

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

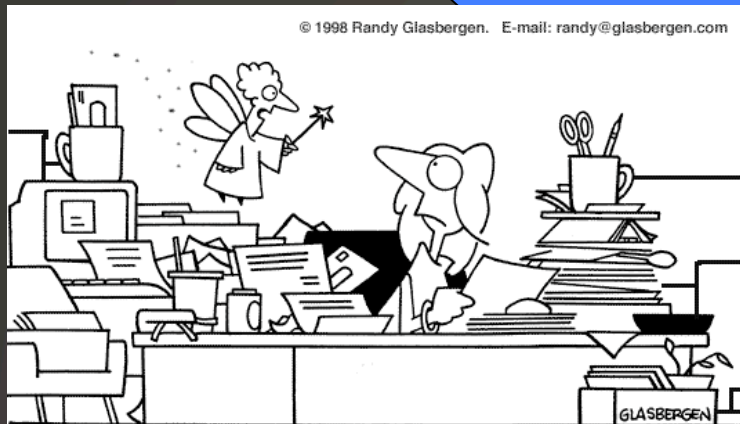
Our History In Records Management

- 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

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

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

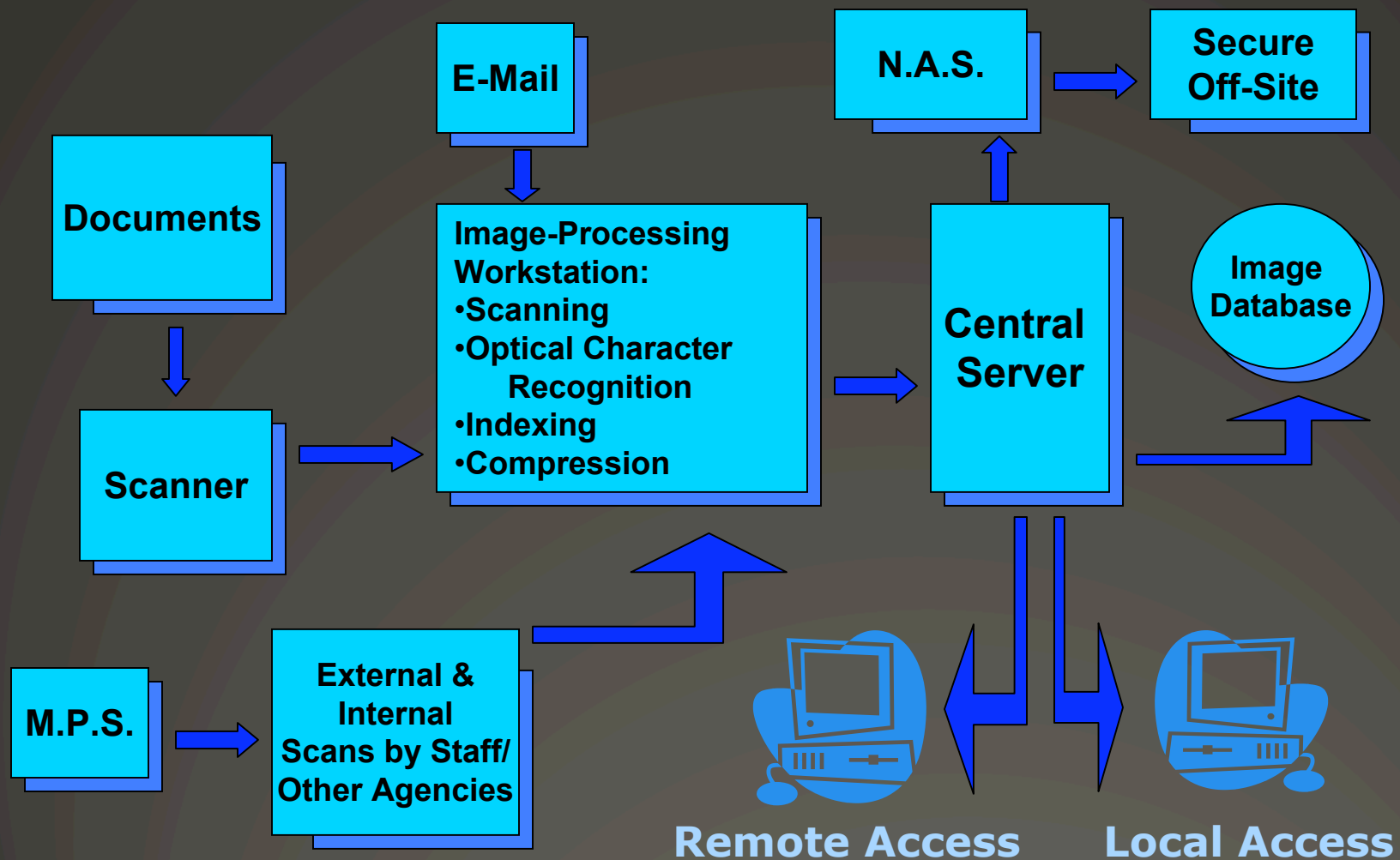
Waiting List

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”

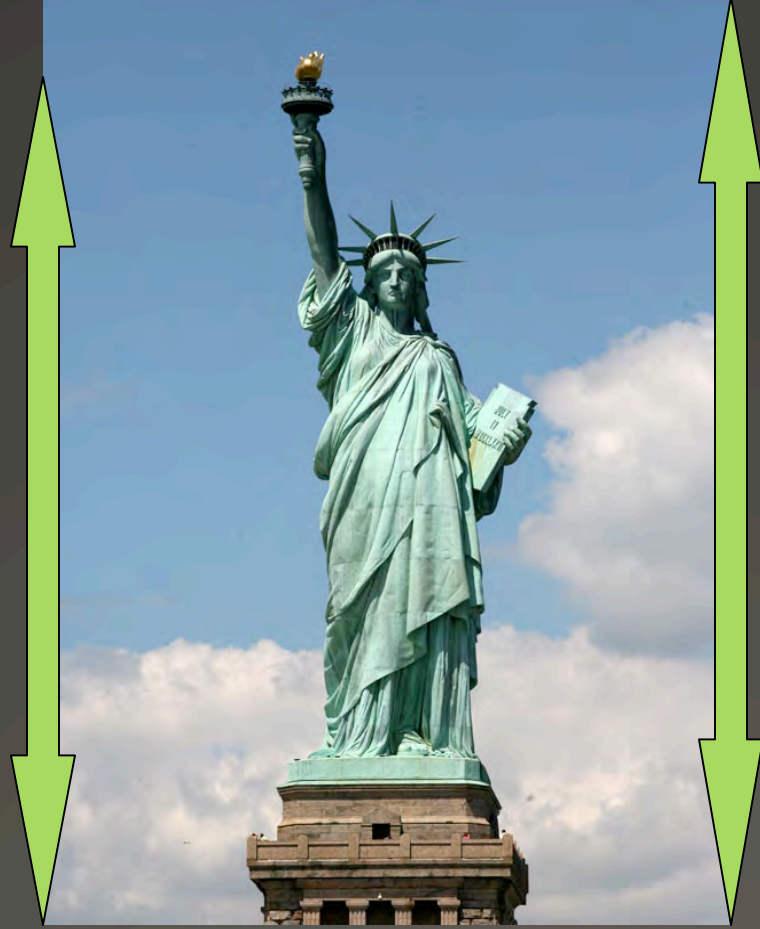
-Robert Morgan, Superintendent DCBDD

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

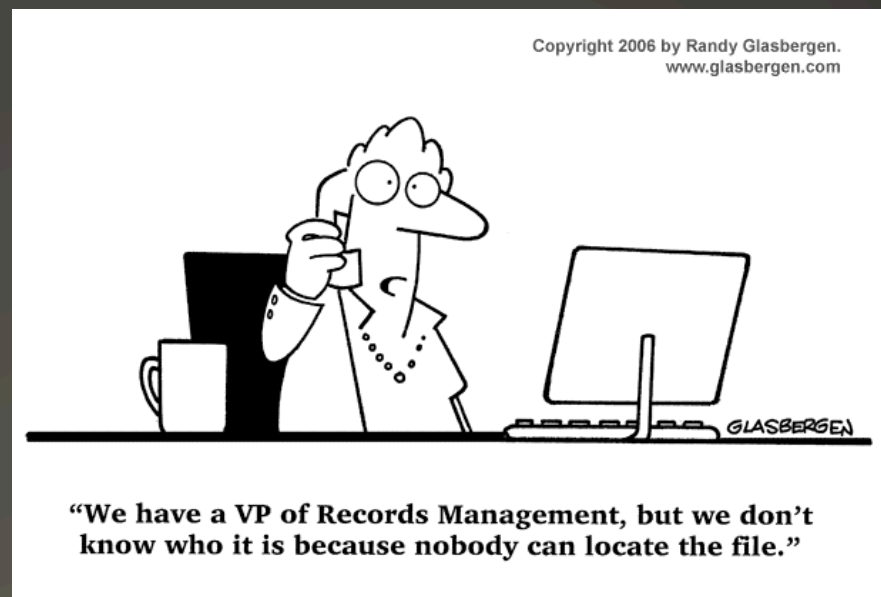
- 1,593 Files Scanned as of March 2008
- As of today we have completed 2000+ Scanned Files
- 1.9 Million Pieces of Paper
- 359 Miles of end to end paper
- If stacked, 315 feet tall
- Continuous Everyday Scanning
- 53.6 GB of Information

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 displays the 'Gatekeeper for DCBDD' application window. The title bar includes 'File Edit View Tools Window Help' and a toolbar with various icons. The main content area is titled 'View Document Images' and shows a list of scanned documents. The list is organized into sections with headers like 'Assessments - Medical Info', 'Communication - General Corr', etc. Each entry includes a document icon, the document name, the user who scanned it, and the date/time scanned. The 'Scanned Days' field is set to '9999 Ago'.

Section	Document Name	Scanned By	Date/Time Scanned
Assessments - Medical Info	Medical History	RDAVIS	07/16/07 10:36
	Notice	CGRYWALSKI	02/05/08 13:18
Communication - General Corr	Golden Buckeye Card	RDAVIS	07/16/07 10:31
Intake/Discharge - (IIF)		RDAVIS	07/16/07 10:32
Intake/Discharge - App for Svs		RDAVIS	04/10/07 10:43
Intake/Discharge - Birth Cert/SSN	Driver's license	RDAVIS	07/16/07 10:32
Intake/Discharge - OEDI/COEDI		RDAVIS	04/10/07 10:45
Intake/Discharge - Referral Forms		RDAVIS	04/10/07 10:41
Plans - DCBBDD Plans	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
Relase of Information - Pictures	Release of Records	RDAVIS	04/10/07 10:39
Team Meeting - Meeting Notes		CGRYWALSKI	08/19/08 13:43

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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', 'Search', and 'Input'. 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, 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 '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					
16					
17					
18					
19					
20					
				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 0000

Software Usability

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



Document Preservation



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

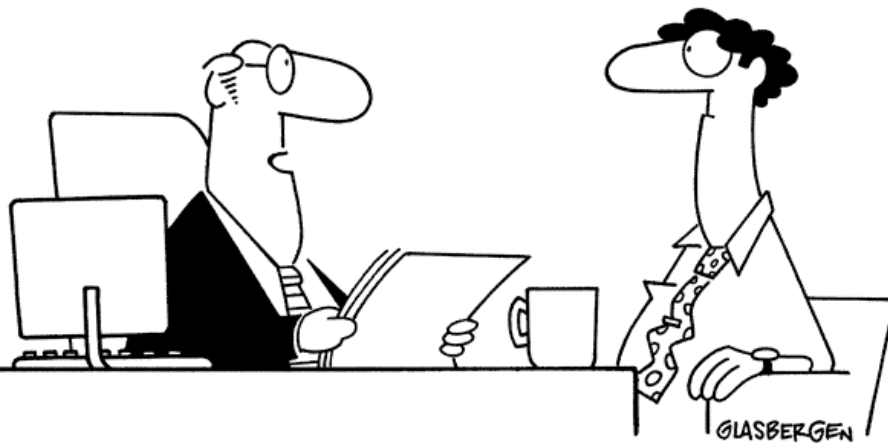
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**“We back up our data on sticky notes because
sticky notes never crash.”**

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
- www.archives.gov
- www.ohiohistory.com
- Robert Morgan
- County Records Center