

Licensure and Certification Workgroup

Background:

The Licensure and Certification Workgroup (Workgroup) was formed pursuant to [Special Act 17-21](#). The Act required OPM to convene a workgroup to conduct a review of the certification and licensure processes of certain nonprofit community providers, and study potential efficiencies. Membership consists of six representatives of nonprofit community providers and two representatives from the Department of Children and Families (DCF), Department of Developmental Services (DDS), Department of Mental Health and Addiction Services (DMHAS) and Department of Public Health (DPH). An [interim](#) and [final report](#), as required by the Act, was submitted to the legislature in September 2017, and December 2017, respectively. Although the workgroup has met all legislative requirements of S.A. 17-21, the collaboration that has been built across state agencies and non-profit community providers continues with PDPD's leadership.

Work To Date:

In early November 2017, workgroup members, under the direction of OPM, engaged in a five-day Lean Event to develop strategies to streamline and standardize the process of certain types of facilities licensed by state agencies. During the Lean Event, workgroup members reviewed the current licensing process to identify non-value added steps as opportunities for improvement; developed recommendations on process improvements; designed the future/ideal initial and renewal licensing process; established a roadmap to achieve project goals by identifying short and long term action items, developed an implementation plan to achieve its objectives, and developed a communication plan to ensure that all stakeholders are aware of the recommended changes to the licensing and certification process.

Although the workgroup has met all of the legislative requirements members strongly felt that the workgroup should continue to build on its work. In the beginning of 2018, the workgroup began meeting once a month work on developing strategies to improve the license and certification process. Originally, the workgroup created nine subcommittees to work on specific topics. The workgroup soon realized that several subcommittees should be combined to avoid duplication. The subcommittee are:

- Initial License Application –develop a common application that may be used by all state agencies
- Renewal License Application and Renewal License Compliance - develop one common Renewal License Application and Renewal License Compliance standard that may be used by all state agencies
- Medication Certification – create a new medication certification training module with reciprocity among state agencies
- Legislation and Regulations – review and propose legislative changes based on revisions made to the Licensure and Certification Program proposed by the various workgroup subcommittees
- Digital Record and Electronic Medical Record/Human Resources Record Access – determine the capacity of the nonprofit agencies related to digital records and EMR/HR records.

In December 2017 and January 2018, members of the workgroup presented its recommendations to leadership from affected state agencies, the Connecticut Nonprofit Alliance and interested State legislators. During the 2018 legislative session, the workgroup proposed and the General Assembly passed the following bills.

[Public Act 18-32](#) – Section 38 of P.A. 18-32 allows DDS to target unannounced licensing visits and eliminates a \$50 provider application fee and the associated paperwork/processing that goes with it and also eliminates a requirement that licensure applications be notarized.

[Public Act 18-67](#) - P.A. 18-67 makes minor revisions to the DCF statutes and includes a Licensure and Certification Workgroup Lean provision that waives a DCF licensure requirement for DDS Continuous Residential Supports (CRSs).

[Public Act 18-168](#) – Section 40 of P.A. 18-168 includes a Licensure and Certification Workgroup Lean provision that prohibits DPH from requiring that a health care institution licensure application be notarized.

Below are some examples of the workgroup subcommittee accomplishments.

- Finalized a standard online initial licensure and renewal application, renewal desk audit and site visit checklists to be used by all state agencies.
- Defined the timeframe for formal distribution of citations following the site visit.
- Defined the timeframe for the formal agency “Service Development Plan” submission.
- Established a survey of the DCF Outpatient Clinic license regulations for use in determining the critical elements for successful licensure and assigning weights to each regulation in the development of a site visit scoring system as a pilot for use in all license types within scope.
- Developed and distributed a survey to identify the types of electronic systems currently being used by nonprofit providers. Began planning for a pilot regarding off and on site use of electronic medical and human resources records.
- Prior to the Lean process, DPH’s Facility Licensing and Investigations (FLIS) unit utilized a paper driven calendar to schedule initial, renewal, and complaint inspections with regards to behavioral health facilities and outpatient clinics. After the Lean process, the FLIS transitioned to an electronic surveyor scheduler to schedule inspection activities.

The workgroup continues to meet once a month and the subcommittees meet in between the workgroup meetings. The workgroup will continue to work on the following recommendations:

- Design a uniform process to align with the new licensing and certification recommended changes made by the workgroup subcommittees.

- Align state agency regulations related to the licensing and certification process to achieve consistency across agencies.
- Develop a communication plan to ensure that all entities are aware of the revisions made to the requirements and process of the licensing and certification program.
- Develop and implement a training component for entities on revisions to the licensing and certification process.