How Did We Get Here?

- Highly manual, paper-based process was leading to a significant backlog of applications and long wait times for applicants.

- With a new IT system years away from full implementation, more immediate process improvements needed to be made to streamline and simplify the application process.

Our Event Team:

The

1933

- Paul Kulwinski
- Alice Griffieth
- Andrea Keith
- Brad Eller
- Melissa Smith

- Theresa Logan
- Jesse Jacob
- Sean Yates
- Lolita Garrison

Event Scope

- What is the first step in the process?
  - Receipt of paper application for a 'New' permit by mail or walk-in

- What is the final step in the process?
  - Final disposition of the application

First Step in the Process → **Last Step in the Process**
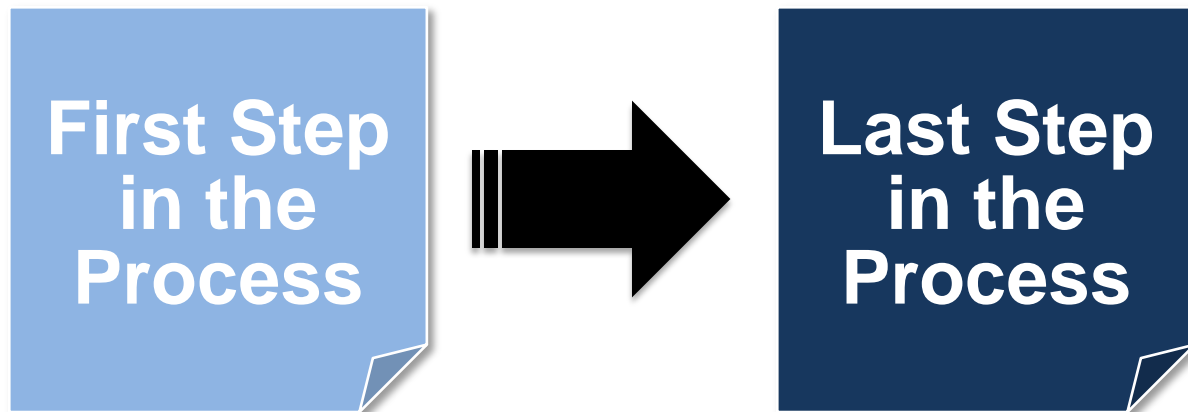
Event Baseline Data

- **100 – 150** applications needing keyed in

- Approx. **1,800** new applications pending throughout various stages of the process (2017 through current)

- About 2,000 applications received between April 2020 – Feb 2021 (all permit types)

- Approx. 40% customer error rate on applications (all permit types)

Process Improvement Goals

Lead Times	Current	Goal	% Improvement (mean averages)
App received → Data entry	1-2 weeks	2 days	70%
Data Entry → 1st review complete	4-6 weeks	2-3 weeks	50%
Data entry → Final disposition	10-15 weeks	6-8 weeks	45%
Overall	11-17 weeks	6-9 weeks	46%

Change for the Better

- Customer focused

- Right people changing the process

- Action-oriented work sessions (virtual and in-person)

- SMEs on standby to assist

- New process implementation begins ASAP

改善
KAIZEN

Week One

- Level setting
- Scope of event
- LeanOhio overview
- High-level process identification

LEANOhio 改善 KAIZEN | **KAIZEN EVENT SURVIVAL GUIDE FOR KAIZEN TEAM MEMBERS** | Go to lean.ohio.gov for resources, results, and learning opportunities.

The term **KAIZEN** is Japanese, meaning to **change** (kai) for the **better** (zen). Kaizen teams achieve this by analyzing every part of a work process – then transforming it to be **simpler, faster, better**, and **less costly**.

DAY 1	DAY 2	DAY 3	DAY 4	DAY 5
• Introductions • Scope • Level-Setting • Current State	• Waste Identification • Training • Brainstorming	• Clean-Sheet Redesigns • Analysis • Future State Development	• Implementation Planning • Details • Metrics	• Refine Plans and Projections • Report-Out Presentation

Ground Rules
Everyone participates
Open, honest dialogue
Respect opinions
Consensus
Leave rank at the door

Housekeeping
Silence your cell phones
Minimize interruptions
Be on time
Stand and stretch
It's always snack time
Dress in casual clothes

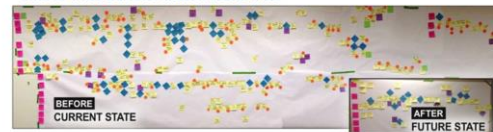**Expectations**
A transformed process
Resource savings
Customers served faster
Less waste in process
Hard work
Post-It Notes
Change (for the better)

Contents
Page 2 – Kaizen Terms
3 – SIPOC
4 – Process Mapping
5 – Notes
6 – TIM U WOOD (waste)
7 – Impact-Control Matrix
8 – Clean-Sheet Redesign
9 – Measures of Success
10 – Action Registers
11 – After the Kaizen Event
12 – Quick-View Reference

This is what transformation looks like!

BEFORE CURRENT STATE   AFTER FUTURE STATE

After a Kaizen event, this redesigned process has **183 fewer steps** (80% reduction), **52 fewer decision points** (84% reduction), and **11 fewer delays** (61%). The fully streamlined process will move **1.5 months faster**.
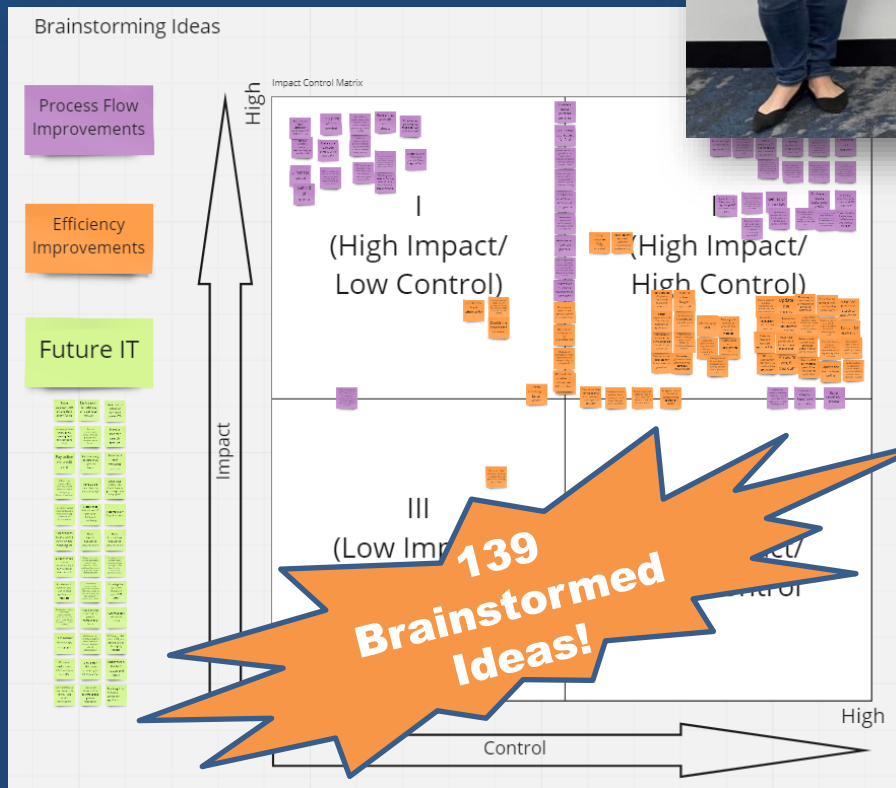
SIPOC Diagram

SUPPLIERS | **INPUT**

Persons/organizations that provide input to a process | Resources that are added to a process by suppliers

- Applicant
- State of Ohio
- Board of Elections
- City Engineers
- BCI
- Local law enforcement
- Local legislative authorities
- Attorneys
- Local health departments
- Agency Ops
- Investigative Services
- Federal TTB
- Institutions
- SoS

- Application
- Supporting documents
- Local Option
- Fees
- Investigative report
- Legislative authority
- Institution replies (churches, schools, playgrounds, libraries, parks)
- ORC

- Loss of paper
- Notices
- Letters
- Emails
- Phonecalls
- Internal barcodes
- Paid postage
- Permit
- Legal orders
- Objection hearings
- Wet/Dry status
- Errors
- Fees
- Receipt of certified mail

- Local legislative authorities
- Applicant
- SoS
- Board of Elections
- City Engineers
- Local law enforcement
- Attorneys
- Institutions

First Step | Receive paper application | Data Entry | Process Sheets | Review File | Outreach for Required Documents | Final checks before Issuance | **Last Step** | Final disposition

Event Scope

Please define the boundaries of the proce[ss] to be improved:

- What is the first step in the process?
  - Our process begins with… Receipt of the paper application for a 'New' permit by mail or drop-off.[1]

- What is the final step in the process?
  - Our process ends with… Final disposition of the application – (issuance, rejection, cancellation, sent back beca[use] it's incomplete)

(1): Applications typically come in through mail or are sometimes dropped off in person at the front desk. If supplemental materials are requested by DOLC during the processing of the application, those materials typically come in through mail, email or fax.

Weeks 2 & 3
- Current state mapping
- Waste identification
- Lean Six Sigma training
- Brainstorming

Brainstorming Ideas

Process Flow Improvements

Efficiency Improvements

Future IT

Impact Control Matrix

High

I
(High Impact/
Low Control)

I
(High Impact/
High Control)

Impact

III
(Low Impact/

Control)

139 Brainstormed Ideas!

Control

High

Weeks 4 & 5

- Brainstorming analysis & prioritization
- Process redesign

Weeks 6 & 7

- Future State Process
- Discussion and consensus
- Implementation planning
- Presentation prep

Redesign Highlights

Common

- Form updates including question on No Opening/Dry preferences
- Applicant education/communications
- Issuance/ATO responsibility moved to AE3/AE4
- More application screening up front
- Similar adjustments to Data Entry and AE2 roles

Unique

- Permit fees required up front for non-quota permit types
- Earlier check returns/cancellations
- Triage/Fast Track

Forms

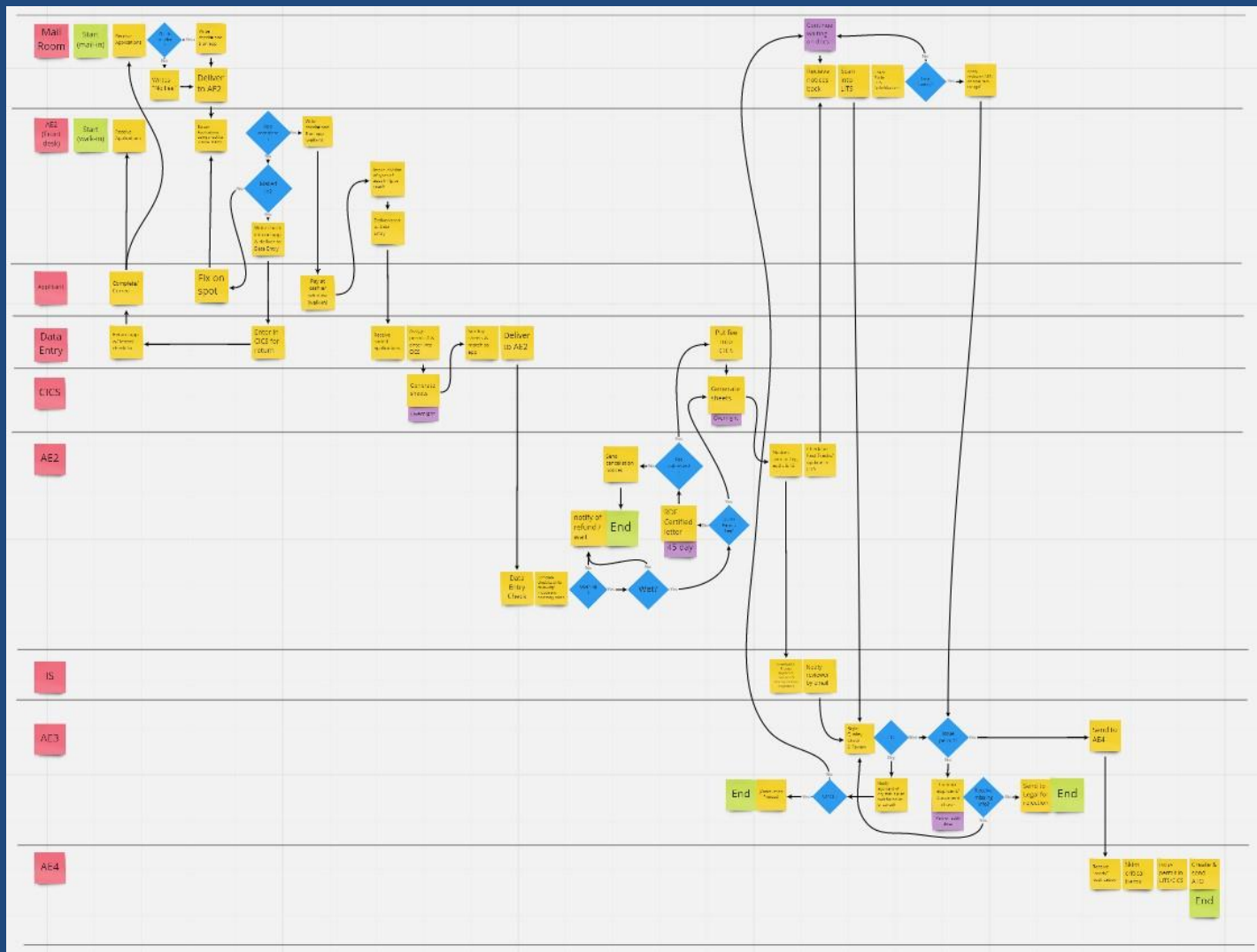| What?	When?	Who?
What specific actions need to be taken in order reach the Future State?	When can/should the work be started?	Who will take ownership of getting it done?
Create/update checklists for applications	In progress	Melissa Smith
Entity Disclosure Forms - Update flow and clarity	In progress	Melissa Smith
Personal History Background Form - clarity around who needs to sign form	June 2021	Melissa Smith
Split off permit types and update for simplicity/clarity	July 2021	Melissa Smith
Financial Verification Worksheet - update for clarity; add additional options	July 2021	Melissa Smith
Tenancy Form - clearer guidance on if/how to complete form	July 2021	Melissa Smith
FAQs to be included with application	July 2021	Melissa Smith
Include Licensing email address on forms to city council/police/institutions/etc	July/Aug 2021	Melissa Smith
Review necessity of FTI number	In progress	Paul Kulwinski
Coordinate required form names/locations between app and website (easier to find; easier to know what forms are needed)	July/Aug 2021	Melissa Smith

Current State

Future State

Simpler

- Applications organized by permit type and revised for simplicity and clarity

- Improved forms with better flow and clearer instructions

- FAQs to be included with applications and on website

- Greater utilization of PDF and other technologies for forms

Better

- Intake screening will prevent incomplete applications from entering the process, reducing time-consuming back-and-forth with applicants

- Better utilization of existing workflow systems

- Issuance moved from Supervisor to AE4

- Better utilization of staff problem-solving skills through triage process

- Resuming Local Option training for staff

Faster

- More complete/correct applications will move through the process faster and with less staff effort required

- Faster refund/cancellation through preference specified on application

- Greater utilization of electronic correspondence with local legislatures, local police, etc.

- Triage process will fast-track applications as they near completion

Less Costly

- Supervisor no longer handling issuance, freeing them up for more value-added work

- More electronic correspondence = less postage and paper

- Better utilization of call center to handle inquiries, freeing up more staff time for processing

Summary Scorecard

Measure	Current State	Future State	Change
Process Steps	67*	57	**15%**
Decision Points	15*	12	**20%**
Handoffs	24*	12	**50%**
Loopbacks	8	5	**38%**

*Some ancillary and external third-party subprocesses that were part of the Current State map were not included on the Future State map due to time constraints and an intentional focus on the primary process flow. In order to more accurately illustrate changes in metrics due to process improvements, these subprocesses were ignored for the purposes of counting the Current State metrics above.

Process Improvement Estimates

Lead Times	Current	Goal	Future	% Improvement (mean averages)
App received → Data entry	1-2 weeks	*2 days*	**1 week**	**25%**
Data Entry → 1st review complete*	4-6 weeks	*2-3 weeks*	---	---
Data entry → Final disposition	10-15 weeks	*6-8 weeks*	**4-9 weeks**	**50%**
Overall	11-17 weeks	*6-9 weeks*	**5-10 weeks**	**48%**

*Direct comparison of this timepoint was no longer meaningful/possible due to changes in the process.

Implementation Plans

- Forms

- Process Flow / Job Duties

- Communications / Education / Training

Implementation Plans

Forms		
What?	**When?**	**Who?**
Create/update checklists for applications	In progress	Melissa Smith
Entity Disclosure Forms - Update flow and clarity	In progress	Melissa Smith
Personal History Background Form - clarity around who needs to sign form	June 2021	Melissa Smith
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Implementation Plans

Process Flow / Job Duties		
What?	**When?**	**Who?**
Create a "completeness" packet - highlights and reference guide for front desk staff	June 18, 2021 (2 weeks)	Theresa Logan
Workflow Clean-up Designation Day (Friday afternoon)	June 18, 2021 (2 weeks)	Theresa Logan
Workflow Assignements/Triage Policy and Procedure	July 30, 2021	Melissa Smith
Workflow Clean-up Instructions	June 11, 2021	Theresa Logan
Position Description review (all positions)	July 30, 2021	Paul
Position Description revision for AE4	July 30, 2021	Paul
Work with IS to identify what information needs to be 6.31 Report (correct address info issues)	June 11, 2021	Paul and Theresa
Work with IS to continue notification to reviewers when reports are completed	June 11, 2021	Paul and Theresa
Update Manual for processing new applications *currently happening	August 6, 2021	Hollly and Kelly
Examine and make decision on the background check process		Jim and Paul

Implementation Plans

Communication / Education / Training		
What?	**When?**	**Who?**
Resume Local Option training	June 2021	Paul/Theresa
Communication/training for DOLC staff on new policies/procedures	Aug 20, 2021	Paul/Melissa/Theresa
Communication/training for applicants/lawyers on process changes	Aug 20, 2021	Paul/Melissa/Theresa
Updates to procedure manuals	In progress	Theresa/Jesse

Special Thanks to…

Senior Leadership:

Sheryl Maxfield, Director

Joshua Hahn, Assistant Director

Charity Robl, Chief of Staff

Sponsor:

Jim Canepa, Superintendent

Team Leader:

Paul Kulwinski

Subject Matter Experts:

Frank Chung (Investigative Services)

Dominic Panzera (Legal)

Results and Fact Sheet