Addendum 1	RDAVIS	11/16/07 14:29
ISP Addendum 3	RDAVIS	11/01/07 08:55
ISP Addendum 1-2	RDAVIS	07/16/07 10:33
	RDAVIS	04/10/07 10:33
SLP with Addendum #1	RDAVIS	04/10/07 10:17
Release of Information - Pictures	Scanned By	Date/Time Scanned
Release of Records	RDAVIS	04/10/07 10:39
Team Meeting - Meeting Notes	Scanned By	Date/Time Scanned
	CGRYWALSKI	08/19/08 13:43

The Windows taskbar at the bottom shows the Start button, several application icons, and the active window 'Gatekeeper for DCBDD' with a secondary window 'Outlook Today - Micro'.

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**"I'm sure there are better ways to disguise sensitive information, but we don't have a big budget."**

**Data encrypted with PGP**

# DocWorker

## Interface Window

The screenshot displays the DocWorker application window. On the left is a yellow sidebar with a file tree containing folders like 'Scanned Jobs Queue', 'Cabinets', 'Demo', 'Distribution', 'Marketing', 'Sales', 'Shipping', and 'Search'. The main area shows a scanned invoice for 'SHELBY COMPUTER connection' with invoice number 2345. Below the invoice header is a table with columns: Item #, Part #, Description, Qty, Price, and Est. Price. The table lists five items with their respective quantities and prices. At the bottom right of the table, the 'SubTotal' is \$159.00. Below the table is a search index table with columns: Index Name, Req., Index Value, CLAIM#, MEMBER#, LASTNAME, FIRSTNAME, and MIDDLEINIT. The 'ClientName' is 'Shelby Computer' and the 'InvoiceNumber' is '2345'. The status bar at the bottom shows the path 'Path: \\Search\MASTER 8/26/02 3:23:16 AM', the user 'USER: MASTER', and the date/time '8/26/02 11:49 PM'.

Item #	Part #	Description	Qty	Price	Est. Price
1	1233	New Widget	2	\$ 71.00	\$ 142.00
2	3345	Old Widget in Green	1	\$ 43.00	\$ 43.00
3	4456	Moderately Old Widget in Blue	2	\$ 11.00	\$ 22.00
4	5567	A Green and Teal Widget	1	\$ 12.00	\$ 12.00
5	6678	Short and Small Purple Widget with pin	3	\$ 12.00	\$ 36.00
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
				SubTotal	\$ 159.00

Index Name	Req.	Index Value	CLAIM#	MEMBER#	LASTNAME	FIRSTNAME	MIDDLEINIT
ClientName	<input checked="" type="checkbox"/>	Shelby Computer					
InvoiceNumber	<input checked="" type="checkbox"/>	2345					

Path: \\Search\MASTER 8/26/02 3:23:16 AM      USER: MASTER      8/26/02 11:49 PM      NUM      PDBL

# Software Usability

- Providing ease of access to client files
  - Organization
  - Standardization
  - Secure



# Document Preservation



- Server Storage
- Redundant Back-ups
- Off-Site Storage

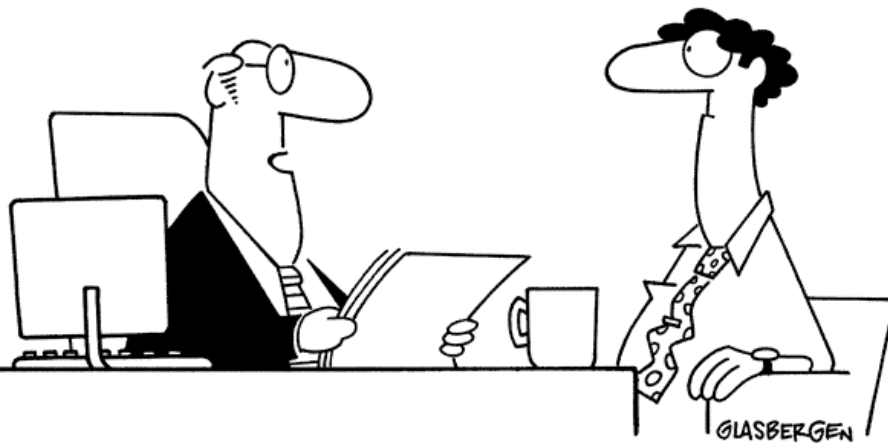
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**“We back up our data on sticky notes because  
sticky notes never crash.”**

# References

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**"I haven't read your proposal yet, but I already have some great ideas on how to improve it!"**

- [www.arma.org](http://www.arma.org)
- [www.archives.gov](http://www.archives.gov)
- [www.ohiohistory.com](http://www.ohiohistory.com)
- Robert Morgan
- County Records Center