

# Continuous Improvement in Connecticut State Government

A FOCUS ON LEAN

**2014**

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## Memorandum

**To:** Ben Barnes, Secretary, Office of Policy and Management

**From:** Alison N. Fisher, Program Director, LeanCT

**Date:** October 1, 2014

**Subject:** Continuous Improvement in CT State Government: A Focus on Lean

In response to your memo to Commissioners dated April 7, 2014, we have received information on the results that over thirty executive branch agencies have achieved using Lean tools and other process improvement activities during the past year.

We have worked with agency Commissioners and Lean Coordinators to compile the attached report, which demonstrates progress in various operational areas, including but not limited to, permitting, enforcement, compliance, human resources, finance, procurement, and licensing.

State agencies are varied in their use of Lean tools – both in terms of frequency and complexity. They can be grouped into stages of “Lean competency”, based upon a set of criteria, as listed below.

Stages and Criteria	Number of Agencies	Percent of Total
I – New to Lean tools, have begun training staff, agency’s process improvement philosophy has been identified	7	23%
II - Moderately familiar with Lean tools, some of staff have been trained, have completed and/or are currently working on at least one Lean project, internal Lean workgroup has been developed at the agency	14	45%
III – Advanced use of Lean tools, most staff have been trained, some staff are prepared to facilitate Lean events and/or train co-workers, internal Lean workgroup is engaging staff for process improvement ideas and is regularly measuring progress, culture of continuous improvement is developing and is supported by Commissioner	6	19%
IV – Category III plus full staff engagement and adoption of a culture of continuous improvement	4	13%

These stages are merely indicative of our perception of each agency’s “Lean competency” level, based upon these criteria. An agency’s position at one particular level does not equate to superiority of any kind. The Statewide Process Improvement Steering Committee is comprised of members working at all four stages, which gives it additional perspective, diversity and the potential for growth. It is our intent to support and encourage agencies to move along this continuum over time and increase their agency’s

“Lean competency” as much as possible. We will also strive to increase the total number of agencies participating in our state’s continuous improvement efforts.

Lean, and similar process improvement methodologies, have been used by state agencies for many years, but are now becoming part of our state’s management process and culture. Although we still have more work to do, which is the essence of continuous improvement, this report demonstrates the most recent efforts undertaken by state agencies to become even more flexible, responsive, transparent, efficient, and customer-focused. This report may not directly capture the more intangible benefits that Lean can have on employees statewide such as teamwork, communication, empowerment, professional development, and cross-training. These outcomes are just as, if not more, impactful on our state’s productivity as the results found in this report.

One of the most exciting and transformational outcomes of our state’s efforts is the collaborative nature by which these results are achieved. Not only are staff within an agency working together to improve service delivery and increase efficiency, but collaboration is occurring across agency lines. Many agencies are also working with partners in private and non-profit industry and in federal and municipal government to achieve optimal results. Staff at all levels of the organization are engaged in improvement activities, empowered to make changes, and are committed to their outcomes. This shared dedication will continue to be essential to the long-term sustainability of our efforts.

Please keep in mind the following when reviewing this report:

- This report is not inclusive of all changes made in state government operations during the past year, but highlights improvements achieved using Lean and other process improvement tools.
- Some of the improvements highlighted in this report were preparatory to implementing information technology improvements, as approved by the Executive IT Strategy and Investment Committee.
- In many cases, a referenced project began within the requested reporting period, March 2013 – March 2014. In other cases, a referenced project began earlier than March 2013, but the associated changes remained relevant in 2013.
- Some responses from agencies only include the agency’s “process improvement philosophy”. This is because the agency may not have begun using Lean tools within the reporting time, but, the agency values improving service to their customers and stakeholders and will have more information to share in the next reporting period.
- Each item listed represents either a Key Performance Indicator or a task related to a particular improvement project. These items are generally shown as a percent (percent completed, percent reduced, percent improved), but also may include related costs or time savings/avoidance, if applicable.

I am available to work with state agencies to answer any questions you may have, or provide additional information as needed.

Cc:

The Honorable Dannel Malloy, Governor

Mark Ojakian, Chief of Staff, Office of the Governor

Karen Buffkin, Deputy Secretary, OPM

Robert Dakers, Executive Finance Officer, OPM

State Agency Commissioners

State Agency Lean Coordinators

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## Highlighting Process Improvement across Agency Lines

### Inter-agency Collaboration

- CHFA/DOH - Competitive Housing Assistance Multifamily Program (CHAMP)
  - Processing time for applications - DOH/CHFA combined staff hours (1,228 average hours to 883 average hours - 28% reduction)
- DAS/OPM – IT Procurement
  - Reduce the amount of time required to complete IT “contractual purchases” (30 to 10 days – 67% reduction)
- DEEP/DPH – DEEP Owned Public Water Supply Wells – Sampling and Inspection Program
  - Reduce percent of public water supply wells that are out of compliance (25% to 15% in first 4 months)
  - Reduce percent of failing public water supply systems (25% to 14% in first 4 months)
- DEEP/DOT - Electric Vehicle Installation of State Facilities
  - Increase the number of state electric vehicle charging stations – 71 additional stations in operation within the first 4 months
- DOL/DSS – Community re-entry program for Veterans
  - Reduce wait time for veterans to receive services (38 day average to 10 day average – 74% reduction)
- PURA/DEEP - DEEP Public Utility Regulatory Authority (PURA) Docket Management System
  - Streamline approval process for standard, time-sensitive Public Utility Regulatory Authority (PURA) dockets in preparation for shift to IBM case manager system – 100% complete

### Increased Efficiency/Productivity

- DDS - Decrease volume of Planning & Resource Allocation Team requests by 50% in 12 months – 35% reduction achieved in first 3 months
- DESPP
  - Implement e-Ticket system – 50% complete
  - Reduce firearms case backlog – 78% decrease
- DMHAS – 100% of executed contracts sent to contractors electronically
- DPH - Increase the number and percent of hospitals sending pathology audits electronically (from 5 (18%) to 11 (39%))
- DRS
  - Clear out Business Entity Tax (BET) backlog – 100% complete
  - Streamline process to review Earned Income Tax Credit claims (163% increase in claims reviewed and 61% increase in dollars denied/adjusted)

- OCME – Decrease backlog for toxicology testing – 89% decrease in pending toxicology cases

### **Response Time to Customers**

- DCP – Reduce average time for initial response to complainant (5 weeks to one day – 98% reduction)
- DSS - Reduce average number of days to acknowledgement of paternity in Child Support Order Establishment Process (from 3-5 weeks to 3-5 days – 86% reduction)
- OCME - Decrease average days for toxicology results (139 days to 9 days – 93% reduction)

### **Processing Time**

- DCF – Reduce the average number of days to complete internal review in POS contracting process (20 days to 3 days – 85% reduction)
- DEEP - Reduce average number of days to complete a Wastewater Discharge inspection report (60 days to 4.3 days – 93% reduction)
- DMV
  - Reduce the average number of days to issue a title (45 days to 15 days – 66% reduction)
  - Reduce average time to process a dealer license renewal (11 minutes to 2.5 minutes – 80% reduction)
- DOT – Reduce the average number of days to approve a CLA-12 subcontractor (45 days to 10 days – 78% reduction)
- DPH -\_Reduce the average number of days to issue payments (11 days to 3.5 days – 70% reduction)
- DRS – Reduce the average processing time for paper registrations (12.5 days to 1.5 days – 80%), online registrations (11.5 days to 3.5 days – 60%) and eliminate 2/3 of backlog.
- MIL - Reduce the average time from the completion of a project to reimbursement being submitted to U.S. Property and Fiscal Office - 25% reduction

### **Processing Steps**

- DECD - Reduced the average number of steps in the Enterprise Zone eligibility determination process (from 27 to 3 steps – 89% reduction)
- DOT – Reduce the average number of steps to submit bid information to DAS for IT purchases (from 116 to 32 steps – 72% reduction)
- DPH - Reduce the average number of steps needed to develop and execute a contract (from 92 to 36 steps – 61% reduction)



## **Cost Savings/Increased Revenue**

- DMV – Streamline use of main registration form (H-13) - \$83,373 annual savings
- DRS
  - Enhance security for identity theft and reduce fraudulent refunds - \$1.5 million in additional fraudulent refund claims denied
  - Prioritize collection cases based on risk scoring data analytics – \$36 million increase in collections
  - Denied or adjusted \$16.5 million in fraudulent CT Earned Income Tax Credit claims
  - Collected \$193.6 million from targeted Tax Amnesty 2013
  - Non-renewal of sales tax and other permits for delinquent taxpayers - \$9 million increase in collections



## Office of the Secretary of the State (SOTS)

Denise W. Merrill, Secretary of the State

James F. Spallone, Deputy Secretary of the State

Tina Prakash, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

The Secretary of the State recently began applying Lean principles in order to improve how we serve our constituents and other agencies. We are identifying areas for improved efficiency while maintaining quality and adding value to our services and products. By measuring key performance indicators at an agency level as well as at the division and program levels, we hope to identify areas for future and continuous improvement.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
March 2014	Blue Book Project (aka <i>State Register &amp; Manual</i> )	To publish Blue Book earlier in the year through creating process efficiencies, while increasing the quality of the book's contents.	Reduce the number of steps in the process	58 to 15 steps	74% reduction
Implementation ongoing – results are expected			Increase the percent of on-time source submissions	50% to 72%*	44% increase
2014 goal: Sept. 2015 goal: July			Reduce the average number of days from date of initial info request to response	18.5 to 12.5 days*	32% reduction

\*Improvements related to this project began in April and May of 2014. These measures reflect Section IV of the Blue Book, the section that has been processed since implementation.



## Office of the State Comptroller (OSC)

Kevin Lembo, State Comptroller

Martha Carlson, Deputy Comptroller

Jacqueline Kozin, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

Due to staffing issues, our office's first Lean project has been delayed. In preparation for our first project, the office is collecting data to create measurable goals that would enable us to provide better service to grieving families, cut down on the deceased retiree processing time and eliminate inefficiency in our office.



## Department of Revenue Services (DRS)

Kevin Sullivan, Commissioner

Joseph Mooney, Deputy Commissioner

Kelli Pedevillano, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

We lead from where we are, refocus on where we want to go, build on our strengths, and shape our future.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
06/03/2013 - 06/07/2013	Registration – Reg. 1	Reduce processing time for paper and electronic business Registration Form Reg. 1. Reduce backlog of suspended applications.	Reduce average processing time of paper registrations	12.5 to 1.5 days	80% reduction
			Reduce average processing time of electronic registrations	11.5 to 3.5 days	60% reduction
			Reduce suspended registration backlog of applications that were months old	Backlog eliminated using reallocated resources	100%

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
12/1/2012 - 08/31/2013	Refund Validation	Enhanced security for identity theft and reduce the number of fraudulent refunds being issued using the LexisNexis solution.	Increase amount of fraudulent claims denied using LexisNexis solution	\$10 to \$11.3 million in fraudulent refund claims denied	13% increase
			Taxpayers confused on our website, often use Taxpayer Advocate first instead of last after other options exhausted. Requests for assistance came in through email, phone, mail and fax.	<b>Quality – Customer Satisfaction</b> Redesigned internet site to clarify criteria for Taxpayer Advocate Involvement. Created on-line form to streamline process and provided links to appropriate areas for self-service.	
12/01/2012 – 05/31/2013	Communications Project	Formalize a taxpayer outreach program to enhance external communication (outside in approach) and improve voluntary compliance.	Agency not conducting enough public speaking engagements.	Expanded current speakers bureau by 15 members	67% increase
			Taxpayers call in to get information and help because they are not sure how to file.	Created an on-line tutorial for Sales Tax Filing and microsite for Amnesty which increased website traffic	69% increase
			Taxpayers often confused by our correspondence and forms	Created External Editorial Review Board to review forms and publications	6 form sets reviewed to date.
01/01/2011 - 12/31/2012	Modernized e-File (MeF) Phase I	Replace discontinued Fed/State e-File system, expedite collections and reduce processing costs.	Increase amount of returns filed electronically using MeF.	\$1.5 million Income Tax returns filed through MeF	5% increase

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
01/01/2013-05/30/2013	Modernized e-File Phase II (MeF)	Create a method for tax professionals and taxpayers to file CT Partnership returns electronically.	Increase amount of returns filed electronically.	32,514 CT Partnership/ Composite e-returns filed this year through MeF.	56.5% increase
01/01/2013 - 06/01/2013	Modernized e-File Phase III (MeF)	Create a method for tax professionals and taxpayers to file CT Corporation returns electronically.	Increase percentage of returns filed electronically	CT Corporation returns filed electronically in the first year.	38% increase
			<p><b>Cost avoidance savings</b> - Between Phase II and Phase III we were able to eliminate \$500,000 from the DRS operating budget as a result.</p> <p><b>Quality - customer satisfaction</b> tax practitioners had pleaded for years to make the 1120si and Corporation tax returns electronic.</p> <p><b>Productivity</b> – able to reallocate temporary employees to other functional areas.</p>		
06/15/2013 – 07/01/2013	Permit Renewal Project (Effective 7/1/13)	Implement newly enacted legislation requiring that prior to the <u>issuing</u> or <u>renewing</u> a license of any person, <b><u>all taxes</u></b> owed must be paid or a satisfactory payment plan is arranged to pay such taxes with the goals to get taxpayers into compliance and to increase revenues by reducing the accounts receivable.	Percent of accounts brought into compliance	1,208 of 1,510 accounts	80%
			<p><b>Cost – Revenue Impact:</b> Overall success collected just under \$9 million in outstanding tax obligations since 7/2013 bringing 3,300 taxpayers into compliance</p>		

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
01/01/2012 – 01/31/2014	Earned Income Tax Credit (EITC)	Evaluate the tax year 2011 process of screening the EITC claims for fraud, develop recommendations to improve the process, improve communications both internally and externally and operationalize the project into a functional unit in the Operations Bureau.	TY 2011 - Claims reviewed: 8,000	TY 2012 – Claims reviewed: 21,000	163% increase
			Dollar amount of refund claims denied/adjusted: \$10 M	Dollar amount of Refund Claims denied/adjusted : \$16.5 M	61% increase
12/1/2012 - 08/31/2013	Refund Validation	Enhanced security for identity theft and reduce the number of fraudulent refunds being issued using the LexisNexis solution.	Increase amount of fraudulent claims denied using LexisNexis solution	\$10 to \$11.5 million in fraudulent refund claims denied	15% increase
			<b>Quality – Customer satisfaction</b> – Added an additional layer of security to protect taxpayers against identity theft.		
11/01/2011 – 12/31/2012	Accounts Receivable Scoring Project	Introduce data analytics to the Agencies collection process. Collectors would be assigned the right cases at the right time based on the risk score assigned to the case	Reduce A/R balance available for collection	\$473 million to \$377.6 million	20% reduction
			Increase amount of electronic warrants issued	7,000 to 52,000 warrants	634% increase
			Increase total revenue collected	\$126 million to \$162.6 million	29% increase
06/01/2013 - 01/15/2014	Connecticut Tax Amnesty	A 60 day window of opportunity for taxpayer who owe CT taxes to pay with no penalty and reduced interest	Program budgeted \$35 million in additional revenue collected	Actual collections was \$193.6 million	453% increase

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
11/01/2012 – 05/01/2013	Forms Project	Reduce the amount of time for sign-offs and review of form changes and new form requests.	Reduce processing time for all sign-offs and reviews to be completed.	2 months to less than 2 weeks	80% reduction
			Reduce processing time of new forms by getting all parties involved in the beginning of the process.	Processing of new forms less than 1 month	70% reduction
				<b>Time</b> – streamlined process and freed up staff to be better utilized in more critical areas. <b>Quality</b> – reduced the amount of rework.	
02/01/2013 – 06/01/2013	Business Entity Tax (BET) Clean-up	Clean-up duplicate credits for BET when all other tax types are closed and taxpayer is not filing return  Improve process of closing accounts on a monthly basis with an automated process	BET accounts have not closed for 4 years	Cleanup/Close 11,005 accounts – start date between 1/1/2007 and 1/1/2010	100% reduction
			Request for a file was manually requested on a periodic basis had to be manually reviewed and accounts manually closed.	Automated monthly file process. April, 2014 – 420 accounts closed May, 2014 – 359 account closed.	100% reduction
			Manually closing accounts took approximately 8 minutes per account. They were never able to complete cleanup	Automated process - saved 104 man hours during first two months (April/May 2014)	100% reduction





## **Office of Governmental Accountability/Office of the Executive Administrator (OGA/OEA)**

Shelby J. Brown, Executive Administrator

Joseph Olender, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

As an agency designed to create efficiencies in delivery of Human Resources, Fiscal, Administrative and Information Technology services, OGA/OEA embraces the philosophy of efficiency in operations, continuous improvement, and continuous learning. In this reporting period, we began to identify processes that will undergo process improvement; going forward, as we develop the agency's strategic plan, we will incorporate LEAN methodology in setting goals, implementing process improvements, and educating our employees.



## Office of Policy and Management (OPM)

Ben Barnes, Secretary

Karen Buffkin, Deputy Secretary

Alison Fisher, LeanCT Program Director

Kathleen Taylor, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

OPM values the use of process improvement activities, such as Lean, in order to improve customer service and increase efficiency. OPM has dedicated resources to coordinate the statewide continuous improvement effort, fund agency Lean projects statewide, and support such activities among agency staff.

During the reporting period, OPM's primary focus had been on promoting process improvement statewide. In March of 2014, OPM served as Team Leader on its first Lean project. This project is an inter-agency effort to streamline the Small Town Economic Assistance Program (STEAP) grant process, involving participation from DECD, DEEP and DOT. Results are still being measured and are being reviewed by the team on a regular basis. Since then, OPM has engaged in three additional Lean projects and is committed to its continuous improvement journey.



## Department of Veterans Affairs (DVA)

Linda S. Schwartz, Commissioner

Joseph Perkins, Deputy Commissioner

Tammy Marzik, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

DVA continues with our mission of “serving those who served” by assessing the past, current and future challenges that our veterans and their families are and will be facing as they emerge by identifying resources that address these needs. To advocate for the full benefits of federal, state and local laws affording claims representation, counseling, employment services, financial rights, privileges and benefits for Connecticut veterans and their families who are and have been members of the Armed Forces of the United States. DVA consistently strives to improve services, increase efficiencies, and remains focused on the ever changing needs of veterans and their families to ensure they all receive the assistance that they are entitled to.



## Department of Administrative Services (DAS)

Donald J. DeFronzo, Commissioner

Martin Anderson, Deputy Commissioner

Pasquale J. “Bud” Salemi, Deputy Commissioner

Mark Raymond, Chief Information Officer

Len Smith, Agency Lean Coordinator

**Agency’s Lean/Process Improvement Philosophy or Statement:** DAS will work to eliminate wasteful activity and unnecessary processes while remaining transparent and supporting systems of fairness and procedural justice.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
May, 2013 – May, 2014	<b>IT Procurement Process Improvement (interagency with OPM)</b>	Improve the IT procurement process by eliminating multiple and/or duplicative steps between the agency process and the DAS/BEST procurement processes in order to improve the efficiency and decrease the time it takes for approval and purchase of technology.	Reduce the amount of time required to complete IT “contractual purchases” (30 to 5 days)	Average = 10 days	67%
			Reduce the amount of time required to complete IT Invitations to Bid (ITB) (60 to 30 days)	Average = 55 days	8%
			Reduce the amount of time required to complete IT Request for Proposals (RFP) (240 to 180 days)	Average = 200 days	65%



## Department of Emergency Services and Public Protection (DESPP)

Dr. Dora B. Schriro, Commissioner

Colonel Danny R. Stebbins, Deputy Commissioner

William P. Shea, Deputy Commissioner

Samuel F. Izzarelli Jr., Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

The Department of Emergency Services and Public Protection is committed to embracing the principles and practices of LEAN in its operation of the department. DESPP recognizes the importance of continually examining the methods by which we accomplish our mission to ensure that we operate with optimal efficiency and effectiveness.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
August 2013 to Present	<b>Paper Reduction Project</b>	To eliminate department records stored beyond their retention requirements and to eliminate sources of paper that lead to stockpiling by replacing these sources with electronic records.	50% of Records beyond retention date	All post retention records destroyed from HQ basement	100%
			Promulgate department policy on paper retention and destruction, including an agency-wide Records Retention structure	The draft document has been completed	
			Identify and promote E-Procurement and other e-processes	E-Procurement/ Core CT Implementation underway  E-Ticket Installations	E-Procurement/ Core CT Implementation is 20-30% completed.  E-Ticket 50% completed

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
August 2013 to Present	Policy Creation to Implementation Streamlining Project	Description B The DESPP Policy Creation to Implementation Streamlining project identified methods to improve the streamlining of the approval process for department policies and enhance the availability, testing and implementation of policies.	On average, 15 General Orders (G.O.) change per year with 4 policy changes per G.O. taking 3-6 months each to complete	Identified electronic system to reduce time and cost:  Estimated cost \$48,000	Researching security of Cloud Technology for implementation of system  No funding source has been identified at this time.
			Online in-service costs \$33,000 per session, 6 weeks to develop with limited effectiveness		
			Policy distribution is inefficient and some units do not have access to the Intranet page containing the policies.	Desktop Services has identified units without access and provided connectivity	
April 2013 to March 2014	DNA LEAN Impact Project	To increase productivity and decrease case backlog of the Forensic Biology (FB) and DNA Section by implementing a streamlined batch processing flow of case samples from FB to DNA, creating a Case Management Section to triage cases to the section, color coding case jackets by offense, and implementing extraction robots to replace manual extraction of DNA samples.	DNA Productivity in year 2012-2013; 805 cases completed	DNA Productivity in year 2013-2014; 2,693 cases completed	235% increase in DNA productivity
			DNA case backlog in March of 2013; 4,684 cases	DNA case backlog in March of 2014; 1,803 cases	62% decrease in DNA case backlog

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
April 2013 to March 2014	Forensic Biology LEAN Impact Project	Streamline the processing flow of case samples from Forensic Biology to DNA and efficiently process Sexual Assault Kits collected from victims. The newly created Case Management Section is triaging Sexual Assault Kit cases to Forensic Biology which results in quicker turn-around times.	Increase number of completed Forensic Biology cases	748 to 1,953 cases completed	161% increase
			Reduce backlog of Forensic Biology Sexual Assault Kits in first quarter of 2013	136 to 59 kits	57% reduction
July 2013 to March 2014	Firearms LEAN Impact Project	To increase productivity and decrease case backlog in the Firearms Section by creating a NIBIN triage process.	Increase number of completed Firearms cases	492 to 768 cases	56% increase
			Reduce backlog of Firearms cases	1,234 to 277 cases	78% reduction
May 2013 to March 2014	Latent Prints LEAN Impact Project	To increase productivity and decrease case backlog. Implement a pre-screening review of questionable latent print impressions via email. This eliminates unnecessary submissions of no value and increases the productivity in the Latent Print Section.	Increase number of completed Latent Print cases	754 to 918 cases	22% increase
			Reduce backlog of Latent Print cases	994 to 499 cases	50% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
June 2013 to March 2014	Computer Crimes LEAN Impact Project	To increase productivity and decrease case backlog. Policy was changed with regard to the maximum number of Child Pornographic Images captured to 250 rather than an unlimited number. The case review flow in this Section was streamlined.	Increase the number of completed Computer Crimes cases	87 to 189 cases	118% increase
			Reduce the backlog in Computer Crimes cases	107 to 29 cases	73% reduction





## Department of Motor Vehicles (DMV)

Melody A. Currey, Commissioner

Victor Diaz, Deputy Commissioner

Cindy Zuerblis, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

DMV's vision is to continually evolve its business processes using the principals of the LEAN business process improvement methodology. Additionally, DMV employs new and innovative methods (deploying and constantly measuring the effectiveness) in the agency's effort to improve its service delivery to the public and business processes throughout the agency.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
11/3/12-12/27/13	SSN Submission Report with Unpopulated Credential Field	Reduce the number of identified SSN record submissions on the weekly monitoring reports with an unpopulated credential field. This will reduce the number of submissions audit staff will have to manually research to verify an issued credential can be associated to that SSN submission	Average: 200 cases	Average: 140 cases	30% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
1/3/2013-3/31/2013	Streamlining Title	Title process was reviewed at length and processing time has been reduced. NOTE: First LEAN process performed in our Title Division was in 2011 Original processing time: 175 days to 30 days. In 2013 we reviewed the process again when we saw our average was 45 days which produced the following results.	Average: 45 days	Average: 15 days	66% reduction
3/1/2013-5/15/2013	Hearing Reporter Time	The agency holds approximately 2,500 hearings annually, 3 fulltime and 1 part time hearing reporter were responsible for recording all testimony for these hearings. The annual average salary for hearing reporter: \$46,191. Our goal was to eliminate the need of having a hearing reporter attend simple hearings and only involve hearing reporters in the complex cases. This was done by researching numerous types of recording equipment.	3 full-time/1 part-time positions	1 full-time/1 part-time position	Approx. \$92,000 in savings (annually)

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
5/3/2012-7/30/2013	Records Management	All incident reports were filed by paper and there was no record of activities such as non-CMV stops, motorist assists, etc. by the Commercial Vehicle Safety Division. Our goal with this project was to move from a paper records management system to an electronic system. 100% Federal grant funding was received for this project.	15 min. average to issue tickets	7 min. average to issue tickets	47% reduction
			Delivery time of tickets/incident reports by Sergeants	Delivery time no longer required – electronically received – Sergeant given more time on the road	10% improvement
			Backlog to enter tickets/incident reports by clerical staff approx. 1 year	Data entry no longer required on electronic reports – 1 Clerical position utilized in other areas in the unit	100% reduction
2/3/2013-3/30/2013	Insurance Compliance Unit Streamlining	The original process in the Insurance Compliance Unit allowed for several notices to be sent to customers who were operating vehicles without proper insurance coverage. Our goal was to eliminate the need for numerous notifications which would reduce the cost and time associated with insurance compliance cases.	2 notifications	1 notification Reduction in number of notices. Less time customer can be on road without insurance.	50% reduction
			3000 warnings sent out on a monthly basis	No warning required	Approximately \$3,000 in mailing costs, printing costs, etc. monthly (annually)

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
6/4/2012-4/1/2013	Dealer License Renewals On-line	To eliminate the need to process Dealer License renewals in person. This would help to reduce the amount of time to process renewals.	10-12 min. renewal process	2-3 min. renewal process	80% reduction
1/2013-4/2013	H-13 Form	The H-13 is our main registration form and was originally a three part form and used for	\$133,400 annually on producing forms	\$49,666 annually on producing forms	\$83,373 savings
9/15/2013-3/14/2014	Certified Mailing Project	The process for certified mailings was a very costly and manual process. Our goal was to eliminate some of the steps involved in the process and to reduce costs	\$1.25 per certified mailing for supplies(approx. 1,000 per month)	Supplies were eliminated with electronic version	Savings of approximately \$1,200 monthly
			Certified Mailings were manually recorded when received	No longer required to manually record when received. Users can directly enter into system	
7/2013	VIN Verification Locations	The number of locations offered to customers for VIN Verifications was limited to 10 locations. Our goal was to offer numerous locations throughout the state for customer service.	10 locations	225 locations	96% Increased locations

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
12/1/2011-5/30/2013	Financial penalties	The compliance action plan assists the Emissions Division in making sure testing inspectors/stations are in compliance with rules and regulation of the program. Prior to this change inspectors and stations were not being held accountable for errors which at times could cause issues for our customers. Our goal with this change was to create a new version of the compliance action plan where financial penalties were being assessed.	No penalties being collected	Penalties now being assessed. Decreased errors =Increased customer satisfaction and revenue enhancement	100% complete
4/2013	5S Event – Cheshire	A 5S event was held in our Cheshire location to determine what tools/supplies were assigned to emissions. Prior to this there was no tracking system in place and no one in charge of the location.	No tracking system in place	Tracking system in place. No “missing” tools/supplies	100% complete
			No one responsible for supplies/tools	Inventory chairperson assigned. No unnecessary inventory being ordered	100% complete

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
1/1/2013-3/31/2013	Adding Adult learner Permit Knowledge Test to Scheduler: Cheshire	Adding additional test type to scheduler which would allow for customers to schedule and prepay for an Adult Learner Permit on the QSC scheduler	Scheduled and pre-pay learner permit testing for teens only	Scheduled and prepay appointment added for Adult Learner Permit. Allows office management to adjust appointments by available staffing. More convenient for customer/ Increase customer satisfaction	
			Collecting of knowledge test fees at branch office in person	No longer collecting fees in person. Reduced processing time	
1/1/2013-12/31/2013	Adding Scheduler System for Teen Adult Learner Permit Knowledge testing: Norwalk, Bridgeport, Wethersfield, Willimantic, Hamden, Danbury, Waterbury	Adding scheduler system which would allow for customers to schedule and prepay for Teen and Adult Learner Permit on the QSC scheduler. Improve wait time and more efficiency with staffing	Walk-in process for testing	Scheduled testing and prepay for appointment.	20% decrease in average wait times
			Collecting of knowledge test fees at branch office in person	No longer collecting fees in person. Reduce processing time	
3/1/13-10/31/13	MINS System (Wethersfield – PILOT)	Allow branch offices to rescind registration suspension issues due to insurance compliance.	Only processed by Insurance Compliance Unit, not available for customers on Thursday evenings and Saturdays	Customer able to rescind registration suspension issues due to insurance compliance. Increased customer satisfaction/ Service.	100% complete

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
4/1/2013-1/31/14	Queuing Signage – Hubs	To have signs made and displayed at the HUB offices explaining the current number system used to wait on the customers. Less complaints and a better understanding of the office flow. Increased customer satisfaction	No signage explaining the number system.	Signage made explaining the service types and ticket number.	100% complete
1/1/2013-3/31/2013	Pay by check on QSC Scheduler	Customer able to pay by check for their permit test on the scheduler. Offer additional option for payment. Customer service enhancement.	Customer only had option to pay by credit card	Allowed 2 options for payment on scheduler	100% complete



## Connecticut Military Department (MIL)

Major General Thaddeus J. Martin, Commissioner

Brigadier General Mark A. Russo, Deputy Commissioner

Russell J. Bonaccorso, Jr., Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

In order to improve processing times for the agency's statutory responsibilities, the Connecticut Military Department is applying the principles of LEAN. The goal is to improve or eliminate identified areas of inefficiency and redundancy In order to maximize both individual and team processes.

Project Name	Overall Goal	Post – Implementation Results	Total Improvement (as a %)
Military Funeral Honors payment processing CGS 27-76	To reduce the amount of hours and redundancy in processing payments to Veteran Service Organizations	Eliminated significant redundancies of tasks performed by state personnel that were already completed by uniformed personnel	90% of tasks performed by state personnel eliminated
State Active Duty processing for Governor declared emergencies CGS 27-20	Significantly reduce the number of days from the date duty is completed to the date payment is received by the service member	Greater pre-planning in anticipation of a statewide emergency has shortened the orders processing time in order for pay to be sent to the individual by the first state	200% improvement. Payments are now received in the first available pay period post operations. Previous best was three pay periods post operations.
Federal Reimbursements Process	To reduce the amount of time between the completion of a project and the date the agency is reimbursed through the USPFO	Implemented monthly tracking system to close out accounts with no activity in order to submit for reimbursement	Reimbursements are submitted 25% sooner on average.





## Department of Consumer Protection (DCP)

William M. Rubenstein, Commissioner

Michelle Seagull, Deputy Commissioner

John Neumon, Agency Lean Coordinator

**Agency's Lean/Process Improvement Philosophy or Statement:** To align processes to the agency's core mission and to infuse process improvement as a philosophy

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
January 2014 – January 2015	Complaint Center: Complaint Handling	To review the entire complaint handling process with the goals of decreasing turnaround time, adding value to the process, and differentiating complaints.	Reduce average number of days to respond to complainant from initial return contact	4-6 weeks to 1 day	96% reduction
			Reduce average processing time for initial complaint review	7 to 2 weeks	71% reduction
			Reduce processing time for initial follow-up for the 25% of complaints where additional information is needed	8 to 2 weeks	75% reduction



## Department of Labor (DOL)

Sharon M. Palmer, Commissioner

Dennis C. Murphy, Deputy Commissioner

Stephen Dombrowski, Agency Lean Coordinator

Mark A. Stankiewicz, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

Established in May 2004, the Connecticut Department of Labor's *Center for Lean Government Services* assists government agencies, municipalities, and non-profit organizations develop a culture of continuous improvement with an emphasis on the relentless elimination of waste. The *Center* works to identify complex and burdensome business processes that create waste and inefficiency. By applying Lean principles, the *Center's* customers can strive for better organizational performance, streamlined processes, and customer-focused services.

Time Frame	Project/ Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
12/1/12	Wage Execution and Garnishment Unemployment Insurance (UI)	Implement “E File” to identify UI overpayments	Recover approximately \$40,000 per week in UI overpayments	\$2,000,000 annual recovery of UI overpayments	93% return on investment (increases in efficiency)
10/1/13	Installation of Benefit Overpayment Tracking System (BOTS)	Store UI payment data without manual input	– Increase number of UI audits Retrieve data without manual intervention	8 process steps eliminated or re-engineered	50% reduction in staff hours
5/27/13	Social Security Verification	Initiate automated social security verification process to prevent improper UI payments	Reduce improper UI payments by \$100,000 per week	– \$5,200,000 annual cost savings – 10 process steps eliminated or re-engineered	25% reduction in staff hours

<b>Time Frame</b>	<b>Project/ Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre- Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
1/3/14	Re-entry of veterans into the community  Joint effort: Departments of Social Services and Labor	<ul style="list-style-type: none"> <li>– Develop seamless, single entry point to services</li> <li>– Increase collaboration</li> </ul>	Reduce wait time for veterans to receive services (average 30 to 45 days)	– 10 day average wait time for veterans to receive services	78% reduction in wait time



## Workers' Compensation Commission (WCC)

John A. Mastropietro, Chairman

Sandra Cunningham, Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

The Workers' Compensation Commission continually strives to improve and streamline processes and procedures in order to decrease the amount of time it takes to provide a product or service to the workers' community, including injured workers, attorneys, insurers, other State agencies and all other stakeholders. As a small agency with some staffing issues during the past year, we were unable to conduct a full-fledged, week-long LEAN event; however, we accomplished an important process improvement project related to the processing of Inclusion/Exclusion Forms. These are forms by which an executive or officer of a corporation can elect to be excluded from workers' compensation insurance coverage. These forms are generally filed by insurance agents on behalf of the insured. Many insurance companies require a copy of the form, with the WCC receipt date stamp, before they will adjust the premium to reflect the exclusion. The goal of this project was to establish a process where the submitters include 2 copies of the form with a self-addressed, stamped envelope in order to receive their officially-stamped copy.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
May 2013– September 2013	Inclusion/Exclusion Process	To reduce the time from receipt of Form 6B to completion of process by requiring requestors to enclose a SASE for response	Average # of forms received/week =210	210 (average)	
			Average # w/ SASE enclosed =25	150 (average)	500% increase
			Time until stamped copy is sent = 3 days	1 day	66% reduction



## Department of Energy and Environmental Protection (DEEP)

Robert J. Klee, Commissioner

Macky McCleary, Deputy Commissioner

Nicole Lugli, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

LEAN is a key enabler for DEEP's transformation with an emphasis upon addressing the various needs of our diverse customers. This is a critical growth strategy that provides efficiency, effectiveness, eliminates waste, and improves timeliness, accessibility, transparency and predictability. Staff are engaged to work within and across agencies on process improvements and are provided with time to address new challenges and demonstrate key performance results.

Date of LEAN Event	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement or Implementation Plan progress (as a %)
Oct. 17–21, 2011	Dam Safety Permits	Reduce the average processing times for obtaining a dam safety permit	Average processing time for Individual Permits is 240 calendar days	190 calendar days	21 % reduction
Oct 17-21, 2011	Wastewater Treatment System Modification Approval Process - 3(i) Approvals	Reduce processing times of 3(i) requests by 80% and develop a tracking program to track and manage each request.	3(i)(3) approval processing times averaged 47 days.	10 days	78% reduction
			3(i)(2) approval processing times averaged 30 days.	5 days	83 % reduction
Oct 17-21, 2011	Short Process Permit Improvements	Streamline 3 permit processes to create standard work practices and timely issuance of permits through automation and e-government.	Waste Transporter Permits - maintain timely renewals issued within regulatory timeframe (120 days)	20 days	83% reduction

Date of LEAN Event	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement or Implementation Plan progress (as a %)
Oct 17-21, 2011	Short Process Permit Improvements	Streamline 3 permit processes to create standard work practices and timely issuance of permits through automation and e-government.	Marine Terminals Permits – reduce processing time from 90 days to issue permits	79 days	12% reduction
			Marine Terminals Permits - reduce frequency of renewal submittals	Every year to every 3 years	67% reduction
			Aquatic Pesticides Permits - reduce processing time from 90 to 30 days to issue	24 days	73% reduction
May 14-18, 2012	DEEP Public Utility Regulatory Authority (PURA) Docket Management System	Map the business requirement processes of the DEEP's PURA Lotus Notes Docket/Case Management System and Identify opportunities to streamline business process and automate system for customers using the IBM Case Manager Software.	Average processing time for Class I certifications 86.2 days	42.5 days.	51% reduction
			Develop decision templates for types of cases PURA commonly handles that are less complicated.	Templates developed for 9 different types of cases (accounts for approximately 50% of all PURA cases)	50 % improvement
			Streamline approval process for number of standard, time-sensitive PURA Dockets.	Saved 1-3 days for interrogatory approval process. Saved 3-4 days on consent calendar process.	5-10 % reduction in average processing time PURA case.

Date of LEAN Event	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement or Implementation Plan progress (as a %)
May 14-18, 2012	Office of Long Island Sound Programs Certificate of Permission (COP)	To evaluate the existing COP permitting process and determine areas where the process can be improved, and to create a plan to implement those improvements moving forward.	Average processing time for COP applications within 63 days.	Average processing time is 37 days	41% reduction in processing time
May 14-18, 2012	Evaluation Underground Storage Tank (UST) Petroleum Clean-Up Program	In light of new legislative requirements, 1) conduct value stream mapping of the claim processing and payment process; 2) identify non-value added activities and legal issues raised by legislative changes concerning processing and paying claims; 3) revise and develop claim processing and payment SOPs; and 4) develop outreach materials for applicants and public.	Streamline payment process after auction for applicants that elect to receive payments (12 months)	Payments are processed within 1 month if funding is available.	92% reduction
			Improve speed of claim review and approval (6-9 months)	Claims are reviewed within 2-3 months	67% reduction
			Improve frequency of issuance of decision letters (monthly basis)	Decision letters issued on weekly basis	75% reduction
May 6-10, 2013	Intra-agency Response/Cost Recovery	Focus on internal intra-agency work process including case initiation, evidence collection, case preparation and update internal transmission process from Emergency Response (ERU) Division to Cost Recovery (CR) program in Finance Division.	Case preparation, review and referral from ERU to CR from 5 months to within 2 months.	Case preparation, review and referral from ERU to CR now averaging 1 month.	80% improvement
			Reimbursement (payment) to department vendors within 2-4 months.	Reimbursement (payment) to department vendor now within 1-2 months.	63% improvement

<b>Date of LEAN Event</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement or Implementation Plan progress (as a %)</b>
October 21-25, 2013	DEEP Preparing Inspection Reports for Wastewater Discharge Compliance Investigations (Mini-Lean 3 days)	Reduce inspection report preparation time by 50% to 30 days or less (on average taking 60 days)  Improve tracking of inspection report completion and efficiency of document management capabilities.	Average time to complete an inspection report was approx. 60 days.	Average time to complete an inspection report today is 4.3 days..	93% reduction
October 21-25, 2013	Interagency & Intra-agency DEEP Owned Public Water Supply Wells – Sampling and Inspection Program	Efficiently manage the DEEP owned Public Water Supplies across the state by sharing the responsibilities across the Agency. Establish SOPs for the program, investigate options for efficiency including sampling, costs, inspections, violations, corrective actions, reporting and communication.	Reduce wells out of compliance from 25% to 0% (sanitary survey results for DPH)	The percentage of wells/systems with significant deficiencies have been upgraded and corrective actions taken to reduce wells out of compliance from 25% to 15%.	40% improvement
			Reduce percent of failing public water supply systems from 25% to 2%	Percentage of public water systems with water quality issues, mainly total coliform bacteria, has been reduced to 14%	44% reduction
			Complete an inventory of all DEEP owned wells and geo-locate wells	A comprehensive inventory of wells/systems has been compiled  Geo-locating of wells in the field has been initiated, consolidating historical sources of information on wells	100% improvement  40% complete



<b>Date of LEAN Event</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement or Implementation Plan progress (as a %)</b>
October 21-25, 2013	Interagency Electric Vehicle Installation of State Facilities	Increase efficiency and reduce the time it takes to purchase and install EV charges at state agencies. Create standard operating procedures for this process by creating guidelines for state agencies.	Create “Range of Confidence Index” including number of charging stations installed at state agencies (0 stations at state agencies)	Since November, 2013, 13 of charging stations installed at state facilities	13 new EV charging stations
			Number of charging stations for coverage statewide (161 stations)	Since November 2013, 71 additional stations came on-line. (67 proposed future stations funded by EVConnecticut)	44% improvement
January 6-10, 2014	Optimization of State Fish Hatchery Production	Maintain statewide production goals (size and quantity) for all cultured salmonids and enhance the quality of cultured fish products at all three state owned hatcheries (Burlington, Kensington, and Quinebaug).	Reduce predatory loss of fish at Burlington Hatchery by 50%	Site improvements under way at Burlington; funding opportunities to reduce predation at other hatcheries identified	50% reduction expected in fish mortality from bird predation at Burlington
			Improve physical appearance of fish by 50%	Design fish quality assessment protocol, transfer of fish to under-utilized ponds, reduce crowding in tanks, improve flow to design at Quinebaug Hatchery	100 % complete - Quality protocol identified and implemented.



## Connecticut Siting Council

Robert Stein, Chairman

Melanie Bachman, Acting Executive Director

Fred Cunliffe, Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

There is a need to evaluate the current application processes in the agency for overall efficiency and opportunities to utilize new and green technologies and work practices.

### Project Scope:

- Identify the steps within the administration of the certification process that can be streamlined, updated and/or eliminated. Emphasis on eliminating paper consumption with a future goal of transitioning to electronic operations
- Develop a plan to implement identified efficiency improvements and establish standard operating procedures
- Standardize format and content of web filing system

### Goals (Metrics):

- 50% reduction in paper documents submitted and internally distributed
- 25% reduction of overall paper and copier costs
- Create Standard Operating Procedure Manual within one year
- 95% compliance for web postings within a year

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
September 24-28, 2012	Docket Management Workflow Process	Create Administrative and Technical Standard Operating Procedures	Administrative functions step-by-step processes have been documented. (Standard Operating Procedure) 50% completed.	Revised and updated the administrative staff SOP. Created technical staff step-by-step processes for dockets, petitions, and EM/TS.	Combined the administrative and technical staff SOP. SOP is 100% complete.

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
September 24-28, 2012	Docket Management Workflow Process	Reduce paper, copying, and postage costs by 25%	Copying and mailing documents constituted a large portion of communications with nine Council Members, and other parties. (FY2011=\$13,119.00)	Stopped creating and distributing non-valued added documents. Utilize electronic mail for majority of communications. (FY2014=\$5,327.00)	59% reduction in paper, copying, and postage
		Standardize “pending proceeding” page on agency’s website	Pertinent documents would be posted on the agency website.	Thorough revisit of all documents submitted and created during a contested case proceeding are now standard on the agency website.	Standardization of “pending proceeding” page is 100% complete



## Department of Economic and Community Development (DECD)

Catherine Smith, Commissioner

Ron Angelo, Deputy Commissioner

Kip Bergstrom, Deputy Commissioner

Beatriz Gutierrez, Agency Lean Coordinator

George Norfleet, Agency Lean Coordinator

**Agency's Lean/Process Improvement Philosophy or Statement:** DECD is using LEAN to increase efficiency and eliminate waste throughout all the various programs and processes the agency administers in order to deliver enhanced value to our constituents. DECD is using LEAN as a catalyst to create an internal culture that continuously reevaluates processes and programs for opportunities to maximize constituent value by minimizing waste.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Nov 2013 to April 2014	ENTERPRISE ZONES	Cumbersome process with many handoffs and no uniformed workload during year. New participants not trained. Town is unsure where to get information.	Reduction of application process/review steps.	35 to 11 steps	69% reduction
			Establish training program to support town access to program funds.	Development of Training program	
			Evaluate current forms and eliminate any forms that create waste. (worked with DRS)	2 to 1 forms	50% reduction
July 2013 to April 2014	MASTER FILE LIBRARY PROCESS (interagency-w/DOH)	Develop a streamlined Master File Library process that will assure efficient record management and 100% compliance in accordance with statutory requirements.	Reduce backlog of files and destroy inactive files when possible	808 to 154 files (destroyed 54 c.f./7 cabinets of inactive files)	91% reduction
			Reduce average processing time from file receipt to recording of information	75 to 1 day	99% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
July 2013 To April 2014	MASTER FILE LIBRARY PROCESS (interagency-w/DOH)	Develop a streamlined Master File Library process that will assure efficient record management and 100% compliance in accordance with statutory requirements.	Develop Master File training plan and execute across organization. Work with State Library to conduct Records Management training on site.	Development and Implementation of Master File training plan. Training provided by State Library.	Follow-up done to secure approval of new process.
Sept 2013 to April 2014	BOND COMMISSION DOCUMENTS PROCESS	Develop a streamlined bond commission process that will result in increased productivity, efficient use of staff resources, better process accountability, better product quality, and higher levels of internal/ external customer satisfaction.	Reduce process time	14 to 7 weeks	50% reduction
			Reduce number of forms necessary	3 to 1 forms	66% reduction
Oct. 2013 to April 2014	BUSINESS OFFICE PROCESS (Interagency w/DOH)	Develop streamlined business office processes that will assure efficient customer support, 100% compliance in accordance to statutory requirements and State Accounting policies and CoreCT segregation of duties and roles.	Eliminate redundancy in the servicing of the delinquent Energy Conservation Loans (ECL), which currently averages 10 hours/month	Process eliminated	100% reduction
			Reduce average processing time for approval of allotments.	6 business days to 1 hour	98% reduction
Nov. 2013 to April 2014	DEAL DILIGENCE AND STRUCTURE PROCESS IMPROVEMENT	To streamline the current loan delinquency notification process by automating the associated report and letter.	Reduce the number of hours to analyze delinquent loan information and send associated notification	16 to 2 hours	88% reduction
			Update Policy Guidelines re: Express Program  Leverage EXP Website to provide clients with additional supporting information in completion of their funding application.	Draft completed. The Express website has been updated to include information to help clients who need additional guidance in preparing their documents.	

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
Mar. 2013 to April 2014	ARTS DIVISION – ARTS CATALYZE PLACEMAKING (ACP) GRANT PROGRAM	ACP application too cumbersome and review and management processes not clearly defined. E-granting system does not adequately support the program and not aligned w/our grants management/ fiscal system.	Refine ACP application, guidelines, and e-granting system.	Simplified application for operating support and improved e-granting system to improve alignment.	
			Reduce number of hours spent on application review	240 to 75 hours	69% reduction



## Department of Housing (DOH)

Evonne Klein, Commissioner

Nick Lundgren, Deputy Commissioner

Helen Muniz, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

To educate 100% of the DOH employees on the principles of LEAN and through LEAN efforts transform the department so that we can collectively expand high quality affordable and supportive housing opportunities in an efficient and timely manner. To date, 62% of DOH employees have participated in a minimum of 3 hours of LEAN training.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
April 2013 to April 2013	Request for outside counsel process	Identify the steps to request outside counsel for closing of housing development contracts and identify waste to reduce time.	Reduce the number of days to receive assignment for a request for outside counsel	10 to 2 days	80% reduction
July 2013 to April 2014	Master File Library Process (interagency-w/DECD)	Develop a streamlined Master File Library process that will assure efficient record management and 100% compliance in accordance with statutory requirements.	Reduce backlog of files and destroy inactive files when possible	808 to 154 files (destroyed 54 c.f./7 cabinets of inactive files)	91% reduction
			Reduce average processing time from file receipt to recording of information	75 to 1 day	99% reduction
			Develop Master File training plan and execute across organization. Work with State Library to conduct Records Management training on site.	Development and Implementation of Master File training plan. Training provided by State Library.	Follow-up done to secure approval of new process.

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
Oct. 2013 to April 2014	Business Office Process (Interagency w/DECD)	Develop streamlined business office processes that will assure efficient customer support, 100% compliance in accordance to statutory requirements and State Accounting policies and CoreCT segregation of duties and roles.	Eliminate redundancy in the servicing of the delinquent Energy Conservation Loans (ECL), which currently averages 10 hours/month	Process eliminated	100% reduction
			Reduce average processing time for approval of allotments.	6 business days to 1 hour	98% reduction
April 2013	CHAMP & 4% LIHTC Selection and Closing Process (Interagency w/ CHFA) Status: completed	To improve processing time for applications to the Competitive Housing Assistance Multifamily Program while improving the quality of the application selection	Reduce DOH/CHFA combined staff hours	1,228 to 883 hours	28% reduction
			Reduce DOH/CHFA combined process steps	160 to 113 steps	35% reduction
			Reduce CHFA/DOH combined site visits	2 to 1 visits	50% reduction
			Reduce the amount of paper collected with hard copy applications	All submissions are electronic	100%
			Consolidate separate design & construction standards	Adopted joint design & construction standards	
February 2014	Streamlining the Consolidated Application (Interagency w/ CHFA)  Status: in process  Projected Completion: January 1, 2015	To streamline the Consolidated Application used by applications for DOH and CHFA funding to save our customers time and effort, reduce staff time in the early stages of the review process and improve the overall quality of applications for financing	Reduce the number of pages in the application form	15 to 10 pages	33% reduction
			Reduce the number of exhibits in the consolidated application	68 to 49 exhibits	28% reduction
			Reduce the number of financing applications	7 to 2 applications	71.4% reduction





## Connecticut Housing Finance Authority (CHFA)

Eric Chatman, President-Executive Director

Maura Martin, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

CHFA is embracing the LEAN process improvement approach to strengthen the way we serve our customers and meet our mission. We are dedicated to saving time and eliminating waste in our programs so we can focus our efforts on expanding affordable housing opportunities in the State of Connecticut.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Sept/Oct 2013	Single Family Underwriting  Status: in process  Projected completion: November 2014	To improve the process for standard single family underwriting, from intake of loan application to commitment	Reduce the average number of days to process a loan	64 to 42 days	34% reduction
			Reduce rate of issuance for Missing Exhibits Letter	95% to 5%	90% reduction
			Reduce average time for file review	4 hours (240 minutes) to 15 minutes	94% reduction
Oct 2013	Legal Asset Management Workflow Process  Status: in process  Projected Completion: November 2014	To establish greater coordination, communication and collaboration between Asset Management & Legal departments to shorten the time between request for a loan and closure by 50%.	Reduce average time between loan request and closing	156 to 70 days	55% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
Dec 2013	Orientation and Training of New Employees  Status: in process  Projected Completion: December 2014	To improve process for the orientation and training of new employees, seeking ways make the experience both more efficient and at the same time more valuable for the new employee and CHFA in fulfilling its mission.	Lack of standardized guidelines to implement a thorough orientation and training of new employees	Development of a master onboarding schedule for orientation and training of new employees	Project will use KPI's like employee turnover rate, supervisor evaluations, employee surveys to measure overall impact of this Lean event
			Lack of formalized education and training program for new employees	Development of position-specific, formalized training programs on CHFA systems	
			Lack of formalized program for ongoing training and education of all employees at CHFA	Development of a future <i>CHFA University</i>	
April 2013	CHAMP & 4% LIHTC Selection and Closing Process (Interagency w/ DOH)  Status: completed	To improve processing time for applications to the Competitive Housing Assistance Multifamily Program while improving the quality of the application selection	Reduce DOH/CHFA combined staff hours	1,228 to 883 hours	28% reduction
			Reduce DOH/CHFA combined process steps	160 to 113 steps	35% reduction
			Reduce CHFA/DOH combined site visits	2 to 1 visits	50% reduction
			Reduce the amount of paper collected with hard copy applications	All submissions are electronic	100%
			Consolidate separate design & construction standards	Adopted joint design & construction standards	

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
February 2014	Streamlining the Consolidated Application (Interagency w/ DOH)  Status: in process  Projected Completion: January 1, 2015	To streamline the Consolidated Application used by applications for DOH and CHFA funding to save our customers time and effort, reduce staff time in the early stages of the review process and improve the overall quality of applications for financing	Reduce the number of pages in the application form	15 to 10 pages	33% reduction
			Reduce the number of exhibits in the consolidated application	68 to 49 exhibits	28% reduction
			Reduce the number of financing applications	7 to 2 applications	71.4% reduction



## Department of Public Health (DPH)

Dr. Jewell Mullen, Commissioner

Lisa Davis, Deputy Commissioner

Katharine Lewis, Deputy Commissioner

Joan Ascheim, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

Connecticut Department of Health employs the following quality vision statement: *DPH: Striving for Excellence Daily in Everything We Do!*

The following expands upon this statement and articulates how CT DPH will achieve it.

In support of the Department's mission, we are committed to providing high quality public health services to those we serve. Staff will be supported and empowered to strive for excellence every day, equipped with systems and tools to integrate quality into everything they do. We will use data to monitor, evaluate, communicate, and make adjustments to continuously improve the quality of our work to the benefit of our employees and those we serve.

The DPH has adopted the Turning Point Performance Management framework as the underpinning for performance improvement work in the department. This framework was developed by the Turning Point Performance Management National Excellence Collaborative in 2004 and has been adopted widely by public health practitioners around the country.<sup>1</sup> The model was updated in 2013. Lean philosophy and methods are highly compatible with this model.

#### PUBLIC HEALTH PERFORMANCE MANAGEMENT SYSTEM



<sup>1</sup> From Silos to Systems: *Using Performance Management to Improve the Public's Health*, prepared by the Public Health Foundation for the Turning Point Performance Management Excellence Collaborative, 2003.

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
May 2013 – May 2014	Improve Contracting Process – DPH Administrative Branch, Contracts Management	To reduce contract processing delays.	Reduce the number of steps needed to develop and execute a contract	92 to 36 steps	61% reduction
May 2013 – May 2014	Improve Accounts Payable Process – DPH Administrative Branch, Contracts Management	To reduce delays in issuing payments to contracted service providers.	Reduce the average number of days to issue payments	11 to 3.5 days	68% reduction
			Reduce the number of steps needed to issue payments	11 to 6 steps	45% reduction
October 2013 – October 2014	Physician investigation process– DPH Physician Licensing and Investigations Section and the Legal Office	To improve the physician investigation process by increasing the pool of physician consultants and decreasing the investigation time.	Increase the pool of physician consultants to review cases from 1 to 30 by July 2014	11 consultants	36% to goal
			Decrease average time required to secure physician consultants	545 to 348 days	36% reduction
			Decrease average time to complete an investigation from intake to referral to legal	667 to 242 days	64% reduction

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
November 2013 – November 2014	Improve the submission of tumor cases abstracts and pathology reports – DPH Connecticut Tumor Registry and Information Technology	Establish submission schedule for abstracts and pathology reports from hospitals utilizing new case finding and auditing reports	100% of hospitals are adhering to the submission schedule	2 (7%) of hospitals adhered to the new submission schedule	7% to goal
			Increase the number (percent) of hospitals sending pathology audits electronically from	5 (18%) to 11 (39%)	120% increase
			Reduce the number of unmatched pathology reports from 600 to 0	600 to 214 reports	64% reduction
May 2013 to May 2014	Drinking Water State Revolving Fund (DWSRF) Unliquidated Obligation (ULO) Reduction Strategy	Reduce the percentage of remaining DWSRF funds in CT's <i>Project</i> and <i>Set-Aside</i> accounts (ULOs) to Environmental Protection Agency's national recommendation of under 10% of Federal Cap Grants awarded. *Received 2013 Cap grant in Sept 2013	Reduce the ULOs as a percent of Federal Cap Grants ( <i>Project</i> & <i>Set-Aside</i> accounts)	21.7 to 10.6%	51% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
May 2013 to May 2014	Drinking Water State Revolving Fund (DWSRF) Unliquidated Obligation (ULO) Reduction Strategy	Reduce the percentage of remaining DWSRF funds in CT’s <i>Project</i> and <i>Set-Aside</i> accounts (ULOs) to Environmental Protection Agency’s national recommendation of under 10% of Federal Cap Grants awarded. *Received 2013 Cap grant in Sept 2013	Reduce the ULOs as a percent of <i>Project</i> Funds Awarded	22.9 to 9.4%	59% reduction
			Reduce the ULOs as a percent of <i>Set-Aside</i> Funds Awarded	18.7 to 13.6%	27% reduction
February 2013 – March 2014	Sanitary Surveys of public drinking water systems by Drinking Water Section inspectors/em ployees	Reduce the time needed to conduct a sanitary survey at a public water system and reduce the time needed to issue the report detailing significant deficiencies/ violations to the affected public water system(s).	Reduce the average number of days from the completion of a sanitary survey to the issuance of a survey report	59 to 25 days	58% reduction
			Reduce the number of steps needed to complete a sanitary survey to streamline the process and improve staff consistency	86 to 68 steps	21% reduction

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
October 2013 – January 2015	Improving the Efficiency of the Public Health Hearing Process in the DPH Public Health Hearing Office (PHHO)	Improve the process by which complaints against physicians are investigated from intake through to dismissal or other dispositions. Specifically, improve the process through which the case is handled by the PHHO from receipt of Statement of Charges (SOC) to final Memorandum of Decision (MOD).	Increase the percent of pre-filed exhibits and expert opinions to 50%	40%	80% to goal
			Meeting 30 day post fact-finding to draft MOD goal 95% of time (from 79 days average to 30 days)	66%	69% to goal





## Office of the Chief Medical Examiner (OCME)

James R. Gill, M.D., Chief Medical Examiner

### Agency's Lean/Process Improvement Philosophy or Statement:

Improve turn-around-time on toxicology testing/autopsy reports and time for release of remains following examination.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
March 2013 to March 2014	Pending autopsy reports and toxicology testing turn-around-times (TAT)	Decrease toxicology turn-around-times to improve TAT for final autopsy reports and death certificates	Avg Tox TAT in July 2013: 139 days	Avg Tox TAT in January 2014: 9 days	93% reduction in TAT
			Number of pending tox cases in September 2013: 853	Number of pending tox cases in March 2014: 90	89% reduction in pending tox cases
March 2013 to March 2014	Autopsy Delay	Decrease time interval between arrival of decedent at OCME and performance of autopsy	March-July 2013: Average time from admission at OCME to performance of an autopsy: 49 hrs	August-December: Average time from admission at OCME to performance of an autopsy: 22 hrs	56% reduction in wait time



## Department of Developmental Services (DDS)

Terrence W. Macy, Ph.D., Commissioner

Joseph W. Drexler, Esq., Deputy Commissioner

Josh Scalora, M.S., Agency Lean Coordinator

**Agency’s Lean/Process Improvement Philosophy or Statement:** Lean is an important part of the DDS change initiative. Starting with our newly developed Mission & Vision, DDS created a Five Year Plan mapping out the steps needed to move our organization towards being a truly person-centered agency. Lean supports this process by increasing value for individuals and families while reducing waste, and creates a framework for accountability and improvement process management and assessment. Lean also supports our Home and Community Based Services Medicaid Waiver performance management process by improving systems used for Medicaid Waiver Assurances.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
December 2013 - present	PRAT Planning & Resource Allocation	Decrease volume of requests by 50% in 12 months and Increase accuracy to 90% in 12 months	Reduce average number of requests per month	500 to 324 requests	35% (first 3 months)
			Increase percent accurate	10% to 50%	500% (first 3 months)
December 2013 - present	QSR Quality Service Review	Decrease time to complete reviews by 50% in 12 months, Decrease number of corrective action plans by 50% in 12 months, Increase % of Met Indicators by 50% in 12 months	Reduce average number of hours to complete one review	Planned reduction from 18 to 9 hours (supported by mobile tech - in development)	50%
			Reduce average number of corrective action plans (CAPs) per year	Planned reduction from 5,000 to 2,500 CAPs per year	50%
			Increase percent of indicators rated as “met”	Planned increase from 89% to 95% met in 12 months	50%



## Department of Mental Health and Addiction Services (DMHAS)

Patricia A. Rehmer, Commissioner

Paul DiLeo, Deputy Commissioner

Katherine McNulty, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

DMHAS has committed to using the LEAN process to achieve process improvement across the Agency. Employees from various divisions have participated in the LEAN trainings in order to learn the process and apply it to their workflow informally. DMHAS will continue to actively participate in training, formulate agency wide projects and apply the elements of LEAN on a smaller scale where possible.

In the LEAN project outlined below, DMHAS combined the PSA & HS contract units into one contracting unit. We are in Phase III of the process. Phase I was developing a Pre-Authorization Process to obtain fiscal, program and management approval prior to developing a contract or amendment; Phase II was developing a Contract Unit Database to monitor and track all DMHAS contracts. This Kaizen event will assist in the implementation of Phase III integrating the units and establishing standard work procedures for the new unit. The Kaizen Team will focus on reviewing both units' processes from the time the application/pre-authorization is approved through contract/amendment execution. Each unit will use value stream mapping to discover ways to streamline their process then the Team will combine both processes into one process to be used by the combined contract unit. The opportunities for improvement include: establishing standard operating procedures (SOP) and to develop an implementation plan to combine our units by June 2014. The implementation plan shall include Tasks, Timetable, Barriers, and the name(s) of staff responsible to oversee the implementation of each task.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	On-going Implementation Result	Total Improvement (as a %)
October 2013 - Present	Contracting Process	Have 95% of contracts/amendments fully executed at least 15 days prior to the start of the contract/amendment	PSA Unit – 31% SFY13 POS Unit – 92% SFY13	PSA Unit - 21% POS Unit - 100%	-10% +8%

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>On-going Implementation Result</b>	<b>Total Improvement (as a %)</b>
October 2013 - Present	Contracting Process	Reduce processing time for contracts/amendments by 50%	PSA Unit – 44 days SFY13	51 days SFY14	-15%
			POS Unit - 49 days SFY13	51 days SFY14	-4%
		Increase document management efficiencies by 100%	50% of executed contracts sent to contractor electronically	100% of executed contracts sent to contractor electronically	100%



## Department of Rehabilitation Services (DORS)

Amy Porter, Commissioner

Andrew Norton, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

To work to eliminate waste and increase efficiency on an ongoing basis so that we 1) provide more effective and timely services to our clients and 2) provide maximum value over cost for the citizens of Connecticut. In this way, we aim to continuously maximize our ability to help people in Connecticut with disabilities to live, learn and work independently.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
September 2013 - February 2014	Disability Determination Services, Medical Records Translation Process	Reduce the lead time for processing medical record translation requests	Reduce the average number of steps to send and receive medical records translations.	Reduced number of steps from 34 steps to 17 steps.	50%
			Reduce the average number of days to process medical records translations.	Reduced average number of days from 61 days to 36 days.	41%



## Department of Transportation (DOT)

James P. Redeker, Commissioner

Anna M. Barry, Deputy Commissioner

Cheryl L. Malerba, Statewide Lean Representative

Michael B. Bright, Agency Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

The Department of Transportation is committed to improving staff investment in the mission, training and capacity by using collaborative processes that improve the way we do work with a focus on customer service, project delivery and multi-modal transportation needs and service delivery.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
September 2013 to March 2014	Process Construction Estimates electronically from field to Accounts Payable	Reduce the overall time to transport construction estimates to Accounts Payable	Average number of days to process an estimate from Site manager to Accounts Payable	18.5 to 6 days	67%
June 2013 to present	Consultant Selection Process	Reduce the average time to select a consultant	Average days from the Commissioner's approval to retain a consultant to the time consultant is selected	150 to 130 days	13%
April 2012 to April 2014	Project Closeout Process	Decrease the average time it takes to closeout FHWA participating projects.	Average time from "Construction Acceptance" (CON-501) to FHWA agreement closeout	5.3 years to 3.5 years	34%

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
April 2012 to April 2014	Project Closeout Process	Increase the number of FHWA Final Vouchers submitted in the State Fiscal year	Number of FHWA vouchers	366 to 561	53%
September 2013 to August 2014	Streamline the DOT CORE-10 (e-Pro) Approval Process for IT purchases	Reduce the length of time to complete a CORE-10 request	Average number of hours/week to complete the request	7.5 hours/week to 1.5 hours/week	80%
		Reduce the number of steps to process bid information and submit package to DAS	Average number of steps	116 to 32	72%
June 2012 to March 2014	Civil Rights Project Monitoring and Compliance	Reduce the number of steps in the contractor compliance monitoring process, while ensuring we meet the requirements of the federal regulations.	Number of steps related to contractor compliance monitoring processes	102 to 35	66%
			Average number of days to approve a CLA-12 subcontractor	45 to 10 days	78%
			Number of annual trainings for Contractors, CTDOT/District/MS AT Staff, Municipalities, Outside Groups on Contract Compliance Requirements	2 to 8 trainings	400%

<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
December 2012 to present	Consultant and Administrative Agreements	Work with Attorney General’s Office to reduce the processing time for consultant and administrative agreements	Average number of days to reach consultant agreement	107 to 19 days	82%
			Average number of days to reach administrative agreement	200 to 14 days	93%
April 2013 to present	Encroachment Permitting Process	Reduce the number of days to review of proposed major and minor commercial developments and the issuance of encroachment permits to perform work within the State right of way in accordance with CGS 13b-17, 13a-143 and 13a-247	Average number of days for traffic engineering review process	251 to 130 days	48%
December 2013 to present	STIP Action and Amendment Process	Reduce the number of days to approve an Action. (STIP Action high = 211, Low = 10, AVG 30.6)	Average number of days to approve an Action	30.6 to 20.2 days	33%
		Reduce the number of days to approve an Amendment. (STIP Amendment high = 335, Low = 29, AVG 48.4)	Average number of days to approve an amendment	48.4 to 34.7 days	28%



<b>Time Frame</b>	<b>Project/Event Name</b>	<b>Brief Description/ Overall Goal</b>	<b>Pre-Implementation Measure</b>	<b>Post – Implementation Result</b>	<b>Total Improvement (as a %)</b>
October 2013 to present	CTDOT Traffic Monitoring Upgrade Project	Improve CTDOT Traffic Monitoring field-staff safety, and improve the traffic data collection, processing and dissemination efficiency for CTDOT	Average annual number of hours spent in the road, in traffic - staff of five	2500 hours to 1750 hours	30%
			Average number of days for “standard” traffic monitoring data processing and dissemination	300 to 225 days	25%
			Average number of days for traffic monitoring “special request count” work (collection, processing and dissemination)	100 days to 25 days	75%



## Department of Social Services (DSS)

Roderick Bremby, Commissioner

Kathleen Brennan, Deputy Commissioner

Raymond Singleton, Deputy Commissioner

### DSS Lean Steering Committee

Alexis Fedorjaczenko, Chairperson

Laurie Ann Wagner, Agency Lean Coordinator

6 Rotating Members (currently all representing DSS Leadership)

### **Agency's Lean/Process Improvement Philosophy or Statement:**

In light of the state's ongoing fiscal condition, it is critical that we drive the process of change from within and seek to identify and reduce duplicative and redundant activities in our business processes, and thereby improve the agency's financial stability and our customer experience in these very difficult economic times.

DSS is seeking to embark on a process of re-engineering the agency's business processes by using the LEAN business process improvement methodology. It is paramount that the agency use proven industry best practices in the reviewing, analyzing, and streamlining of our current business processes so that the agency may serve our customers, staff, stakeholders, and business partners in a more timely, effective, and efficient manner.

### Creating a Lean Culture at DSS

Efforts to date:

- Lean efforts reflected in Performance Appraisals of all DSS managers starting in 2013/2014
- Process improvement is a part of the DSS Balanced Scorecard
- 1 year of work with a professional Lean consultant ended in December 2013
- 167 DSS front line staff trained in Lean principles
- 426 DSS staff trained in 5S principles
- All DSS Leadership trained in Lean principles
- 18 active Lean projects in progress
- 8 Kaizens since January 2013

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Project Initiated Sept. 2013	Child Support Order Establishment Process	Review work processes to determine where more streamlined and efficient processing of establishment cases may be possible for the purpose of increasing productivity, improving consistency and delivering better customer service. Work to improve establishment percentages (federal performance measures) from 77% to 80%, as well as review processes to better serve the public.	Matrix management across 12 regional offices	Standardized & centralized with central office directing all Child Support staff in 12 regional offices	92%
			3-5 week Acknowledgment of Paternity Process	3-5 day Acknowledgment of Paternity Process	86%
Project Initiated Jan. 2014	Supporting Military Service Members/Veterans and their families in the accessing of community services	<p>A joint effort between CT DOL &amp; CT DSS. Military Service members/ Veterans and their families are often faced with myriad needs (including employment, housing, food security, access to healthcare, etc.) and they must work with multiple agencies to access available resources to meet those needs. This project is being piloted in Waterbury to:</p> <ul style="list-style-type: none"> <li>• Develop an efficient, seamless, single entry point</li> <li>• Establish “no wrong door”</li> <li>• Improve communication between state agencies</li> <li>• Reduce redundancy of reporting basic information</li> <li>• Increase provider (DOL,DSS, Partner) knowledge of services</li> <li>• Reduce risk of misdirecting clients in need</li> </ul>	No formal process to identify veterans and make referrals in DSS	14 veterans identified in DSS Service Center and seen by DSS Veteran Specialist. Eight (8) of those 14 veterans were confirmed as already involved with DOL without any action needed by DSS. Six (6) of the 14 veterans identified and referred to DOL were unknown to DOL prior to DSS identifying and referring using this new process.	75%

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Project Initiated Jan. 2014	Supporting Military Service Members/Veterans and their families in the accessing of community services	A joint effort between CT DOL & CT DSS. Military Service members/ Veterans and their families are often faced with myriad needs (including employment, housing, food security, access to healthcare, etc.) and they must work with multiple agencies to access available resources to meet those needs.	Only 203 of 336 self-identified Veterans presenting to DSS were accessing DOL Services	With sharing of databases between agencies the 133 Veterans unknown to DOL received contact, information and offer of assistance from DOL	40%
Project Initiated July 2013	ConneCT	<p>Improve Customer Access by offering anywhere/anytime access via web and telephone services. Achieve Better Quality Outcomes by improving process efficiency by reducing looping and paper.</p> <p>Enhance Customer Service by empowering workers with tools to help clients and increase the number of workers who can help a customer. Reduce Costs by eliminating paper; increasing efficient retrieval of documents and reducing risk of error</p> <p>More specifically:</p> <ul style="list-style-type: none"> <li>• Moving from Assigned Caseworkers to a Shared caseload</li> <li>• Striving for “One Touch” resolution of cases</li> <li>• Creating an Integrated Voice Response system</li> <li>• Accepting on-line applications</li> <li>• Employing electronic work-flow document management</li> <li>• Developing “My-Account” for client access to information</li> </ul>	<p>Number of client phone accounts created:</p> <p>Zero as of 6/1/13</p> <p>80,007 – as of 11/20/13</p>	123,311 – as of 5.21	54% in last 6 months

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Project Initiated Dec 2013	Medicaid Long Term Care Eligibility Determination Process	Review work processes to determine where more streamlined and efficient processing of Long Term Care Medicaid applications may be possible for the purpose of increasing productivity, improving consistency and delivering better customer service.	# of applications completed within SOP in December 2013: 700 out of 1,330 received	# of applications completed within SOP in January 2014: 1,353 out of 1,578 received	62%
			NOTE: Beginning in January 2014, the number of timely Long Term Care (LTC) applications includes applications adjudicated within the SOP and those delayed beyond the SOP for excused reasons		



## State Department of Education (SDE)

Stefan Pryor, Commissioner

Raymond Martin, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

The Connecticut State Department of Education (CSDE) sees the LEAN framework as a means to realize the Governor's education reform principle: *remove red tape and other barriers to educational success*. By streamlining processes and minimizing duplication of effort, LEAN principles are being applied to transform data collection and reporting from being a burden to an invaluable resource that is critical to the reform efforts.

### **Results:**

- **Red Tape Reduction:** After an exhaustive review, approximately one third of CSDE data collections forms have been eliminated or streamlined. Additional forms continue to be targeted for consolidation or elimination.
- **Data Governance:** Strong data governance practices ensure that redundancies are prevented from being created in the first place. The CSDE has established and activated the following two committees to solicit robust feedback from both internal and external stakeholders:
  - Internal: A Departmentwide Data Governance Committee that includes representatives from all CSDE offices; and
  - External: A Data and Reports Committee that is comprised of members from three professional associations – the CT Association of Public School Superintendents; the CT Association of School Business Officials, and the CT Association of Schools.

Both committees have met five times during the past year; their feedback and input have been extremely valuable in ensuring that CSDE data collections are sensitive to district capacity and adequate for the CSDE to meet its reporting obligations.

- **Improved Data Collection:** The CSDE has begun implementing standard data collection practices and protocols for all its data collections. For example, in addition to a comprehensive data acquisition plan, the CSDE has created a consolidated Data Collections Guide that now provides consistent timely and accurate reporting standards and dates for key student, staff, and facility data collections. Additional work remains to integrate legacy data collection applications into the single-sign-on interface; planning for this initiative is underway.
- **Unified Reporting Portal:** Currently, CSDE data are reported through at least two data portals. This causes duplication of effort and confusion for end-users. The CSDE has made substantial progress toward revamping its data warehouse including completion of the data model, a majority of the Extract Transform Load processes, and draft reports. The CSDE will be launching the new unified portal in the coming months. This consolidation will make CSDE data more

accessible to secure users in local schools and districts, as well as to the general public; this will enable informed policy and decision-making at all levels, while also reducing data requests.

In summary, the above efforts that are aligned with LEAN principles are resulting in a reduction in the data burden on school districts, greater efficiency in the CSDE, and greater transparency. Much more work remains to be done in this area but the aforementioned actions have moved us in the right direction.



## Office of Early Childhood (OEC)

Myra Jones-Taylor, Commissioner

Linda Goodman, Deputy Commissioner

Mara Siladi, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

Office of Early Childhood was authorized by the passage of PA 14-39 and was signed into law by Governor Malloy on May 29, 2014. Continuous and system quality improvement process is engrained in our philosophy. The Office was established to coordinate and improve the early childhood programs and services in the state with the explicit mission that we will support “all young children in their development by ensuring that early childhood policy, funding and services strengthen the critical role families, providers, educators and communities play in a child’s life.”

We will achieve the mission of our agency with a laser-like focus on the needs of our families and children. The agency will engage our staff in a collaborative culture that creates innovative and creative approaches to quality improvement and resource utilization. Doing so will result in a proactive, efficient, highly responsive, world-class government agency.





## Teachers' Retirement Board (TRB)

Darlene Perez, Administrator

Louis Laccavole, Lean Coordinator

### Agency's Lean/Process Improvement Philosophy or Statement:

We engage in improvement activities to enhance the quality and timeliness of service to our customers, and to provide these services at the lowest possible cost to the state.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Implement 1/1/15	Employer Group Waiver Plan (EGWP)	Implement EGWP for Teachers' Retirement Health Insurance prescription drug plan	Prescription drug costs to health insurance plan	Reduce by \$15-\$20 million annually	37-50%
Implemented 2014 (benefits); 12/31/14 (Accounting)	Restructure Benefits Division and Accounting Division	Improve quality and time service to members	Work flow, job responsibilities, time service to members	Enhanced productivity and timeliness of service to members	To be determined
Implemented 2014	Enhance procedures to monitor retired members' postretirement earnings	Recover pension payments exceeding statutory limits	Recoveries	\$100,000 of annual pension payments	To be determined



## **Board of Regents for Higher Education (BOR)**

Gregory W. Gray, President

Elizabeth Caswell, Chief of Staff

Erika Steiner, Chief Financial Officer

### **Agency's Lean/Process Improvement Philosophy or Statement:**

BOR has just begun implementation of a Strategic Plan. In this early phase, we are using a consultant to, among other goals, develop a high level listing of areas for improvement, efficiency, and cost containment. We will use this listing to move forward and develop a LeanCT Plan and report thereon. We are also seeking support for Lean Training as many of our members of management are new in their positions, and new to Lean concepts.



## Department of Correction (DOC)

James E. Dzurenda, Commissioner

Scott Semple, Deputy Commissioner – Operations

Cheryl Cepelak, Deputy Commissioner – Administration

Michelle Schott, Agency Lean Coordinator

Christine Whidden, Agency Lean Coordinator

### **Agency's Lean/Process Improvement Philosophy or Statement:**

To embrace a continuous improvement philosophy and incorporate this philosophy into the agency's DNA to empower staff to identify and implement process improvements that will allow the department to become more efficient in the utilization of its resources and more effective in the execution of its mission with the ultimate goal of reducing recidivism and improving offender outcomes while creating a leaner and more cost efficient and effective corrections system in Connecticut.

DOC held its first Kaizen event in February of 2014. At the event, four projects were initiated, examining the community release process, the administrative directive review and update process, the agency's internal purchasing process, and the agency's internal hiring process. They are all currently in the early stages of implementation.



## Department of Children and Families (DCF)

Joette Katz, Commissioner

Michael Williams, Deputy Commissioner

Fernando Muniz, Deputy Commissioner

Susan Smith, Chief of Quality and Planning

Judi Jordan, Agency Lean Coordinator

**Agency's Lean/Process Improvement Philosophy or Statement:** DCF is committed to continuous cross regional process improvement efforts to improve child well-being and family satisfaction.

Time Frame	Project/Event Name	Brief Description/ Overall Goal	Pre-Implementation Measure	Post – Implementation Result	Total Improvement (as a %)
Lean event August 26-30, 2013	POS Contract Process Improvement	Improve efficiency of POS contracting process to insure timely delivery of services to children and families	Internal review process = 20 work days	Internal review process = 3 work days	85% reduction
Conducted Grantium assessment November 19-22, 2013	POS Contract Process Improvement	Improve efficiency of POS contracting process to insure timely delivery of services to children and families	Portion of contract process completed electronically =10%	Conversion to Grantium –not achieved but some processes converted	10% reduction
Implemented process changes not dependent on automation March 1, 2014	POS Contract Process Improvement	Improve efficiency of POS contracting process to insure timely delivery of services to children and families	Total time to complete contract or amendment = 12-22 weeks	Total time decreased to 6-16 weeks	~40% reduction