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 was required to submit a LEAN Process Improvement Plan, in compliance with the Division of Budget, Budget Bulletin B-1220 (dated 10/11/2016), which is available on their website via the following URL address:


Additionally, the 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:

https://nysemail.sharepoint.com/sites/cdo/nyperforms/nysLEAN/SitePages/DOCCS.aspx

NOTE: The SharePoint site above is accessed through Office 365; therefore, you may be prompted to log in to Office 365 if utilizing the link above.

II. POLICY: The Department is committed to continual process improvement by utilizing LEAN tools and methodology. As such, projects are continuously being identified, assigned to appropriate teams, and then completed in accordance with the prescribed LEAN process improvement methodology. DOCCS is developing prescribed protocols for project identification, accessibility, and availability of appropriate resources, as well as relevant and targeted staff training. These activities are aimed at enhancing our LEAN Process Improvement capacity and sustainability.

III. KEY DEFINITIONS:

- 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.
• **Voice of Customer:** Describes the customer's feedback about their experiences with, and expectations for the product or service. A customer can be defined as both internal and external. An internal customer is the next step or person in the process, an external customer is the ultimate receiver of that product or service.

• **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 (touch time or work time), and delay time, during which a unit of work is spent waiting for the next step in the process.

• **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.

• **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.

• **Project Charter:** A NYS LEAN document which defines a project completely. Information on the charter includes: Process Description, Scope, Problem Statement, Current Metrics, Project Team Members, Empire Belts, Deployment Manager, and Executive Sponsor. The Project Charter is updated in SharePoint at key milestones throughout the project lifecycle (See [DOCCS PDF Project Charter](#)).

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

• **Value Stream Mapping:** A LEAN tool which is used to understand a process from beginning to end. This is a paper oriented procedure which isolates each step along the way and identifies key metrics and tasks for each process step.

• **Current State Value Stream Map (VSM):** 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.

• **Kaizen:** Japanese word which loosely means “Continuous Improvement.” Within the NYS LEAN community, a Kaizen is typically 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 (post-Kaizen event) Executive Report Out.

**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 carefully be 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.
• **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.

• **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, to determine if it is successfully moving towards the future state.

• **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 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:**

• **Champion (Deputy Commissioner Correctional Industries, Compliance Standards, & Diversity):**
  - Provides LEAN program direction
  - Advances and provides input for recommended projects to the Commissioner for approval
  - Assists with provisioning of resources
  - If necessary, assists Deployment Managers with implementation plan execution

• **Executive Project Sponsor (Executive Member with authority over the subject matter):**
  - Approves Project Charter
  - Provides on-going support as needed throughout the project
  - Approves implementation plan
  - Supports implementation plan through execution
  - Key advocate and resource to empower Deployment Manager

• **Project Sponsor:** High level Manager most responsible for identifying and advancing the project for Executive sponsor approval. Many of the same duties as described for the Executive Sponsor above (may also act as the Executive Sponsor).

• **Deployment Manager (Assigned by Executive Staff):**
  - Oversight of LEAN activities within designated functional area
  - Recommends projects and Empire Belt assignments to Executive Staff
  - Responsible for monitoring project status and approving projects on SharePoint
  - Assists Empire Belt, Project Team Leader, and Team Members with Project Charter creation and overcoming barriers to project activities, as necessary
  - Assists with Implementation Plan execution, when necessary
• **Empire Belt (Assigned by Executive Staff):**
  o Trained in the LEAN Process Improvement Methodology
  o Manages team throughout process and assigns functional responsibilities, leads projects through Kaizen Event, implementation, and completion
  o Reviews Charter with Project Team Leader
  o Actively assists with Implementation Plan and follow-up activities
  o Request appropriate resources
  o Responsible (with the Project Team Leader) for SharePoint project reporting (loading and updating the Project Charter on SharePoint)
  o Conducts post-Kaizen event check-ins with the Team Members to ensure implementation plans are working as intended

• **Certified Empire Belt (Assigned by Executive Staff):** Same responsibilities as the Empire Belt, and;
  o Specifically trained to facilitate LEAN project milestone events such as the Value Stream Map “check-in,” and the Kaizen event
  o Ensures that the project meets the Office of LEAN standards
  o Provides mentoring and coaching to new Empire Belts, in this regard may be assigned to shadow Empire Belts as they lead projects
  o Certification Requirements:
    ▪ Attendance at an OOL two-day Empire Belt Boot Camp offering
    ▪ Leading two internal DOCCS LEAN projects
    ▪ Attendance at an OOL “Facilitation” course
    ▪ Leading one LEAN project with an external agency
    ▪ Certification test, review of the external project and certification by the OOL Empire Belt Certification Board

• **Project Team Leader (Assigned by Executive Staff):** In collaboration with the Project Team Members;
  o Responsible for overall project process and implementation plan (assisted by the assigned Empire Belt and Deployment Manager)
  o Responsible for Data Collection, Voice of Customer, and Value Stream Map
  o Responsible for implementation of approved solutions
  o Responsible for reporting on Implementation Plan status or updates to the Empire Belt.

• **Project Team Members (Assigned by Executive Staff):**
  o Subject Matter Experts
  o Assist the Project Team Leader and the assigned Empire Belt in all project related activities, including Value Stream Map and Implementation Plan development
  o Participate in the Kaizen event and project meetings
V. PROJECT IDENTIFICATION & SUBMISSION:

A. Identification: The following list represents examples of terms and ideas that should be considered regarding identification of potential LEAN projects:

- Requester: A person/office that asks for or requests a product or service (e.g. customer, governor’s office, regulatory agency, supervisor).
- Input/What Kicks-off Process: What triggers the process to start (e.g. job fill request form, application received, funding request).
- Process: Name of the repeated activity that produces a specific service or product for a customer (e.g. inspections or reviews, licensing, or reporting).
- Product (Output): Specific, countable, tangible deliverables generated as an output of the process (e.g. license, permit, report, policy, purchase orders).
- Customer: Requester or beneficiary of a product or service with an expectation of a certain level of value in exchange for trust, time, effort or money (e.g. NYS Taxpayer, service recipients both internal and external).
- Applicable Regulation/Law: The guiding requirements that govern the process (e.g. 7NYCRR, 9NYCRR, Correction or Executive Law).
- Commissioner’s Initiatives/Processes Impactful to Mission, Objectives, or Goals
- Risk: What thing or barrier is most worrisome - “what keeps you up at night.”

B. Submission: To help ensure that ideas for potential projects are properly coordinated and vetted, it is essential for LEAN project ideas to be communicated through the appropriate supervisory chain-of-command to the DOCCS Executive with functional oversight based upon the subject matter. To ensure that the project is properly defined in terms of the description, problem statement, and supporting metrics, Section 1 of the LEAN Project Charter must be completed and used as the submission document.

Projects may only be executed upon approval of DOCCS Executive staff and the LEAN Champion. Project approvals should be communicated to the Deployment Manager to initiate action.

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:

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

VI. PROCESS IMPROVEMENT (LEAN) STEPS: Please find below a high-level outline of the Office of LEAN’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 team members (subject matter experts), combined with the assigned Empire Belt’s training/guidance, and Deployment Manager’s oversight.

VII. 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 our compliance with the New York State Internal Control Act. (See Directive #6920, “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 LEAN@doccs.ny.gov (monitored by Bureau of Internal Controls), or by calling (518) 436-7886 Ext. 5030.