

## Licensure and Certification Workgroup (LCW)

August 29, 2017

10:00 – 12:00

OPM, Conference Room 2A

### Minutes

**Members Present:** Barbara Cass (Department of Public Health); Steve Girelli (Klingberg Family Centers); Alyssa Goduti (CT Council of Family Service Agencies); Natasha Kennedy (Department of Mental Health and Addiction Services); Mary Mason (Department of Mental Health and Addiction Services); Alice Martinez (Department of Public Health); Jim McPherson (Department of Children and Families); Jim Moore (Department of Children and Families); Rick Radocchia (MCCA); Anne Ruwet (Central CT Arc); Josh Scalora (Department of Developmental Services); Stan Soby (Oak Hill); Claudine Testani (Department of Developmental Services); and William Young (Intercommunity).

**Guests Present:** Representative Cathy Abercrombie; Cindy Butterfield (Department of Children and Families); Josh Howroyd (Department of Children and Families); Jill Kennedy (Department of Public Health); Ben Shaiken (CT Community Nonprofit Alliance); and Bill Welz (Office of the Governor).

**Members Excused:** None

Meeting called to order at 10:05 A.M.

- I. **Welcome and Introductions:** Alison Fisher, OPM, facilitator of the LCW, welcomed members and defined her role as facilitator. Members and guests introduced themselves and their goals for the LCW.
- II. **Overview of SA 17-21:** Alison Fisher summarized the charge of the LCW as defined in [Special Act 17-21 - An Act Establishing A Working Group To Review The Licensure and Certification Process for Certain Nonprofit Community Providers.](#)
- III. **Lean/Process Improvement Overview:** Alison Fisher provided an [overview of Lean](#), what it is and how it works. Highlights of the presentation include:
  - Review of the 50 year history of Lean and its utilization in Connecticut State Government. Governor Malloy has requested that state agencies implement the Lean process whenever possible.
  - Lean/continuous improvement is a systematic method of examining an issue when a process is not working or resources are limited and facilitating collaborative conversation around current process, issues, and how to resolve issues in the future. In state government it is a philosophy requiring a change in mindset used to bridge the gap between program, fiscal and IT staff. It requires staff to step back from daily work and

collaboratively determine who is involved in an issue, who/what is impacted and what data is available versus the daily “firefighting” of challenges.

- Why Lean? It leads to: (1) improved quality, (2) cost effectiveness; (3) service delivery and responsiveness to the public; and (4) frees up staff time to focus on more important activities. Lean has many benefits, the greatest of which may be staff development and improved morale.
- Key principle that the LCW will use as a touchstone throughout the Lean process: *The focus is on the people we serve*. Although changes implemented through Lean may make work easier for state staff and providers, they can never be made at the detriment of the people receiving services. Throughout the five day Lean session, the LCW will check all process changes against this standard to measure the impact on those served by the affected state programs.
- How Lean be implemented for the LCW: (1) Utilization of an Implementation Plan that will ensure accountability by assigning tasks, names and deadlines; (2) Hold a five day Kaizen (Lean/continuous improvement) event. This communication tool will allow the group to transform the current licensure and certification process by focusing on flow, pull, standard work and reducing waste. A key component at the onset of this process is defining the scope of the problem; and (3) Utilization of Value Stream Mapping to examine information flow, service/process flow (identify the eight wastes and areas of overlap that impact providers) and develop a plan of action.
- The LCW will have a clear understanding of what the group would like to accomplish and how to measure success with quantitative and qualitative data.
- Discussion followed the Lean overview presentation. Highlights are below:
  - The Lean process should be implemented to facilitate the work of the nonprofit cabinet;
  - There is overlap with the work of the LCW and the Nonprofit Cabinet. Members hoped the cabinet would be made aware of the findings from the LCW. Alison Fisher noted that Chair of the Nonprofit Cabinet, Anne Foley, is aware of the LCW and has been involved in its development. She noted that Melissa Morton, OPM staff for the LCW, works for Anne Foley.

#### IV. **Agency Process Review Updates and Findings:**

- The Department of Public Health, Department of Developmental Services, and Department of Children and Families each went through the Kaizen process prior to this meeting to identify individual agency *good states* (changes that can occur in a year) and *great states* (changes requiring longer than one year and needing external resources) to create efficiencies in their licensure and certification processes. Each agency summarized their results for members of the LCW. [Agency summaries](#) will be used as the starting point for the LCW five day Kaizen event this fall. In general, proposed

recommendations for process improvement had little overlap across agencies which may indicate the ability to share mutually beneficial efficiencies during the Lean process.

**V. Scope of Interagency Work**

- The LCW defined the scope of the project: Identifying where items from the completed interagency process maps intersect, overlap or are independent. Agreement on the scope will assist the group with determining how to utilize the process maps that agencies have already created. Below is a summary of the scope for the Licensure and Certification Lean:

	<b>In Scope</b>	<b>Out of Scope</b>
<b>Process</b>	<ul style="list-style-type: none"> <li>• Initial and renewal licensing processes for:               <ul style="list-style-type: none"> <li>○ DDS</li> <li>○ DCF</li> <li>○ DPH</li> </ul> </li> <li>• With help from:               <ul style="list-style-type: none"> <li>○ DMHAS</li> <li>○ DSS</li> <li>○ Nonprofit Community Providers</li> </ul> </li> <li>• For facilities as referenced in SA 17-21</li> <li>• Standardization across agencies and staff regarding terminology and licensing visit check lists</li> <li>• Overlapping facility licenses</li> </ul>	<ul style="list-style-type: none"> <li>• Accreditation</li> <li>• Non-licensing processes</li> <li>• Municipal involvement</li> <li>• Facilities licensed by CSSD, DOC, and OEC</li> </ul>
<b>Data Collection</b>	<ul style="list-style-type: none"> <li>• <u>All</u> state agency visits to provider-run facilities by type/reason for visit</li> <li>• Accreditation by facility/provider</li> <li>• License by facility/provider and type of license</li> <li>• Overlap of licenses and accreditation</li> <li>• All source documentation/requirements by facility and by program (i.e. regulation, statute, policy, procedure, practice)</li> <li>• Dual licensure by facility/provider</li> </ul>	

- VI. Roles and Responsibilities:** Due to time constraints the group decided that roles and responsibilities will be developed via e-mail prior to the five day Kaizen event. The workgroup will need to identify and define the roles of (1) facilitator(s); (2) champions; (3) business owner(s); (4) team members; and (5) guests.
- VII. Proposed Work Plan and Schedule:** Alison Fisher informed the group that an accountability implementation plan will be developed to ensure the timely completion of tasks and shared the [timeline](#) for the five day Kaizen event.
- VIII. Next Steps**
- OPM staff will distribute a list of LCW members and their affiliations;
  - OPM staff will distribute a larger version of the five day Kaizen timeline;
  - OPM staff will share a summary of individual state agency Lean results;
  - State agencies will locate and catalogue all source documents relating to licensure and certification processes (i.e. statutes, regulations, agency protocols etc.) prior to the first day of the five day Kaizen;
  - LCW members will electronically work to identify and define the roles of (1) facilitator(s); champions; (3) business owner(s); (4) team members; and (5) guests prior to the five day Kaizen;
  - OPM staff will initiate a doodle poll to determine which of the following weeks work best for the five day Kaizen: the weeks of 10/2, 10/6 or Friday 11/3 – Thursday 11/9.
  - OPM staff will circulate an interim report for LCW member review by 9/8/17 and members will review and submit comment back to OPM by 9/13/15.
  - OPM staff will submit the interim workgroup report by 9/15/17.

Meeting was adjourned at 12:06 P.M.