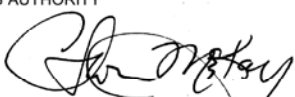
 Corrections and Community Supervision DIRECTIVE	TITLE		NO. 6925
	Continuous Process Improvement (LEAN)		DATE 08/01/2019
SUPERSEDES DIR. #6925 Dtd. 03/07/18	DISTRIBUTION A	PAGES PAGE 1 OF 7	DATE LAST REVISED
REFERENCES (Include but are not limited to) NYS Internal Control Act; Directive #6920; DOB Budget Bulletins L-1220 and B-350; NYS Office of LEAN (Office 365) SharePoint	APPROVING AUTHORITY 		

- I. **PURPOSE:** The Governor's Office of LEAN (OOL) was established pursuant to the recommendation from the New York State Spending and Government Efficiency (SAGE) Commission. The purpose of this widely recognized management philosophy is to improve the quality, efficiency, and effectiveness of an organization's services and operations. This is accomplished through a prescribed system of mapping established processes, and data collection, to identify inefficiencies or barriers to progress, and then mitigate them through Executive approved, documented implementation plans.
- The New York State Department of Corrections and Community Supervision (DOCCS) has developed a LEAN community to work with the Department's Executive Team, Board of Parole, and management teams across all areas of the agency to identify critical functions, processes, or procedures for LEAN Process Improvement (project) consideration. The Department is required to submit a LEAN Process Improvement Plan in compliance with the Division of Budget (DOB) [Budget Bulletin L-1220](#).
- Additionally, OOL recommends LEAN project goals on an annual basis. LEAN project milestones are required to be reported externally to OOL via the [LEAN SharePoint website](#).
- NOTE: The SharePoint site is accessed through Office 365; therefore, you may be prompted to log in to Office 365.
- II. **POLICY:** The Department is committed to sustaining a culture of continuous process improvement by utilizing LEAN tools and methodology. As such, impactful projects are being identified, assigned to appropriate teams, and completed in accordance with the prescribed LEAN process improvement methodology. DOCCS continues to enhance prescribed protocols for project identification, and availability of appropriate resources, as well as relevant and targeted staff training to increase the Department's Continuous Process Improvement capacity.
- III. **KEY DEFINITIONS**
- A. **LEAN:** A systematic approach to identifying and eliminating waste or inefficiencies through continuous improvement; flowing the product and/or service at the pull of the customer in pursuit of excellence.
 - B. **In-Situ:** A visual management tool that utilizes real-time data at a single unit level to make work in a process easily observable merely by looking at a tracking board.
 - C. **Customer:** The receiver of the product or service created by the process. A customer can also be considered the next person downstream in a process and may be a different entity than the end user.
 - D. **Stakeholder:** Any person or organization that is either actively involved in a project, or whose interests may be positively or negatively affected by the execution or completion of the project.

- E. Empire Belt: Employees that are trained in LEAN and continuous improvement principles, and lead the Project Team Members through the defined project.
- F. Deployment Manager: Oversees the day-to-day activities of the LEAN Program at the agency level.
- G. Project Sponsor: Typically the owner of the subject process; the decision maker with the authority to make or effect change.
- H. Executive Sponsor: Executive level sponsor of a project, typically an Assistant Commissioner, Associate Commissioner, or Deputy Commissioner.
- I. NYS DOCCS LEAN Process Referral Form: A document which is utilized to submit a process to the LEAN community for improvement. Information on the referral includes: Whether a process is being referred for a full LEAN project or an In-Situ Tracker, Process Description, Scope, Current Metrics, and Project Team Members. Once a referral is approved as a project, it will be used to complete the Project Charter.
- J. Project Charter: A NYS LEAN SharePoint workflow which defines a project completely. Information on the charter includes: Process Description, Scope, Problem Statement, Current Metrics, Project Team Members, Empire Belt, Deployment Manager, and Executive Sponsor. The Project Charter is updated at key milestones throughout the project lifecycle.

NOTE: Confidential security protocols **cannot** be listed or described.

- K. Value Stream Map (VSM): A visual representation of how work is transformed as it flows through the process at the request of the customer. The VSM is made up of three main components: Process Blocks, Data Blocks, and Micro Steps.
- L. Current State Value Stream Map: A comprehensive picture of what the process currently looks like and how it is performing.

NOTE: Must be reviewed and approved by a Certified New York State Empire Belt.

- M. Process Time: The time it takes to complete a process step, excluding any interruptions (hands-on time).
- N. Cycle Time: The total time from the beginning to the end of the process, as defined by the process "owner" and the customers. Cycle time includes process time (hands-on time) *and* delay time, during which a unit of work is spent waiting for the next step in the process.
- O. Quality Rate: The percentage of work going through the process that is error free, the first time through.
- P. Voice of the Customer (VOC): Describes the customer's feedback about their experiences with and expectations for the product or service, as well as how the process is performing.
- Q. Kaizen: Japanese word which loosely means "*Continuous Improvement*." Within the NYS LEAN community, a Kaizen is up to a 3-day focused event where a Project Team embarks on brainstorming and root cause analysis, which results in a set of solutions aimed at improving a process.

This solution set is detailed in an Implementation Plan that is presented to the Executive Sponsor(s) and key stakeholders at the Executive Report Out (post-Kaizen event).

NOTE: The Kaizen event must be facilitated by a Certified New York State Empire Belt.

NOTE: "Half Credit" projects and condensed Kaizen event options are available. However, they must be carefully considered based upon factors such as team member availability and impacts to public safety and/or other critical services. They can only be accomplished in consultation with a DOCCS Certified Empire Belt, the assigned Deployment Manager, and the Executive Sponsor.

- R. Future State Value Stream Map: A comprehensive picture that shows the post-Kaizen event path to the future state while highlighting the improvements, efficiencies gained, and/or waste that is being removed.
- S. Implementation Plan: A roadmap that outlines how the Future State will be achieved. It details the who, what, where, when, and how by documenting assignments for the completion of associated tasks with anticipated deadlines. The progress of the Implementation Plan is reviewed at 30, 60, and 90-day intervals post-Kaizen event by the Empire Belt to determine if it is successfully moving towards the Future State.
- T. Performance Metric or "Metrics": A key measure of an organization's behavior, activities, and performance. It should support a range of stakeholder needs from customers to shareholders to employees. Metrics may be finance-based or focus on the performance against goals, objectives, and/or customer requirements. They are used to assess the health of a project, and provide hard data that measure defined quantities within a defined range.
- U. SharePoint: A Microsoft Office 365 browser-based collaboration and document platform. This platform is utilized by all agencies to report on NYS LEAN project activities and results. The site contains agency pages, LEAN tools and libraries, as well as all activities relative to the NYS LEAN Program. All Project Charters are entered into the SharePoint site (DOCCS Agency page) by the assigned Empire Belt. This initiates an automated workflow requiring approvals by the Deployment Manager and Project Sponsor. Since the Charters are in the Office 365 environment, they are visible to DOCCS Executive staff, and other State Agencies, including NYS control agencies.

IV. DOCCS LEAN COMMUNITY DUTIES & RESPONSIBILITIES

- A. Champion (Deputy Commissioner for Correctional Industries, Compliance Standards & Diversity):
 - 1. Provides LEAN Program direction;
 - 2. Advances and provides input for recommended projects to the Commissioner for approval;
 - 3. Assists with the provisioning of resources; and
 - 4. If necessary, assists Deployment Managers with Implementation Plan execution.
- B. Executive Project Sponsor (Executive Member with authority over the subject matter):
 - 1. Approves Project Charter;
 - 2. Provides ongoing support throughout the project, as needed;
 - 3. Approves the Implementation Plan;
 - 4. Supports the Implementation Plan through execution; and
 - 5. Key advocate and resource to empower the Deployment Manager.

- C. Project Sponsor: High level manager most responsible for identifying and advancing the project for Executive Sponsor approval:
1. Identifies processes and completes LEAN Referral Forms with assistance from an Empire Belt;
 2. Assists in removing road blocks faced by the team during the project;
 3. Responsible for ensuring that tasks within the approved Implementation Plan are completed on time;
 4. Monitors post-Kaizen process performance measures; and
 5. Completes SharePoint reporting requirements:
 - a. Implementation Plan task completion.
 - b. Updates monthly process performance measures.
- D. Deployment Manager (Assigned by Executive Staff):
1. Oversight of LEAN activities within their designated functional area;
 2. Recommends projects and Empire Belt assignments to Executive staff;
 3. Responsible for monitoring project status and approving projects on SharePoint;
 4. Assists Empire Belt, Project Team Leader, and Team Members with Project Charter creation and overcoming barriers to project activities, as necessary; and
 5. Assists with Implementation Plan execution, when necessary.
- E. Empire Belt (Assigned by Executive Staff):
1. Trained in the LEAN Process Improvement Methodology (attendance at an OOL or DOCCS two-day Empire Belt Boot Camp offering);
 2. Manages the Project Team throughout the process and assigns functional responsibilities, and leads projects through the Kaizen event, implementation, and completion;
 3. Reviews the Charter with the Project Team Leader;
 4. Actively assists with the Implementation Plan and follow-up activities;
 5. Requests appropriate resources;
 6. Responsible for all SharePoint activities up through the completion of the Kaizen, and will support the Project Sponsor with post-Kaizen entries; and
 7. Conducts post-Kaizen event check-ins (30, 60, and 90-day) with the Project Team Members to ensure Implementation Plans are working as intended.
- F. Certified Empire Belt (Assigned by Executive Staff): Same responsibilities as the Empire Belt, and:
1. Specifically trained to facilitate LEAN project milestone events such as the Value Stream Map “check-in” and the Kaizen event;
 2. Ensures that the project meets OOL standards;
 3. Provides mentoring and coaching to new Empire Belts; in this regard, may be assigned to shadow Empire Belts as they lead projects;
 4. Certification Requirements:
 - a. Attendance at an OOL two-day Empire Belt Boot Camp offering;
 - b. Leading two internal DOCCS LEAN projects;

- c. Attendance at an OOL "Facilitation" course;
- d. Leading one LEAN project either outside of their functional area within DOCCS or with an external agency; and
- e. Certification test, review of the certification project, and subsequent certification by the OOL Empire Belt Certification Board.

G. Project Team Members (Assigned by Executive Staff): Subject Matter Experts who:

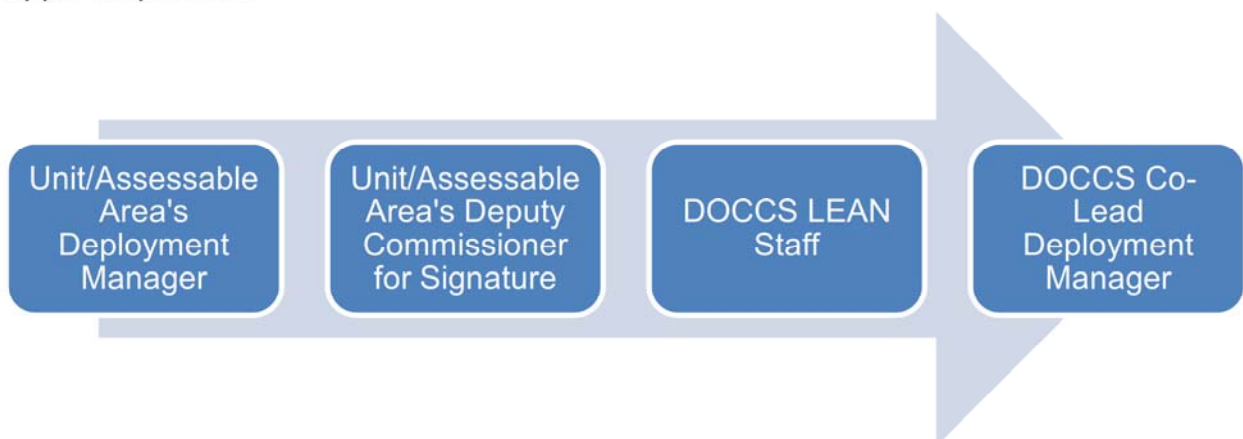
1. Assist the Project Team Leader and the assigned Empire Belt in all project related activities, including Value Stream Map, data collection, and Implementation Plan development; and
2. Participate in the Kaizen event and project meetings.

V. PROJECT IDENTIFICATION AND SUBMISSION

A. Formal LEAN Project Identification: On a biennial basis, each Unit/Assessable Area Head within the agency will be required to identify two processes for possible LEAN review. The following is a list of process characteristics that should be considered regarding identification of potential LEAN projects:

1. The process directly impacts the agency's mission statement;
2. The process is critical to the Assessable Area's core mission;
3. The process is high volume;
4. The process has performance issues;
5. The process has identifiable risks; and
6. The process is new.

Once a process is identified, [Form #6925A](#), "NYS DOCCS LEAN Process Referral Form," is to be completed by the process owner and submitted through the following approval process:



After [Form #6925A](#) completes the approval process, the identified process will be added to the agency's LEAN project inventory.

B. Staff LEAN/In-Situ Project Referral: Any DOCCS employee may submit [Form #6925A](#) for a process that needs improvement. [Form #6925A](#) must be completed in its entirety, including whether the process being referred is recommended for an In-Situ Tracker or a full LEAN Project.

Once [Form #6925A](#) is completed, it must be submitted through the following approval process:



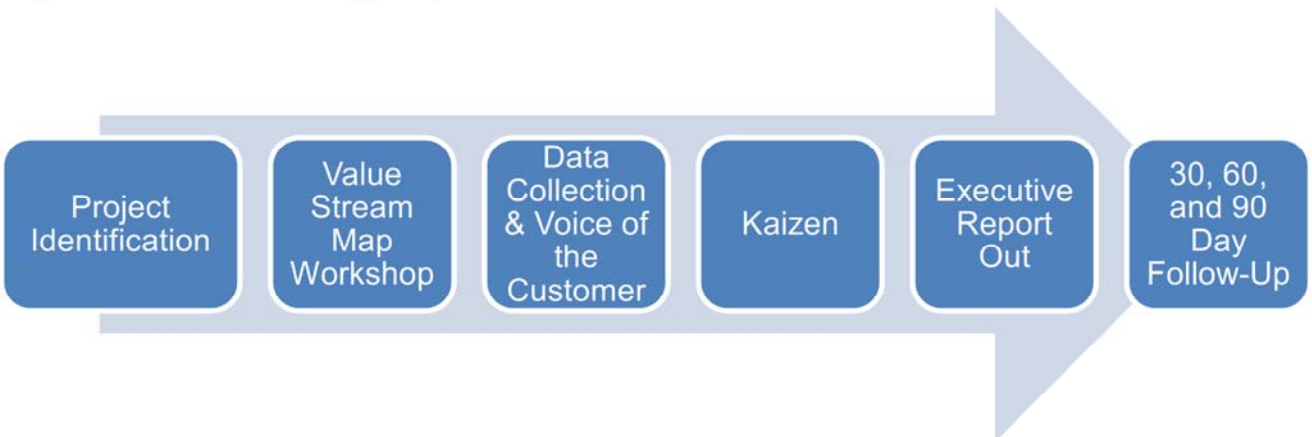
After [Form #6925A](#) completes the approval process, the referred process will be added to the agency's LEAN project inventory.

- C. Questions regarding project identification and submission should be addressed to the Bureau of Internal Controls for routing to the appropriate Executive Office and/or Deployment Manager.

DOCCS Deployment Manager Team:

1. Co-Lead Deployment Manager, Director, Bureau of Internal Controls
2. Co-Lead Deployment Manager, Regional Director, Central New York
3. Security Services, Deputy Superintendent for Security, Central Office Facility Operations
4. Program Services, Director, Correctional Education Programs
5. Health Services, Assistant Director, Nursing Services
6. Office of the Counsel, Assistant Counsel
7. Administrative Services, Director, Support Operations, and Office Services Manager, Support Operations
8. Division of Correctional Industries (Corcraft), Assistant Director, Operations

- VI. **LEAN PROJECT STEPS:** Below is a high-level outline of OOL's main Process Improvement Methodology steps.



The types of LEAN tools and methods used can vary greatly, depending upon the subject matter and any associated data and/or protocols. Due to the great breadth and scope of DOCCS operations and functions, it is not feasible to attempt to outline all of the specific tools and protocols associated with the execution of projects. From the high-level view, LEAN project activities are highly collaborative and fluid, and are based upon the Executive/Champion and/or Project Sponsor's vision. They are then planned and executed through the knowledge and experience of the Project Team Members (subject matter experts), combined with the assigned Empire Belt's training/guidance, and Deployment Manager's oversight.

VII. POST-KAIZEN ACTIVITIES: After the completion of the Executive Report Out, the project management responsibilities transfer from the project's assigned Empire Belt to the Project Sponsor. It is the Project Sponsor's, or their designee's, duty to:

- A. Collect and analyze process Performance Metrics;
- B. Report Performance Metrics monthly to the NYS LEAN SharePoint workflow;
- C. Ensure tasks within the Implementation Plan are completed by specified timelines; and
- D. Update NYS Lean SharePoint workflow as tasks are completed.

To support the Project Sponsor, the Empire Belt will conduct 30, 60, and 90-day check-ins. At the check-in, the Empire Belt will assist the team in overcoming roadblocks and offer technical assistance as needed.

VIII. IN-SITU: In addition to and in conjunction with LEAN, the agency is utilizing In-Situ Trackers as a diagnostic tool to track individual units of work as they go through the process. It is the goal of In-Situ to allow anyone who views the board to understand in three seconds or less how the process is performing and where any one unit of work is in the process. Much like LEAN projects, In-Situ Trackers need to be entered into an abridged NYS LEAN SharePoint workflow. For each In-Situ Tracker created and approved by OOL, the agency will receive a half credit which will count toward the agency's annual target.

IX. INTERNAL CONTROLS/RISK MANAGEMENT: As noted in Section I, LEAN Process Improvement is an integral part of enhancing efficiency and effectiveness of services and operations. As such, it also assists with identifying inefficiencies and/or deficiencies, and eliminates redundancy and/or waste relative to procedures or processes that are impactful to our mission, core functions, objectives, and goals.

LEAN Process Improvement and Enterprise Risk Management (ERM) are key components of a comprehensive and robust system of Internal Controls that enhance the Department's compliance with the New York State Internal Control Act (see Directive #6920, "System of Internal Controls," and DOB Budget Bulletin B-350, "Governmental Internal Control and Internal Audit Requirements").

Since Process Improvement (LEAN) Implementation Plans are essential to resolving any deficiencies and/or waste as identified by the Project Teams, they are essentially Corrective Action Plans that also serve to mitigate risk and/or vulnerability associated with deficiencies or worst-case scenario, process failure. Therefore, they must be carefully assessed by Executive staff and considered in terms of being a significant and complimentary component to the Department's ERM protocol.

Questions regarding this directive or the LEAN Process Improvement Methodology may be addressed to the LEAN Process Improvement shared mailbox at: LEAN@doccs.ny.gov (monitored by the Bureau of Internal Controls), or by calling (518) 436-7886 Ext. 5030.

