



Professional Certification Branch – Investigation Section

Final Report

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1585 Terrace Way, Suite 543, Santa Rosa, CA 95404
www.TheResultsGroup.com • (707) 577-0818

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Executive Summary

The *Program Assessment and Redesign Project* consisted of two phases focusing on the Professional Certification Branch, Investigations Section (PCB-IS) within the California Department of Public Health (CDPH). The summary report from the first phase, titled *“As-Is” Business Process Analysis Report*, provides additional background information regarding PCB-IS and the project. During the second phase, the consulting team, CDPH management, and PCB-IS worked collaboratively to envision the “To Be” future state of the organization and its business processes. Improvements were identified and have begun to be implemented, as described in this *Final Report*.

The core business process of PCB-IS is investigation of complaints/allegations regarding health care professionals under its purview (primarily Certified Nursing Assistants, Home Health Aides, and Hemodialysis Technicians). In the “To Be” state, numerous business process enhancements were identified, for example:

- Initial intake and case assessment. Established new procedures and guidelines; provided additional information sources (e.g., Lexis Nexis) to enhance the process of assessing and ranking cases.
- Case investigation. Conducted research and identified tools to more effectively obtain supporting evidence and substantiate actions taken; also, staff roles were redefined, procedures revised, and guidelines and templates developed to enhance efficiency, consistency, and quality.
- Administrative Appeal Hearings. Established a specialized Hearings Team; improved the processes for requesting a hearing date, witness preparation, and generating evidence packages.

The consulting team conducted an assessment of current technology and found that the work of PCB-IS consists primarily of paper-based, labor-intensive, manual processes supported by several legacy applications (for example, the HALS application was developed over four decades ago, has limited functionality, cannot be queried by PCB-IS staff for ad-hoc reports, and is very difficult to modify). PCB-IS staff have developed a variety of desktop tools that are very useful but lack the utility and reliability of more robust, comprehensive IT systems (for example, the PCB-IS Case Management Spreadsheet provides a vast amount of case tracking and management information; however, this Excel spreadsheet is extremely complex, requires significant staff time to maintain and update, and lacks essential functions such as data verification and version control that are beyond the capabilities of Excel).

Section Two of this report identifies technology improvements to be pursued in the short, medium, and long term. For example, one short-term change underway is establishing a SharePoint system to provide efficient access to documents and resources, enable version control, and initiate the use of electronic document management processes. Also, Excel spreadsheets and other desktop tools are being migrated to a database platform to reduce staff time needed to enter and manage data, more readily provide information to management, and increase security and reliability. For the longer term, two major components are needed: a Case Management System to support investigation and an Enterprise Content Management System to automate paper-based processes.

An organizational assessment was conducted and several enhancements identified, including revision of some staff classifications and duties. Having grown significantly, the organization is implementing new communication mechanisms, e.g., monthly all-staff meetings and video conferencing between the Sacramento and Los Angeles offices. Staff now have additional opportunities to communicate with management and collaborate across staff teams. PCB-IS has expanded outreach to other agencies that make referrals or are key to the investigative process.

A more robust performance tracking and reporting system has been implemented and continues to evolve. It shows that the number of complaints received continues to grow, while the number of cases PCB-IS completed has increased even more rapidly. In FY 2014-15, 903 complaints were received, and PCB-IS completed 1,036 investigations. Pending cases were reduced by 133, leaving 894 cases open as of March 31, 2015. Notably, all cases initiated prior to FY 2013-14 have been completed, and the number of remaining cases initiated in FY 2013-14 was reduced to 276. All remaining open cases (618) were initiated in FY 2014-15. Thus, PCB-IS was not only able to keep up with the influx of new cases, but reduced the number of aged cases. A further indicator that changes made over the past year are beginning to take effect is that the average time required to complete a case has been reduced by 25 days. However, continued efficiencies will need to be achieved to address the increasing workload, including both complaints and hearings, and continue reducing the number of aged cases.

The consulting team conducted an assessment of current technology and found that the Department has made little progress in recent years toward improving automation that supports PCB-IS. Investigation and administrative processes rely heavily upon outdated legacy systems (for example, the HALS application was developed over four decades ago, has limited functionality, cannot be queried by PCB-IS staff for ad-hoc reports, and is very difficult to modify). PCB-IS staff have developed a variety of desktop tools that are very useful but lack the utility and reliability of more robust, comprehensive IT systems (for example, the PCB-IS Case Management Spreadsheet provides a vast amount of information that supports case tracking and management; however, this Excel spreadsheet is extremely large and complex, requires significant staff time to maintain and update, and lacks essential functions such as data verification and version control that are beyond the capabilities of Excel).

1. Program Workflow and Revised Business Processes

1.1 Program Workflow

The overall program workflow documented in Figure 1 is unchanged from that presented in The Results Group's "As-Is" Business Process Analysis Report. However, many changes were identified to significantly improve the subordinate processes at all stages of the work done by PCB-IS. As noted throughout this document, most of those changes are already being implemented.

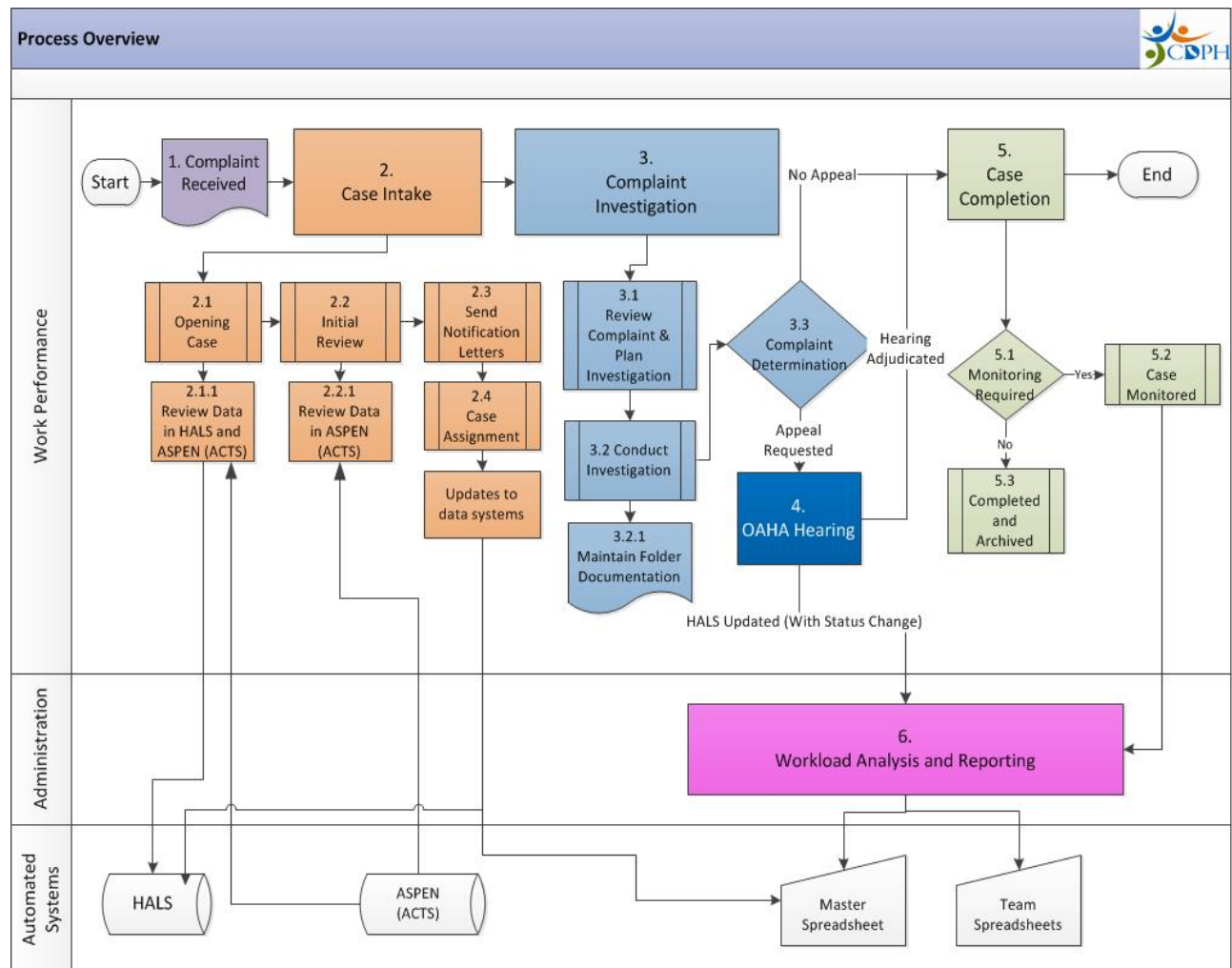


Figure 1. Program Workflow Diagram

The remainder of this section describes the most significant changes to PCB-IS business processes. Subsequent sections examine additional enhancements and improvements in the areas of technology, organizational structure and systems, staff training and development, and performance management.

1.2 Business Process Improvements

Initial Intake Process

Determining Jurisdiction over Complaint and Certificate/Application. Prior to opening a case, a step was added to determine if it is a duplicate complaint and if PCB-IS has jurisdiction over the certificate/application. Jurisdiction is retained for two years after the application and/or expiration of the certificate of a Certified Nursing Assistant (CNA) or Hemodialysis Technician, or four years for a Home Health Aide (HHA).

Opening a Case. Numerous changes were made to streamline the process and reduce the time spent opening a new case, and to improve quality control, case-related communication, and tracking of cases. One of the major changes involved the role and responsibility of the Staff Services Analyst position that is responsible for conducting the process. These changes affect how case assignments are processed, databases are updated, and outcomes are recorded.

Creating a Folder. The case folder provides a physical container to store and organize all information regarding a case. The process of creating a folder was improved to better organize the case information, making the array of information and documents more readily identifiable and accessible, thus expediting the case completion process and the task of reviewing the file when the case is completed.

Case Assignment. Research was conducted to identify and evaluate potential improvements to the process by which the case workload is allocated to investigative staff. One significant changes places greater emphasis proximity of the case to the Los Angeles (LA) office in assignment of cases.

Assessment

Obtaining Information to Assign an Assessment Level (A through 4). Changes were made to allow more information to be gathered prior to assessment, resulting in a more accurate assessment-level assignment. In addition, the assessment criteria were reviewed and revised, and will be reviewed annually. Furthermore, the assessment form was revised to record the tasks completed in order to streamline the investigative process.

Processing Cases

Overall Improvements. A number of changes were implemented or are being explored to support the work of PCB-IS investigators, including:

- Acquiring access to additional online resources (e.g., Lexis Nexus).
- Providing investigators with “Flash Badges” to better establish credibility when entering a facility or working with other agencies.
- Developing templates and guidelines for various aspects of investigative work (e.g., report writing, standardized letters and notifications, guidelines for various investigative activities, etc.)

Processing Level 4 Cases. Research was conducted and tools identified to better obtain supporting evidence and information to substantiate Level 4 cases. In addition, staff roles in processing these cases were more clearly defined.

Processing Level A-3 Cases. Numerous changes were implemented, including the establishment of general guidelines and the addition of various tools to help investigators conduct an investigation. Changes to the interview process were made to help conduct more standardized and thorough interviews and thus gather more complete and reliable information.

Processing Referral Cases. To better track all complaints and enhance the ability of PCB-IS top follow up on issues noted by outside agencies that could potentially become PCB-IS cases, the process of receiving referrals from the California Department of Social Services (CDSS) and other outside agencies was modified. This has led to an increase in referrals, and as communication and collaboration continue to improve, it is expected that additional referrals will increasingly contribute to growth in the number of cases PCB-IS investigates annually.

Field Investigation. Guidelines to determine if an investigation warrants a field component were improved. Investigators are instructed to complete a field component if, after assessment of the case, the investigator and manager determine it is warranted based on the guidelines or special circumstances of the investigation.

Case Reports. – In addition to changes to guidelines, report writing templates were revised to standardize case reports and improve the quality and consistency of investigation reports throughout PCB-IS.

Referrals to District Offices and Outside Agencies. The investigative report was revised to note the date the complaint was referred to the District Offices (DO's) when a complaint is not found in ASPEN(ACTS). Changes were also made to establish better communication and enhance the information-sharing procedures involving PCB-IS, DOs, and outside agencies. To better enable the Department of Justice (DOJ) to pursue possible criminal charges regarding referrals from PCB-IS, all relevant documents are now sent with the referral. In addition, the Memorandum of Understanding (MOU) with DOJ is being revised.

Administrative Appeals Hearing Process. The appeal hearing process has undergone many changes. More defined roles and responsibilities have been established for PCB-IS staff involved in appeals. The Hearing Team concept, which was being piloted, was determined to be valuable and an effective use of resources. The team was expanded, doubling in size and adding staff from the LA Office. Once these staff are trained, this will reduce the use of Sacramento staff to conduct hearings in the LA area. Also, the process for requesting a hearing date, witness preparation, and generating evidence packages have all been improved. Additional changes have occurred for the processes to submit subpoenas and conduct a hearing. All of these changes were completed in consideration of the increased number of hearings being requested, which creates a substantial workload for PCB-IS.

Monitoring Cases According to Agreements and Actions

Improvements were identified in processing and monitoring compliance with Diversion Program agreements; Suspension Periods; and Denials, Revocations, and Findings. These included:

- Monitoring timely receipt of the Diversion Program signed agreement and proof of compliance with terms of the signed agreement, appeal or effective and end dates of suspension, receipt of appeal, etc.
- Updating database and spreadsheets, including creation of monitoring reports to ensure timeliness.
- Ensuring that timely notification is sent to all parties involved.

In addition, the process of tracking outcomes was enhanced. Columns were added to the Case Management Spreadsheet to enable management and staff to readily access outcome-tracking data, and that information was also added to the process of entering and updating final outcomes in the database and PCB-IS report documents.

2. Technology Systems

2.1 Current and Future Technology Systems

The work of PCB-IS consists primarily of paper-based, labor-intensive, manual processes supported by several legacy applications and a variety of desktop tools, templates, and checklists. As with most legacy applications and desktop tools there is costly overhead, limited ability to qualify data entered, redundancy in data entry, and limited access and use. PCB-IS staff devote considerable time and effort to develop and maintain a set of files, templates, and spreadsheets that would be automated as a standard component of a Case Management System (CMS).

Legacy Systems

PCB-IS relies heavily upon the following four legacy systems:

- *Health Application and Licensing System (HALS)*. This application is used by PCB-IS during the case intake and completion processes. Complaint information is entered into HALS during the case input process, which generates the unique Complaint Tracking Number that is used to track a complaint through its life cycle. A variety of pre-defined production reports can be generated from HALS by the Department's Information Technology (IT) staff; PCB-IS cannot generate ad-hoc reports from HALS.
- *Aspen Complaints/Incidents Tracking System (ACTS)*. PCB-IS staff research information in ACTS when opening a new complaint to determine if the DO is aware of the allegation against a certified individual working in their geographic area of responsibility. ACTS is also accessed to obtain possible current contact information for subjects of complaints.
- *Electronic Licensing Management System (ELMS)*. ELMS is an Intranet application that enables CDPH to manage the licensing of over 30 types of health care facilities. PCB-IS staff inquire against this system to obtain information associated with the institution that employs the individual whom they are investigating.
- *National Practitioner Database (NPDB)*. This application collects and discloses information regarding actions taken against health care practitioners, including malpractice awards and loss of license or exclusion from participation in Medicare or Medicaid (this information is available only to authorized users). PCB-IS enters denials and revocations into the NPDB, and in the future plans to enter suspensions as well.

The overall goal of technology is to enable organizations to process their transactions in an efficient, effective, and secure manner. In PCB-IS, there is significant potential for leveraging technologies that would:

- Support and enhance complaint investigation by automating forms, standardizing workflow, enabling rapid verification of information, and other process enhancements and efficiency measures.
- Capture and track metrics and support performance management.

Case Management System

To address future PCB-IS workload and continue improving both the processes and outcomes of the Section's work, it is essential that PCB-IS obtain a web-based Case Management System (CMS) designed to streamline the process of managing and investigating complaints/cases from start to finish. An automated CMS would assist PCB-IS in organizing and accessing the large amounts of information related to a case. Such an application would provide PCB-IS with workflow automation, systems integration, document management, and data reporting and analytics to continuously improve business processes. At the same time it would reduce information management costs and increase the ability of managers to oversee the investigative process. Specifically, a Case Management System would permit PCB-IS to:

- *Organize information*: The CMS system would organize the large amount of information associated with a case, which is accumulated through a variety of activities and in a diverse range of formats. Each case becomes a digital file where data is systematically and consistently organized, updated, and made available. PCB-IS management and staff throughout the state would have access to the latest and most accurate case information, at any time and place.

- Update case information. Permitted updates would be delivered to management and staff at any time. Managers would be notified automatically when updates are posted on their cases.
- Create forms. Form generation functionality allows PCB-IS to create forms to capture case information.
- Generate documents. Automatically populate documents with current case information, which would reduce errors and expedite data entry and report writing.
- Assign cases. PCB-IS Intake staff could automatically assign managers and staff to cases based on predetermined business rules and automatically notify them via email or text message.
- Create questionnaires. PCB-IS could create their own questionnaires to capture information unique to the specific type of cases they are investigating. This would also assist in tracking investigator performance and important statistics.
- Re-open a case. When additional work is required, PCB-IS could re-open an old case into a new case and group together related cases.
- Conduct case reviews. Every action taken on a case can be logged into a searchable case history so that management and staff can quickly determine who did what and when.
- Generate reports. Predetermined production reports would be produced and distributed automatically. Ad hoc reports would be created using a user friendly reporting tool. Dashboards can be produced and populated with up to date information based on customer defined business rules.

A CMS would integrate with existing systems to acquire and share data and case information, identify trends, suggest actions, and provide automated reporting capabilities. [See Appendix A for a description of high-level business requirements for an envisioned Automated Case Management System for PCB-IS.]

Automation of Paper-Based Processes

PCB-IS staff rely upon manual case files consisting of documents created or gathered during the course of investigating a complaint. These case folders are filed in a centralized file room and updated throughout an investigation by the lead investigator. These files may contain, for example, the hand-written documentation of victim and witness statements, an evidence list of property collected from scene investigations, scene documentation and photographs, and miscellaneous information which may later prove to be pertinent to the case/investigation.

PCB-IS utilizes Microsoft Word to develop an extensive set of policies, procedures, checklists, and forms supporting investigations and development of case documentation and reports. These templates and forms are currently stored on the Department's shared drive in a folder designated for PCB-IS. Implementation of a new SharePoint system is underway, in which written policies, procedures, forms, Excel spreadsheets, and other material will be stored. [See "SharePoint" below for additional description and features.]

The following systems are commonly used in public and private sector organizations to automate paper-based processes. They would enable PCB-IS to streamline many of its business processes, while providing greater control of and access to documents and information. They represent evolutionary steps beyond the current establishment of a SharePoint environment.

Enterprise Content Management (ECM) is a formalized, automated system for organizing and storing documents and other information (Excel files, Access data bases, etc.). In PCB-IS, an ECM would encompass methods and tools used throughout the lifecycle of an investigation. It would enable the conversion of data between various digital and traditional forms, from paper to microfilm. An ECM supports management of information by simplifying storage, security, collaboration, version control, process routing, and retention.

Content Management (CM) is a set of processes and technologies that supports the collection, managing, and publishing of information in any form or medium. Digital content may take the form of text, multimedia files (such as audio or video files), or any other file type including content that can be found in Excel spreadsheets and Access databases.

Document Management System (DMS) is an automation tool used to track, manage and store documents. Most DMS systems are capable of history tracking (keeping a record of the various versions created and modified by different users). The system has some overlap with the concepts of an ECM system; it is often viewed as a component of an ECM system providing digital asset management, document imaging, workflow systems, and records management.

All of these systems (ECM, CM, and DMS) enable an organization to capture and index information. This includes paper forms, faxes, and electronic documents, which are saved as images and stored in the repository for security and quick retrieval from any site. Data capture primarily involves processing images of paper documents from scanners or multifunction printers. Optical character recognition (OCR) software is often used to convert digital images into machine-readable text.

Indexing tracks electronic documents and enables searching by various keywords and criteria, as well as other capabilities. Indexing may be as simple as keeping track of unique document identifiers. However, it often takes a more complex form, providing classification through the document's metadata or even through word indices extracted from the document's contents.

PCB-IS has recently taken an important first step by digitizing documents and complaint/case information and leveraging SharePoint's document management capabilities. The next step is for PCB-IS to acquire and implement a DMS which would permit online storage, digitized complaint/case files and permissive access to the single reliable source of complaint/case information from any location throughout the state. In the long term the implementation of a fully function ECM will be required to achieve the desired improvements in efficiency, accuracy, monitoring, and reporting. Online storage of policies, procedures, forms and complaint/case files would:

- Enhance record, document, and evidence management.
- Improve security and audit procedures.
- Improve information access, searching, and data visualization.
- Increase efficiency with electronic forms and customizable workflows.
- Provide access to up-to-the minute data with a customizable, web-based reports console.
- Increase data quality.

SharePoint

SharePoint is Microsoft's web application platform that provides a variety of functions including:

- Intranet and extranet capabilities.
- Web content management.
- Content and Document Management.
- Workflow management.
- Integration of business applications.

SharePoint also provides for central management, governance, security and controls over its environment and contents. Many organizations begin using SharePoint to store, track and manage electronic documents and other assets, such as Excel files, Access data bases, training material, check lists, web content, and so forth. This provides a central location for storing, versioning (including version history tracking), and permissive collaborative editing of files and documents. It also reduces the dependency on email for document and file sharing, which is both cumbersome and includes inherent security risks.

PCB-IS has recently began using SharePoint's content and document management capabilities to expand communication and data sharing with headquarters and LA office staff and utilizing SharePoint security protocols. The PCB-IS SharePoint administrator manages role-based access. A variety of PCB-IS information is being migrated to SharePoint to be accessible as appropriate to PCB-IS staff throughout the state. The following files, documentation and information will be migrated to and managed in the new SharePoint environment.

- Central investigation files.

- Excel spreadsheets.
- Tracking sheets by teams/subject matter (appeals, investigation).
- Templates.
- Procedures (for all department tasks).
- Calendars for meetings, manager of the week, travel calendar, and hearings.
- Agenda/meeting notes.
- Reports.
- Travel guidelines.
- Training materials.

Excel Spreadsheets

Excel Spreadsheets were among the first applications for personal computers and helped encourage organizations to invest in the development of desktop tools that automated many of their specific tasks. Excel provides the ability to organize large amounts of data into orderly, logical formats and charts. With the data organized, the user is more easily able to analyze and digest information and create graphs and other visual data representations.

PCB-IS has developed and maintains a series of very complex Excel spreadsheets to capture, analyze, and report on the status of complaints and investigations. As with all desktop tools, the ongoing support of Excel spreadsheets provides challenges to an organization. They are costly to support, require manual updating, provide limited ability to qualify data entered, afford restricted access and use, and become more difficult to use and maintain as they are used for larger and more complicated tasks.

The PCB-IS Case Management Spreadsheet is a case file tracking and management log utilized for a variety of functions, including monitoring the progress of each investigation. As part of the PCB-IS intake process, each compliant/allegation is entered in the Case Management Spreadsheet. The case is then updated through the compliant investigation, hearing, and case completion processes. Additional spreadsheets include the Team Tracking and Reporting Spreadsheet, DOJ Referral Spreadsheet, Hearing Log, Diversion Tracking Log, and Suspension Log.

Utilizing Excel for these case management functions comes at a cost to PCB-IS. In addition to entering data into legacy systems, staff must enter data into these secondary spreadsheets. As such, PCB-IS staff devote considerable time and energy developing, maintaining, analyzing and reporting from these spreadsheets.

Until a Case Management System is implemented, a possible interim step would be for PCB-IS to migrate the Excel spreadsheets that track and support their investigations to either MS Access or a SQL database environment. These database management systems provide secure environments to store and manage all PCB-IS data assets, thus increasing security, availability, stability, accessibility and data quality. Once stored, this data can be updated with edited and logged transactions, either in batch or online mode. It can be searched, displayed via graphical user interfaces, and reported with the assistance of user-friendly reporting tools.

2.2 Proposed Path Forward

In PCB-IS, there is potential for leveraging technologies that support and enhance investigating complaints, automating forms, standardizing workflow, verifying information, capturing and reporting metrics, improving performance and productivity, and providing accurate reporting. The following summarizes some of those opportunities to utilize technology and a proposed timeline for implementing them.

Short Term (within 18 months)

- Continue to train staff in the use of Excel and SharePoint technologies.
- Design a front-end interface to provide more efficient, user-friendly access to SharePoint documents.

- Continue to leverage desktop tools such as Word and Excel to develop and store in SharePoint protected versions of policies, procedures, checklists, templates and forms supporting their business processes, investigations of complaints, development of case documentation and periodic reports.
- Image and index paper documents and store them in SharePoint, leveraging its document management capabilities.
- Consider working with the Department's IT division to define modifications to legacy systems that would enhance ease of use and expand inquiry and ad hoc reporting capabilities.
- Review and streamline statistical reports to reduce the resources required to create the reports and enable more efficient data reporting.
- Begin migrating the Excel spreadsheets that track and support investigations to either MS Access or a SQL database environment.
- Design and begin to implement role-based security to administer access to new databases.

Mid-Term (18 months to 3 years)

- Continue to leverage SharePoint for online storage of policies, procedures, forms and complaint/case files.
- Fully implement role-based security to administer access to all PCB-IS databases and stored content.
- Develop periodic production reports from MS Access or SQL database environments.
- Acquire and implement Document Management technologies.
- Continue to work with other PCB Sections to implement CABS and leverage its case management functionality where possible. [See Appendix B for more detail regarding CABS].

Long Term (3 years and beyond)

- Acquire and implement a fully function Enterprise Content Management System.
- Acquire and implement a fully functional Case Management System (e.g. PEGA, PAVE, etc.) capable of interfacing with CABS and PCB-IS document management applications.

3. Organizational Changes

3.1 Continuing Growth in Workload and Staffing

PCB-IS has grown in size, particularly through the addition of 18 two-year limited term positions during the 2014-15 fiscal year. Several factors predict continued workload growth that is likely to require additional staffing (i.e., converting some or all of the limited-term positions to permanent status or adding other positions).

- The retiring and aging baby boomer generation will be entering nursing home care in significant numbers, which will logically increase the number of incidents and complaints.
- As noted below, the number of aged cases awaiting processing has been reduced as additional staff time has been dedicated to processing these cases. However, the number of new complaints received by PCB-IS has increased. Thus the active workload continues to shift proportion – fewer aged cases, more current cases. The advantage of this trend is that in current cases PCB-IS is often more able to locate and contact involved parties and accumulate evidence to build a case. At the same time, this generally increases the amount of time spent on a case and expands the time needed to complete the investigation.
- The number of administrative appeal hearing requests continues to trend upward significantly. These hearings require significant time on the part of specially trained and qualified staff.
- PCB-IS is making a major effort to work more closely with DOs to identify instances of misconduct by licensed practitioners under its jurisdiction. As this effort expands, and new technology is implemented to expedite the identification of potential new PCB-IS cases, the number of referrals from DOs is expected to increase significantly.
- Similarly, PCB-IS is working more closely with outside referral agencies (CDSS, DOJ, etc.) to improve the process by which incidents of professional misconduct are identified and can thus be investigated by the Section. This is increasing the PCB-IS workload and will continue to do so as communication and collaboration progresses.
- Eventually, major new technology systems can be expected to streamline work process and reduce the staff time required for case processing. However, implementation of major technology systems in state government is rarely accomplished quickly, and given past efforts to upgrade the systems used by PCB-IS, little benefit can be expected in the next five to eight years.

During periods of growth it is necessary to ensure that organizational structures and workplace design support efficiency, consistency and staff retention. Rapid growth often creates reactive structures, but PCB-IS sees an opportunity to create a more thoughtful structure to move the program forward.

Hearing Team

The number of administrative appeal hearings being requested and conducted continues to increase significantly. From FY 2013-14 to 2014-15 the number of requests for hearings nearly doubled (from 10 to 19). This increase is driven in large part by the shift in PCB-IS workload from aged to current cases, since CNAs involved in current cases tend to be currently employed and therefore often request administrative hearings when an action is taken against them.

In October 2014, PCB-IS piloted a new processes whereby selected managers and investigators formed a Hearing Team to represent PCB-IS at administrative appeal hearings. Significant time is required for preparation and participation for hearings; thus, as the number of hearings has increased, the Hearing Team has grown from four investigators to seven. Hearing Team investigators are selected from all PCB-IS investigative teams in order to diffuse the burden and build legal knowledge within each investigative team. This approach is also beneficial in ensuring investigators and managers across PCB-IS are better able to build a case that will stand up in court and have a greater understanding of the potential ramifications of taking action against CNAs and other licensed professionals.

Participants on the Hearing Team are selected for their ability to form arguments, skills in presenting often-complex information cogently, understanding investigative process, and other important skills and abilities. However, they do not have a legal background or legal knowledge base. Over the past nine months it has become evident that the Hearing Team could benefit greatly from additional legal consultation, training and support. The Department's Office of Legal Services (OLS) defended PCB-IS in administrative hearings prior to 2012, and is the current source of this expertise and support. With the impending retirement of the Assistant Chief Council, who is the current liaison between OLS and PCB-IS, it will be essential for PCB-IS to build a working relationship with a new OLS point person, hopefully an attorney with administrative appeal hearing experience.

Investigative Staff Needed for Efficient Case Completion

The 18 two-year limited-term positions that expanded PCB-IS investigative staff will expire in June 2016. The loss of 18 positions in an organization of 45 would significantly reduce the ability of PCB-IS to process aged and current cases, conduct hearings, continue to improve business processes, expand staff development, and complete the organization's other mandated responsibilities. This increasing workload indicates that some or all of these positions need to become part of PCB-IS permanent staffing.

Approximately 37 percent of cases are located in Southern California, yet the LA office constitutes only 15 percent of PCB-IS staff. Establishing a second team of investigators and a team manager in the LA office could potentially:

- Enable investigators to be at facilities more quickly to expedite investigations of more egregious complaints.
- Decrease travel time and resources required for field visits.
- Support communication and development of productive working relationships between investigators in the LA office and staff in local DOs, law enforcement, health care facilities, and other relevant entities in Southern California.

Special investigators

Over the past few years the organizational structure and functions of PCB-IS have evolved. Functions have been identified that require investigative staff with specialized expertise, for example:

- In-depth investigation experience and specialized training to conduct administrative hearings (this function has been formalized with the creation of the Hearings Team).
- Knowledge, skills, and abilities to perform the more sophisticated case management, monitoring, and reporting functions that have recently been implemented in PCB-IS, and as noted in this report will continue to be enhanced in the coming months and years. This includes developing and maintaining automated systems to support these functions.
- Knowledge, skills, and abilities required to train and mentor new staff.
- Conducting the most complex cases that require extensive experience and specialized expertise (primarily Level A and 1 cases).

The organization has a limited number of staff with the experience and expertise to perform these functions. Furthermore, those staff are often qualified for more highly compensated positions in other organizations, which tends to increase turnover and make recruitment more difficult (as an example, the manager of the LA office recently took a promotional position at another department). Yet having qualified staff to perform these functions is critical to maintain the improvements achieved by PCB-IS to date, and to accomplish further improvements planned for the short and longer term future.

One option for PCB-IS is to establish a Special Investigator position, which is an established classification in California State government used by investigative organizations in other departments. It is very similar to the AGPA classification currently utilized by PCB-IS; however, it has an 8% higher salary cap and qualifies for safety retirement. Upgrading current AGPA positions or adding new positions in order for each PCB-IS investigative team to include a Special Investigator would support the ongoing implementation of current improvements, and also maximize the future efficiency of case processing, hearings, and other functions.

Administrative Staffing to Support Efficiency and Consistency

As an organization grows, gaps form in informal systems which lead to inefficiencies and inconsistencies in how knowledge is communicated, stored, and transferred. In PCB-IS, three functions are needed to create and maintain formal knowledge management structures that will support the organizational and process improvements being implemented currently and in the future. Each of the following may be assigned to a staffperson with the required expertise who can be trained to perform the function effectively, but will require a major portion of that person's time:

- ***Policies and Procedures Management.*** An AGPA has worked closely with the Section Chief to document and update policies and procedures in order to maximize efficiencies and consistency. These documents will be completed during the third quarter of 2015, but will need to be maintained and updated on a regular basis.
- ***SharePoint Management.*** SharePoint will be implemented in order to mitigate version control issues, provide a central repository for resources, and support consistency of processes and information across PCB-IS teams. A staffperson with expertise in SharePoint is needed to help create the infrastructure for the system, train staff on its use, and provide on-going system support, training, and maintenance.
- ***Staff Development.*** A dedicated point person is needed to oversee on-boarding and ongoing staff development in both the Sacramento and LA offices. Currently these responsibilities are dispersed among several managers, consuming a significant portion of their time and leading to inconsistent staff training and development. The Staff Development Oversight function includes:
 - ~ Assessing on-boarding and training needs on a continuous basis.
 - ~ Evaluating the KSAs of current staff as compared to established requirements.
 - ~ Developing comprehensive on-boarding and ongoing staff development programs that are up-to-date and meet the needs of PCB-IS staff.
 - ~ Creating on-demand and recorded webinars to disseminate content.
 - ~ Identifying and engaging outside training providers to develop and deliver the specialized training needed for PCB-IS staff, particularly investigators.
 - ~ Updating and maintaining the training management system (including the on-boarding checklist and other tools, accountability tracking for on-boarding and training, etc.).
- ***Metrics Tracking.*** Several data collection tools have been created to support PCB-IS performance management and public accountability. These tools need to be continually updated, new tools developed and implemented, and the collected data analyzed to create informative, useful reports. This function requires the KSAs to work with PCB-IS staff and management, as well as managers at all levels of the CDPH hierarchy.

3.2 Physical Location

Teams in the Sacramento Office are located in two separate buildings, which creates communication challenges and hinders the Section's ability to maintain a cohesive, efficient team. Staff report significantly less teaming with investigators that are not physically located in the same building. Also, managers or staff that are not physically present are often left out of ad hoc meetings. PCB leadership is aware of the need for a space where all PCB-IS Sacramento staff can be co-located and is working with CDPH upper management to pursue the available options.

The physical distance between the LA and Sacramento Offices creates challenges, as does any geographical distribution of field offices in state departments. In addition to being physically distant, staff in the LA office are new to the organization – the most senior staff in the LA office has been with PCB-IS just over one year. The geographic distance requires that PCB-IS create systems to train LA staff, ensure consistency of work processes and products, decrease the negative impact of the divide, and bring solidarity to the larger group. Several strategies have been implemented over the past six months to support consistency and team solidarity, including:

- LA office staff travel to Sacramento to meet with the entire PCB-IS team on a monthly basis.
- Managers and senior staff take advantage of field visits in southern California to spend time at the LA office.
- SharePoint technology is being utilized to enable sharing of documents and information between offices.

- PCB-IS management has initiated cross-review of final reports to facilitate consistency, communication, and development of a productive working relationship among staff in both offices.
- The vacant manger position in the LA office is temporarily being filled by Sacramento managers on a rotating basis until a permanent manger is hired. An AGPA in the LA office is acting as Lead Investigator to facilitate communication and coordination with Sacramento, and the Section Chief has weekly telephonic meetings with LA staff.

In addition to these strategies, PCB-IS is planning to expand the LA office to include two investigative teams. This will change the organizational dynamic as the offices become more balanced in size and additional leadership is located in the LA office. Also, while PCB-IS currently makes use of electronic means of communication, in the future additional creative options are being explored (for example, greater use of video conferencing for management meetings).

3.3 Opportunities for Professional Advancement

Currently 30 of the 45 total PCB-IS staff hold AGPA positions, including virtually all of the investigative staff. For them, the next professional advancement opportunity is to the Staff Services Manager (SSM) level. There are only five SSM positions in PCB-IS. In interviews with staff, several AGPAs stated that they would like to remain with PCB-IS, but in order to achieve advancement they would need to look for investigative work outside the organization. Also, many investigators are not interested in management positions, which is currently the only available mobility path. Many organizations in the private and public sectors address this issue by establishing a non-management career path. For PCB-IS, this could be accomplished by creating the Special Investigator positions described above.

3.4 Organizational Communication

PCB-IS faces inherent challenges in establishing strong communication internally and with other agencies and departments. Geographic divisions, recent rapid growth, and a history of organizational isolation are a few of the challenges that necessitate formal structures to ensure that communication happens in a timely manner. During the course of the project, strategies for formalizing both internal and external communication were identified.

Internal Communication

Staff and management selected the following strategies to create a lean model for systematic communication from leadership/management to staff, across teams, and from staff to leadership/management.

Within PCB

- Regularly scheduled meetings were implemented, including:
 - ~ Monthly individual meetings with the Branch Manager and Section Chief.
 - ~ Monthly PCB-IS all-staff meetings.
 - ~ Weekly PCB-IS Managers meetings.
 - ~ Weekly PCB-IS Team meetings.
- Weekly Managers and PCB-IS Team meetings now have standard agendas to discuss policy changes, relay information from CDPH leadership, solicit feedback, and conduct case review of challenging cases. Additional items are added to the agenda as needed.
- New policies and procedures are discussed during team meetings to ensure consistent implementation.
- Written documentation of new policies and procedures will be located in SharePoint to ensure that staff are able to access the current version (currently the LA and Sacramento Offices work from separate shared drives, which creates potential for inconsistency and version control issues).

Within the Department and CHCQ

- PCB-IS is one of the sections within the Professional Certification Branch (PCB). The newly-appointed Branch Manager represents PCB at management meetings of Center for Health Care Quality (CHCQ) to enhance communication across the Center.
- Communication gaps that may have resulted from vacancies in the Departmental hierarchy should be addressed by the recent filling of key positions.
- The Deputy Director and Branch Manager are invited to PCB-IS all-staff meetings when the agenda includes relevant items, increasing exposure and connection between line staff and leadership.
- Structurally the DOs and PCB-IS are both part of CHCQ, but currently there are limited systems and practices for maintaining communication between the two. However, there is potential for both to benefit greatly from improving the exchange of information regarding health care facilities (the primary purview of the DOs) and health care providers who work in those facilities (the purview of PCB-IS). During the course of this project, special attention was focused on strengthening the relationship between PCB-IS and DOs, as well as enhancing information sharing, for example:
 - ~ One of the most important issues is how to identify when a health care provider (CNA, HHA, or Hemodialysis Technician) is involved in an incident has been reported to a DO by the health care facility. Currently the process by which PCB-IS becomes aware of such a situation is cumbersome and unreliable. The PCB Manager and PCB-IS are working with CHCQ leadership to identify strategies to improve this information flow. One such strategy is to pursue a technology solution – enabling ACTS to identify when there is a situation that should come to the attention of PCB-IS. Manual procedures are also being discussed. As these solutions are implemented and become effective statewide, the number of cases referred to PCB-IS and being investigated can be expected to increase. This will also significantly improve the ability of PCB-IS to fulfill its mission of provider oversight and patient safety.
 - ~ Starting in August 2015, each of the DOs will be assigned to one of the PCB-IS managers, who will act as the point person for communication and coordination. Their PCB-IS manager's role will be to visit and build a relationship with the DOs to facilitate sharing of information, continuously improve systems for collaboration, and coordinate joint investigations.

Communication with Other Agencies

PCB-IS managers and investigators work with other state and local agencies to request information needed for an investigation, coordinate efforts, and address issues as they arise. During the course of this project, PCB-IS has placed special emphasis on enhancing relationships with state agencies that provide referrals and/or are partners in the investigation process (DOJ, CDSS, etc.). For example, The Branch Chief and Section Chief are reaching out to DOJ to discuss how to strengthen relationship and streamline handoffs between the two agencies. Also, PCB-IS managers met with their counterparts at CDSS and investigative units in other departments to build an ongoing relationship, compare their policy and operational approaches, and discuss opportunities to work together more closely. This began a conversation that will continue; over time it will improve the process by which potential cases are identified and referred, thus increasing the number of referrals and PCB-IS investigations, and ultimately enable PCB-IS to better fulfill its mission of protecting the public.

At the local level, PCB-IS has limited relationships in place with law enforcement agencies (police, sheriff, etc.), given that contact with each of these agencies is less frequent and more episodic. When PCB-IS investigators seek to communicate with a particular local agency, generally they must open a line of communication and establish their credibility and authority to conduct investigations – which can be a challenge since they do not have law enforcement status. PCB-IS is pursuing several strategies to build stronger relationship with local agencies, establish credibility, reduce the amount of time necessary to build a relationship each time, and ensure that these agencies are making appropriate referrals to PCB-IS in order to protect the public. These strategies include revision of a template letter for contacting local law enforcement that includes updated legal references, and a plan for consistent contact with local law enforcement discussed at recent team meetings. Also, in order to support investigator credibility at facilities and DOs, Flash Badges are being provided to all investigators.

4. Staff Training and Development

Developing staff's knowledge and expertise is essential to ensure competency in all PCB-IS functions, motivate and retain quality staff, and promote upward mobility. However, staff development requires a significant commitment of time and financial resources. PCB-IS is committed to providing staff training and development to enhance staff capabilities and continue the organizational improvement that has been achieved over the past year. Likewise, staff are enthusiastic about additional training and development opportunities. Research indicates that training participants' level of engagement is directly correlated to the impact that the transfer of information and skills will have on actual job performance, and this is borne out in PCB-IS by the positive feedback from staff attending recent specialized trainings.

The Results Group conducted an assessment of staff development needs, opportunities for leveraging internal and external training resources, and budget constraints. The key knowledge, skills, and abilities (KSAs) required for PCB-IS staff in various classifications include:

- Writing skills
- Interviewing skills
- Critical thinking and analytical skills
- Computer skills
- Time management and organization
- Knowledge of laws, regulations, and administrative law procedures
- Knowledge and skill to work with medical challenges, elderly patients, etc.
- Multiculturalism and cultural sensitivity
- Understanding relevant health care industry structures and practice standards

Investigative Staff. The majority of PCB-IS staff serve in investigative positions. Appendix C presents a synopsis of the core competencies required for investigative staff, as well as sources to provide on-boarding and ongoing investigative staff development. A *PCB-IS Training and Development Assessment Tool* is being developed for management to assess future training needs related to these essential competencies.

Unlike most state investigator positions, new PCB-IS investigators do not have access to a formalized on-boarding training program to develop the KSAs needed to perform their responsibilities. In contrast:

- Surveyors in DOs, who are responsible for investigating facilities where many CNAs work, complete a three-week New Surveyors Academy offered by the CDPH Staff Education and Quality Improvement Section.
- Investigators employed by CDSS, DHCS, and the Board of Registered Nursing generally complete the Peace Officer Standards and Training (POST) Academy followed by several months of field training, which includes a formalized mentor training program with bi-monthly competency assessments.

Statewide, the most relevant training resource for investigative staff is the Peace Officer Standards and Training (POST) program. However, unlike other Investigator classifications, the AGPA classification used by PCB-IS does not qualify for POST training. Research conducted for this project revealed that there is a general lack of training resources designed specifically for AGPA staff functioning in an investigator role.

Additional KSAs. In addition to the needs of investigative staff, the *PCB-IS Training and Development Assessment Tool* identifies KSAs required by each classification. The KSA Assessment tool will also be used to assess how knowledge and skills are currently transferred during on-boarding and ongoing staff development, and to prioritize future training and knowledge-transfer activities.

Leveraging Resources

PCB-IS staff bring diverse skills and knowledge to their work that can be leveraged to support competency development across the team. As part of this project, staff were asked to identify their past experience in six areas:

- Legal
- investigative
- Medical
- Law enforcement
- Technical writing
- other relevant areas.

A consolidated list demonstrates the breadth and depth of knowledge held within PCB-IS that can be accessed in formal and informal settings. In addition, a wide range of external resources are available, but significant work will be required to sift through the available staff development offerings and materials. This work has begun, but much more remains to be done.

A compendium of training resources for new staff was compiled and utilized in developing an on-boarding process that was piloted with a group of investigators hired in October 2014. The training materials include information on applicable laws and regulations, case file organization, the investigative process, databases used by PCB-IS, and report writing guidelines. The following are additional examples of on-boarding and staff development resources identified or compiled during the course of this project:

- The Department's Staff Education and Quality Improvement Section is a valuable resource that provides several in-person and webinar trainings throughout the year, some provided on a one-time basis and others conducted as a series of sessions. These trainings including the New Surveyor Academy, Office Staff Academy, Supervisor Webinar training series, CMS training, Manager Training, and several more topics. PCB-IS staff have completed the New Surveyor course and determined that only a few modules are applicable for PCB-IS investigators. Some of these modules, particularly those focusing on utilization of database systems, can be customized and converted to an online format to meet the needs of PCB-IS investigators. Other courses that are applicable for PCB-IS are in high demand and often fill as soon as they are opened.
- During site visits to CDSS and the Board of Registered Nursing, resources for on-boarding and ongoing staff development were identified. These sources provide valuable content and tools that will be integrated into the PCB-IS on-boarding and ongoing staff development programs.
- California Department of Human Resources (CalHR) offers a variety of online resources and in-person trainings. Several training programs are applicable for PCB-IS managers, supervisors, and analysts. However, these too are in high demand and have limited availability.
- Training targeted for Adult Protective Services and Facilities Surveyors provides an applicable and accessible external resources. PCB-IS is currently assessing available recorded webinars, on-demand online training curriculum, and other materials to identify those most applicable for integration into the on-boarding checklist and/or a PCB-IS library of staff development opportunities.
- The National Institute of Justice has a library of several recorded webinars that have value for PCB-IS, particularly regarding collecting evidence and preparing for the hearing process. The Institute provides nearly 200 webinars; over time, an experienced investigator from the PCB-IS Hearing Team will cull through the available training topics to compile a list of applicable training resources from this source.
- Sample curricula are available on the intranet that can be customized to meet specific needs of PCB-IS staff. For example, the Academy for Professional Excellence created an Adult Protective Services Field Guide that provides some relevant content and identifies relevant materials such as DVDs. Also, the Florida Department of Law Enforcement has copyrighted a curriculum for Elder Abuse Investigations.

4.1 On-Boarding New Staff

Historically, PCB-IS on-boarding consisted of mentoring by managers and senior investigators, supplemented by training courses if available. As PCB-IS positions turn over and additional positions are added over time to address workload growth, it will be important for PCB-IS to develop a formal on-boarding program to ensure consistency of knowledge transfer and reduce the burden on managers and senior investigators. During the course of this project, significant progress was made toward the development of an on-boarding program.

Group on-boarding can be conducted when several new staff are hired within a short time frame. But most often on-boarding will take place with one or two staff at a time. Managers and experienced investigative staff will provide direct supervision, training, and mentoring. However, given the time limitations of these key PCB-IS resources, the primary structure for the future on-boarding program focuses on individualized competency development. The structure to support individualized on-boarding includes:

- An assessment and feedback process
- The On-Boarding Checklist as a tool to coordinate and manage the on-boarding process
- A range of internal and external training resources
- Online learning opportunities

Three performance assessment reports are completed during a new employee's probationary period. These are helpful tools to assess additional needs to build competence and support communication with the new employee. More informal and frequent feedback is also provided during the new employee's probationary period.

On-boarding Checklist. This tool delineates tasks to be completed as new employees are hired and trained. The intensive time required to support comprehensive on-boarding will be shared amongst qualified staff as well as external resources if available. The on-boarding process will be managed through use of the checklist. The checklist organizes on-boarding activities into the following three phases:

1. Before a new employee arrives on-site to prepare a work space and ensure proper access to technology and other support tools.
2. Intensive orientation and mentoring during the first two weeks to provide new employees the knowledge and skills necessary to function within CDPH and perform their job responsibilities.
3. Training, shadowing, and mentoring during the first six months of employment to hone skill development, troubleshoot challenges, and develop expertise in the core competencies for their position.

4.2 Ongoing Staff Development

During the course of this project, the primary emphasis was placed on developing the on-boarding process. However, work was also done on developing an on-going formal and informal staff training and development structure, including extensive discussion and research involving the Branch Manager, PCB-IS management, and all staff. The following are some of the strategies identified and currently being pursued.

1. Management has identified a variety of external content experts to provide training in the core competency areas identified during the staff development needs assessment. As one example, Skip Rogers, owner of the Interviews and Interrogations Institute, is being engaged to provide training on Report Writing and Cognitive Interviewing in September 2015.
2. As noted above, PCB-IS staff were asked to identify their past experience in six areas: Legal, Investigative, Medical, Law Enforcement, Technical Writing and Other Relevant Areas. A consolidated list of internal staff expertise was developed so that management can call upon individuals to provide staff trainings; also, it was distributed to staff for them to access expertise when they identify a need for training or are experiencing a particular challenge.
3. Managers and senior staff are conducting an ongoing evaluation of webinars and other online training resources to be available on demand.

4. Time is allotted at each PCB-IS all-staff meeting for staff development, including opportunities for staff to present on a topic in which they have expertise or have recently received training.
5. Team meetings have standardized standing agenda items including case consultation where investigators will present challenging cases for feedback and shared learning.
6. Management is exploring the development of a reference library, including books and DVDs for staff to access as needed.

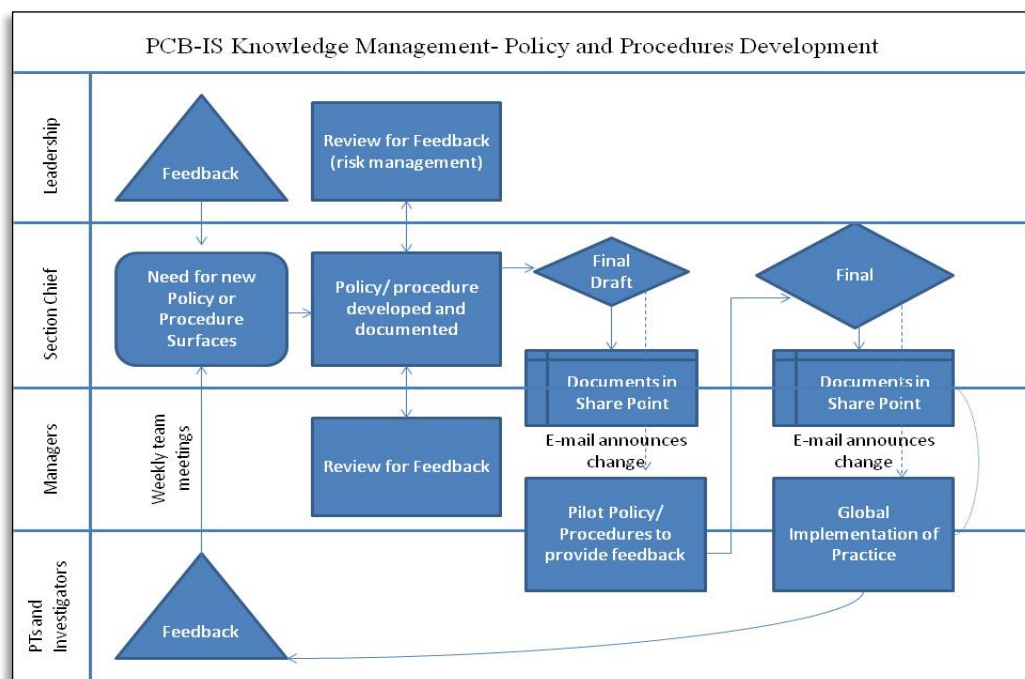
Legal and Administrative Hearing Training

The size of the Hearing Team has been steadily growing to meet increasing needs. As PCB-IS processes more recent cases, more evidence is available to justify taking actions against CNAs and CNAs. Also these practitioners are much more likely to still be employed, and therefore more likely to challenge the action. The net result is an increase in the number of administrative hearings, as noted above. Preparing for and conducting administrative hearings is very time intensive. Most Hearing Team investigators are for their their investigation experience, interest in legal matters, speaking skills, etc., but rarely do they have trial experience or legal background. Significant training and support is needed to ensure investigators fully able to effectively represent PCB-IS.

Leadership has committed OLS contacts to assist the PCB-IS Hearing Team staff to be available to answer questions, support hearing preparation, and troubleshoot challenges that occur during a trial. Ideally a single OLS point person with knowledge of the administrative appeal hearing process will be assigned on an ongoing basis in order to develop a relationship with the Hearing Team and a depth of knowledge of PCB-IS.

4.3 Maintaining Policies and Procedures

Since October 2014 the Section's Administrative AGPA has been working with the Section Chief to document and revise all PCB-IS policies and procedures in order to increase efficiency, standardize practice, and increase quality. A template was created to expedite the process and ensure consistency. Approximately two-thirds of the intended policies and procedures are completed and the end product will be completed by third quarter 2015, reviewed by upper management, and then distributed to staff and utilized to support on-boarding and staff development. SharePoint will be used to provide access to all policies and procedures and to facilitate ongoing feedback and updating of the policies and procedures. The following diagram illustrates the process for development and finalization of policies and procedures.



5. Metrics, Data Collection, Reporting, and Performance Management

5.1 Metrics, Data Collection, and Reporting

Performance metrics measure an organization's activities and outcomes. PCB-IS has developed performance metrics to foster performance improvement, effectiveness, efficiency, and implementation of appropriate internal controls. These metrics build upon the limited statistics that have been reported historically, and are currently being evaluated and refined.

The centerpiece of the PCB-IS performance management system is the Case Management Spreadsheet. During the course of this project the spreadsheet was expanded to include additional information, including:

- Type of Finding. For those investigations that result in a Finding being included on the State Nurse Aide Registry, this field identifies the type of finding: abuse [A], neglect [N], misappropriation [M], or a combination of findings.
- Appeals. Drop-down menu allows a Yes or No response to indicate an appeal was received from the subject of the complaint.
- Appeal Status. Depicts the final status of the appeal and whether the proposed decision was altered by the Department (Alternated, Denied, Granted, Settled, or Withdrawn).
- Final Decision Outcome. Reflects outcome (action) listed in the Final Decision issued by the Department following the hearing.
- Final Decision Date. Identifies the date of the Final Decision issued by the Department following the hearing.

Columns were added to identify the type of finding included on the State Nurse Aide Registry and information related to the receipt and outcome of a request for an appeal. PCB-IS upgraded an entry level position to an analytical position to analyze the data entered and retrieved from the spreadsheet, and to reconcile the data from the spreadsheet with the information found in available databases and reports. In addition:

- The number of people authorized to enter data was reduced.
- Training was provided regarding the relationship of the data to the produced reports and database and need for accuracy.
- A journey-level analyst position was created to provide administrative support.
- The Intake Manager developed a process to provide oversight of the data contained on the spreadsheet and randomly audit entries on a monthly basis to ensure accuracy.
- Reports were created to better monitor aging.
- Quarterly reports began being published on the internet to identify volume, timeliness, and existing workload.

Process changes have been implemented to improve the production, analysis, and distribution of the weekly DOJ referral report, as well as PCB-IS mid-month, monthly, and quarterly reports. The weekly report is prepared on the first work day of each week. PCB-IS refers this report, which lists all new cases opened, via e-mail to DOJ. The mid-month report is used to track PCB-IS performance statistics; it is distributed to the Section Chief and posted for review by staff. Monthly reports are reviewed and analyzed by the Section Chief and the Intake Team Unit Manager. Quarterly reports are distributed to CDPH executive staff and posted for review on the CDPH website.

5.2 Performance Measurements and Outcomes

PCB-IS has implemented various measures that track complaint/case volume, timeliness, and disposition, providing an accurate understanding of the organization's performance. The following summaries describe these measures and the outcomes for FY 2014-15 (as of the third quarter) as compared to FY 2013-14.

Volume

This report shows the volume of cases completed through the reporting quarter for the Fiscal Year (FY). It also depicts the increase/decrease in open cases and the cases remaining for the reporting period. For FY 2014-15 (as of March 31, 2015), 903 complaints were received and 1,036 investigations completed (including aged complaints and new filings). Pending cases were reduced by 133, leaving 894 cases open as of the end of third quarter. Notably, the number of most aged cases has been reduced most significantly – all cases initiated prior to FY 2013-14 have been completed, and the number of cases still open that were initiated in FY 2013-14 was reduced to 276. All of the remaining open cases (618) were initiated in FY 2014-15.

Timeliness

This report shows the average number of days from assignment to completion of a case. For Quarter Three of FY 2014-15, 25 percent of the investigations were completed within 90 days of receipt, 14 percent within 91-180 days of receipt, 50 percent within 180-365 days of receipt, and 11 percent exceeded 365 days.

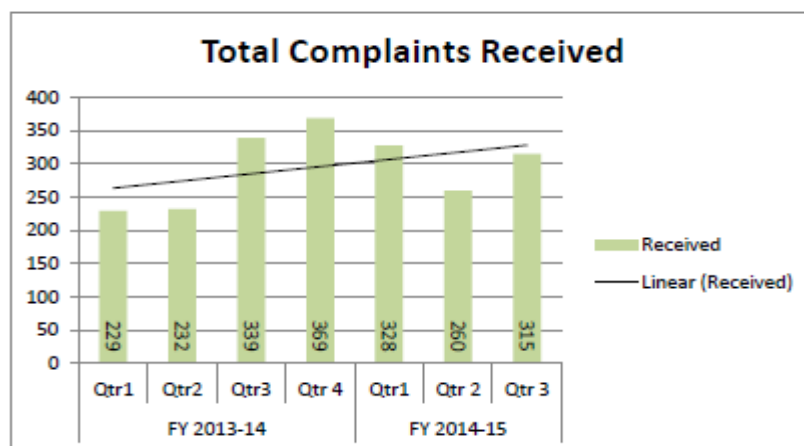
Disposition

This report shows the disposition of completed investigations. It includes all cases that resulted in a disciplinary action including suspension, revocation, and diversion. The report for Quarter Three reflects that 18 percent of the 1,036 investigations completed in FY 2014-15 we substantiated, which results in a disciplinary action.

5.3 Performance Data: FY 2013-14 to FY 2014-15

The following charts present more detailed data regarding the summaries presented above. As noted, the data from FY 2013-14 is compared to that of FY 2014-15 (as of the end of the third quarter on March 31, 2015).

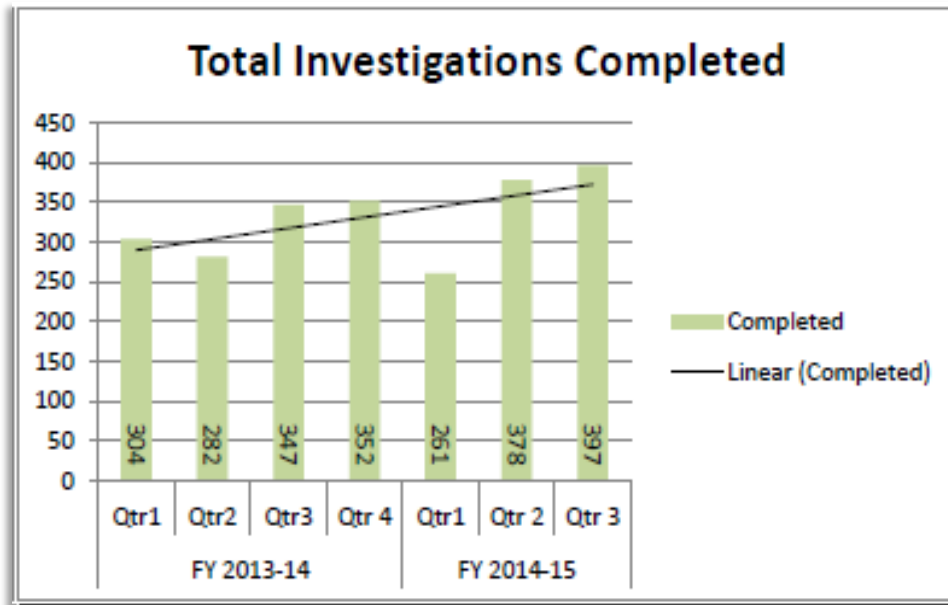
Total Complaints Received



The number of complaints received by PCB-IS is increasing, from a quarterly average of 292 in FY 2013-14 to 301 in FY 2014-15. This can be attributed to a number of internal and external factors. As one internal example, PCB-IS has enhanced its communication and outreach and has improved the referral process, resulting in additional cases being referred to PCB-IS. External factors include demographics (the relatively rapid increase in the aging population, particularly over age 80), media and public attention focusing on issues in care facilities, and so forth.

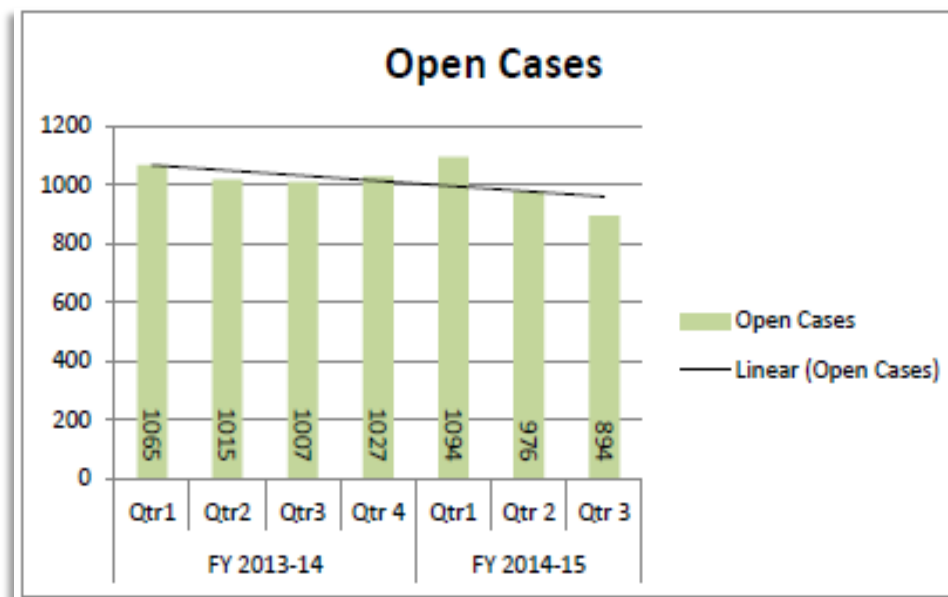
Total Investigations Completed

This chart shows the number of completed investigations on a quarterly basis. From FY 2013-14 to 2014-15, the quarterly average increased from 321 to 345. This can be attributed to several factors: the addition of staff, business process improvements, and the other efficiency measures described in this report that are in the initial stages of implementation.



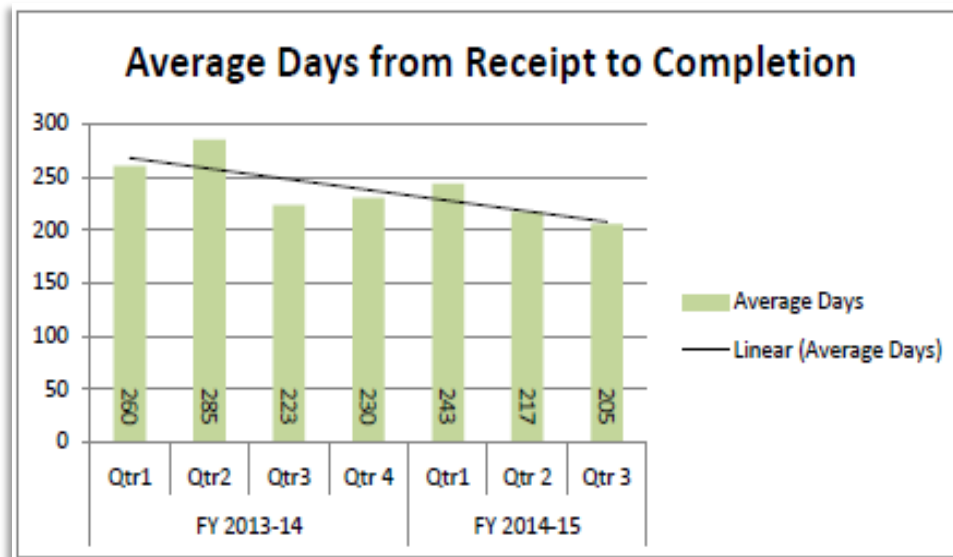
Open Cases

This chart shows the total number of cases that are open (i.e., the current case load at a given time). The number of open cases has decreased from 1,027 at the end of FY 2013-14 to 894 as of March 31, 2015.



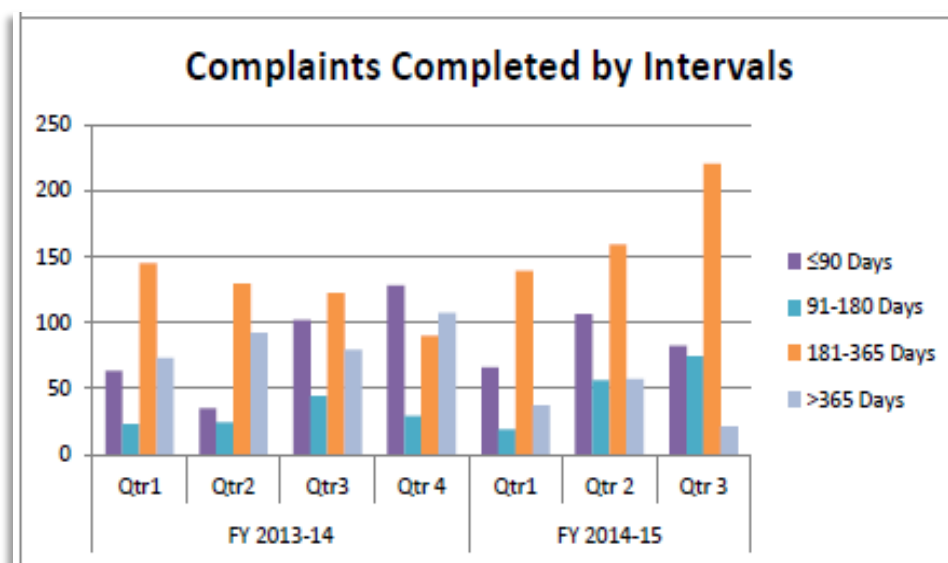
Average Days from Receipt to Completion

This chart shows the average number of business days from receipt to completion of cases on a quarterly basis. It shows that the average number of business days to complete a case is trending downward, with the latest two quarters reflecting improvement over previous quarters. This downward trend is due to the addition of new staff and prioritization of new and aged cases (as noted above, PCB-IS is currently conducting investigations of both new and aged complaints). From 2013-14 to Third Quarter of 2014-15 the average number of days has been reduced from 230 to 205 (a reduction of 10.8 percent in less than one full year).



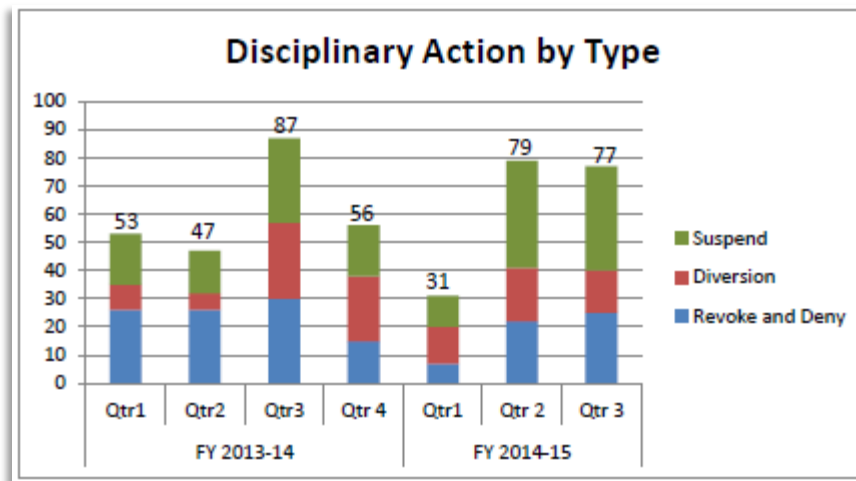
Complaints Completed by Intervals

This chart shows the number of complaints completed by quarter. The number of cases completed by various business day intervals (less than 90 days, 91-180 days, and more than 365 days). The recent quarters reflect a balance of aged and new cases completed and support the information detailed in the Timeliness Report.



Disciplinary Action by Type

This chart shows the number of disciplinary actions by type (suspension, diversion, or revoke and deny). Despite a dip in the first quarter of FY 2014-2015 due to hiring and onboarding of new staff, the subsequent two quarters show a rebound in the number of disciplinary actions (corresponding to the volume of completed investigations).



5.4 Performance Management System

Beginning in January 2015 , performance management strategies were implemented on both the manager and individual investigator level. The performance management system has been expanded to include a “Score Card” that presents summary information, as well as enhancements to the Case Management Spreadsheet and performance management reporting tools.

The Score Card was created to monitor the number of investigations completed in a specified period, outcomes of these investigations , and number of pending investigations in a specified period. This data is broken down by section, manager, and individual. On a regular basis, the Section Chief views a dashboard providing a summary of the data by manager, and can then look at data regarding individual investigators when needed. Managers and staff can also view the Score Card to see how they and their team are performing. The report is generated using data in the Complaint Tracking spreadsheet.

At each weekly Management Team Meeting the Section Chief and Managers review the Score Card summaries. They pay particular attention to indicators of trends or anomalies that warrant further exploration or potential action. For example, low case closure may be due to staff vacations, increased number of hearings, one or two particularly time-intensive and challenging cases, or other circumstances; however, it can also be an indicator that training or retraining is needed or a procedure needs to be changed. High case closure may indicate that a particular team or individual has created a system or tools that could be utilized by other investigators or teams. Management uses the Score Card and more detailed performance management reports to conduct in-depth analysis to understand the significance of the numbers, make corrective changes, replicate efficient practices, etc.

The Score Card is an effective performance management tool that can be evolved over time to enhance the performance management process. One strategy identified during this project that is being explored by PCB-IS is to establish numerical thresholds with triggers that indicate when additional exploration may be warranted. For example, potentially managers could establish case completion thresholds for new investigators and experienced investigators, or could establish thresholds based on the complexity of cases assigned to an investigator. This could provide investigators targets to strive toward, as well as information to prompt an investigator to assess what is going well to exceed thresholds or needs to be changed in order to meet them.

Appendix A. Automated Case Management System

The following table outlines high-level business requirements of an envisioned Case Management System (CMS).

Business Solution Area	Business Requirements
Intelligent Electronic eForms Process Management	To improve the efficiency of both administrative and investigative processes, increase multi-party access to information currently available only in a single paper file, and protect information and evidence collected, the CMS solution should include an electronic-enabled forms solution that will: • Allow both interactive and off-line completion of forms. • Have built in, easy-to-use help capability. • Have the “look and feel” of the actual paper form. • Provide built-in edit capability to validate each field while entry is being made. • Include drop-down selection field capability where appropriate. • Be compatible with the Adobe pdf format. • Include standard features for viewing, indexing, storing and retrieving forms. • Have the capability to validate that a form was not altered after being stored. • Be compatible with technology that can “sign” the form with electronic tokens or certificates. • Provide performance management statistics to the department. • Provide “access controls” so that levels of authority to access can be enforced. • Provide flexible routing of forms to various intra- and inter-departmental systems, and have industry-standard capabilities to interface with other systems. • Have optional features enabling scanning and storage of historical forms and the continued input of “paper forms” into the system via scanning technology.
Relationship Management	To support improvement in the interaction with key parties to an investigation, other agencies, and other stakeholders, the solution should provide for: • A “Single View” of the Licensee data via an easy to use common entry point to the system. • A “single entry point” for all information exchanges with Licensee that supports entry of all requests, information status checking and other functions. • A “single entry point” for all information exchanges, entries and requests for departmental users. • Internal departmental staff to have the same forms-entry capability as the stakeholders. • Multiple access methods to get at information regarding a case, a professional under PCB’s purview (Certified Nursing Assistant, Home Health Aide, Hemodialysis Technician), etc. • A “folder” view of case information so that it is all gathered logically in one place. • Search” and List capability that will enable finding cases, professionals, etc. With similar characteristics. • A Partial Index Search and List capability so that if only partial information is known about a case, professional, etc., an iterative search and refine process can be used. • Maintaining information in data base management system (DBMS). • Optional integrated features that provide the capability to automatically archive or destroy records based on different sets of business rules. • The capability to provide a framework and extensions to act as a single point of entry to the entire department. • Industry standard interfaces to existing departmental systems.

Business Solution Area	Business Requirements
Business Process Automation “Workflow” and Integration	To support improvement of the flow of information through the department and to key stakeholders, the solution should have the following characteristics: • Business processes automation, monitoring, and integration through Workflow and Business Integration tools. • Efficient routing of information to the proper channels. • Enforcement of routine business routing rules for processing and sharing information. • User management including rerouting information based on reported or observed exceptions. • Management visibility to work in process and staff workloads. • Routing of information internally and externally to other departmental systems. • An optional instant messaging capability via the standardized access for all users.
Business Intelligence Analytics	To support better business insight into program information, the solution should have the following characteristics: • The repositories for all system information (forms, business data etc.) reside on a common COTS database solution. • Provide immediate access to the departments data via SQL reporting tools. • Support the use of the Department’s reporting tools. • Ability for query programs to be written against all repositories. • Automated forwarding or querying of data to and in other systems or the specialized repositories. • Capability to import non-departmental data. • Industry standard daily back-up capability.
Agency Systems Collaboration	To support the need to manage information exchange and collaboration with other systems the solution should have the following characteristics: • The ability to access information from multiple external data stores and provide one view of the information to the departmental user, although the data sources might be spread over many different technologies and departments. • Facilitate connection between unlike technologies maintained by the department and other departments. • Tools to provide access to existing systems so that current systems can become part of the overall “new” system. • Messaging components so that information can be exchanged with other technologies via queuing mechanisms. • The optional ability to provide an interface to other agencies that appears to be a “web service.”
General	To support general business needs, the attributes of the solution should have the following characteristics: • A solution that is built upon a business-based methodology or business architecture and will allow for the transformation of the business to operate more efficiently. • A service-oriented technical architecture that allows for functional components to be added flexibly as the Department’s needs grow with time and experience. • A component-based technical architecture so that new elements can be added or changed without rewriting the application. • Open Application Program Interfaces (APIs) and industry standard J2EE compatible components. • Demonstrated ability to interface to other state systems using messaging technology and direct API interfaces.

Appendix B. Caregiver Applicant Background System

In 2015, PCB is planning to implement the initial phase of the Caregiver Applicant Background System (CABS), which is being developed by Innovative Architects and funded by a federal grant. CABS streamlines applicant/licensee onboarding, background check processing, tracking, and notification processes from beginning to end, increasing the efficiency with which state staff can process licensing requests. CABS will provide a search of criminal records for those wanting to become licensed care giver.

CABS is a pre-hiring, automated applicant clearance software platform supported by a state and FBI Web portal that:

- Captures applicant information
- Tracks application status
- Identifies current and prior eligibility decisions, licenses, and employment information
- Integrates licensing and certification; automated abuse and offender data; criminal history response and payment data
- Automates applicants clearance process leveraging pre-determined registry searching
- Eliminates paper
- Provides forms and letter generation; dashboard and reporting
- Generates notifications (e.g. decision, renew)
- Encrypts data and securitizes FIPS , CJIS, and OWASP Aware

Phase II of CABS encompasses major functions such as:

- Acquiring DOJ Criminal History files
- Ability to view the Rap Sheet within CABS
- User generated applications/routines within CABS
- Updates will be sent back to HALS
- Supports Rehabilitation and Appeals Management functions
- Pre-populates forms and letters with applicant data
- Automation of Registry Checks

Future Phases of CABS will include the following functionality:

- Licensing Issuance
- License Tracking
- License Management
- Enhanced Criminal Background Check with Appeal

Appendix C. Core Competencies Training and Development

The table below outlines the primary core competency areas for PCB-IS investigative staff and some of the internal and external resources that will be used to build staff knowledge and skills.

Competency	How is knowledge or skill transferred?
Report Writing	• Template for ensuring consistent report structure was launched in January 2014. • Revised Style Guide for structuring content in reports was launched June 2015. • Report Writing training is planned for September 2015.
Investigation Skills (interviewing, recognizing signs of deception, etc.)	• Training on “Interviewing to Recognize Signs of Deception” was provided in August of 2014 by a retired Detective, and materials are integrated into PCB-IS on-boarding program. • Training on “Advanced Interviewing and Cognitive Interviewing” is planned for September 2015. • General investigative skills classes are available from the Interviewing and Investigation Institute. • Interview checklist was created by PCB-IS managers and staff to be used in on-boarding and staff development and as part of investigative procedure to support thoroughness and consistency of practice (presented at May 2015 Section meeting).
Critical Thinking	• Training is provided by CalHR, but classes are impacted. Need to identify alternative sources.
Legal Issues	• Specialized expertise is available in CDPH Office of Legal Services (OLS). • Potential for specialized training provided by DOJ. • Courses available through McGeorge School of Law.
Time Management	• Training provided by CalHR, but classes are impacted. • Tools created by PCB-IS managers and staff to assess and prioritize contacts to maximize impact with least time (launched May 2015).
Computer Skills	• CDPH has an existing contract with IS Inc for Microsoft suite software training but it is maximized; additional training capacity is needed. • Private providers offer a range of in-person and online training.

Appendix D. March 2015 Quarterly Reports



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Professional Certification Branch
Certified Nurse Assistant, Home Health Aide, and Certified Hemodialysis Technician Complaints
Data as of March 31, 2015 (through Quarter 3, SFY 2014-15)

Reporting Period	VOLUME			
	A	B	C	D
Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Growth/Reduction in Open Cases by Reporting Period	Open Cases Remaining by Reporting Period Received	
Current State Fiscal Year				
2014-2015, Cumulative through Quarter 3	903	1,036	-133	618
Previous Fiscal Years				
2013-2014	1,169	1,285	-116	276
2012-2013	944	1,198	-254	0
2011-2012	939	983	-44	0
Totals	3,955	4,502	-547	894

This table identifies the number of complaints the Licensing and Certification Program's Professional Certification Branch (PCB) received in a given reporting period, the number of complaint investigations PCB completed in a given reporting period and the number of investigations still open from each reporting period. An investigation is complete when PCB has investigated the complaint, documented the findings and supporting evidence, and notified involved parties.

Table Notes:

- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of investigations PCB completed during the reporting period, regardless of the date PCB received the complaint.
- Column C shows the difference between complaints received and complaints completed during the respective reporting period ($C=A-B$). When the value of Column C is positive, the number of open cases increased during that reporting period. When the value of Column C is negative, the number of open cases decreased.
- Column D shows the number of complaints received during the reporting period for which PCB had not completed an investigation as of March 31, 2015.



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TIMELINESS

Reporting Period	A	B	C D E F				G H I J			
	Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Number of Cases Completed During Reporting Period by Working Days from Receipt to Completion				Cases Completed by Working Days from Receipt to Completion, as a Percentage of Total Completed			
			≤90	91-180	181-365	>365	≤90	91-180	181-365	>365
Current Fiscal year										
2014-2015, Cumulative through Quarter 3	903	1,036	254	149	518	115	25%*	14%	50%	11%
Previous State Fiscal Years										
2013-2014	1,169	1,285	328	120	485	352	26%	9%	38%	27%
2012-2013	944	1,198	Not Available				Not Available			
2011-2012	939	983								

This table identifies how long it takes Licensing and Certification Program's Professional Certification Branch (PCB) to complete a complaint investigation. An investigation is complete when PCB has investigated the complaint, documented the finding and supporting evidence, and notified involved parties.

Table Notes:

- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of cases PCB completed during a given reporting period, regardless of the date PCB received the complaint.
- Columns C through F show the range of days PCB took to complete an open investigation during the reporting period.
- Columns G through J show the percentage of open cases that PCB completed within a specific range of days during the reporting period (G=C/B, H=D/B, I=E/B, J=F/B).

*Rounded up to have percentages total 100%

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DISPOSITION								
	A	B	C	D	E	F	G	H
Reporting Period	Cases Received During Reporting Period	Cases Completed During Reporting Period (Regardless of Receipt Date)	Number of Completed Cases With Disciplinary Action				Percentage of Total Cases Completed With Disciplinary Action	Number of Cases Completed Without Disciplinary Action
			Revoked or Denied	Suspended	Diversion	Total Disciplinary Actions		
Current State Fiscal Year								
2014-2015, Cumulative through Quarter 3	903	1,036	54	86	47	187	18%	849
Previous State Fiscal Year								
2013-2014	1,169	1,285	97	81	65	243	19%	1,042
2012-2013	944	1,198	33	27	28	88	7%	1,110
2011-2012	939	983	84	26	74	184	19%	799
Totals	3,955	4,502	268	220	214	702	16%	3,800

This table identifies the disposition of completed complaint investigations. All cases with a disciplinary action, including suspension, revocation or diversion, means the Licensing and Certification Program's Professional Certification Branch (PCB) found clear and convincing evidence to support the allegation. Diversion allows PCB to monitor work performance and require participation in counseling, education, and/or treatment programs. If the certificate holder does not agree to participate in a diversion program or does not comply with the terms and conditions of diversion, PCB may proceed with suspension or revocation of the certificate.

Table Notes:

- Column A shows the number of new complaints PCB received during the respective reporting period.
- Column B shows the number of complaint investigations PCB completed in a given reporting period, regardless of the date PCB received the complaint.
- Columns C, D and E show the number and type of disciplinary actions PCB took based on a completed investigation in a given reporting period.
- Column F shows the total number of complaint investigations resulting in disciplinary actions (F=C+D+E).
- Column G shows percentage of completed investigations that resulted in disciplinary actions (G=F/B).
- Column H shows the number of complaint investigations completed in a given reporting period for which PCB took no disciplinary action (H=B-F).

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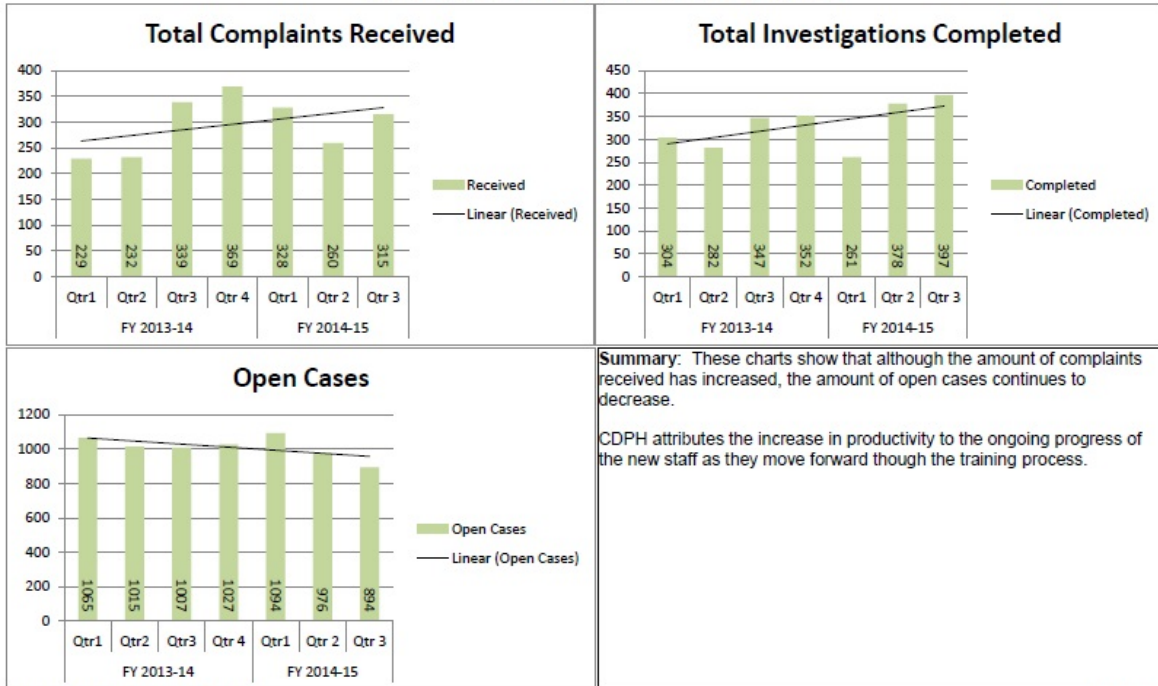


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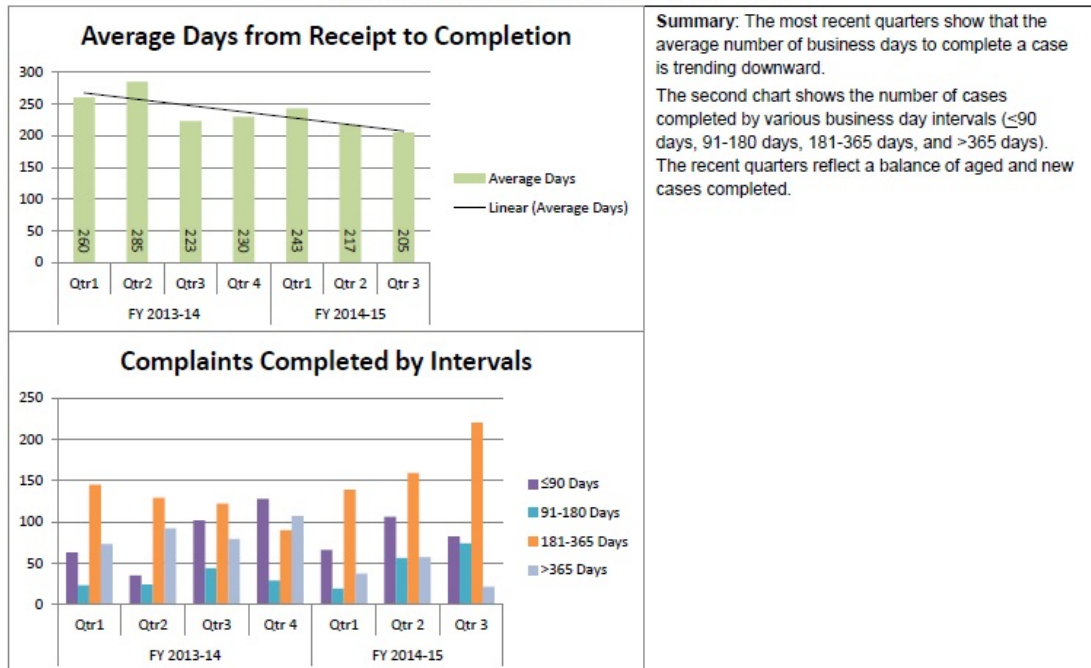
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