

## **SA 17-21: An Act Establishing a Working Group to Review the Licensure and Certification Process for Certain Nonprofit Community Providers: Progress Report**

### **Reasons for the Process Review**

- \* The public act requires multiple state agencies to streamline internal and external licensure processing to improve workflow and create efficiencies
- \* Nonprofit providers need to do more with less and identified perceived inefficiencies in regulatory function across multiple state agencies
- \* State agencies face a shrinking workforce and budget while the State and Federal entities continue to mandate activities to implement

### **In Scope**

Steps in preparing for, scheduling, execution and reporting of site visits for initial licensing applications and renewals for: behavioral health and outpatient clinics, child guidance clinics, residential child care facilities, extended day treatment facilities, and Licensed Community Living Associations (CLAs). Documents and materials related to such reviews/visits are also included.

*Start:* Provider requests initial or renewal license (for DPH, DPH contacts provider for renewals)

*Stop:* Issuance of initial or renewal license

### **Out of Scope**

Licensure process for any other type of facilities or settings, other non-licensing review processes, unrelated documents and materials.

### **Aim of the Process Review**

- \* Improve service while limiting disruption for the individuals we support by reviewing our current licensure processes
- \* Reduce non-value added activities, and the burden put on the provider network where possible
- \* Maintain requirements for a safe and secure environment
- \* Ensure efficiencies by convening an intensive workgroup
- \* Improve relationships with providers
- \* Review process for contract monitoring (DMHAS)

## **Objectives**

- \* Develop 2-3 recommendations to improve efficiency by September 15, 2017
- \* Document/define processes to standardize the work, incorporating recommendations into the future state
- \* Educate providers and legislators on the licensing process

## **What We Did in Our Process Review**

- \* Reviewed Licensing Process and Roles
- \* Identified pain points, non-value added steps (waste) and opportunities for improvement
- \* Developed recommendations to improve our process, ease provider burdens, and reduce pain points
- \* Established a work plan to achieve our goals by identifying short and long term action items
- \* Developed performance measures

## **Efficiencies We Have Already Implemented**

### **DDS**

- \* Combining Quality System Review (QSR) and licensing visits (sampled in licensing year)
- \* Reduced QSR indicators required for follow up from 36 to 21
- \* No more repeat licensing citations for one deficiency
- \* Allowing one corrective action plan for multiple not-met indicators requiring follow-up in QSR
- \* No more physical inspection for Community Companion Homes with no individuals placed for 12 months
- \* Until Nov. 30 all licensing and QSR visits will be pre-scheduled except for enhanced monitoring and one-year licenses

### **DPH**

- \* Electronic issuance of license (means facility can receive license immediately vs. postal mail)
- \* Inspections for renewing providers may be done regardless of when application materials are finalized/submitted
- \* The uniform licensing application (Biznet) has been implemented to allow for sharing of documentation between key stakeholders and reduce duplication

- \* Consolidation of licensure activity for multiple inspection types
- \* Integrated state program into federal database to allow for electronic reporting of violations

### **Ideas for Additional Improvement**

#### **DDS**

##### **To be completed by June 30, 2018**

- \* Waiver to automatically issue renewal license on off years vs. requiring providers to submit application packet on off year for their 2 year license
- \* Waiver of Licensing fee
- \* Streamline documentation review by allowing providers to submit Staff Training grid and doing spot-checks to verify data
- \* Allow providers to complete and submit the Licensing Readiness Checklist vs. waiting for DDS Resource Management to complete and submit to Licensing

##### **To be completed by December 31, 2019**

- \* Updated and streamlined business rules
- \* Standardization of inspection process to support above
- \* Electronic Licensing system with the following capabilities:
  - \* Automated rules, scheduling, notification and work-flow
  - \* Provider access to system including requesting licensure, submitting documents, receiving Summary of Citations and submitting Plans of Correction
  - \* Electronic signature
  - \* Electronic issuance of license

#### **DCF**

##### **To be completed by October 1, 2018**

- \* Implement a single Annual Assessment of boilerplate items universal to all types of licenses for multi-license providers.
- \* Perform HR records assessments in records rooms, once a year in the “off-season”.
- \* Investigate allowing providers’ employees to begin working based on private background check until a Department of Emergency Services and Public Protection (DESPP) background check can

be completed – Employees could be limited to orientation and training activities during this period.

- \* Consider using the same licensing cycle as the accreditation body, for licenses with quarterly review cycles.
- \* Pilot Mobility solutions for the Licensing Team, to improve efficiency and give providers quicker feedback.

#### **To be completed by December 31, 2019**

- \* Improve BizNet Functionality – Reducing the need for the same documents to be submitted repeatedly, more intuitive functioning, improve workflow and allow for sharing of documents for different licenses within the same agency and amongst all the agencies. Expand documentation that can be uploaded. Allow for materials related to HR records to be uploaded and remain active for active employees, adding in new employees, background checks, educational records, etc..
- \* DCF will develop a robust Provider Portal to assist in licensing activities as well as reporting activities.
- \* Unify or standardize similar licensing regulations amongst all the Health and Human Services Agencies.

#### **DPH**

#### **To be completed by June 30, 2018**

- \* Implement/pilot outlook calendar of scheduled inspections for Facility Licensing and Investigations Section (FLIS)
- \* Improve inspection process by standardizing and utilizing technology
- \* Eliminate redundancies in requests for documentation
- \* Develop and utilize a checklist for survey visits
- \* Deliver provider training regarding Department requirements to providers
- \* 100% of facilities ready for initial site visit by January 1, 2018

#### **To be completed by December 31, 2018**

- \* Post violation letters with plans of correction to e-licensing platform
- \* Define role and responsibility and relationship with other state partners for Life safety code requirements
- \* Define role and responsibility and relationship with other state partners regarding food service operations