

Board of Psychology Implementation Plan

June 29, 2021
Antonette Sorrick, Executive Officer

Implementation Plan Submitted for:
June 30, 2021

GOVERNANCE

One or more components of this section were addressed in a prior Implementation Plan and, therefore, the related information does not carry forward.

Information and Communication

On a quarterly basis, staff communicates with the Board about operational, programmatic, and financial updates.

Internally, the Board has a multi-level communications strategy which includes regular unit meetings, monthly all-staff meetings, monthly email communication from the Executive Officer to the Board, and quarterly management meetings. Externally, the Board produces a quarterly newsletter, maintains accounts on Facebook and Twitter, and regularly updates its website. Lastly, the Board conducts its quarterly Board meetings in various locations across the state to encourage participation from stakeholders. These meetings are frequently available as live webcasts.

Staff are able to report programmatic concerns and inefficiencies to management at staff meetings, unit meetings, and biweekly one-on-one meetings with their direct supervisor.

Update With Progress—June 30, 2021

The Board has continued to host meetings via the WebEx platform. The program has found WebEX to be a superior platform to our prior use of teleconferencing as it allows for document sharing, DCA SOLID moderation, and recording. We have also been using Microsoft Teams for staff meetings, calling employees, one on one meetings, manager meetings, and discussions with external stakeholders.

Contact Person(s): Jonathan Burke, Assistant Executive Officer

Is the process implemented: Yes

Is the process documented: Yes

Update With Progress—December 31, 2020

Since June 30, 2020, the Board has continued to improve its online experience for users to be able to access Board meetings via the WebEx platform. This is an improvement from teleconference technology, which was very limited in providing a visual record of the meeting.

Contact Person(s): Antonette Sorrick

Is the process implemented: Yes

Is the process documented: Partially

What's Next

The Board will continue to utilize the WebEx platform over the course of the next year.

Next Milestone: June 30, 2021

Update With Progress—June 30, 2020

Staff continues to communicate with the Board about operational, programmatic, and financial updates through its regularly-scheduled quarterly Board meetings. Due to budget constraints and restrictions due to COVID-19, Board and Committee meetings are not currently being held in person. The Board complies with its requirement to meet by conducting its meetings via teleconference.

Contact Person(s): Jeffrey Thomas

Is the process implemented: No

Is the process documented: No

What's Next

Internally, Board staff is meeting its goal of communicating directly with staff regarding programmatic needs, and anticipating a return to full-staffing in-house upon the end of the declared emergency stemming from COVID-19.

Next Milestone: December 30, 2020

RISKS AND CONTROLS

Risk: Staff Recruitment and Retention

Staff expert is relied upon exclusively without any backup to assist in their absence.

As a small program, the Board has limited resources to build in training redundancies. Limited positions create challenges for crosstraining backup staff.

Long-term absences or vacancies create work-stoppages.

Control: Organizational Process Mapping

The Board is in the process of working with DCA to assess workflow.

The aim of this assessment is to generate process maps, identify process efficiencies, and to quantify staff workload. This will identify staffing needs and assist in succession planning.

Update With Progress—June 30, 2021

The Board's Central Services Unit and Licensing Unit have completed the process mapping. The Board's Enforcement Unit is not currently fully staffed and that has delayed the mapping process.

Contact Person(s): Jonathan Burke, Assistant Executive Officer

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

The Board intends to fill the vacant position and work with DCA's OIO to complete process mapping for all Units.

Next Milestone: December 31, 2021

Update With Progress—December 31, 2020

Effective November, 2020, the Board will have filled a vacancy in its administrative unit to start taking over the role of Renewals Technician, as the incumbent transitions to a role as Board Liaison. As a result of this transition, the Renewal Technician position can be covered by two different staff members, providing coverage where before there was only one knowledgeable person to fill that role.

Contact Person(s): Antonette Sorrick

Is the control put into practice: Partially

Is this control reducing the risk as expected: No

What's Next

The Renewals Technician will continue training in the new position, which will allow the incumbent to focus fully on other Board-related duties, providing backup to the renewals position as needed.

Next Milestone: June 30, 2021

Update With Progress—June 30, 2020

The Board has completed process mapping for two of its three units.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

Board management will continue process-mapping the remaining units with a projected completion date of late 2020.

Next Milestone: December 30, 2020

Control: Increase Staffing/Resources

Once the program assessment is completed, the Board can seek authority for additional staff as determined by the assessment through the Budget Change Proposal (BCP) process.

Update Without Progress—June 30, 2021

The Board's focus has switched from staffing resources to funding resources. This is because the Board has a structural imbalance and must increase fees to address this before additional positions can be requested.

Contact Person(s): Jonathan Burke

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

The Board will be seeking statutory and regulatory fee increases to address the structural imbalance. The regulatory fee increase is intended to be submitted to DCA in 2021 to raise fees to the existing statutory cap (Business and Professions Code section 2987). The statutory change will begin with a Fee Audit completed by an outside vendor in FY 2021-2022. The Fee Audit will then be used to justify a statutory fee increase most likely in FY 2022-2023. Once this process is complete additional positions can be requested through the Budget Change Proposal process.

Next Milestone: December 31, 2021

Update Without Progress—December 31, 2020

As part of the Board's ongoing program assessment, the Board will request additional positions as needed and identified from program deficiencies such as increased licensing timeframes.

Contact Person(s): Antonette Sorrick

Is the control put into practice: Partially

Is this control reducing the risk as expected: No

What's Next

Board staff will continue to work with the Budget Office to develop BCPs as deficiencies are identified that indicate the need for specific additional positions.

Next Milestone: June 30, 2021

Update With Progress—June 30, 2020

As part of its process-mapping, one unit has already completed a workload analysis that seems to favorably support undertaking a BCP.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

The Board will submit a budget change proposal for consideration in the 2021 Budget Act.

Next Milestone: December 30, 2020

Risk: Fi\$Cal Impacts to Operations and Decision Making

Accurate and timely revenue and expenditure reports are not currently available from the Fi\$Cal system and this ultimately results in DCA being unable to produce timely reconciled monthly and year-end financial statements to Boards. Specifically, the Board is unable to access timely reports and readily validate the accuracy of data postings. This results in information lags as well as in poor, and inaccurate, real-time reporting to the Board. Further, reports generated from the system often track awkward reconciliation points or contain incomplete or not user-friendly data. Accurate and usable reports are needed to make prudent budget and operational decisions. Special funds often have structural funding concerns, so understanding cash balances and expenditure status is essential. Board staff, as a result, often manually track unresolved Fi\$Cal issues in hopes of providing better real time data to executive level managers. This adds significant staff time, and the manual preparation of reports outside of the system opens the Board up to a larger opportunity for making unintended errors.

Control: Elevating Issues to DCA

The Board is in communication with DCA on a regular basis to resolve open items which include posting corrections, programming concerns, and report suggestions within the system.

Update With Progress—June 30, 2021

Fi\$Cal reports are now sent to us by the DCA Budget Office as each Fiscal Month is closed. DCA has created an internal budget report portal to provide standardized expenditure, revenue and encumbrance reports that are distributed to programs proactively on a monthly basis. Included with those reports is a monthly activity log from Fi\$Cal. The activity log provides individual transaction details supporting the expenditure, revenue and encumbrance reports. An expenditure projection template is also available for program use to forecast to fiscal year end.

Contact Person(s): Jonathan Burke, Assistant Executive Officer

Is the control put into practice: Yes

Is this control reducing the risk as expected: Yes

Update With Progress—December 31, 2020

Staff continue to work with DCA. Outstanding Fi\$Cal programming tickets are reported to the Fi\$Cal support team and are tracked by Fi\$Cal Operations and Fi\$Cal staff. Expenditure and revenue posting errors continue to be elevated to DCA Accounting to correct within the system.

Additionally, DCA continues to advocate for expanded system-generated Fi\$Cal reports that can provide additional real-time information for all Fi\$Cal users. Due to the lack of system-generated, outward-facing reports needed at Board meetings, DCA staff have developed expenditure and revenue reports by leveraging the QBIRT system that extracts the data directly from Fi\$Cal.

Contact Person(s): Antonette Sorrick

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

Staff will continue to report programming concerns, as well as expenditure and revenue posting errors, to DCA Fi\$Cal Operations staff for resolution. DCA will continue to advocate for improved system-wide report capabilities from Fi\$Cal.

Next Milestone: June 30, 2021

Update Without Progress—June 30, 2020

Fi\$Cal remains far behind in reporting and the Board is still unable to rely on it for up-to-date information. Staff must continue to treat reconciliations as a largely-manual process.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

Board staff will continue to communicate with DCA about its needs for current fiscal data while also continuing to resolve fiscal issues through manual adjustments by staff.

Next Milestone: December 30, 2020

Control: Independently Tracking Data

The Board relies on data tracking outside of the Fi\$cal system and regularly works with budget, accounting, and business services staff at DCA to track issues and make forecasting projections. This information is often utilized for meeting materials. Additionally, the Board requests information as needed from DCA to try to identify and fix errors.

Update With Progress—June 30, 2021

Fi\$Cal reports are now sent to us by the DCA Budget Office as each Fiscal Month is closed. However, these reports do not contain projected year end figures. DCA has created an internal budget report portal to provide standardized expenditure, revenue and encumbrance reports that are distributed to programs proactively on a monthly basis. Included with those reports is a monthly activity log from Fi\$Cal. The activity log provides individual transaction details supporting the expenditure, revenue and encumbrance reports. An expenditure projection template is also

available for program use to forecast to fiscal year end.

Contact Person(s): Jonathan Burke, Assistant Executive Officer

Is the control put into practice: Partially

Is this control reducing the risk as expected: Yes

What's Next

Board staff will continue to work with DCA's Budget Office to generate accurate and up to date budget reports.

Next Milestone: December 31, 2021

Update With Progress—December 31, 2020

DCA has created an internal budget report portal for Boards and Bureaus to provide standard expenditure and revenue reports based on selected report parameters. These revenue and expenditure reports replace the need for data tracking outside the Fi\$Cal system and can be downloaded into Excel to assist in forecasting purposes or can be formatted for use as ADA-compliant meeting materials. DCA Fi\$Cal Operations staff have provided outreach and training to Boards and Bureaus on how to run and read these individual reports as needed.

Contact Person(s): Antonette Sorrick

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

Staff will continue to work with DCA on identifying additional report needs.

Next Milestone: June 30, 2021

Update With Progress—June 30, 2020

The Board staff continues to work closely with budget, accounting, and business services staff at DCA to track issues and make forecasting projections.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

Board staff will continue to work with the various offices within DCA to compile the fiscal data it needs for presentation to stakeholders and for management of its resources.

Next Milestone: December 30, 2020

Risk: Regulations

Prompted by an increase in the number of other board regulations disapproved by the Office of Administrative Law, in late 2016, the Department and Agency changed the process for reviewing regulations submitted by the Board of Psychology. The resulting process enhanced scrutiny from the Department and Agency successfully reduced the number of disapproved regulations because it led to a more thorough examination of regulation packages. But while disapproval rates were reduced, a consequence was lengthened timelines for the Board to adopt regulations.

Control: Increased DCA Regulation Management Staffing

The Department was authorized in the 2019 Budget Act to hire six attorneys, a senior legal analyst, and a research program specialist II to increase its capacity for developing, reviewing and issuing regulations. The Department's attorneys are being trained by the Office of Administrative Law to review regulations. The Department is also conducting training of all participants in the regulations process to improve regulation packages and timelines. In addition, the Department is developing a department-wide computerized regulation management and tracking system to better track and streamline the review of regulations.

Update With Progress—June 30, 2021

Hiring – The prior attorney vacancy was filled in December 2020, and a 2021 springtime retirement created a vacant attorney position. It is anticipated that the position will be re-filled as soon as practicable and such individual will be trained immediately to help fill the gap. In the meantime, regulatory work has been re-directed within the regulatory unit and an attorney that was previously on leave is assisting with regulatory review.

DCA trainings were originally created for in-person presentations, but as a result of the pandemic, the Department revised the trainings to allow for online presentations. As a supplement, the Department also created a dedicated DCA internal webpage in December 2020, which contains training materials, instructions, and updated templates, all of which are expected to provide efficiencies in the review process all with the goal of improving the quality of regulatory packages, developing uniformity in the style, format, and cross-cutting department-wide approaches and descriptions to similar issues.

Regulations Management System – DCA launched a regulations management system in June of 2020 with four programs to test the system's management and tracking capabilities. As a result of the pilot program, multiple issues and re-designs were identified. DCA is evaluating the necessary re-designs and enhancements that must be incorporated for future viability of the system before it can be released department-wide. In the meantime, the Department has developed and improved its manual tracking systems with the capabilities to extract program-specific data, regulation-specific data, the location of regulation packages, and the development status, among other data points. DCA provides a monthly accounting of every regulatory package to each board/bureau/ commission for full transparency.

Related Updates - The DCA Regulations Unit meets regularly with every program within the Department to provide individualized attention to program-specific concerns and to work closely with each program's prioritization of packages. The members of the Unit also meet weekly to

discuss cross-cutting issues, process improvement, and issues of concern for specific regulation packages that can be applied department-wide. The Unit has maintained zero disapprovals for 2019, 2020, and 2021, to date.

Contact Person(s): Jonathan Burke, Assistant Executive Officer

Is the control put into practice: Yes

Is this control reducing the risk as expected: Yes

Update With Progress—December 31, 2020

Hiring - DCA hired a senior legal analyst within the Legal Affairs Division in May 2020 to fill a springtime vacancy, and a vacant attorney position is expected to be filled in the fourth quarter of 2020. The new members of the Unit will attend OAL's regulatory training.

DCA trainings were previously conducted in person, but due to COVID-19 conditions, no formal trainings were presented after March 2020. New online formats are being explored for distance learning opportunities in late 2020 and 2021. A dedicated DCA internal webpage is also being developed that will contain training materials, instructions, and updated templates, all of which are expected to provide efficiencies in the review process because of the improved quality of regulatory packages, the uniformity in the style, format and similarity of cross-cutting department-wide descriptions.

Regulations Management System - As of June 2020, the DCA regulations management system is "live" for four programs utilizing the application on a trial basis to test the system's management and tracking capabilities, as well as to identify enhancements to be incorporated before the system is released more broadly for department-wide use. In the meantime, the Department has improved its manual tracking systems with the capabilities to extract program-specific data, regulation-specific data, the location of regulation packages, and the development status, among other data points.

Related Updates - The DCA Regulations Unit has met with every program within the Department to provide individualized attention to program-specific concerns, to address questions about the Unit, to provide a status on the development of the Unit, and to gather feedback. The members of the Unit also meet weekly to discuss cross-cutting issues, process improvement, and issues of concern for specific regulation packages. The Unit has maintained zero disapprovals for 2019-2020.

Contact Person(s): Antonette Sorrick

Is the control put into practice: Partially

Is this control reducing the risk as expected: Yes

What's Next

Identified enhancements to the DCA computerized regulation management and tracking system must be developed and implemented. A new DCA attorney will also be hired and trained.

Next Milestone: December 31, 2021

Update With Progress—June 30, 2020

The Department filled all of its positions as of October 2019. All of the members of the unit are dedicated solely to working on regulations. One attorney serves in a lead capacity to assign work and review regulations. The five other attorneys were paired with clients based on similarities in licensure and workload demands. The research data specialist assists in developing and reviewing the fiscal and economic analyses associated with regulations.

With the creation of the unit, the Department significantly increased its training capacity. The Department is also nearing completion of the computerized regulations tracking system and anticipates employing the system on a trial basis near the end of the second quarter of 2020. The Department also saw a substantial increase in 2019 in regulations submitted to the department compared to the prior year.

These resources, along with additional data collection, should continue to improve the Department's overall review and approval of regulations.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Yes

Is this control reducing the risk as expected: No

What's Next

The Regulations Unit is expected to provide an online tracking portal for regulations packages to allow programs to follow the progress of each package.

Next Milestone: December 30, 2020