

# ATTACHMENTS VOLUME 2

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# ACCOUNTABILITY: BIOGRAPHIES, ATTENDANCE AND PARTICIPATION

(ATTACHMENT 1a)

#### PAULA AMEZOLA DE HERRERA

Appointed by Governor Edmund G. Brown Jr. on July 7, 2017.

Paula Amezola De Herrera of Culver City has been a Master of Public Health career services coordinator and advisor for the University of Southern California, Keck School of Medicine since 2015. She was a program and financial manager for the University of Southern California, Annenberg School for Communication and Journalism from 2009 to 2015, a program and evaluation manager for the Cancer Information Service at the Norris Comprehensive Cancer Center, University of Southern California from 2006 to 2009 and an epidemiologist at the Los Angeles Gay and Lesbian Center from 2002 to 2006. Amezola De Herrera is a member of the Parks, Recreation and Community Services Commission for Culver City, Hispanas Organized for Political Equality Leadership Institute, Latina Task Force, American Public Health Association and the California Dialogue on Cancer, Cervical Cancer Committee. She earned a Master of Public Health degree in epidemiology from the University of California, Los Angeles.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes	
Licensing Committee	April 1, 2018	Teleconference	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes	
Licensing Committee	July 12, 2018	Sacramento	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes	
Licensing Committee	October 16, 2018	Teleconference	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	
Licensing Committee	January 10, 2019	<b>Teleconference</b>	No	
Board Meeting (Special)	January 25, 2019	Teleconference	Yes	
Board Meeting (Regular)	February 21-22, 2019	Burbank	No	
Board Meeting (Special)	April 30, 2019	<b>Teleconference</b>	No	
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes	
Board Meeting (Special)	June 21, 2019	Sacramento	Yes	

#### TOTAL MEETING DAYS: 38 NUMBER OF COMMITTEES: 1 TOTAL DAYS MISSED: 4

	2017	2018	2019
Mail Ballots*	5/9	12/22	0/12
Travel Expenses	N/A	\$1,308.40	\$1,029.25
Salary Per Diem	0	\$4,800.00	\$400.00

#### **BERNICE BASS DE MARTINEZ**

Appointed by Governor Edmund G. Brown, Jr. on May 5, 2015.

Dr. Bernice Bass de Martinez currently serves as Special Assistant to the Dean, College of Arts & Letters at California State University (CSU), Sacramento. Her assignment includes innovation initiatives, community building and collaboration, and external funding. She also holds an appointment to the University's Foundation Board, chairing the Board's Governance Committee. Including her years in the CSU, she has served more than 30 years in various administrative roles in higher education including provost and vice president for academic affairs, multiple deanships, and special assistant to the president plus more than 20 years teaching at both graduate and undergraduate levels. Of interest is her service as department chair specializing in turnaround management, policy development and consensus building.

Her career work is complemented with International Affairs experience (Latin America, Africa, and the Caribbean); government service (New Mexico Department of Education and U.S. Department of Education); and community and public service, (2012 to 2017, Elk Grove Multicultural Committee; 2000 to 2008, Leadership America Board; 1998 to 2008, American Council on Education's Office of Women in Higher Education's Network Executive Board; 2005 to 2011, Educational Policy Committee of the National Foundation for Women Legislators; and 2004 to 2009, U.S. Advisory Board of the Euro-American Women's Council). She is the Founding Chair of the William V. S. Tubman University (Harper, Liberia) Foundation Board and an active member of Alpha Kappa Alpha Sorority, Incorporated (the oldest African American Sorority in the world with a commitment of service to all mankind). Dr. Bass de Martinez holds a bachelor's degree in Spanish and Chemistry, a master's degree in education from the University of Northern Colorado and a Ph.D. from the University of Florida in curriculum and instruction. In 2016, she was awarded an Honorary Doctorate Degree, Honoris causa by William VS Tubman University (Harper, Maryland County, Liberia) for exemplary services in social development and outstanding commitment to humanity across the globe.

ATTENDANCE			
Meeting Type	Meeting Date	Meeting Location	Attended?
Education Committee	July 1, 2017	Sacramento	Yes
Evaluations Committee	August 1, 2017	Sacramento	Yes
Executive Committee	August 1, 2017	Sacramento	Yes
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes
Education Committee	October 1, 2017	Sacramento	Yes
Executive Committee	October 1, 2017	Sacramento	Yes
Evaluations Committee	November 1, 2017	Sacramento	Yes
Executive Committee	November 1, 2017	Sacramento	Yes
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes
Board Meeting (Special)	December 18, 2017	Sacramento	Yes
Evaluations Committee	January 19, 2018	Sacramento	Yes
Education Committee	January 25, 2018	Sacramento	Yes
Executive Committee	February 1, 2018	Sacramento	Yes
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes
Executive Committee	March 1, 2018	Sacramento	Yes
Evaluations Committee	April 1, 2018	Sacramento	Yes
Executive Committee	April 1, 2018	Sacramento	Yes

Education Committee	April 20, 2018	Sacramento	Yes
Board Meeting (Special)	April 20, 2018	Teleconference	Yes
Executive Committee	May 1, 2018	Sacramento	Yes
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes
Executive Committee	June 18, 2018	Sacramento	Yes
Education Committee	July 9, 2018	Sacramento	Yes
Evaluations Committee	July 18, 2018	Sacramento	Yes
Executive Committee	July 19, 2018	Sacramento	Yes
Executive Committee	August 20, 2018	Sacramento	Yes
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes
Executive Committee	September 10, 2018	Sacramento	Yes
Executive Committee	October 15, 2018	Sacramento	Yes
Evaluations Committee	October 18, 2018	Sacramento	Yes
Executive Committee	November 5, 2018	Sacramento	Yes
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes
Executive Committee	December 7, 2018	Sacramento	Yes
Executive Committee	January 2, 2019	Sacramento	Yes
Evaluations Committee	January 18, 2019	Sacramento	Yes
Education Committee	January 18, 2019	Sacramento	Yes
Board Meeting (Special)	January 25, 2019	Teleconference	Yes
Executive Committee	February 1, 2019	Sacramento	Yes
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes
Executive Committee	March 15, 2019	Sacramento	Yes
Education Committee	March 18, 2019	Sacramento	Yes
Executive Committee	April 19, 2019	Sacramento	Yes
<b>Board Meeting (Special)</b>	April 30, 2019	Teleconference	No
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes
Executive Committee	June 14, 2019	Sacramento	Yes
Education Committee	June 17, 2019	Sacramento	Yes
Board Meeting (Special)	June 21, 2019	Sacramento	Yes

#### TOTAL MEETING DAYS: 57 NUMBER OF COMMITTEES: 3 TOTAL DAYS MISSED: 1

	2017	2018	2019
Mail Ballots*	10/10	21/22	12/12
Travel Expenses	\$614.41	\$2,240.07	\$552.46
Salary Per Diem	\$163.00	\$0.00	\$0.00

#### ALETA CARPENTER

Appointed by Governor Edmund G. Brown, Jr. on July 7, 2017.

Aleta Carpenter of Redding was a community education specialist at the Shasta County Health and Human Services Agency from 2007 to 2012 and a lobbyist and managing partner at Carpenter Snodgrass and Associates from 1982 to 2003. She is vice-president of American Women Artists, a school board member of the California Heritage Youth Build Academy, cabinet member of The Women's Fund, vice chair of Youth Violence Prevention Council/Youth Options Shasta, and communications coordinator for the Shasta County Tobacco Education Coalition. Carpenter earned Bachelor of Arts and Master of Arts degrees in communication studies (intercultural emphasis) and journalism from California State University, Sacramento. She also holds certifications in public relations and mediation/conflict resolution.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Evaluations Committee	August 1, 2017	Sacramento	N/A	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Evaluations Committee	November 1, 2017	Sacramento	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Evaluations Committee	January 19, 2018	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes	
Evaluations Committee	April 1, 2018	Sacramento	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes	
Evaluations Committee	July 18, 2018	Sacramento	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	<mark>Day 1: Yes</mark> Day 2: No	
Evaluations Committee	October 18, 2018	Sacramento	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	
Evaluations Committee	January 18, 2019	Sacramento	Yes	
Strategic Outreach Committee	January 25, 2019	Sacramento	Yes	
Board Meeting (Special)	January 25, 2019	Teleconference	Yes	
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes	
Strategic Outreach Committee	March 15, 2019	Sacramento	Yes	
Board Meeting (Special)	April 30, 2019	Teleconference	Yes	
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes	
Board Meeting (Special)	June 21, 2019	Sacramento	Yes	

#### TOTAL MEETING DAYS: 39

NUMBER OF COMMITTEES: 2

TOTAL DAYS MISSED: 1

	2017	2018	2019
Mail Ballots*	9/9	22/22	12/12
Travel Expenses	\$880.26	\$2,800.64	\$1,879.89
Salary Per Diem	\$1,900.00	\$4,400.00	\$800.00

#### JOHN DIERKING

Appointed by the Senate Rules Committee on February 3, 2016.

John Dierking of Azusa is an attorney and Tax Compliance Officer with the City of Los Angeles. He belongs to Volunteers in Service to Others (VISTO) within the Los Angeles County Probation Department and was a Speaker appointee on the California Council on Criminal Justice from 1997 to 2000. He also serves on the Board of Governors of the Engineers and Architects Association/International Brotherhood of Electrical Workers (IBEW) 11, a labor organization representing approximately 4,700 professional members.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Legislation and Regulations Committee	August 1, 2017	Teleconference	Yes	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Legislation and Regulations Committee	February 9, 2018	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes	
Legislation and Regulations Committee	April 6, 2018	Teleconference	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes	
Legislation and Regulations Committee	June 22, 2018	Sacramento	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes	
Legislation and Regulations Committee	September 28, 2018	Teleconference	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	
Legislation and Regulations Committee	January 11, 2019	Teleconference	Yes	
Strategic Outreach Committee	January 25, 2019	Sacramento	Yes	
Board Meeting (Special)	January 25, 2019	Teleconference	Yes	
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes	
Strategic Outreach Committee	March 15, 2019	Sacramento	Yes	
Legislation and Regulations Committee	March 25, 2019	Teleconference	Yes	
Board Meeting (Special)	April 30, 2019	Teleconference	Yes	
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes	
Legislation and Regulations Committee	May 29, 2019	Teleconference	Yes	
Board Meeting (Special)	June 21, 2019	Sacramento	Yes	

#### **TOTAL MEETING DAYS: 38**

NUMBER OF COMMITTEES: 2

TOTAL DAYS MISSED: 0

	2017	2018	2019
Mail Ballots*	10/10	22/22	12/12
Travel Expenses	\$756.39	\$1,322.54	\$460.46
Salary Per Diem	\$6,209.00	\$3,421.00	\$1,900.00

#### TAMMY ENDOZO

Appointed by Governor Edmund G. Brown, Jr. on September 30, 2013.

Tammy Endozo of Imperial Beach has been a licensed vocational nurse at the Richard J. Donovan Correctional Facility since 2006. She was a licensed vocational nurse at Scripps Mercy Hospital from 2003 to 2011 and a residential care unit leader and licensed vocational nurse at the Veterans Home of California, Chula Vista from 2000 to 2006. Endozo was a licensed vocational nurse at the University Community Medical Center in San Diego from 1998 to 2004, at the San Diego County Edgemoor Hospital from 1998 to 2000 and at Friendship Manor-Lakeside Nursing Home from 1996 to 2000.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Licensing Committee	July 1, 2017	Sacramento	Yes	
Executive Committee	August 1, 2017	Sacramento	Yes	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Licensing Committee	September 1, 2017	Teleconference	Yes	
Licensing Committee	October 1, 2017	Teleconference	Yes	
Executive Committee	October 1, 2017	Sacramento	Yes	
Executive Committee	November 1, 2017	Sacramento	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Executive Committee	February 1, 2018	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes	
Executive Committee	March 1, 2018	Sacramento	Yes	
Licensing Committee	March 27, 2018	Teleconference	Yes	
Practice Committee	April 1, 2018	Teleconference	Yes	
Executive Committee	April 1, 2018	Sacramento	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Executive Committee	May 1, 2018	Sacramento	Yes	
Board Meeting (Regular)	<mark>May 16-18, 2018</mark>	Sacramento	No	
Executive Committee	June 18, 2018	Sacramento	Yes	
Practice Committee	June 20, 2018	Teleconference	Yes	
Executive Committee	July 19, 2018	Sacramento	Yes	
Practice Committee	August 6, 2018	Teleconference	Yes	
Executive Committee	August 20, 2018	Sacramento	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes	
Executive Committee	September 10, 2018	Sacramento	Yes	
Practice Committee	September 20, 2018	Sacramento	Yes	
Executive Committee	October 15, 2018	Sacramento	Yes	
Executive Committee	November 5, 2018	Sacramento	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	
Executive Committee	December 7, 2018	Sacramento	Yes	

Executive Committee	January 2, 2019	Sacramento	Yes
Board Meeting (Special)	January 25, 2019	Teleconference	Yes
Executive Committee	February 1, 2019	Sacramento	Yes
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes
Executive Committee	March 15, 2019	Sacramento	Yes
Executive Committee	April 19, 2019	Sacramento	Yes
Board Meeting (Special)	April 30, 2019	Teleconference	Yes
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes
Executive Committee	June 14, 2019	Sacramento	Yes
Board Meeting (Special)	June 21, 2019	Sacramento	Yes

#### TOTAL MEETING DAYS: 54 NUMBER OF COMMITTEES: 3

TOTAL DAYS MISSED: 3

	2017	2018	2019
Mail Ballots*	10/10	22/22	12/12
Travel Expenses	\$2,052.59	\$3,256.42	N/A
Salary Per Diem	\$3,600.00	\$6,500.00	\$0.00

#### SAMANTHA JAMES-PEREZ

Appointed by Governor Edmund G. Brown, Jr. on June 2, 2015.

Samantha James-Perez of Chino has been a licensed psychiatric technician (PT) since 1997. Ms. James-Perez is currently a professor at Mt. San Antonio College. From 1998 to 2016, she served in multiple positions at Pacific Clinics, including PT, PT-LVN education coordinator and medication services supervisor. From 2006 through 2013, she also served as an expert consultant for psychiatric technician practice. From 2003 to 2006, Ms. James-Perez served as a PT at the Loma Linda University Behavioral Medicine Center, at Canyon Ridge Hospital from 1997 to 2001, and the American Recovery Center from 1997 to 1998.

Resigned from Board in January 2019.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Administrative Committee	September 1, 2017	Sacramento	Yes	
Enforcement Committee	October 1, 2017	Teleconference	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Administrative Committee	February 1, 2018	Teleconference	Yes	
Enforcement Committee	February 9, 2018	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	No	
Practice Committee	April 12, 2018	Sacramento	Yes	
Administrative Committee	April 1, 2018	Teleconference	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Enforcement Committee	April 12, 2018	Teleconference	Yes	
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes	
Enforcement Committee	June 18, 2018	Sacramento	Yes	
Practice Committee	June 20, 2018	Teleconference	Yes	
Practice Committee	August 6, 2018	Sacramento	Yes	
Enforcement Committee	August 6, 2018	Sacramento	Yes	
Administrative Committee	August 18, 2018	Teleconference	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes	
Practice Committee	September 20, 2018	Sacramento	Yes	
Enforcement Committee	September 26, 2018	Sacramento	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	

#### **TOTAL MEETING DAYS: 29**

#### NUMBER OF COMMITTEES: 3

**TOTAL DAYS MISSED: 2** 

	2017	2018	2019
Mail Ballots*	7/10	18/22	1/1
Travel Expenses	\$606.82	\$2,425.69	\$966.47
Salary Per Diem	\$7,024.70	\$6,087.24	\$736.00

#### **KENNETH MAXEY**

Appointed by the Speaker of the Assembly on March 20, 2017.

Kenneth E. Maxey II has over 20 years of experience in external relations, policy and economic development focused on consensus building, community organizing, and professional development. Mr. Maxey serves on numerous boards including the Boys & Girls Clubs of Oakland.

A native of California, Mr. Maxey graduated from Notre Dame De Namur University with a B.A. in Political Science/History, MPA from Howard University and M.A. in International Peace and Conflict Resolution from the American University.

His passion is coalition building to ensure that the communities we live and work in benefit ALL.

	ATTENDANCE	E	
Meeting Type	Meeting Date	Meeting Location	Attended?
Education Committee	July 1, 2017	Sacramento	Yes
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes
Enforcement Committee	October 1, 2017	Sacramento	Yes
Education Committee	October 1, 2017	Sacramento	Yes
Board Meeting (Regular)	November 16-17, 2017	Sacramento	No
Board Meeting (Special)	December 18, 2017	Sacramento	Yes
Education Committee	January 25, 2018	Sacramento	Yes
Enforcement Committee	February 9, 2018	Teleconference	Yes
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes
Enforcement Committee	April 12, 2018	<b>Teleconference</b>	No
Education Committee	April 20, 2018	Sacramento	Yes
Board Meeting (Special)	April 20, 2018	Teleconference	Yes
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes
Enforcement Committee	June 18, 2018	Teleconference	Yes
Education Committee	July 9, 2018	Sacramento	No
Enforcement Committee	August 6, 2018	Teleconference	Yes
Board Meeting (Regular)	August 23-24, 2018	Anaheim	<mark>Day 1: No</mark> Day 2: Yes
Enforcement Committee	September 26, 2018	Teleconference	Yes
Board Meeting (Regular)	November 14-16, 2018	Sacramento	<mark>Day 1: No</mark> Day 2: Yes
Education Committee	January 18, 2019	Sacramento	No
Board Meeting (Special)	January 25, 2019	<b>Teleconference</b>	No
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes
Education Committee	March 18, 2019	Sacramento	Yes
Board Meeting (Special)	April 30, 2019	Teleconference	Yes
Board Meeting (Regular)	May 15-17, 2019	Sacramento	<mark>Day 1: No</mark> Day 2: Yes

			<mark>Day 3: Yes</mark>
Education Committee	June 17, 2019	Sacramento	Yes
Board Meeting (Special)	June 21, 2019	Sacramento	Yes

#### TOTAL MEETING DAYS: 41

#### NUMBER OF COMMITTEES: 2

#### TOTAL DAYS MISSED: 9

	2017	2018	2019
Mail Ballots*	1/10	3/22	2/12
Travel Expenses	\$0.00	\$0.00	\$0.00
Salary Per Diem	\$1,000.00	\$0.00	\$0.00

#### CAREL MOUNTAIN

Appointed by Governor Edmund G. Brown, Jr. on December 7, 2018.

Carel Mountain of Fair Oaks has been Director of Nursing at Sacramento City College since 2016 and an online instructor at the University of Phoenix since 2006. She was a professor at Shasta College from 1997 to 2016. Mountain is a member of the California Organization of Associate Degree Nursing Program Directors, National League for Nursing and Sigma Theta Tau. She earned a Master of Science degree in nursing administration and education from Sonoma State University and a Doctor of Nursing Practice degree from California State University, Fresno.

ATTENDANCE					
Meeting Type	Meeting Date	Meeting Location	Attended?		
Education Committee	January 18, 2019	Sacramento	Yes		
Board Meeting (Special)	January 25, 2019	Teleconference	Yes		
Board Meeting (Regular)	February 21-22, 2019	<mark>Burbank</mark>	No		
Education Committee	March 18, 2019	Sacramento	Yes		
Board Meeting (Special)	April 30, 2019	Teleconference	Yes		
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes		
Education Committee	June 17, 2019	Sacramento	Yes		
Board Meeting (Special)	June 21, 2019	Sacramento	Yes		

#### TOTAL MEETING DAYS: 16

NUMBER OF COMMITTEES: 1

TOTAL DAYS MISSED: 2

	2017	2018	2019
Mail Ballots*	N/A	N/A	2/2
Travel Expenses	N/A	N/A	\$0.00
Salary Per Diem	N/A	N/A	\$0.00

#### **DONNA NORTON**

Appointed by Governor Edmund G. Brown, Jr. on January 28, 2014.

Donna Norton of Dixon has been a licensed vocational nurse for Kaiser Permanente since 1989. She was a licensed vocational nurse at the Fairfield Medical Group from 1985 to 1989 and a licensed vocational nurse and phlebotomist at Oneida Hospital from 1984 to 1985. Norton was a licensed vocational nurse at Straub Hospital from 1981 to 1985 and for the U.S. Army at Tripler Army Hospital from 1975 to 1981.

ATTENDANCE					
Meeting Type	Meeting Date	Meeting Location	Attended?		
Practice Committee*	August 1, 2017	Sacramento	Yes		
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes		
Board Meeting (Regular)	November 16-17, 2017	Sacramento	No		
Board Meeting (Special)	December 18, 2017	Sacramento	Yes		
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes		
Board Meeting (Special)	April 20, 2018	<b>Teleconference</b>	No		
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes		
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes		
Board Meeting (Regular)	November 14-16, 2018	Sacramento	No		
Board Meeting (Special)	January 25, 2019	<b>Teleconference</b>	No		
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes		
Board Meeting (Special)	April 30, 2019	<b>Teleconference</b>	No		
Board Meeting (Regular)	May 15-17, 2019	Sacramento	No		
Board Meeting (Special)	June 21, 2019	Sacramento	No		

\*Left Practice Committee after August 2017

### TOTAL MEETING DAYS: 30

NUMBER OF COMMITTEES: 0

TOTAL DAYS MISSED: 12

	2017	2018	2019
Mail Ballots*	10/10	18/22	11/12
Travel Expenses	\$254.90	\$1,797.57	\$443.18
Salary Per Diem	\$4,167.00	\$3,800.00	\$300.00

#### PAUL SELLERS

Appointed by Governor Edmund G. Brown, Jr on May 18, 2017.

Paul Sellers of Atascadero has served as a senior psychiatric technician at the California Department of State Hospitals since 2008. He was an adjunct professor at DeVry University from 2006 to 2008. Sellers was a computer manufacturing engineer at Sun Microsystems Inc. from 1999 to 2003 and an optical manufacturing engineer at KLA-Tencor from 1993 to 1998. He was a mechanical designer at the NASA Ames Research Center from 1991 to 1992 and a product sales manager at Interstate Engineering from 1983 to 1990. Sellers was an electronic assembly technician at Tab Products from 1974 to 1980. He earned a Master of Business Administration degree in general management from the DeVry University, Keller Graduate School of Management.

ATTENDANCE				
Meeting Type	Meeting Date	Meeting Location	Attended?	
Licensing Committee	July 1, 2017	Teleconference	Yes	
Board Meeting (Regular)	August 24-25, 2017	Los Angeles	Yes	
Licensing Committee	September 1, 2017	Teleconference	Yes	
Licensing Committee	October 1, 2017	Teleconference	Yes	
Board Meeting (Regular)	November 16-17, 2017	Sacramento	Yes	
Board Meeting (Special)	December 18, 2017	Sacramento	Yes	
Board Meeting (Regular)	February 22-23, 2018	Los Angeles	Yes	
Licensing Committee	March 27, 2018	Teleconference	Yes	
Licensing Committee	April 1, 2018	Teleconference	Yes	
Board Meeting (Special)	April 20, 2018	Teleconference	Yes	
Board Meeting (Regular)	May 16-18, 2018	Sacramento	Yes	
Licensing Committee	July 12, 2018	Sacramento	Yes	
Board Meeting (Regular)	August 23-24, 2018	Anaheim	Yes	
Licensing Committee	October 16, 2018	Teleconference	Yes	
Board Meeting (Regular)	November 14-16, 2018	Sacramento	Yes	
Licensing Committee	January 10, 2019	Teleconference	Yes	
Board Meeting (Special)	January 25, 2019	Teleconference	Yes	
Board Meeting (Regular)	February 21-22, 2019	Burbank	Yes	
Board Meeting (Special)	April 30, 2019	<b>Teleconference</b>	No	
Board Meeting (Regular)	May 15-17, 2019	Sacramento	Yes	
Board Meeting (Special)	June 21, 2019	Sacramento	No	

#### TOTAL MEETING DAYS: 38

NUMBER OF COMMITTEES: 1

**TOTAL DAYS MISSED: 2** 

	2017	2018	2019
Mail Ballots*	10/10	18/22	10/12
Travel Expenses	\$3,071.26	\$3,119.81	\$621.11
Salary Per Diem	\$400.00	\$0.00	\$800.00

#### **CHERYL TURNER**

Appointed by Governor Edmund G. Brown, Jr. on May 9, 2017.

Cheryl C. Turner of Los Angeles has been principal attorney at the Law Offices of Cheryl C. Turner since 1989. She was vice president at the Los Angeles Convention and Exhibition Center Authority in 2015. Turner earned a Juris Doctor degree from the University of Southern California, Gould School of Law.

Legislation and Regulations CommitteeAugust 1, 2017TeleconferenceYesBoard Meeting (Regular)August 24-25, 2017Los AngelesYesAdministrative CommitteeSeptember 1, 2017SacramentoYesBoard Meeting (Regular)November 16-17, 2017SacramentoYesBoard Meeting (Special)December 18, 2017SacramentoYesAdministrative CommitteeFebruary 1, 2018TeleconferenceYesLegislation and Regulations CommitteeFebruary 9, 2018SacramentoYesBoard Meeting (Regular)February 22-23, 2018Los AngelesYesAdministrative CommitteeApril 1, 2018TeleconferenceYesBoard Meeting (Regular)April 6, 2018TeleconferenceYesBoard Meeting (Regular)April 6, 2018TeleconferenceYesBoard Meeting (Regular)May 16-18, 2018TeleconferenceYesBoard Meeting (Regular)May 16-18, 2018SacramentoNoLegislation and Regulations CommitteeJune 22, 2018SacramentoNoLegislation and Regulations CommitteeJune 22, 2018SacramentoYesBoard Meeting (Regular)August 18, 2018TeleconferenceYesBoard Meeting (Regular)August 23-24, 2018SacramentoYesBoard Meeting (Regular)August 23-24, 2018SacramentoYesBoard Meeting (Regular)August 23-24, 2018AnaheimYesBoard Meeting (Regular)August 23-24, 2018Dap 2: YesBoard Meeting (Reg		ATTENDANCE		
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#### **TOTAL MEETING DAYS: 42**

#### NUMBER OF COMMITTEES: 2

TOTAL DAYS MISSED: 4

	2017	2018	2019	
Mail Ballots*	10/10	18/22	11/12	
Travel Expenses	\$1,740.90	\$1,417.43	\$489.96	
Salary Per Diem	\$3,100.00	\$122.00	\$1,018.00	
*number of pookets, completed ever number of pookets cont				



# ADMINISTRATIVE POLICIES AND PROCEDURES MANUAL

(ATTACHMENT 1b)



# 2019-2020 Board Members Administrative Procedures Manual

APPROVED BY BOARD: August 16, 2019

### **MEMBERS OF THE BOARD**

TAMMY ENDOZO, LVN MEMBER, BOARD PRESIDENT

Appointed: September 2013

BERNICE BASS DE MARTINEZ, PUBLIC MEMBER, BOARD VICE PRESIDENT

Appointed: May 2015

#### PAULA AMEZOLA DE HERRERA, PUBLIC MEMBER

Appointed: July 2017

#### ALETA CARPENTER, PUBLIC MEMBER

Appointed: July 2017

#### JOHN DIERKING, PUBLIC MEMBER (Senate Rules Appointee)

Appointed: February 2016

#### KEN MAXEY, PUBLIC MEMBER (Speaker's Appointee)

Appointed: March 2017

#### CAREL MOUNTAIN, NURSING EDUCATOR MEMBER

Appointed: December 2018

#### DONNA NORTON, LVN MEMBER

Appointed: January 2014

#### PAUL SELLERS, PT MEMBER

Appointed: May 2017

#### CHERYL TURNER, PUBLIC MEMBER

Appointed: May 2017

#### VACANT, PT MEMBER

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APPENDIX A: Committee Structure

APPENDIX B: Sample Travel Forms

#### **CHAPTER 1: INTRODUCTION**

#### 1.1: Mission

The Department of Consumer Affairs (DCA), Board of Vocational Nursing and Psychiatric Technicians (Board), serves and protects the public by licensing qualified and competent vocational nurses and psychiatric technicians through ongoing educational oversight, regulation, and enforcement.

#### 1.2: Vision

Access to the highest quality patient care for all.

#### 1.3: Values

- Accountability
- Excellence
- Inclusiveness
- Integrity
- Professionalism
- Transparency
- Trust

#### 1.4: Overview

The Board of Vocational Nursing was established in 1951, and in 1959, merged with the Psychiatric Technician program to become the California Board of Vocational Nursing and Psychiatric Technicians. The jurisdiction of the Board is mandated by the Vocational Nursing Practice Act, Business and Professions (B&P) Code, Division 2, Chapter 6.5, Sections 2840-2895.5, and Psychiatric Technicians Law, B&P Code, Division 2, Chapter 10, Sections 4500-4548, which are implemented and enforced by the Board.

To achieve this mandate, the Board:

- Establishes the minimum requirements for examination and licensure.
- Establishes educational standards for the approval of Vocational Nursing (VN) and Psychiatric Technicians (PT) schools in California.
- Adopts regulations to clarify the performance, practice and disciplinary standards for its licensees.
- Enforces regulations governing the continued approval of VN & PT schools in California.
- Enforces regulations governing LVNs and PTs by taking appropriate disciplinary action against licensees efficiently and effectively.

#### <u>1.5: Composition</u> *Business and Professions Code sections 103, 2841, 2842, and 2843*

The Board is composed of up to eleven members with a public member majority (i.e., six public members and five licensed members). Nine members are appointed by the Governor, one by the Speaker of the Assembly, and one by the Senate Rules Committee.

No member shall serve more than two consecutive full terms. One term is four years. Board Members serve in non-salaried positions but are paid \$100.00 per diem for each day actually spent in the discharge of official duties and shall be reimbursed for traveling and other expenses necessarily incurred in the performance of official duties.

This procedure manual is updated as necessary and provided to Board Members as a ready reference of important laws, regulations, and Department and Board policies. It is designed to help guide the actions of the Board Members and inform the public.

#### **CHAPTER 2: BOARD MEETING PROCEDURES**

#### 2.1: Frequency of Meetings Business and Professions Code sections 2848, 2849, and 2850

The Board typically meets four times annually to make policy decisions, make decisions on disciplinary matters, and review committee recommendations. Special meetings may be held at any time as the Board may elect, or as called by the President of the Board, or at the request of at least five members of the Board. Meetings may be held at any time and place by the written consent of all members of the Board.

The Board endeavors to hold meetings in different geographic locations throughout the state when possible as a convenience to the attending public and licensees.

#### 2.2: Board Member Attendance

Board Members are expected to attend Board and assigned Committee Meetings in their entirety. The entirety of a meeting shall mean from the date and time of the beginning of the meeting as set forth by the official agenda, until the adjournment. A Board Member shall contact the Board President and the Executive Officer as soon as possible when she or he is unable to attend a scheduled Board or Committee Meeting and ask to be excused for a specific reason. Failure to provide notice of an absence, at least 24 hours in advance, shall constitute an unexcused absence, unless the member can furnish proof of an emergency.

#### 2.3: Board Member Participation

Each Board Member is expected to be prepared and to participate in all discussions and deliberations of every Committee to which he/she has been appointed and the full Board, including disciplinary hearings.

Any two unexcused absences in a calendar year will result in the Executive Committee's evaluation and possible recommendation to the Governor or appointing authority for removal from the Board.

#### 2.4: Public Notice/Information at Board Meetings Government Code section 11120 et seq.

Meetings are subject to all provisions of the Bagley-Keene Open Meeting Act. This act governs meetings of state bodies. It specifies meeting notice and agenda requirements and prohibits discussing or acting upon matters not included in the agenda. Any general discussion of examinations or disciplinary procedures shall be held in public.

The Board may meet in closed session to discuss examinations, deliberate on enforcement cases, discuss pending litigation, and review personnel issues where a public discussion would compromise the integrity of these subjects. If the agenda contains matters that, on advice of legal counsel, are appropriate for closed session, the agenda shall cite the specific statutory section and subdivision authorizing the closed session.

Board Members are expected to read and abide by the guidance provided by the DCA Legal Counsel. Board members are required to adhere to open meeting requirements as specified in the Bagley-Keene Open Meeting Act, which is available at the DCA Board Member website (www.dcamembers.ca.gov) in the publications section.

#### 2.5: Quorum

#### **Business & Professions Code section 2851**

Six members of the Board constitute a quorum for transaction of business at any meeting of the Board. At a meeting duly held at which a quorum of six members or more are present, concurrence of a majority of the members of the Board present shall be necessary to constitute an act or decision of the Board.

#### 2.6: Notice of Meetings Government Code section 11125

As mandated by the Bagley-Keene Open Meeting Act, meeting notices (including agendas for Board meetings) must occur no later than 10 calendar days in advance of the meeting. Though not expressly mandated in this specific code section, this is widely interpreted to include posting on the Board's website. The notice must include a staff person's name, work address, and work telephone number to provide further information prior to the meeting. Meetings of Board Committees with more than two Board Members are subject to these requirements.

The website may include copies of all documents for review at the proposed meetings. In addition, any materials provided to Board Members in open session during the scheduled meeting may be added to the Board's website within 10 days following the meeting. All materials uploaded to the website must be ADA-compliant. Materials that require substantial reconfiguring may not be posted immediately and a hard copy may be requested.

#### 2.7: Agenda Items Board Policy

Future agenda items are generally discussed and agreed upon at a full Board meeting. Agenda items for a Board meeting from any source, including Board members, must be submitted to the Executive Officer at least 30 days prior to the scheduled meeting. The Executive Officer must confer with the Board Executive Committee prior to adding items to the meeting agenda.

#### 2.8: Record of Board Meetings Board Policy

The minutes are a summary, not a transcript of each Board and/or Committee Meeting. They shall be prepared by Board staff and submitted for review and approval by Board Members as soon as possible following the actual meeting. Once approved, the minutes shall serve as the official record of the meeting and may be posted on the Board's website.

#### 2.9: Audio and Video Recording Government Code section 11124.1 et seq. and Board Policy

The meeting may be, but is not required to be, audio/video recorded, and/or broadcast live via the Internet. Recordings may be disposed of upon Board approval of the minutes; but broadcasts may be kept available in perpetuity.

#### 2.10: Meeting Rules Board Policy

The Board will use Robert's Rules of Order as a guide when conducting the meetings to the extent that it does not conflict with state law (e.g., Bagley-Keene Open Meeting Act).

#### 2.11: Opportunity for Public Comment Government Code sections 11125 and 11125.7

Every Board meeting agenda contains an agenda item that allows for public comment on matters not on the agenda. Board Members may not act or discuss matters presented by the public under these agenda items. The matter may be suggested for a future agenda item or for follow-up by Board staff.

#### 2.12: Teleconference Meetings Government Code section 11123

Meetings of the full Board that are held via teleconference are subject to the same notice requirements of the Open Meeting Act. The meeting notice must be published at least ten days in advance and must include the physical location of each Board Member attending the meeting remotely. A Board Member must be at each publicly noticed location. The public is permitted to attend the meeting at any of the locations listed on the meeting notice during an open session of the meeting. The public is not permitted to attend any part of the meeting that is designated as closed session.

#### **CHAPTER 3: Travel and Salary Per Diem**

#### 3.1: Travel Arrangements Board Policy

When travel is approved, Board Members should attempt to make their own travel arrangements, including air, rental car and lodging. All travel must be booked using the Department of General Services' Statewide Travel Program, CalTravel Store at <u>www.caltravelstore.com</u>. Each Board Member will work with a specified member of the administrative team to establish a travel booking profile.

#### 3.2: Travel Approval Board Policy

Board members must have prior approval from the Board President for all reimbursed travel except for regularly scheduled Board and committee meetings to which the Board member is assigned. Whenever feasible, it is recommended that Board members avail themselves of communication technology, e.g., telephone, video or web conferencing. This saves time and resources for the Board and Board members. For example, when two-person committees hold a regular meeting, the meeting should be conducted via the available communication technology.

The Board President and the Executive Officer must use the Board's annual budget and Department's Travel Guidelines when considering travel requests.

#### <u>3.3: Out of State Travel</u> *State Administrative Manual section 700, et seq.*

All requests for out-of-state travel for persons representing the Board must be prepared by the Executive Officer and approved by the Board President. Out of state travel is ultimately controlled and approved by the Governor's Office. Once approved, Board members will be reimbursed for actual lodging expenses, supported by receipts, and will be reimbursed for meal and supplemental expenses according to current reimbursement rates. Should a Board Member elect to travel prior to approval by the Governor, their ability to represent the Board is decreased, and is at the individual Board member's own risk. Reimbursement may be denied.

Government Code Section 11139.8, subdivision (a)(5) prohibits a state agency, department, board, or commission from requiring any state employees, officers, or members to travel to a state that, after June 26, 2015, has enacted a law that (1) has the effect of voiding or repealing existing state or local protections against discrimination on the basis of sexual orientation, gender identity, or gender expression; (2) authorizes or requires discrimination against same-sex couples or their families or on the basis of sexual orientation, gender to permit discrimination against same-sex couples or their families or on the basis of sexual orientation to antidiscrimination laws in order to permit discrimination against same-sex couples or their families or on the basis of sexual orientation.

For the most up-to-date list of states under travel restriction, and for more information, please see the State Attorney General's website: <a href="https://oag.ca.gov/ab1887">https://oag.ca.gov/ab1887</a>

#### <u>3.4: Travel Claims</u> State Administrative Manual section 700 et seq.

All expenses are claimed using the CalATERS (California Automated Travel Expense Reimbursement System) Global." Each Board Member will work with a designated member of the administrative team to set up a CalATERS Global account and designate a specified member of the administrative team as an authorized "preparer/submitter."

The Board Member shall provide travel-related receipts and other necessary documentation to the designated preparer/submitter within 30 days of travel and/or work. After the expense claim has been prepared by the designated preparer/submitter, the claim will be reviewed and approved by the designated approver and submitted to the travel unit for processing. Expenses for travel claims submitted after the end of the fiscal year deadline may not be reimbursed that fiscal year.

NOTE: Board Members must obtain and submit relevant travel receipts, even if the Board has paid the expense in advance.

The Department's travel unit uses CalATERS Global to calculate standard mileage reimbursement. If travel includes side trips other than traveling direct from one point to another and returning, each stop must be itemized, an address included, and a written statement detailing the business need.

The Deputy Director of Board and Bureau Services approves the Executive Officer's travel expense claims. The Executive Committee shall review all Board travel claims before final approval.

#### <u>3.5: Salary Per Diem</u> Business and Professions Code sections 103 and 2855

Compensation, salary per diem and reimbursement of travel and other related expenses for Board Members is regulated by Business and Professions Code section 103. In relevant part, this section provides for the payment of salary per diem for Board Members "for each **day actually spent** in the discharge of official duties" and provides that the Board Member "shall be reimbursed for traveling and other expenses necessarily incurred in the performance of official duties." Also relevant is the provision that states: "no public officer or employee shall receive per diem salary compensation for serving on those boards, commissions, committees, or the Consumer Advisory Council on any day when the officer or employee also received compensation for his or her regular public employment."

#### <u>3.6: Travel Reimbursement and Payment of Salary Per Diem</u> **Board Policy**

- A. Each Board Member shall receive a per diem of one hundred dollars (\$100.00) for attending board meetings, in-person committee meetings/mandatory trainings, and for every eight hours accumulated performing official duties. Official duties shall include review and completion of electronic ballots, meeting preparation, online mandatory training, and Board-related communications.
- B. To be reimbursed for time spent on Board business, the member must complete and submit the Board-approved Per Diem Expense Reporting Form.

- C. Board Members must account for the number of hours spent fulfilling the designated responsibilities, in increments of hours (e.g., two hours spent in Committee meeting).
- D. Reimbursements will be calculated in eight-hour increments. Hours not totaling eight can be carried over to the next month.
- E. Meetings or sessions, such as a Board meeting with a closed session following the open session, that exceed eight hours in a single calendar day will be counted as one day.
- F. A Board Member may not claim per diem for Board responsibilities on any day when that Board Member also received compensation from the State of California for his or her regular employment.
- G. Per Diem Expense Reports are processed differently than Travel Reimbursement Requests. While a Board Member may submit both types of requests under the same cover, the different forms must be completed, and the payments will be processed separately.

#### Definitions

A. For purposes of determining eligibility for per diem under Business and Professions Code section 103, the term **"Day actually spent**" shall mean <u>any of the following</u>:

- Physical attendance in the meeting room for the commencement of the Board Meeting until its conclusion. The same shall apply to gatherings, events, and other meetings that are approved by the President.
  - Should a Board Member miss part of the meeting, she/he must have that absence excused by the President, or in the President's absence, the Vice President, to claim per diem.
- A cumulative total of eight hours where the member performed any one or more of the following functions, in a reasonable amount of time:
  - Board work that is authorized and assigned by the Board President to be performed at the Board Member's residence or business.
  - The review of materials and disciplinary matters (e.g. electronic ballots) as issued by Board staff to be performed at the Board Member's residence or business.
  - $\circ$   $\;$  The review of agenda materials prior to a meeting day.
  - Completion of online mandatory trainings.
- **"Day actually spent"** does not include compensation for time spent in route to/from the site of Board business.

B. "Reasonable Amount of Time" shall mean the amount of time it reasonably takes a person to perform a task. The President may use other members' hours or her/his own time to perform the same or similarly related task to determine "reasonable amount of time."

#### C. Per Diem Claim

• Board Members may only claim per diem using the Board-approved form provided. This form will be available in a PDF-fillable format, or a downloadable form. A copy is included in Appendix B of this manual.

- A separate form must be completed, signed and approved by the Board President for every month in which a Board Member submits a claim. For example, a Board Member must submit separate claim forms for the months of April, May, and June of a given year, and they may submit more than one month's claims at a time, provided that claims in a fiscal year are submitted by July 15<sup>th</sup> to be paid in the fiscal year of those claims.
- These claims may be subject to verification and audit. By signing a claim, a Board Member attests that all of the information submitted is complete and accurate.
- D. Per Diem Reimbursement Approval

The Board President will approve all claim forms and the cumulative hours in accordance with this policy. Staff may not reimburse claims submitted using any other form or document for per diem, nor may they pay a claim that has not been approved by the President or, in the absence of the President, the Vice President.

#### Authority

A. Business and Professions Code, section 3715 provides:

*"Each member of the board shall receive a per diem and expenses as provided in Section 103."* 

B. Business and Professions Code, section 103 provides (emphasis added):

"Each member of a board, ...shall receive the moneys specified in this section when authorized by the respective provisions. Each such member shall receive a per diem of one hundred dollars (\$100) for each <u>day actually spent</u> in the discharge of official duties and shall be reimbursed for traveling and other expenses necessarily incurred in the performance of official duties. The payments in each instance shall be made only from the fund from which the expenses of the agency are paid and shall be subject to the availability of money. Notwithstanding any other provision of law, no public officer or employee shall receive per diem salary compensation for serving on those boards, commissions, committees, or the Consumer Advisory Council on any day when the officer or employee also received compensation for his or her regular public employment."

#### CHAPTER 4: Board Member Accountability

#### 4.1: Improper/Unprofessional Board Member Conduct Board Policy

A member may be censured by the Board if the Board determines that he/she has acted in an inappropriate manner while conducting Board business.

#### <u>4.2: Removal of Board Members</u> Business & Professions Code sections, 106, 106.5, 2845

The Governor or other appointing authority may remove a member of the Board for misconduct, incompetence, or neglect of duty. Notwithstanding any other provision of law, the appointing authority may remove from office a member of a board or other licensing entity in the department if it is shown that such member has knowledge of the specific questions to be asked on the licensing entity's next examination and directly or indirectly discloses any such question or questions in advance of or during the examination to any applicant for that examination.

#### 4.3: Resignation of Board Members Government Code section 1750

In the event that it becomes necessary for a Board Member to resign, a letter shall be sent to the appropriate appointing authority (Governor, Senate Rules Committee, or Speaker of the Assembly) with the effective date of the resignation. Written notification is required by state law. A copy of this letter shall also be sent to the Director of the Department, the Board President and the Executive Officer.

#### 4.4: Communication with Board Members

The Board's Executive Officer is the main point of contact between the staff and Board Members, and may utilize telephone, email, fax, and traditional mail services to keep the Board Members informed. All official Board emails will be sent to the Board Members assigned email address from the DCA unless the Board Member signs a notice and acknowledgement regarding use of other email. This is for the Board Members' protection, in that all official communications are potentially subject to subpoen and Public Records Act requests.

#### 4.5: Access to Board Files and Records Board Policy

No Board Member may access a school, licensee, applicant, or complaint file without the Executive Officer's knowledge and approval of the conditions of access. Records or copies of records must not be removed from the Board's office.

## 4.6: Communications with Other Organizations and Individuals **Board Policy**

The Executive Officer, his/her designee or the Board President serves as spokesperson to the media or to any individual or organization on board actions, policies or any

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communication that is deemed sensitive or controversial. Any Board Member who is contacted by any of the above should terminate the contact and inform the Executive Officer or the Board President. All correspondence shall be issued on the Board's standard letterhead and will be created and disseminated by the Executive Officer.

#### 4.7: Contact with Licensees Board Policy

Board Members must not intervene on behalf of a licensee or school for any reason; they must forward all contacts or inquiries to the Executive Officer.

#### 4.8: Definition of Board Staff Board Policy

Employees of the Board, with the exception of the Executive Officer, are civil service employees. Their employment, pay, benefits, discipline, termination and conditions of employment are governed by a myriad of civil service laws and regulations and often by collective bargaining. Because of this complexity, all authority and responsibility for management of the civil service staff is delegated to the Executive Officer. Board Members shall not intervene or become involved in specific day-to-day Board office operations or personnel matters. However, the Board must hold the Executive Officer accountable for supervising all day- to-day operations.

#### 4.9: Definition of Board Administration Board Policy

Board Members should be concerned primarily with formulating decisions on Board policies rather than decisions concerning the means for carrying out a specific course of action. It is inappropriate for Board Members to become involved in the details of program delivery. Strategies for the day-to-day management of programs and staff shall be the responsibility of the Executive Officer under the direction of the Board President.

#### 4.10: Rules for Contacting Staff Board Procedure

In order to maintain a clear line of communication, Board Members should contact the Executive Officer directly on all matters, with the following exceptions:

- Board Support Analyst regarding meeting logistics, travel and per diem.
- Discipline Unit Manager regarding disciplinary mail votes.
- DCA Legal Counsel regarding disciplinary procedural questions or ethical questions.

Board members are requested to copy the Executive Officer when contacting any of the above listed staff. Board Members must discuss any deviation from this policy with the Executive Officer to maintain the integrity of this policy.

#### 4.11: Role of Board's Legal Counsel

The Board's legal counsel provides legal guidance and expertise to the Board. Counsel works with the Board in preparing regulations, assists in addressing questions which require interpretation of statutes, and participates in all Board meetings to ensure that business is conducted in accordance with State law.

#### 4.12: Examination Preparation Board Policy

Board Members shall not perform any function of examination development for the Board or the Department during their term as Board Members.

#### 4.13: External Correspondence Board Policy

Originals of any correspondence sent or received by Board Members regarding official Board business must be maintained in the Board's office files. Correspondence must be given to the Executive Officer.

#### <u>4.14: Conflict of Interest</u> Government Code section 87100 and Board Policy

No Board Member may make, participate in making or in any way attempt to use his or her official position to influence a governmental decision in which he/she knows or has reason to know he/she has a financial interest. Any Board Member who has a financial interest shall disqualify himself/herself from making or attempting to use his/her official position to influence the decision. Any Board Member who feels he/she is entering into a situation where there is a potential for conflict of interest or the public perception of such, should immediately consult the Executive Officer and the Board President.

It is a conflict of interest for a Board Member to seek office in a professional association or to actively sponsor or support others seeking office in such associations, to use his or her position as a Board Member to further one's own personal interest or concerns, discuss confidential Board business with anyone except other Board members and Board staff, or to publicly espouse opinions on behalf of the Board without specific Board approval to do so.

#### <u>4.15: Statement of Economic Interests (Form 700)</u> *Government Code section 81000 et seq. Must be filed upon assuming and leaving office, and annually.*

The Political Reform Act requires appointed Board Members to publicly disclose their personal assets and income. The Fair Political Practices Commission (FPPC) is the agency responsible for maintaining the Statement of Economic Interests Form 700. Board Members must complete a Statement of Economic Interest when appointed, annually and when their appointment ends. The Form 700 must be filed annually on or before April 1st. Noncompliance will put the Board and Board Member at risk of sanctions by the FPPC, and possible further actions by the appointing authority.

# 4.16: Gifts from Applicants, Registrants or Licensees **Board Policy**

Gifts of any kind to Board Members from schools, applicants, registrants or licensees of the Board are not permitted.

#### <u>4.17: Honoraria</u> Government Code Section 89503 and FPPC Regulations, Title 2, Division 6

As a general rule, members of the Board should decline honoraria for speaking at, or otherwise participating in, professional association conferences and meetings. A member of a state Board is precluded from accepting an honorarium from any source, if the member would be required to report the receipt of income or gifts from that source on his or her statement of economic interest.

Board Members are required to report income from, among other entities, professional associations and continuing education providers. Therefore, a Board Member should decline all offers for honoraria for speaking or appearing before such entities.

There are limited exceptions to the honoraria prohibition. The acceptance of an honorarium is not prohibited under the following circumstances:

- When an honorarium is returned to the donor (unused) within 30 days.
- When an honorarium is delivered to the State Controller within thirty days for donation to the General Fund (for which a tax deduction is not claimed).
- When an honorarium is not delivered to the Board Member, but is donated directly to a bona fide charitable, educational, civic, religious, or similar tax exempt, non-profit organization.

In light of this prohibition, members should report all offers of honoraria to the Board President so that he or she, in consultation with the Executive Officer and staff counsel, may determine whether the potential for conflict of interest exists.

#### <u>4.18: Ex Parte Communications</u> Government Code Section 11430.10 et seq.

An "*ex parte*" communication is a communication to the decision-maker made by one party to an enforcement action without participation by the other party. While there are specified exceptions to the general prohibition, the key provision is found in subdivision (a) of section 11430.10, which states:

"While the proceeding is pending, there shall be no communication, direct or indirect, regarding any issue in the proceeding to the presiding officer from an employee or representative of an agency that is a party or from an interested person outside the agency, without notice and an opportunity for all parties to participate in the communication."

Board Members are prohibited from an ex parte communication with Board enforcement staff while a proceeding is pending.

Occasionally, an applicant who is being formally denied licensure, or a licensee against whom disciplinary action is being taken, will attempt to directly contact Board Members. If the communication is written, the person should read only far enough to determine the nature of the communication. Once he or she realizes it is from a person against whom an action is pending, they should reseal the documents and send them to the Executive Officer.

If a Board Member receives a telephone call from an applicant under any circumstances or licensee against whom an action is pending, he or she should immediately tell the person they cannot speak to them about the matter and inform the Executive Officer and the Board's legal counsel.

If the person insists on discussing the case, he or she should be told that the Board Member will be required to recuse him or herself from any participation in the matter. Therefore, continued discussion is of no benefit to the applicant or licensee.

#### 4.19: Service of Legal Documents

If a Board Member is personally served as a party in any legal proceeding related to his or her capacity as Board Member, he or she must contact the Executive Officer immediately.

### 4.20: Serving as an Expert Witness *Executive Order 66.2*

Pursuant to Executive Order 66-2, no employment, activity, or enterprise shall be engaged in by any gubernatorial appointee which might result in, or create the appearance of resulting in any of the following:

- Using the prestige or influence of a State office for the appointee's private gain or advantage.
- Using state time, facilities, equipment, or supplies for the appointee's private gain or advantage, or the private gain or advantage of another.
- Using confidential information acquired by virtue of State involvement for the appointee's private gain or advantage, or the private gain or advantage of another.
- Receiving or accepting money or any other consideration from anyone other than the State for the performance of an act which the appointee would be required or expected to render in the regular course of hours of his or her State employment or as a part of the appointee's duties as a State officer.

#### **CHAPTER 5: Board Member Training**

#### 5.1: Board Member Orientation Training (BMOT) Business and Professions Code section 45 Must be completed within one year of assuming office

Every newly appointed Board Member shall, within one year of assuming office, complete the training and orientation program offered by the Department regarding, among other things, his/her functions, responsibilities, and obligations as a Board Member.

The objectives of this training are to clarify:

- Separate roles of the Executive Officer, the Board, Board Members, and Board staff.
- Conflicts of interest.
- Importance of completing and filing the annual Statement of Economic Interest Form 700 and taking mandatory training.
- Bagley-Keene Open Meeting Act.
- Board Member roles in the policy making process.
- Discipline process and Board members' role as "judge".

#### 5.2: Ethics Training

#### *Government Code section 11146 et seq. Must be completed within six months of appointment and every odd year thereafter*

California law requires all appointees to take an ethics orientation within the first six months of their appointment and to repeat this ethics orientation every two years throughout their term. The training includes important information on activities or actions that are inappropriate or illegal. For example, generally public officials cannot take part in decisions that directly affect their own economic interests. They are prohibited from misusing public funds, accepting free travel and accepting honoraria. There are limits on gifts.

An online, interactive version of the training is available on the Attorney General's Web site at: http://ag.ca.gov/ethics/. An accessible, text-only version of the materials is also available at the Attorney General's web site. Once you've completed the training, please send a copy of your certificate of completion to the Executive Officer.

#### 5.3: Sexual Harassment Prevention Training Department Policy EEO 12-01 Must be completed every odd year

The Department of Fair Employment and Housing has determined that the California laws requiring sexual harassment prevention training and education for supervisory employees are also applicable to members of State of California boards and commissions. These laws were established by Assembly Bill 1825 (Reyes, Chapter 933, Statutes of 2004).

In this instance, the State of California is an employer and board/commission members are "supervisory" employees. A supervisor, under the law, is any individual having the authority to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline employees, or effectively recommend that action. Since board and commission members make those kinds of decisions, it has been interpreted that board/commission members are "supervisory employees" and that the law is applicable to such board and commission members.

#### 5.4: Defensive Driving Training (DDT) State Administrative Manual (SAM) 0752 Must be completed every four years

In accordance with the California Labor Code, employers must ensure that employees receive general safe and healthy work practices training and specific instructions with respect to workplace hazards associated with their job assignments. Driving a vehicle has its inherent risks; therefore, affected employees must meet the State's Defensive Driver Training (DDT) requirements.

All state employees and Board Members who frequently drive on state business should successfully complete an approved DDT course at least once every four years, in accordance with the State Administrative Manual (SAM) Section 0751 & 0752. This online DDT fulfills the SAM sections.

#### 5.5: BVNPT Onboarding

#### Board Policy Must be completed within one year of assuming office and biennially thereafter

Board Members must attend onboarding training specific to the BVNPT. This training is held in the Board's office in Sacramento and coordinated by the Executive Officer. It is designed to acquaint the Board Members with the staff, structure and programmatic operations, as well as the policies and procedures in this manual.

#### CHAPTER 6: Election and Responsibilities of Board Officers

#### <u>6.1: Election of Board Officers</u> *Business and Professions Code section 2846; Government Code section 1750*

The Board, annually at its first scheduled meeting, shall elect a President and Vice President from among its members. The newly elected President and Vice President shall assume duties upon close of the meeting at which they were elected.

#### 6.2: Responsibilities of the Board President

It is the role of the President to:

- Preside at open/closed session Board meetings and official regulation hearings.
- Assure that agenda timeframes are followed.
- Appoint committee chairpersons, define the responsibilities of the chairpersons, and make committee appointments.
- Assure that all Board Members adhere to all Board policies.
- Assure that all Board Members are compliant with all mandatory training and accountability measures.
- Serve as delegate or alternate delegate to state and national associations or appoint another Board Member to serve in such capacity.
- Represent the Board in communications relating to Board action or policy or designate another Board Member to represent him/her if necessary.
- Review and approve or disapprove Board Members' travel; such approval shall not be unreasonably withheld.
- Review and approve or disapprove Board Members' travel reimbursement requests, including regularly scheduled Board meetings; such approval shall not be unreasonably withheld.
- Review and approve or disapprove Board Members' Per Diem Salary claim; such approval shall not be unreasonably withheld.
- Assume responsibilities usually vested in or customarily incident to the office of President and otherwise prescribed by law.
- Make decisions respecting emergency or urgent matters between Board meetings.
- Sign Board decisions, rulings and minutes after approval by the Board.
- Serve as liaison between the Board and Department's Deputy Director of Board Support and Services.
- Serve as immediate supervisor of the Executive Officer.

#### 6.3: Responsibilities of the Board Vice President

It is the role of the Vice President to:

- Serve on the Executive Committee.
- In the absence of the President, assume all duties of the President, and when so acting, have all the powers of, and be subject to all the restrictions upon, the President.
- Other projects as assigned by the President.

#### 6.4: Filling Officer Vacancies Board Policy

If the office of the President becomes vacant, the Vice President assumes the office of the President on an interim basis and until the election of officers at the next scheduled Board meeting.

#### 6.5: Committee Chairs

Committee Chairs are appointed each year by the Executive Committee and upon a vacancy. Board Members may communicate with the Executive Committee and request to be assigned a chair position.

Role of the Committee Chair:

- Preside over the Committee's meeting.
- Work with the Executive Officer and other assigned staff to develop agendas, discuss goals, and provide analysis, feedback and direction.
- Present Committee Reports to the full Board at the next public meeting.
  - This includes, but is not limited to: presenting recommended actions, providing background information, and requesting further action.

#### **CHAPTER 7: Executive Officer**

#### 7.1: Appointment

The Board generally appoints an Executive Officer who is exempt from civil service and serves at the pleasure of the Board. However, per the Board's 2017 Sunset Review legislation, AB 1229, for the period from January 1, 2018-December 31, 2019, this appointment shall be made by the Governor's Office.

#### 7.2: Role

The Executive Officer is the Board's Chief Executive Officer. He or she implements the policies developed by the Board.

#### 7.3: Recruitment

The Board must institute an open recruitment plan to obtain a pool of qualified Executive Officer candidates. It must also utilize proven equal employment opportunity and personnel recruitment procedures.

#### 7.4: Evaluation and Selection

A qualified candidate for Executive Officer must demonstrate the ability to supervise employees and handle conflict resolution and complaint mediation. The Executive Officer must also demonstrate effective written and verbal communication skills and have knowledge and expertise in the areas of legislation, regulations, administration, examination, licensing, enforcement, legislation and budgets.

The selection of a new Executive Officer is an item of business, which must be included in a written agenda and transacted at a public meeting.

#### <u>7.5: Performance Appraisal</u> *Memo OHR 2/14/2013; Government Code section 11126(a) and Board Policy*

The Board evaluates its Executive Officer on an annual basis. Approximately two months before the meeting, the Board President will direct that all Board Members receive a copy of the evaluation form with instructions to complete their evaluations individually and forward them directly to the Board President. The Board President will review all evaluations and collate the ratings and comments for all Board Members to review.

Each year, the evaluation of the Executive Officer will be placed on the agenda. The Board Members will meet first in closed session to determine what action, if any, needs to be taken. The Board Members will then meet with the Executive Officer to discuss the appraisal. Further actions will be taken in accordance with the Open Meeting Act.

#### **CHAPTER 8: Board Committees**

#### 8.1: Standing Committees

Committees serve as an essential component of the full Board to address specific issues referred by the public or recommended by staff. The present committee structure does not require a quorum because any decision of the committee must be voted on by the full Board to become policy. The committees are typically composed of two Board Members who are charged with gathering public input, exploring alternative approaches to issues, analyzing the data collected, and making a recommendation to the full Board.

Upon approval by the full Board, the full listing and description of the Board's current Committees will be included in this Manual's Appendix.

#### 8.2: Committee Appointments

The Executive Committee determines committee composition, whether standing or ad hoc; however, committee members may make recommendations for new members. Committee member terms expire at the discretion of the Executive Committee.

Ad hoc committees may be established by the Board as needed. Members and chairpersons will be appointed by the Executive Committee. Ad hoc committees may include the appointment of non-Board Members.

#### 8.3: Committee Reports

Each committee chair provides a report of its meeting to the full Board at its next regularly scheduled public meeting. The Board can approve the committee report with any and all recommendations contained in the report, or approve a portion of the report, and discuss certain items and vote on them separately.

#### **CHAPTER 9: Enforcement and Discipline**

The Board has established a robust enforcement program to ensure that timely and appropriate disciplinary action is taken against unprofessional, incompetent, or grossly negligent practitioners. A more comprehensive Enforcement Manual will be developed and distributed to the Board for review and approval.

#### 9.1: Investigation

The Board receives complaints from the public, government, law enforcement, licensed professional groups, internal, other states or anonymously. Additionally, the Board receives reports of allegations and criminal convictions.

The Board investigates complaints to determine if there has been a violation of the Vocational Nursing Practice Act or the Psychiatric Technicians law utilizing Board analysts, Special Investigators, and the DCA, Division of Investigation (DOI).

If an investigation substantiates violations of the Vocational Nursing Practice Act or the Psychiatric Technicians law, the Board may issue a Notice of Warning, a Citation and Fine, or if the violations are egregious, the matter may be referred to the Office of the Attorney General for formal disciplinary action.

#### 9.2: Disciplinary Action

The Board has authority to revoke, suspend, or place on probation any license if the licensee has violated a provision of the law governing the profession (Business and Professions Code, Division 2, Chapter 6.5, Article 3). Further, the Board has authority to deny licensure to anyone convicted of a crime substantially related to the profession or who has done any act which, if done by a licensee, would be grounds for revocation or suspension of the license.

All proceedings are conducted in accordance with the California Administrative Procedures Act (APA), the Attorney General's (AG) Office, and the Office of Administrative Hearings (OAH) to ensure that disciplinary actions are handled in a fair and judicious manner.

Cases may be resolved in one of three ways: stipulated settlement, proposed decision, or default decision.

Stipulated Settlement: A negotiated agreement between the Board and Respondent. Board Members may adopt, reject (and set for hearing), or make a counter offer that, if accepted, will dispose of the matter.

Proposed Decision: Issued by an Administrative Law Judge (ALJ) after having heard the matter at a hearing. Board Members may adopt the proposed decision, reject (non-adopt) the proposed decision, and after review of the transcripts and the record, develop its own decision, remand (return) the decision to the ALJ for additional evidence, make technical or minor changes to the proposed decision, and/or mitigate (lessen, reduce) the proposed penalty.

Board Members deliberation of stipulated settlements, proposed decisions, and default decisions happens via electronic mail balloting and/or during closed session at a Board

meeting. Whether the matter is submitted to the Board Members electronically or as part of closed session depends largely upon timing. Board staff processes all matters in the manner most efficient. If sufficient time exists between receipt of the matter by Board staff and the next regularly scheduled Board meeting, the matter will be sent to the Board Members electronically for deliberation and voting. If there is not sufficient time between the receipt of the matter and the next regularly scheduled Board meeting, the matter will be submitted to the Board Members during closed session.

Stipulated settlements, proposed decisions, and default decisions submitted to the Board Members electronically are assigned a deadline for submission of the vote. If a Board Member wishes to discuss a particular aspect of the matter, the Member must complete the electronic mail ballot "hold for discussion" and note the reason for requesting the hold. If two votes are cast to hold a case for discussion, the matter will be scheduled for discussion during closed session at the Board's next regularly scheduled Board meeting.

Stipulated settlements, proposed decisions, and default decisions submitted to the Board Members for deliberation during closed session, whether directly or as the result of a vote to "hold for discussion", will be presided over by DCA staff counsel and in accordance with the APA and the Bagley-Keene Open Meeting Act.

The possible outcomes of a formal discipline matter include: revocation, suspension, probation, public reproval/reprimand, or dismissal.

#### 9.3: Contact with Complainant/Respondent

Board Members must not directly participate in complaint handling, resolution or investigations. To do so would subject the Board Member to disqualification in any future disciplinary action against the licensee. If a Board Member is contacted by a complainant/respondent or his/her attorney, the Board Member should refer the individual to the Executive Officer.

Board decisions are public. Board deliberations are not.

## Appendix A

## **Committee Structure**

#### BVNPT ADMINISTRATIVE PROCEDURES MANUAL

Committee	Lead Staff	Committee Purpose	Committee Functions	Performance Measurements	Meeting Frequency
Education	Supervising Nursing Education Consultant	<ul> <li>The Education Committee:</li> <li>Evaluates educational programs and policies that serve Board stakeholders.</li> </ul>	<ul> <li>The functions of the Education Committee include:</li> <li>Program Assessment;</li> <li>Review proposals and recommend action to full Board regarding schools, programs, policies and regulations;</li> <li>Evaluate operations of Education Division;</li> <li>Address Scope of Practice issues;</li> <li>Inform stakeholders and public about nursing education programs, consumer safety, and Board priorities;</li> <li>Recognize program successes; and</li> <li>Implement Strategic Plan goals.</li> </ul>		Quarterly, and as needed.
Licensing	Licensing Manager	<ul> <li>The Licensing Committee:</li> <li>Provides oversight to application and licensing functions; and</li> <li>Reviews and oversees complaint trends.</li> </ul>	<ul> <li>The functions of the Licensing Committee include:</li> <li>Review licensing and applicant processes at a policy level to ensure customer satisfaction;</li> <li>Inform stakeholders and public about Licensing and Evaluations processes, consumer safety, and Board priorities;</li> <li>Review Continuing Education Audit program;</li> <li>Review and analyze Board complaint trends and management, and recommend action to full Board as needed;</li> <li>Recognize program successes; and</li> <li>Implement Strategic Plan goals.</li> </ul>		Quarterly, or as needed.
Legislation & Regulation	Executive Officer	The Legislative and Regulation Committee:	The functions of the Legislative and Regulation Committee include:		Quarterly and as needed, based on Legislative and

#### **BVNPT ADMINISTRATIVE PROCEDURES MANUAL**

		<ul> <li>Monitors, reviews, and recommends actions on current legislation and rulemaking proposals;</li> <li>Develops and advances new legislation and regulations to protect and benefit the Board and its stakeholders; and</li> <li>Reviews and recommends updates and amendments to the Board's Practice Acts and regulations.</li> </ul>	<ul> <li>Review new and updated lists of relevant legislation, and recommend action to the full Board;</li> <li>Communicate with legislators and stakeholders about Board legislative priorities;</li> <li>Inform stakeholders and public about Board's legislative priorities;</li> <li>Implement Strategic Plan goals;</li> <li>Review and suggest updates to practice acts and regulations;</li> <li>Review Sunset Report and legislation; and</li> <li>Draft, promulgate and implement regulation packages.</li> </ul>	Regulatory Calendars.
Enforcement	Enforcement Chief	<ul> <li>The Enforcement Committee:</li> <li>Ensures licensee, program, and applicant compliance with laws and regulations.</li> </ul>	<ul> <li>The function packages.</li> <li>The functions of the Enforcement committee include: <ul> <li>Evaluate operations and case management processes of the Enforcement Division;</li> <li>Provide guidance on compliance with Consumer Protection Enforcement Initiative (CPEI), emerging policy issues and best practices;</li> <li>Analyze statistics and trends and make recommendations for action to the full Board;</li> <li>Inform stakeholders and public about Enforcement programs, consumer safety, and Board priorities;</li> <li>Recognize program successes;</li> <li>Implement Strategic Plan goals; and</li> <li>Promote and support partnerships with the Division of Investigations (DOI) and the Office of the Attorney General (OAG), as well as other healing arts Boards and government agencies.</li> </ul> </li> </ul>	Quarterly, or as needed.

Executive	Executive Officer	The Executive Committee:	The functions of the Executive Committee	Monthly or as
Executive	Executive Officer	<ul> <li>Provides oversight and recommendations regarding administration of the Board;</li> <li>Provides a safe avenue for staff engagement;</li> <li>Directs and supervises the Executive Officer;</li> <li>Provides guidance to Board</li> </ul>	<ul> <li>include:</li> <li>Supervision and annual evaluation of Executive Officer;</li> <li>Review Board-wide policies and issues and make recommendations for action to the full Board;</li> <li>Oversee Strategic Planning process and implementation;</li> <li>Oversee Sunset Review and report process</li> </ul>	Monthly or as needed.
		members, and <ul> <li>Monitors all Board committees.</li> </ul>	<ul> <li>and implementation;</li> <li>Oversee fiscal planning, audit, and budget processes;</li> <li>Establish and communicate availability for direct staff engagement with Board;</li> <li>Assign agenda items to policy committees and monitor progress;</li> <li>Develop and propose Board calendar and call special meetings;</li> <li>Appoint standing and ad hoc committees;</li> <li>Approve Board Member requests for travel, reimbursement and payment of salary per</li> </ul>	
			<ul> <li>diem;</li> <li>Make interim decisions on emerging issues and report for ratification at Board meeting immediately following.</li> </ul>	

## Appendix B

## Sample Travel Forms

#### **BVNPT ADMINISTRATIVE PROCEDURES MANUAL**

#### **BVNPT BOARD MEMBER EXPENSE REPORT**

Month: \_\_\_\_\_\_Year: \_\_\_\_\_Year: \_\_\_\_\_

BOARD MEMBER: \_\_\_\_\_

BOARD MEETING DATES (if applicable): \_\_\_\_\_

Committee Meetings	Date	# of Hours*	Total Hours
Executive			
Education/Practice			
Enforcement			
Legislation/Regulations			
Licensing/Evaluation			
Total			

\*Actual time spent in Committee meeting(s).

Ballot/Reconsideration Review Date of Packet	Date(s) of Work	Number of Cases Reviewed	# of Hours**
Total			

\*\*Actual time spent on Mail Ballot Review/Voting.

#### **Other Duties:**

Activity	Date	# of Hours***
Total		

#### \*\*\*Actual time spent on activity.

Total # of hours: \_\_\_\_\_

I certify that on the above dates, I was engaged in performing the above duties and that no part of the claim has been paid and that services herein rendered were in accordance with the laws, rules, and regulations of the agency of the State for which compensation is claimed.

Signature:	Date Submitted:

Board President Signature: \_\_\_\_\_ Date Approved: \_\_\_\_\_

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#### **BVNPT ADMINISTRATIVE PROCEDURES MANUAL**

#### **BVNPT BOARD MEMBER TRAVEL EXPENSE REPORT**

Board Member:		Month/Yea	nr:	Car Licens	e Plate #:	
Home Address:			City:		Zip:	
Purpose of The Trip:				Destination:		
Depa	irture			Retu	rn	
Date:			Date:			
Time:	AM	PM	Time:		AM	PM

#### **Transportation Costs: \* Receipt required**

Airfare*	Rental Car*	Personal Car		Shuttle/Taxi/Uber/Lyft*	Parking*	Tolls*
		Mileage to event	Mileage from event			

#### **Meal Costs:**

Meal	Travel Day 1	Travel Day 2	Travel Day 3	Travel Day 4	Total
Breakfast - up to \$7					
Lunch - up to \$11					
Dinner - up to \$23					
Incidentals - up to \$5 for every full 24 hours of travel.					

Note: Incidentals include fees and tips for services such as porter and baggage handlers, postage charges, emergency purchases, business calls, etc. No receipt required.

You must retain meal receipts and other records of expenses. You no longer need to submit copies of meal receipts to the Board. Reimbursement is allowed for the actual cost up to the maximum allowed for each meal or incidental. Please specify the amount you wish to claim for each meal and/or incidentals. **Important Note: Only the amounts posted in the above table will be reimbursed**.

#### Lodging Costs: \* Receipt required

Hotel room total*:		Excess Lodging Approved:	Yes	No

#### Other Expenses not listed above: \* Receipt required

I certify that on the above dates, I was engaged in performing the above duties and that no part of the claim has been paid and that services herein rendered were in accordance with the laws, rules, and regulations of the agency of the State for which compensation is claimed.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Board President Signature:	
Revised 08/2019	
Page   32	

Date: \_\_\_\_\_

#### **BVNPT BOARD MEMBER EXPENSE REPORT INFORMATION**

#### Submitting the expense report:

Please complete and email your expense report to the Board's Executive Officer no later than the 10<sup>th</sup> day of each month to ensure review and approval by the Board President. Board members must use the BVNPT Board Member Expense Report and BVNPT Board Member Travel Expense Report for reimbursement. Previous expense forms are not accepted and use of previous forms delays reimbursement. NOTE: While you may file more than one month at a time, please use separate forms for each month. Be aware that if you send in requests for more than two or three months at a time, processing your request may be delayed.

#### Preparing the expense report:

Board members are compensated for <u>actual time spent</u> performing work authorized by the Board President (Section 103 of the Business and Professions Code).

- A full day's time is compensated when eight hours is accrued. For example, you cannot claim a full day of reimbursement for a two-hour committee meeting. Exception: an authorized meeting lasting over eight hours is considered one full day.
- Report time in one-hour increments. If your reported hours exceed a multiple of eight, the excess number will carry over to the next month's report.
- Car License Plate # is required if personal vehicle is used.

#### Travel Expenses:

Airline Expense(s):	Ticket stubs/receipt or the itinerary must be submitted with this expense report. The Department of Consumers Affairs will not process Travel Expense Claims without at least one of these items. Reimbursement will be delayed until you provide copies of this information.
Meal Expense(s):	Maximum reimbursement amounts are listed. Receipts are not required.
Lodging Expense(s):	An original receipt is required for reimbursement. If a receipt is lost and a duplicate cannot be obtained, the maximum reimbursement amount, without prior approval, is \$90 per night, plus tax. If excess lodging is not approved in advance, reimbursement amount is \$90 per night, plus tax.
Private Car Mileage:	State business conducted using your personal vehicle is reimbursed at \$.545 per mile. Please note that mileage will not be given when a rental car is obtained for travel.
Parking Expense(s):	Receipts are required for parking expenses exceeding \$10.00. If the parking receipt is lost and the total exceeds \$10.00, only \$10.00 is reimbursed.
Rental Car, Taxi, Shuttle, Uber, LYFT	All receipts are required for reimbursement.



# **COMMITTEE STRUCTURE**

## (ATTACHMENT 1c)

Committee	Lead Staff	Committee Purpose	Committee Functions	Performance Measurements	Meeting Frequency
Education/Practice	Supervising Nursing Education Consultant	<ul> <li>The Education Committee:</li> <li>Evaluates educational programs and policies that serve Board stakeholders.</li> </ul>	<ul> <li>The functions of the Education Committee include:</li> <li>Program Assessment;</li> <li>Review proposals and recommend action to full Board regarding schools, programs, policies and regulations;</li> <li>Evaluate operations of Education Division;</li> <li>Address Scope of Practice issues;</li> <li>Inform stakeholders and public about nursing education programs, consumer safety, and Board priorities;</li> <li>Recognize program successes; and</li> <li>Implement Strategic Plan goals.</li> </ul>		Quarterly, and as needed.
Licensing/Evaluation	Licensing Manager	<ul> <li>The Licensing Committee:</li> <li>Provides oversight to application and licensing functions; and</li> <li>Reviews and oversees complaint trends.</li> </ul>	<ul> <li>The functions of the Licensing Committee include:</li> <li>Review licensing and applicant processes at a policy level to ensure customer satisfaction;</li> <li>Inform stakeholders and public about Licensing and Evaluations processes, consumer safety, and Board priorities;</li> <li>Review Continuing Education Audit program;</li> <li>Review and analyze Board complaint trends and management, and recommend action to full Board as needed;</li> <li>Recognize program successes; and</li> <li>Implement Strategic Plan goals.</li> </ul>		Quarterly, or as needed.
Legislative and Regulation	Executive Officer	<ul> <li>The Legislative and Regulation Committee:</li> <li>Monitors, reviews, and recommends actions on current legislation and rulemaking proposals;</li> </ul>	<ul> <li>The functions of the Legislative and Regulation</li> <li>Committee include:</li> <li>Review new and updated lists of relevant legislation, and recommend action to the full Board;</li> <li>Communicate with legislators and stakeholders about Board legislative priorities;</li> </ul>		Quarterly and as needed, based on Legislative and Regulatory Calendars.

		<ul> <li>Develops and advances new legislation and regulations to protect and benefit the Board and its stakeholders; and</li> <li>Reviews and recommends updates and amendments to the Board's Practice Acts and regulations.</li> </ul>	<ul> <li>Review and suggest updates to practice acts and regulations;</li> <li>Review Sunset Report and legislation; and</li> </ul>	
Enforcement	Enforcement Chief	<ul> <li>The Enforcement Committee;</li> <li>Ensures licensee, program, and applicant compliance with laws and regulations.</li> </ul>	<ul> <li>The functions of the Enforcement committee include:</li> <li>Evaluate operations and case management processes of the Enforcement Division;</li> <li>Provide guidance on compliance with Consumer Protection Enforcement Initiative (CPEI), emerging policy issues and best practices;</li> <li>Analyze statistics and trends and make recommendations for action to the full Board;</li> <li>Inform stakeholders and public about Enforcement programs, consumer safety, and Board priorities;</li> <li>Recognize program successes;</li> <li>Implement Strategic Plan goals; and</li> <li>Promote and support partnerships with Division of Investigations (DOI) and the Office of the Attorney General (OAG), as well as other healing arts Boards and government agencies.</li> </ul>	Quarterly, or as needed.
Executive	Executive Officer	<ul> <li>The Executive Committee:</li> <li>Provides oversight and recommendations regarding administration of the Board;</li> <li>Provides a safe avenue for staff engagement;</li> </ul>	<ul> <li>The functions of the Executive Committee include:</li> <li>Supervision and annual evaluation of Executive Officer;</li> <li>Review Board-wide policies and issues and make recommendations for action to the full Board;</li> <li>Oversee Strategic Planning process and implementation;</li> <li>Oversee Sunset Review and report process and implementation;</li> </ul>	Monthly or as needed.

<ul> <li>Board members, and</li> <li>Monitors all Board committees.</li> <li>Appoint standing and ad hoc committees;</li> <li>Approve Board Member requests for travel, reimbursement and payment of salary per diem;</li> <li>Make interim decisions on emerging issues and report for ratification at Board meeting immediately following.</li> </ul>	
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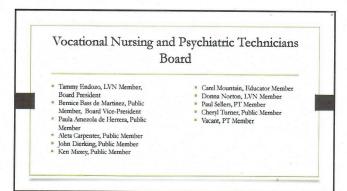


# NEW BOARD MEMBER ORIENTATION

(ATTACHMENT 1d)

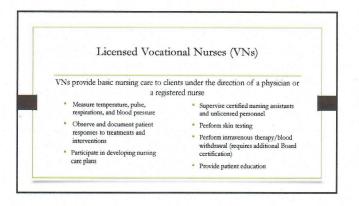


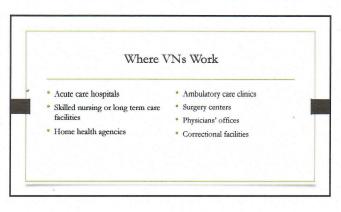
The Board Welcomes
Carel Mountain









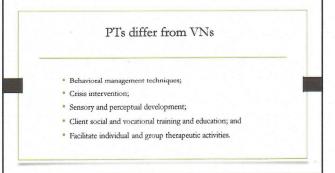


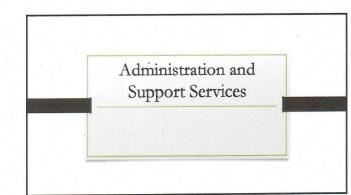
#### Psychiatric Technicians (PTs)

Provide care for mentally disordered or developmentally disabled clients under the direction of a physician, psychologist, rehabilitation therapist, social worker, registered nurse or other professional personnel.

#### Where PTs Work

- State hospitals and State developmental centers;
- County, city and private inpatient psychiatric facilities and outpatient mental health centers;
- · Vocational training centers; and
- · Correctional facilities





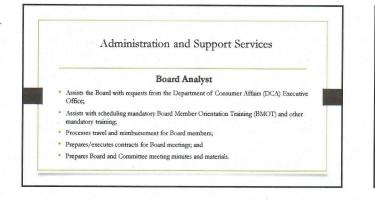


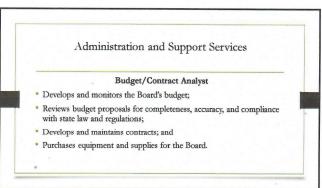
- Human Resources Liaison AGPA
- Budget/Contract Analyst Staff Services Analyst (SSA)
- Board Liaison SSA
- One mail room wizard Office Assistant (OA)

Administration and Support Services

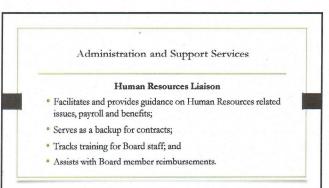
#### Staff Services Manager I

- · Manages the Administration and Support Services Team;
- Oversees emergency preparedness/response for the Board; and
- · Oversees all aspects of facility management.









#### Administration and Support Services

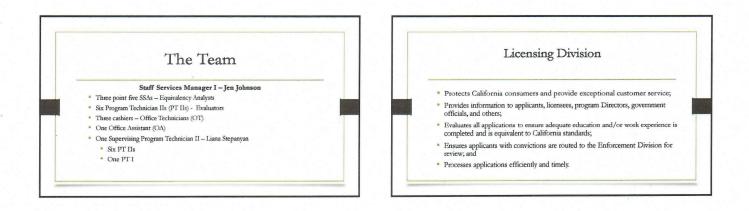
#### Information Technology (IT) Analyst

- Manages all on-site IT issues;
- Manages the system for incoming telephone calls;
- · Coordinates with DCA Office of Information Systems (OIS); Participates in BreEZe workgroups;
- · Develops and maintains contracts for purchasing software and electronics; and
- Creates statistical reports for the Licensing Division.

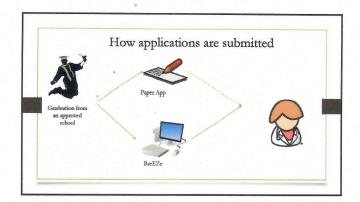
### Administration and Support Services Mailroom Wizard · Coordinates the movement of all incoming correspondence; Ensures mail (FedEx, certified, payments, etc.) is opened, date stamped and logged; and · Assists with surveying/repurposing unused items/equipment.

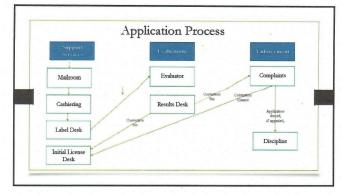




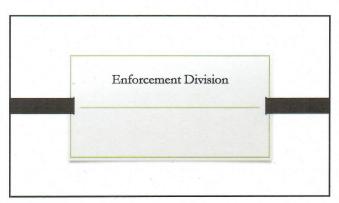


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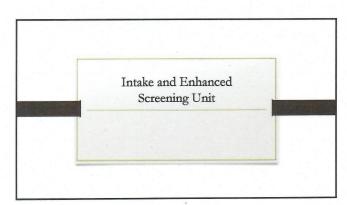




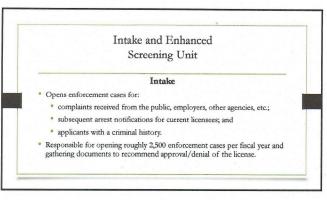


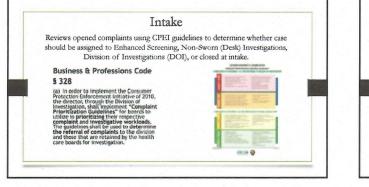


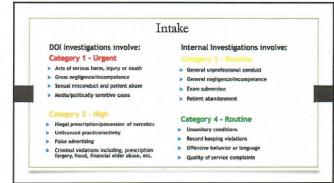


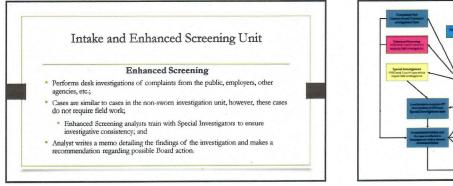


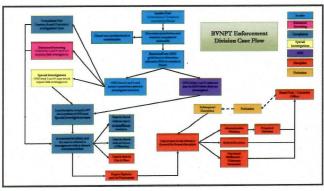








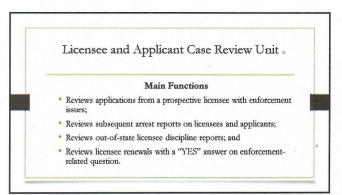


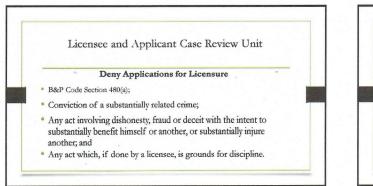


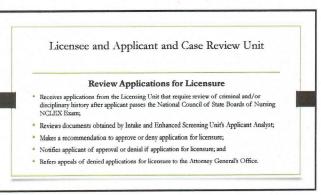


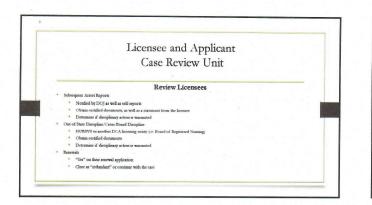










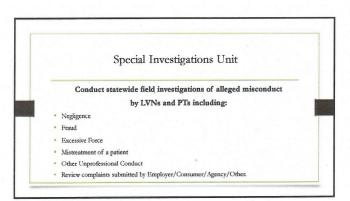


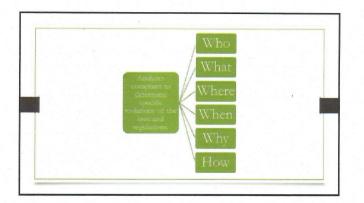
Licensee and Applicant
Case Review Unit
 Expert Witness and Attorney General
All completed Division of Investigation (DOI), Special Investigation, and Intake and Enhanced Screening cases regarding negligence/incompetence and other practice violations that need an expert opinion before referral to the Attorney General; and
Subsequent Arrest and Out-of-State Discipline cases can be referred to the Attorney General without an expert opinion.

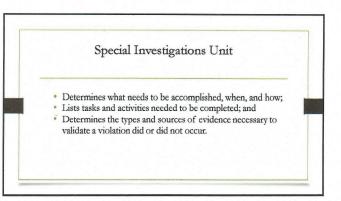


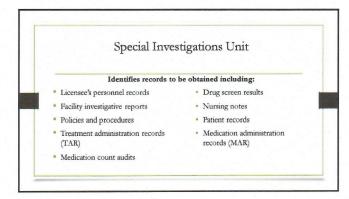


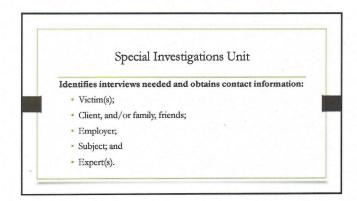


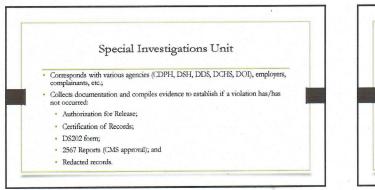


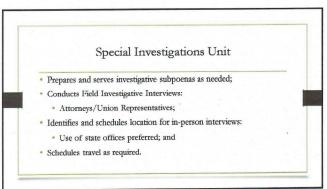


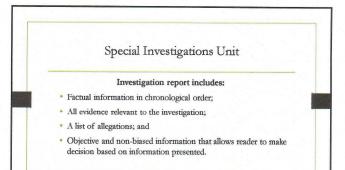


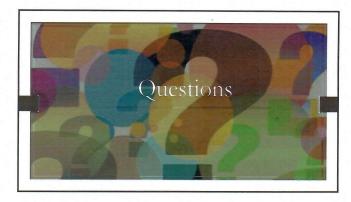


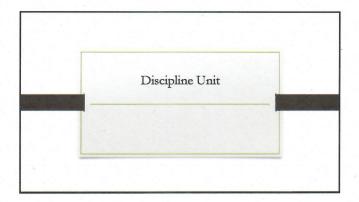




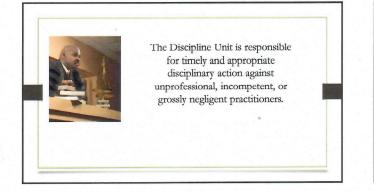


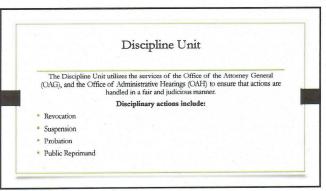


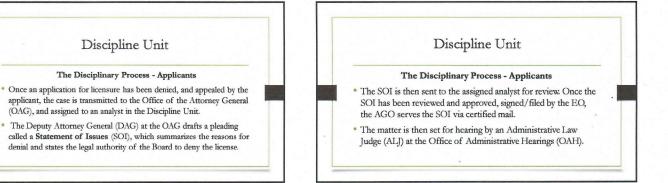


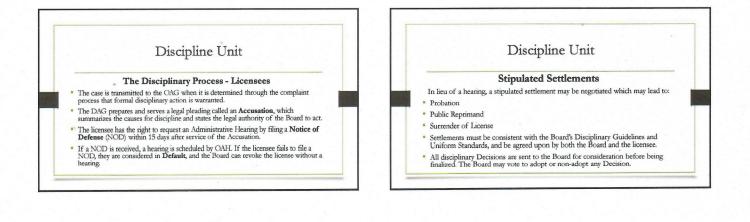


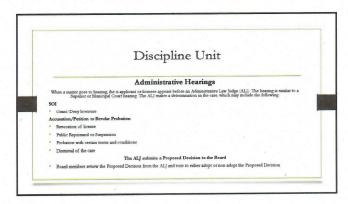
### The Team Staff Services Manager I – Jay Prouty • Three point five Associate Governmental Program Analysts • Two Staff Services Analysts



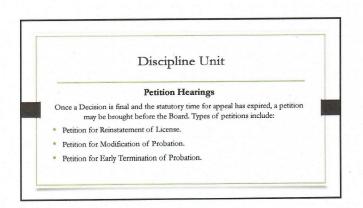


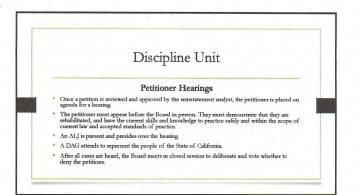


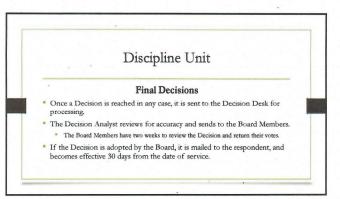


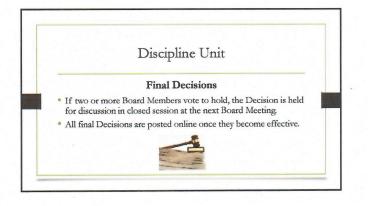


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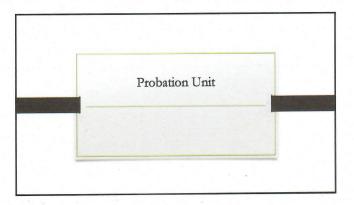




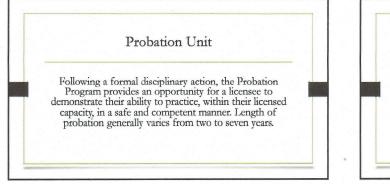


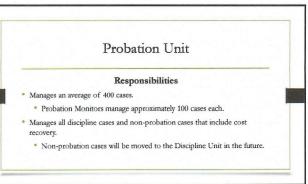


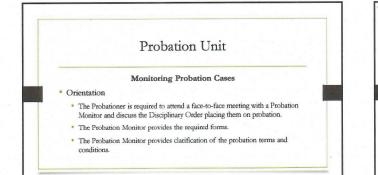






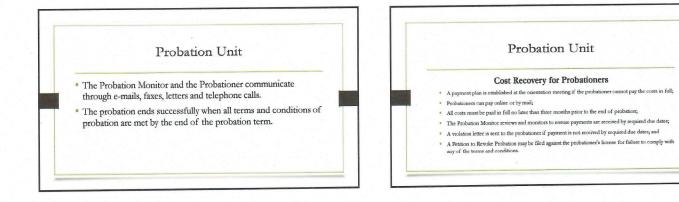


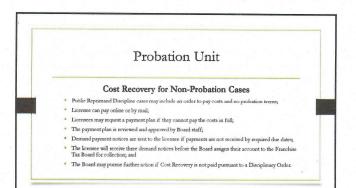


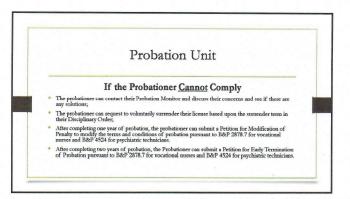


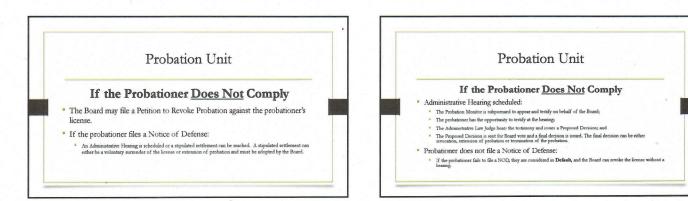


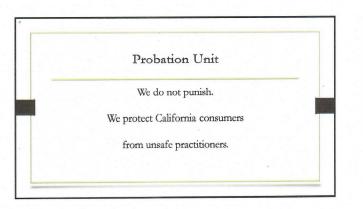
- · Comply with all terms and conditions of probation;
- Work in their licensed capacity;
- · Engage in educational coursework; and
- If ordered, submit to drug and alcohol testing and rehabilitation.



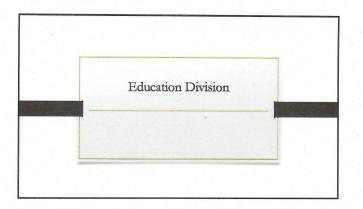


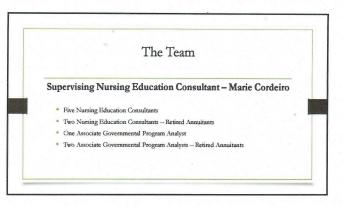








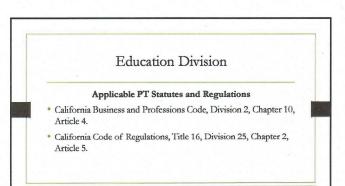


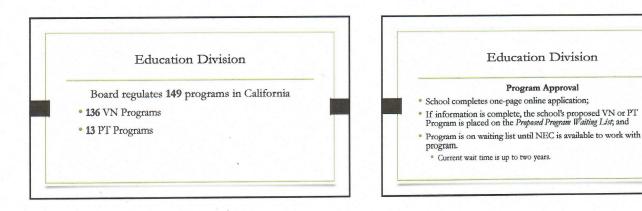


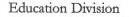
#### Education Division

Applicable VN Statutes and Regulations

- California Business and Professions Code, Division 2, Chapter
   6.5, Article 4.
- California Code of Regulations, Title 16, Division 25, Chapter 1, Article 5.

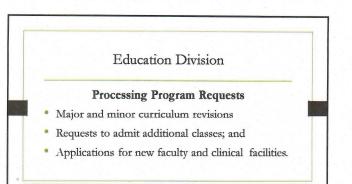


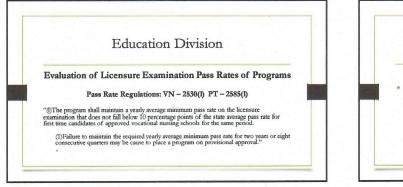


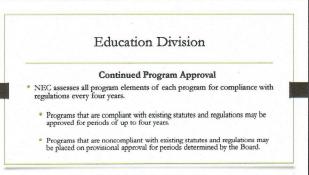


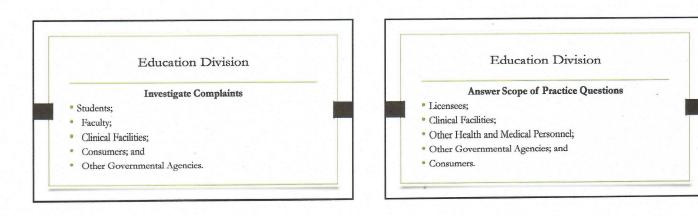
#### Active Review of New Program

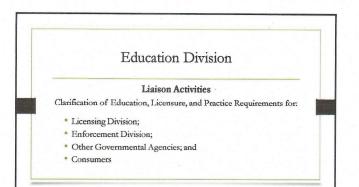
- The NEC systematically reviews all aspects of the program to ensure compliance with applicable statutes and regulations.
- When the program is fully compliant, the NEC prepares a Board Report and presents it to the Executive Officer for approval.

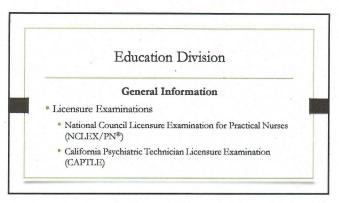


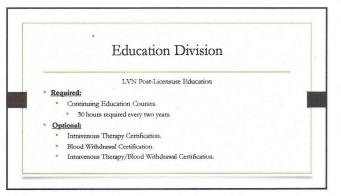


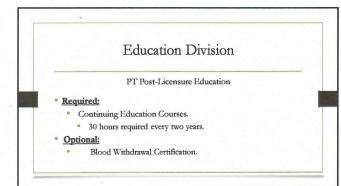










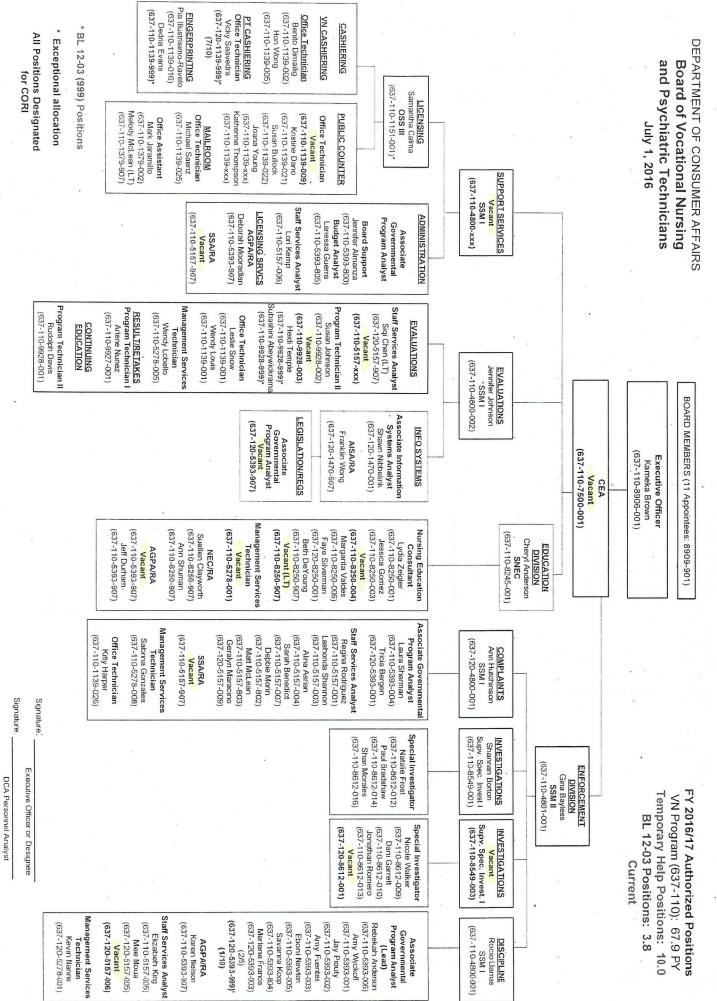






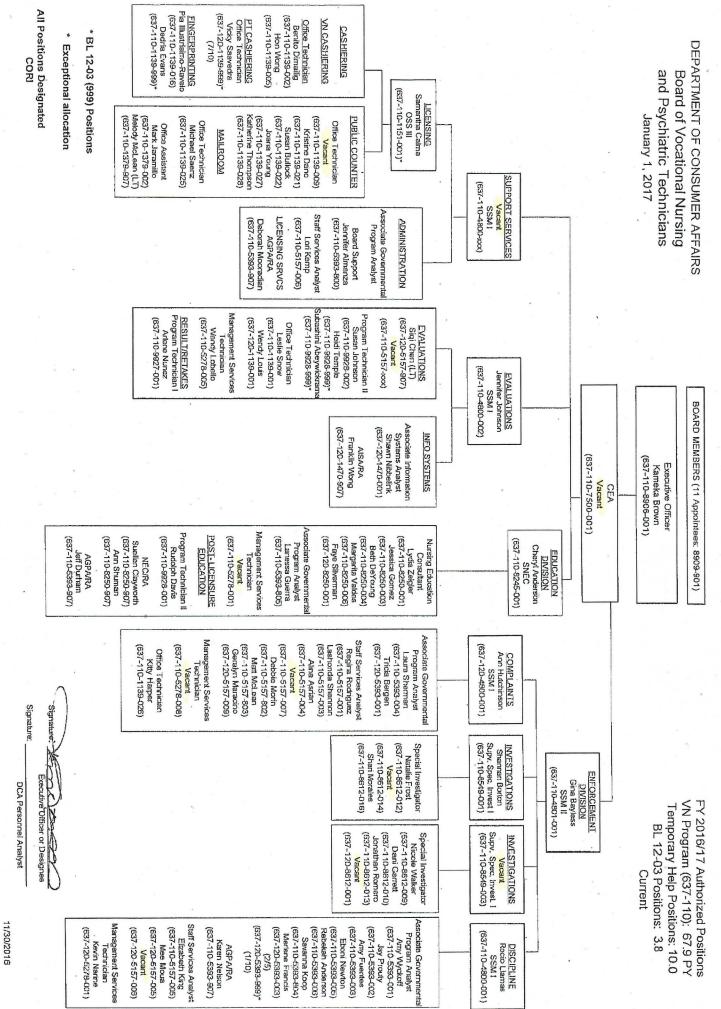
# ORGANIZATIONAL CHARTS

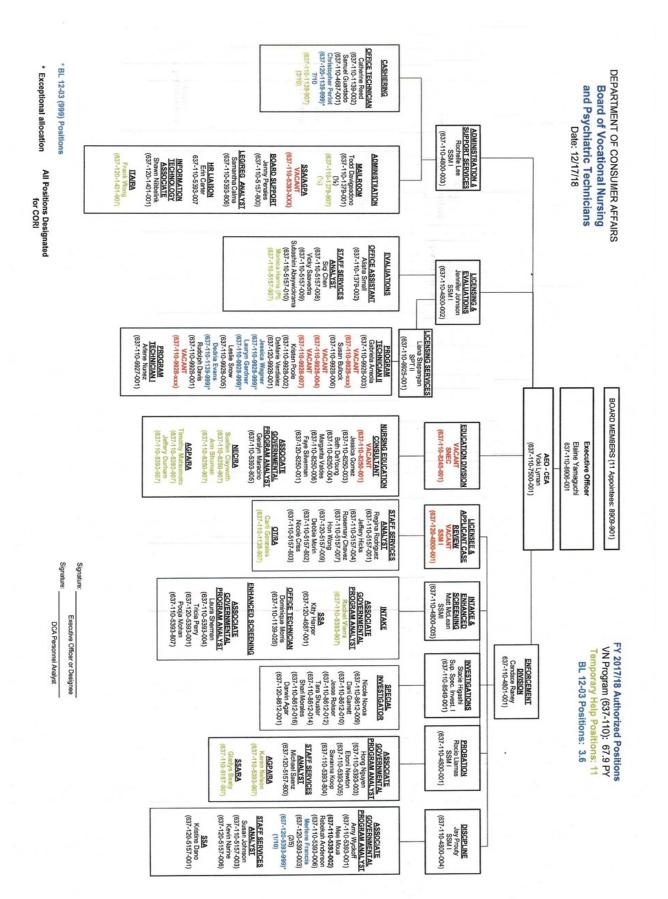
(ATTACHMENT 2a)



10/27/2016

/2016





\* BL 12-03 (999) Positions

All Positions Designated for CORI

OFFICE TECHNICIAN Catherine Reed (637-110-1139-002) Samuel Guardado (637-110-1139-027) Christopher Periot (637-120-1139-999)\* Zhristopher 2010 (637-120-1139-999)\* Zhristopher 2010 (637-120-1139-999)\* Zhristopher 2010 Zhristophe (637-110-1139-907) (3/10) CASHIERING DEPARTMENT OF CONSUMER AFFAIRS and Psychiatric Technicians **Board of Vocational Nursing** ADMINISTRATION & SUPPORT SERVICES Rochelle Lee SSM I (637-110-4800-003) Date: 06/2019 LEG/REG\_ANALYST Samantha Calma (637-110-5393-806) BOARD SUPPORT Jenny Penales (637-110-5157-800) MAILROOM Todd Davigeadono (637-110-1379-001) (1/2) (637-110-1379-907) (1/2) ITA/RA Frank Wong (637-120-1401-907) INFORMATION TECHNOLOGY ASSOCIATE Shawn Nibbelink (637-120-1401-001) HR LIAISON Amy Nguyen 637-110-5393-007 SSA/AGPA Vicky Saavedra (637-120-5157-801) ADMINISTRATION STAFE SERVICES ANALYSI Jessica Wagner (637-110-5157-008) DeMarie Verdialez (637-110-5157-009) Subashini Absynckrama (637-110-5157-010) OFFICE ASSISTANT Alisha Small (637-110-1379-002) (637-110-5157-907) EVALUATIONS LICENSING & EVALUATIONS Jennifer Johnson SSM I (637-110-4800-002) Licensing services Liana Stepanyan SPT II (637-110-9925-001) (637-110-9928-999)\* Lauryn Gardner (637-110-9928-999)\* Lesie Snow (637-110-9928-005) Dedria Evans (637-110-1928-999)\* Rudolph Davis (637-110-9928-009) Loriarne Barnot Loriarne Barnot 
 PROCRAM TECHNICIANI Gabriela Arreada (837-110-9828-003) Jacemiah Duribag (837-110-9828-004) (837-110-9828-004) Lydia Wark (837-110-9828-004) Michony Parker (837-110-9828-007) Anthony Parker (837-110-9828-001)
 PROGRAM TECHNICIAN I Arlene Nunez (637-110-9927-001) BOARD MEMBERS (11 Appointees: 8909-901) Associate Governmental Program Analyst Geralyn Maracino (637-110-5393-805) EDUCATION DIVISION Marie Cordeiro SNEC (637-110-8245-001) Nursing Education Consultant Circly Farchiel Circly Farchiel Jessica Cornez (637-110-6250-003) Beh DeYoung (637-110-6250-004) Mergariat Video (637-102-6250-005) Faye Stheman (637-120-6250-001) (637-110-8250-907) Ann Shuman (637-110-8250-907) (637-110-5393-907) Jeffery Durham (637-110-5393-907) AGPA/RA Fimothy Matsumoto AEO - CEA Vicki Lyman (637-110-7500-001) Elaine Yamaguchi 637-110-8906-001 NEC/RA Executive Officer STAFE SERVICES AMALYSI Regina Rodriguez (837-110-5157-001) Jessita Rayes (837-110-5157-004) Jessita Rayes (837-110-5157-007) Jessita Rayes LICENSEE & APPLICANT CASE REVIEW Mellissa Doss SSM I (637-120-4800-001) (637-110-5157-802) VACANT (637-110-5157-803) INTAKE & ENHANCED SCREENING Matt McLean SSMI (637-110-4800-005) ASSOCIATE GOVERNMENTAL PROGRAM ANALYST Laura Sherman (637-110-5393-004) ENHANCED SCREENING ASSOCIATE GOVERNMENTAL PROGRAM ANALYST VACANT (637-120-5393-001) Pooja Mohan (637-110-5393-807) OFFICE TECHNICIAN SSA Kitty Harper (637-120-4687-001) (637-110-1138-907) (637-110-1139-026) (637-110-5393-907) **OT/RA** INTAKE ENFORCEMENT DIVISION Candace Raney (637-110-4801-001) FY 2017/18 Authorized Positions VN Program (637-110): 67.9 PY **Temporary Help Positions: 11** INVESTIGATIONS Stacie Higashi Sup. Spec. Invest. I (637-110-8549-001) BL 12-03 Positions: 3.6 SPECIAL INVESTIGATOR Nicole Norva (837-110-6812-009) VACANT (837-110-6812-010) Jesse Rotser (837-110-6812-012) Tar Shuster (837-110-6812-012) Shari Norales (837-110-6812-012) Shari Norales (837-120-6812-001) PROBATION Rocio Llamas SSM I (637-110-4800-001) ASSOCIATE GOVERNMENTA PROGRAM ANALYST Hong Nguyen (637-110-5393-003) Any Fuentes (637-110-5393-804) Savanna Koop (637-110-5393-804) STAFF SERVICES ANALYST Michael Saenz (637-120-5157-800) (637-110-5393-907 ENFORCEMENT ANALYST VACANT (637-120-5157-8XX) 37-110-5157-90 AGPA/RA SSAIRA ASSOCIATE <u>COCERNMENTAL</u> <u>PROGRAMARIVST</u> Amy Wyckoff (37-110-5333-002) Rebeish Anderson (37-110-5393-002) Rebeish Anderson (37-110-5393-002) Merlenne Francis (37-120-5393-003) SSA Kristine Dano (637-120-5157-001) STAFF SERVICES ANALYST Susan Johnson (637-110-5157-003) DISCIPLINE Jay Prouty SSM I (637-110-4800-004) (2/5) (637-120-5393-999)\* (1/10)

Signature: Executive Officer or Designee
Signature: DCA Personnel Analyst



# **BVNPT OPEN HOUSE**

(ATTACHMENT 2b)

Please join us for an

Open House

Friday, November 30, 2018 10:00 a.m. to 12:00 p.m. 2535 Capitol Daks Drive, Suite 205 Sacramento, CA Please RSVP to 916-263-7851



The Board of Vocational Nursing and Psychiatric Technicians

# **BVNPT**

#### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

Welcome!

We're excited to share the progress we made in 2018. We have many new smiling faces on our team and we anticipate a full house by the end of the year!

Today's Open House includes a tour:

- Large Conference Room: Slide show "BVNPT Transformation"
- 11. Break Room
- III. BUNPT Public Lobby
- IV. 2nd Floor Enforcement Conference Room: "Trace a Case"
- $\vee$ . 4th Floor Enforcement Conference Room
- VI. 3rd Floor File Room: Refreshments and Greetings from our Executive Officer, Elaine Yamaguchi

#### Thank you for sharing your time with us!

# **BVNPT**

#### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

Welcome!

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- VI. 3rd Floor Fíle Room: Refreshments and Greetings from our Executive Officer, Elaine Yamaguchi
  - Thank you for sharing your time with us!



#### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

#### **Open House Sign-In**

Agency
BRE
R N P F
Sen BRED
CAPI
DCA
DLA/OHR
DCA
DeA
Delt
BCSH
DCA



#### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

#### **Open House Sign-In**

Name	Agency
Marina O'Connor	BPPE
Leeza Pitredi	BAE
Alana Bri.	DCA
Dennis Cuevas-Romero	DCA
Chris Shuttz	DCA
Christine Caro	CAPT
CAROL WRESMANN	CAPT
Niwlete	DCA
Trag_ montee	DeA
Matt Lege	SEIV-UHW
Catherine Ohnesbu	BCSH
Ren Deci	DCA, OPA
Jason Piccione	PCA
Karen Nelson	DCA
Pr-Momo	BBY
DAVID CLARISS	DCA
	5



# BVNPT TRANSFORMATION SLIDE SHOW

(ATTACHMENT 2c)

# BVNPT TRANSFORMATION

### Welcome to BVNPT March 5, 2018













The Legislature wants to know if BVNPT will be a success. We will show them that yes, BVNPT is a success!







The lobby carpet was stained...

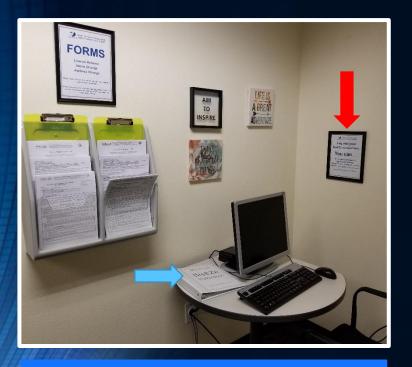


The computer station had no instructions...



The walls were mostly bare and the chairs were 20 years old.

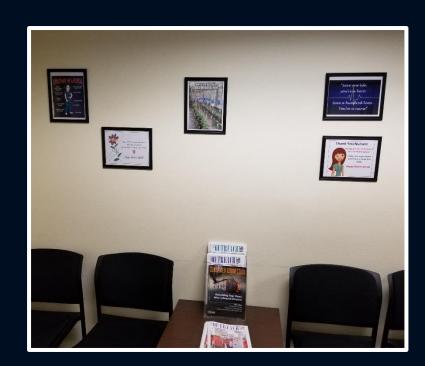
### Welcome to BVNPT in September 2018...



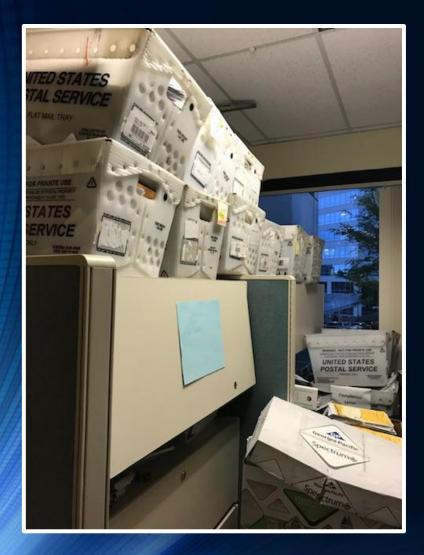
The computer station has instructions for using BreEZe and a sign indicating online services...



The new **monitor** provides BVNPT FAQs and inspirational messages...

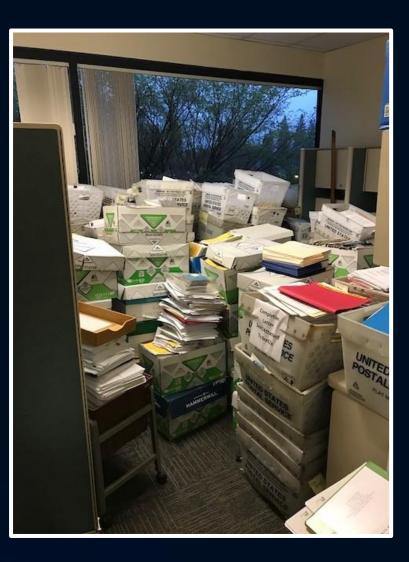


Framed inspirational messages line the walls and the new chairs are comfortable.



An entire office housed the remains of a failed continuing education audit. There were 112 tubs full of incoming mail and returned mail.

As we started to clean up the work areas, we kept adding boxes full of old documents to the room and filled it to capacity.





After receiving permission from BVNPT's Legal Counsel, we had a shred event at high noon on March 23, 2018.

We started to see office furniture as the shred event continued...





We had lots and lots of mail bins to return to the United States Postal Service.

By 3:00 p.m. that same day, our Administration Division Manager claimed the room for her office.

Number of boxes shredded: 250



The famous 3<sup>rd</sup> floor file room...

 158 boxes of active licensing files destined for the State Records Center.
 35 filing cabinets full of obsolete enforcement documents.

>Broken and worn office and modular furniture.



#### The 3<sup>rd</sup> floor file room was a hot mess!







## Welcome to BVNPT in April 2018



The enforcement team cleared out the 35 filing cabinets with the old enforcement cases and moved the boxes with the documents back to the 3<sup>rd</sup> floor file room for destruction.





We prepared for another shred event at the end of May 2018.



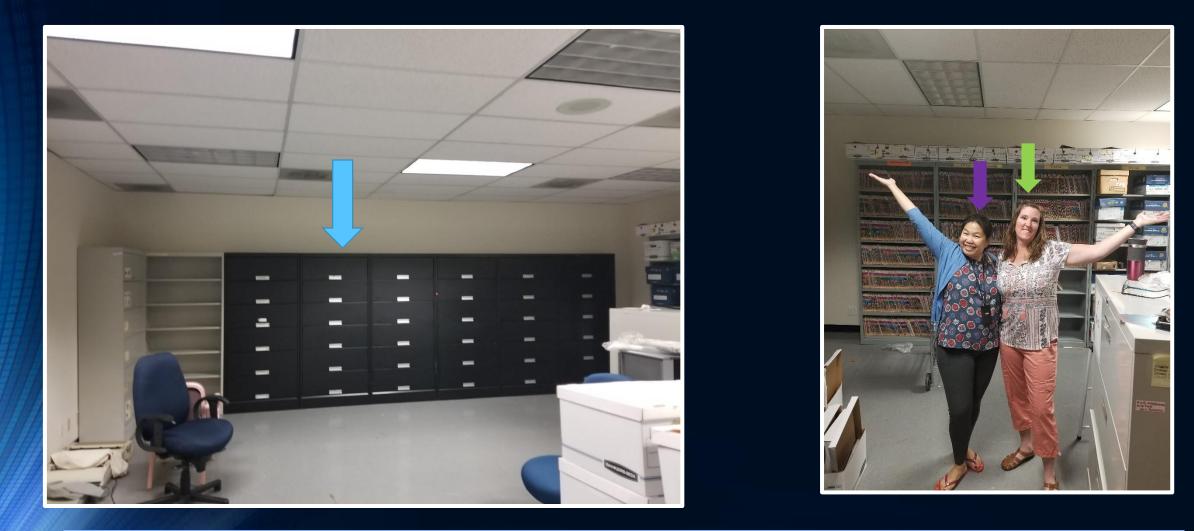
We had 13 rows of boxes, three across and stacked five high



#### Number of boxes shredded = 306

Number of boxes shredded since March 2018 = 556

#### Welcome to BVNPT in June 2018



We purchased **six filing cabinets** from State Surplus (why buy new?) and **Pia and Erin** started transforming the 3<sup>rd</sup> floor file room into an actual file room and not a junk room. They shelved the 158 boxes of active licensing files that were on the floor



YES!!! This is the 3<sup>rd</sup> floor file room!! Pia and Erin did an awesome job! We had another shred event in September. Number of boxes shredded = 168 They cleared out room in the 2<sup>nd</sup> floor licensing file room for new license files.





Number of boxes shredded since March 2018 = 724





BVNPT has had a 14' x 40' off-site storage space for over ten years. The rent is \$560/month. BVNPT has spent approximately \$67,200 to store supplies off-site. This storage space will be vacant mid-December. Paper and other supplies will be stored in the 3<sup>rd</sup> floor file room. The Board will save \$560/month. Moved out in January 2019! No more rent!!!

Using one-time salary savings we purchased the following for our team:

► New chairs – custom fitted for each team member; Sit/stand desks; >Dual 24" computer monitors; and >Video conferencing equipment for two conference rooms.

### Welcome to BVNPT in June 2018

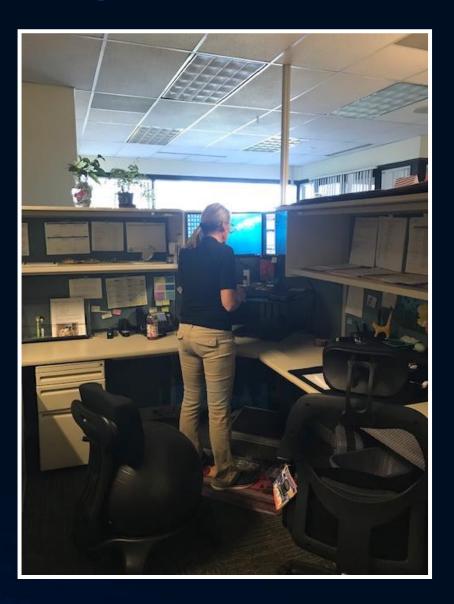


We rounded up the old, worn-out chairs and donated them to the Elk Grove School District. We purchased new chairs from PIA and each team member was fitted with a chair to increase comfort and productivity.

## Welcome to BVNPT in July 2018



We purchased sit/stand desks and dual 24" monitors for our team members....Sitting all day is the new smoking!



## Welcome to BVNPT in July 2018



In-house SOLID training using the video conferencing equipment in the large conference room.





Organizational Change Management team working on the BVNPT Business Processes Inventory.

### Welcome to BVNPT in July 2018



The Nursing Education Consultants (NECs) use the video conferencing equipment and *Skype* monthly with their remote team members.



The NECs want their own You Tube channel in Spring of 2019 with "how to" videos for school Directors to demonstrate how to properly fill out school applications, etc.

# DCA's Cloud technology is used by BVNPT's Licensing and Enforcement Divisions for security, efficiency and cost savings.





#### Send files to Vicky

Vicky Saavedra has invited you to send files

Name

Email Address

Company (optional)

By continuing, I agree that I will not upload malware, unlawful materials or content that violates the intellectual property rights of others, and my failure to abide by this agreement shall subject me to all legally permissible remedies at Egnyte's disposal.

Continue

# Benefits of the CloudDrive for schools:

- Cost effective.
- No documents lost or damaged.
- Applications processed faster.
- Protects confidential information.
- Accelerates employment process.
- Potential increased examination passage rate.
- Overall increased customer and stakeholder satisfaction.

Since the CloudDrive presentation at the February 2018 Director's Forum, nearly 60 schools use the cloud immediately after they graduate a new class.

The Enforcement Division uses the CloudDrive to send disciplinary files to Board members. This saves hundreds of dollars in postage and maintains the security of the information.



### Welcome to BVNPT in June 2018

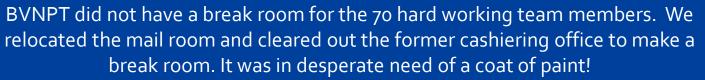


The prospect of six new mothers expedited the creation of a lactation room.

### Welcome to BVNPT in June 2018



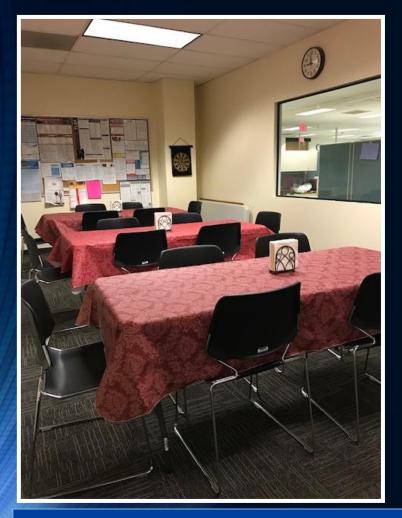








### Welcome to BVNPT in September 2018







The new break room is used for monthly brown bag lunches with the EO/AEO, random potlucks and bake sales that raise money for the BVNPT holiday party. We did get that coat of paint!













### BVNPT's Staff Appreciation lunch June 2018. Taco 'Bout Awesome!













#### Senate Bill No. 1480

#### CHAPTER 571

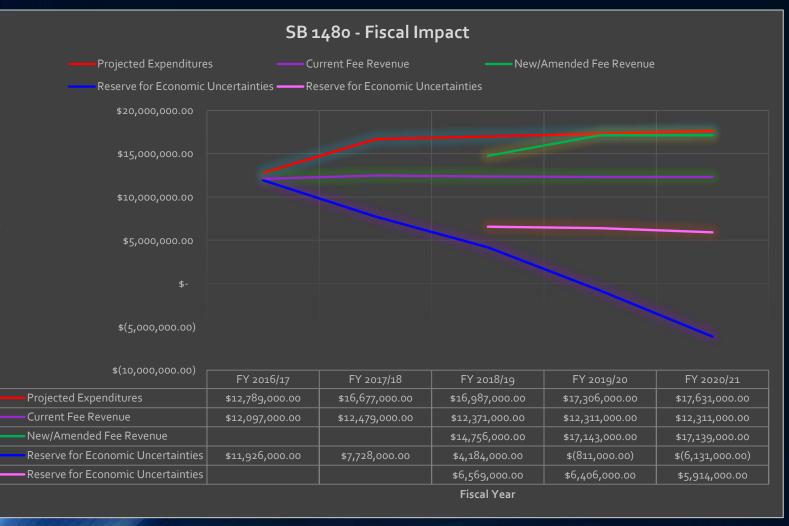
An act to amend Sections 101.7, 328, 2064.5, 2065, 2135, 2428, 2499.5, 2529.1, 2529.5, 2529.6, 2708, 2816, 2892.6, 2895, 3047, 3147, 3680, 4518, 4548, 4604, 4809.7, 4830, 4836.2, and 11506 of, and to add Sections 1006.5, 2892.7, 4518.1, 4826.4, 4829.5, and 4841.2 to, the Business and Professions Code, to amend Sections 7000, 7103, 8731, 8778.5, 8785, 103775, and 103780 of the Health and Safety Code, and to amend an initiative act entitled "An act prescribing the terms upon which licenses may be issued to practitioners of chiropractic, creating the State Board of Chiropractic Examiners, and declaring its powers and duties, prescribing penalties for violation hereof, and repealing all acts and parts of acts inconsistent herewith" approved by voters on November 7, 1922, (the Chiropractic Act) by amending Sections 5 and 12 of the act, relating to professions and vocations, and making an appropriation therefor.

[ Approved by Governor September 19, 2018. Filed with Secretary of State September 19, 2018. ]

LEGISLATIVE COUNSEL'S DIGEST

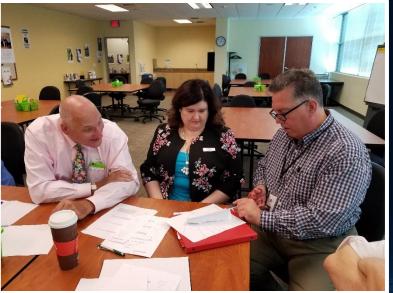
New/Amended BVNPT Fees *Effective January 1, 2019* 

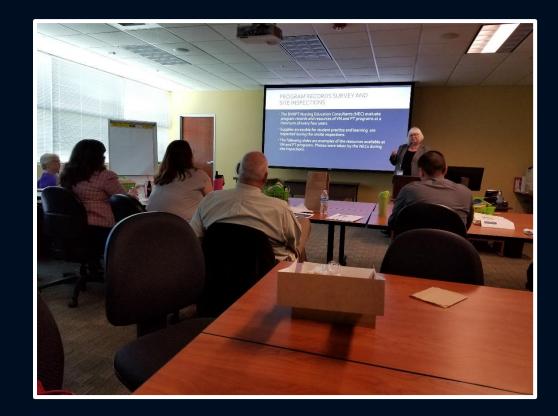
- Board staff researched and conducted an updated fee study and developed proposed legislative language in collaboration with the DCA Budget, Legislative, and Legal Offices.
- Staff conducted multiple stakeholder outreach meetings.
- Staff created a complete implementation plan to ensure successful enactment for January 1, 2019.



- SB 1480, ensures fiscal solvency for the coming years.
- The red line represents projected expenditures.
- The purple line represents revenue with its current fee structure (no fee amendments).
- The green line represents revenue with new fees in accordance with SB 1480.
- The blue line represents reserve for economic uncertainties with its current fee structure (no fee amendments).
- The pink line represents reserve for economic uncertainties with its new fees in accordance with SB 1480.







BVNPT Board members met with Respiratory Care Board members in June and September to discuss scope of practice issues and determine the best way to establish a collaborative approach to educate the health care industry on how the two practices intersect. Additional meetings are scheduled.



### Any Suggestions?





### **BVNPT INTERNAL TRAINING**

(ATTACHMENT 2d)



### ALL TEAM TRAINING

### (ATTACHMENT 2di)



### **BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS**

### 2018 All Staff Meeting

- 1:00 1:05 Welcome
- 1:05 1:30 Special Guest
- 1:30 2:30 Group Exercise
- 2:30 3:40 Group Presentations
- 3:40 3:50 BVNPT Expectations/Guidelines
- 3:50 4:00 Wrap Up

### Thank you for being the best team!

### Your Mission

Your team must present information about BVNPT's Administration Unit. This presentation must take no more than ten minutes, and each member of your team must have a speaking (or performing) role.

You may use whatever format you like. This includes, but is not limited to:

- Panel Discussion
- Sock Puppet Show
- Late Night Show Interview
- Tag Team lecture
- Interpretive Dance
- Classroom style lecture
- Rap
- Mock job interview

Some areas to consider:

- What is the main responsibility of this unit?
- Who manages this unit?
- How many people are working in this unit?
- What are some of the most important things this unit has done this year?
- What are some of the problems this unit encounters?
- How does this unit interact with mine?
- Why you would or would not want to work in this unit?

You may seek out a SME if there isn't someone from this unit on your team.

#### **BUT FIRST**:

Get to know your team mates. On a piece of paper, write down two lies and one truth about yourself. Go around the table, with each person reading their three items. Then, try to guess which item was true.

#### You have one-hour total

### Your Mission

Your team must present information about BVNPT's Discipline Unit. This presentation must take no more than ten minutes, and each member of your team must have a speaking (or performing) role.

You may use whatever format you like. This includes, but is not limited to:

- Panel Discussion
- Sock Puppet Show
- Late Night Show Interview
- Tag Team lecture
- Interpretive Dance
- Classroom style lecture
- Rap
- Mock job interview

Some areas to consider:

- What is the main responsibility of this unit?
- Who manages this unit?
- How many people are working in this unit?
- What are some of the most important things this unit has done this year?
- What are some of the problems this unit encounters?
- How does this unit interact with mine?
- Why you would or would not want to work in this unit?

You may seek out a SME if there isn't someone from this unit on your team.

#### **BUT FIRST:**

Get to know your team mates. On a piece of paper, write down two lies and one truth about yourself. Go around the table, with each person reading their three items. Then, try to guess which item was true.

#### You have one-hour total

### Your Mission

Your team must present information about BVNPT's EO and AEO. This presentation must take no more than ten minutes, and each member of your team must have a speaking (or performing) role.

You may use whatever format you like. This includes, but is not limited to:

- Panel Discussion
- Sock Puppet Show
- Late Night Show Interview
- Tag Team lecture
- Interpretive Dance
- Classroom style lecture
- Rap
- Mock job interview

Some areas to consider:

- What are the main responsibilities of the EO/AEO
- What are some of the most important things the EO/AEO have done this year?
- What are some of the problems the EO/AEO encounter?
- Why you would or would not want to be an EO/AEO for BVNPT?

#### **BUT FIRST:**

Get to know your team mates. On a piece of paper, write down two lies and one truth about yourself. Go around the table, with each person reading their three items. Then, try to guess which item was true.

#### You have one-hour total

## PROBATION



## Gabby Arreola **Kristine Dano** Laura Sherman **Regina Rodriguez** Jesse Rokser **Erin** Carter







## Lauryn Gardner **Kevin Narine** Dani Garrett Shawn Nibbelink Jeffrey Durham **Arlene Nunez**

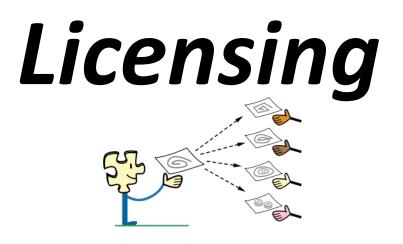
## Administration



## Siqi Chen Rebekah Anderson Hong Nguyen Hon Wong Darwin Agar Samuel Guardado Geralyn Maracino



## Demarie Verdialez Mee Moua Karen Nelson Debbie Morin Catherine Reed **Rudy** Davis



## Jessica Wagner Amy Wycoff **Gladys Beaty** Chris Perlot Shari Morales Rachel Vierra Susan Bullock

# INVESTIGATIONS



## Leslie Snow **Rosemary Chavez** Suellen Clayworth **Dominique Morris** Michael Saenz **Tricia** Perry

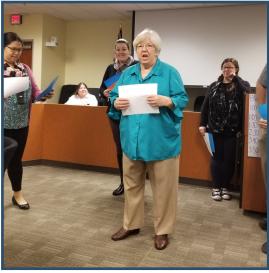
### ENHANCED SCREENING



## Dedria Evans Susan Johnson Savanna Koop Nicole Criss Tara Shuster Pia Illustrisimo-Ravelo Michael Ballard







All Team Training December 2018 Special Guest: Mona Pasquil









### MANAGEMENT BOOT CAMP

(ATTACHMENT 2dii)

### **Management Bootcamp**

### AGENDA

#### February 8, 2019

- 8:30 9:25 Introduction, Overview, Ground Rules, and Leadership Exercise – Elaine
- 9:30 10:30 Performance Management Annie Herald
- 10:30 10:40 Break
- 10:40 11:00 The Consistent Message Vicki
- 11:00 12:00 Being the Leader Elaine
- 12:00 1:00 Lunch Provided
- 1:00 1:30 What's Next and adjourn

## Management



Bootcamp

# Ground Rules



- $\Rightarrow$  Whatever is said in the room...stays in the room.
- $\Rightarrow$  Speak honestly.
- ⇒ Everyone participates; no one dominates.
- $\Rightarrow$  One speaker at a time.
- $\Rightarrow$  Disagree without being disagreeable.
- $\Rightarrow$  All ideas are valid.
- ⇒ Challenge cherished beliefs.
- ⇒ With transformation, expect anxiety.
- ⇒ Speak your truth without blame or judgement.
- $\Rightarrow$  Expect to be surprised.
- $\Rightarrow$  Have fun.
- $\Rightarrow$  What else?

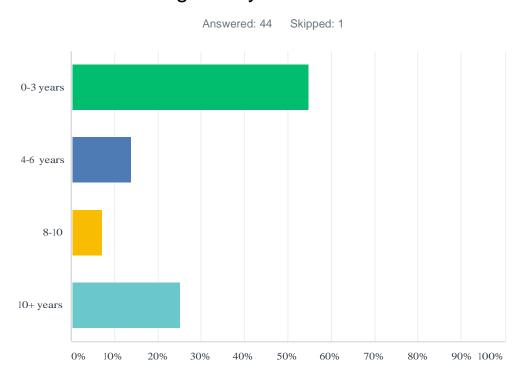
### Management Boot Camp

Define leadership:
List five qualities a good boss possesses:
1
2
3
4
5
My management style is:
Three things I do well:
1
2
3
I could do better (work related):
I hate doing (work related):
I am at a 1-10 on the conflict scale (1-hate conflict, 10-bring it on):
Explain:
If I could have any ONE job at BVNPT, it would be:



### STAFF ENGAGEMENT SURVEY

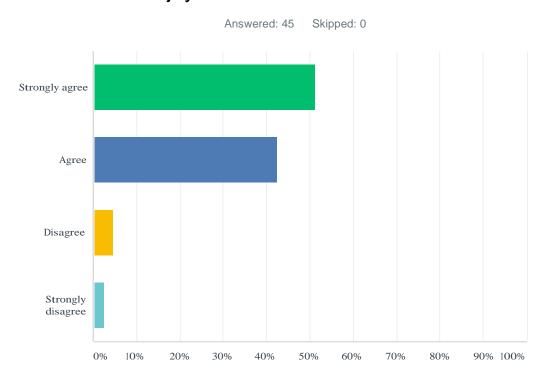
(ATTACHMENT 2e)



#### BVNPT Employee Survey - March 26, 2018

ANSWER CHOICES	RESPONSES	
0-3 years	54.55%	24
4-6 years	13.64%	6
8-10	6.82%	3
10+ years	25.00%	11
TOTAL		44

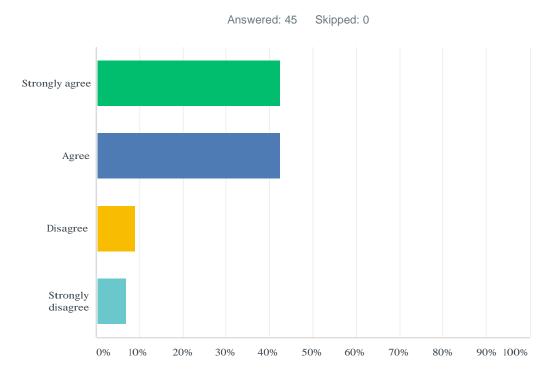
### Q1 How long have you worked at BVNPT?



#### **BVNPT** Employee Survey

ANSWER CHOICES	RESPONSES	
Strongly agree	51.11%	23
Agree	42.22%	19
Disagree	4.44%	2
Strongly disagree	2.22%	1
TOTAL		45

### Q2 I enjoy the work I do here at BVNPT.

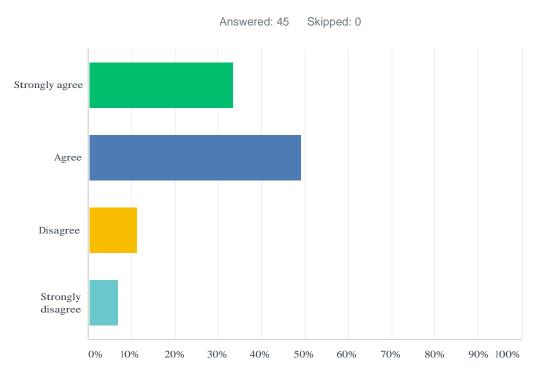


#### **BVNPT** Employee Survey

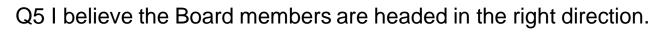
ANSWER CHOICES	RESPONSES	
Strongly agree	42.22%	19
Agree	42.22%	19
Disagree	8.89%	4
Strongly disagree	6.67%	3
TOTAL		45

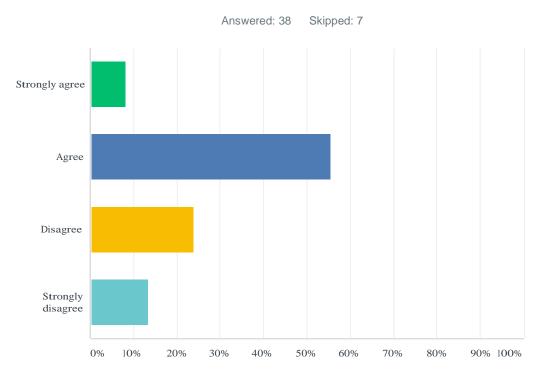
### Q3 I feel like a valued part of the team.

### Q4 I believe my opinions and suggestions are welcomed and considered in decisions.



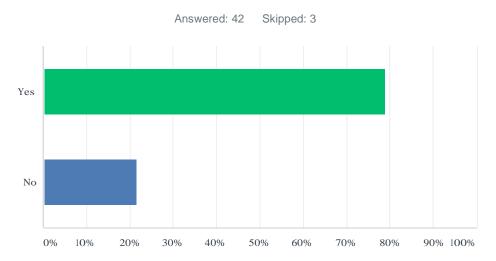
ANSWER CHOICES	RESPONSES	
Strongly agree	33.33%	15
Agree	48.89%	22
Disagree	11.11%	5
Strongly disagree	6.67%	3
TOTAL		45





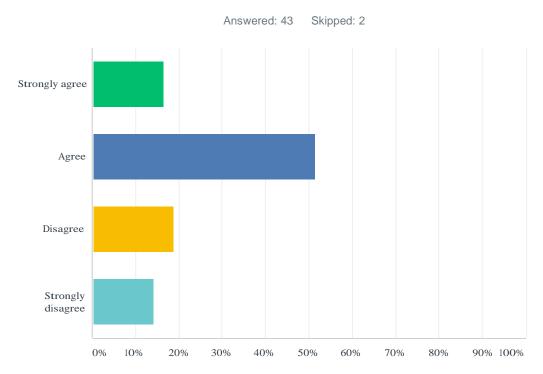
ANSWER CHOICES	RESPONSES	
Strongly agree	7.89%	3
Agree	55.26%	21
Disagree	23.68%	9
Strongly disagree	13.16%	5
TOTAL		38

### Q6 I believe management is heading in the right direction.



ANSWER CHOICES	RESPONSES	
Yes	78.57%	33
No	21.43%	9
TOTAL		42

### Q7 I believe I am afforded advancement opportunities here at the Board.



ANSWER CHOICES	RESPONSES	
Strongly agree	16.28%	7
Agree	51.16%	22
Disagree	18.60%	8
Strongly disagree	13.95%	6
TOTAL		43

### Q8 What areas would you like further training in?

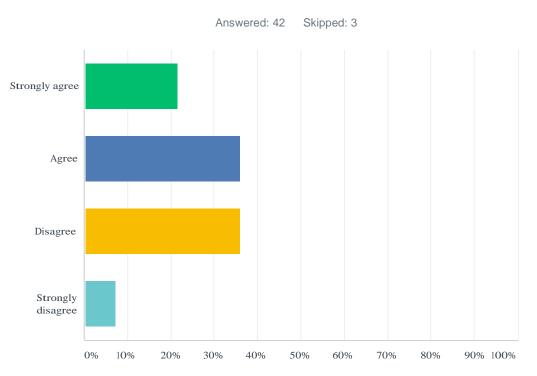
Answered: 30 Skipped: 15

#	RESPONSES	DATE
	Public speaking	3/21/2018 3:10 PM
	How to reverse the aging process.	3/20/2018 1:46 PM
	Training is not an issue here. I have always felt, if asked, I would receive what I needed.	3/20/2018 8:23 AM
	At present we have support and guidance as indicated	3/19/2018 12:02 PM
	My ultimate goal is to get to AGPA status.	3/19/2018 10:51 AM
	Enforcement Case Management	3/18/2018 2:51 PM
	Enforcement	3/15/2018 10:37 AM
	Promotional areas	3/13/2018 12:05 PM
	Would like to learn more about the regulation and legislative part. We need to update and improve our laws and regulations. Also would be nice to cross train in other units.	3/13/2018 9:39 AM
)	To clearly understand the Requirements and Enforcement Staff Position Training for possible hire in the future	3/12/2018 11:20 AM
1	I am trained in most licensing areas. I don't believe any further training is necessary for my position.	3/12/2018 10:53 AM
2	Enforcement HR any cross training	3/12/2018 10:31 AM
3	More BreEZe training and allowing some of us more access to BreEZe	3/12/2018 9:58 AM
4	cross training in some different units	3/9/2018 3:48 PM
5	Equivalency and Military requirements.	3/9/2018 10:02 AM
6	investigations/enforcement	3/9/2018 9:00 AM
7	ACCESS	3/8/2018 3:41 PM
3	None. Training is always encouraged.	3/8/2018 3:18 PM
9	Management/supervision; however, to my knowledge, an individual must hold a manager/supervisor position to be eligible to take training in those areas.	3/8/2018 2:35 PM
C	How to work under bad bosses without losing your mind.	3/8/2018 1:34 PM
1	Investigations	3/8/2018 1:14 PM
22	Evaluating Equivalency applications. We lost too many experienced evaluators who contributed to change the process. We did not have access to NEC staff past few years, so, I followed the instructions given my mentor to evaluate equivalency application. in addition, I did my own research and familiarize with the rules and regulations. However, I still have questions and doubts that need to be answered. I did not get a chance to attend training courses last few years due to	3/8/2018 12:45 PM
	lack of staff and backlog.	0/0/0040 40 40 554
3	I would like to advance my career at with the State and Jen Johnson has been great with getting me into trainings and activities that will potentially help me gain a better understanding how what is needed to promote.	3/8/2018 12:43 PM
4	Up grading my desk for all that I do!	3/8/2018 12:32 PM
5	Computer application	3/8/2018 12:31 PM
6	Training that is offered outside DCA that would be applicable to my current position.	3/8/2018 12:25 PM
7	None - I have had training available to me as needed	3/8/2018 12:20 PM

### BVNPT Employee Survey

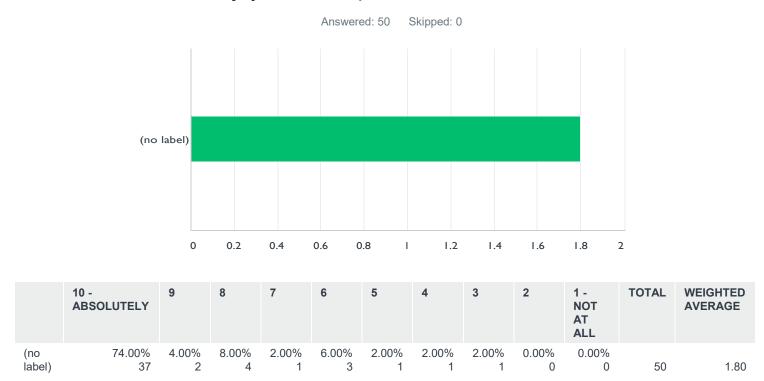
28	Once and for all train all staff with business process and preserve the ones that has been working efficiently.	3/8/2018 12:18 PM
29	Once I am up to speed here I would like to train on everything so that I can see how everything is connected.	3/8/2018 12:12 PM
30	none at this time	3/8/2018 12:09 PM

## Q9 I am kept well informed by management of what's going on within the Board.

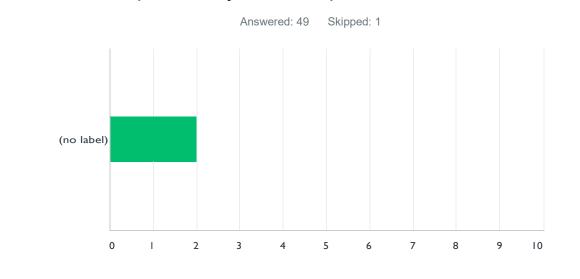


ANSWER CHOICES	RESPONSES	
Strongly agree	21.43%	9
Agree	35.71%	15
Disagree	35.71%	15
Strongly disagree	7.14%	3
TOTAL		42

Q1 I enjoy and take pride in the work that I do.



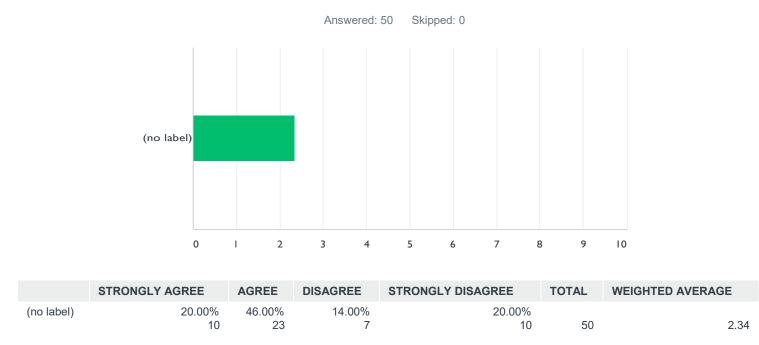
Q2 BVNPT's work environment and culture has improved forme personally over the past 9 months.



	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	(NO LABEL)	TOTAL	WEIGHTED AVERAGE
(no label)	42.86% 21	28.57% 14	14.29% 7	8.16% 4	6.12% 3	49	2.06

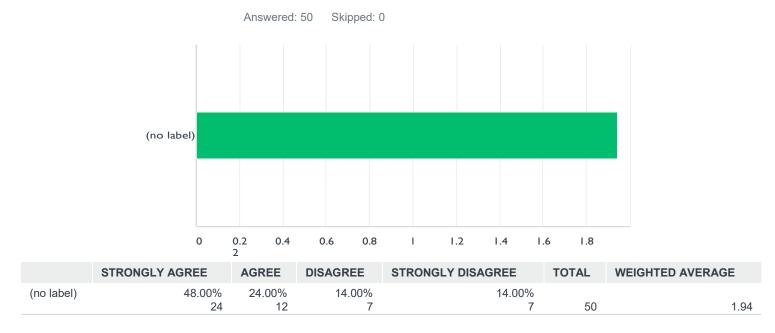
### BVNPT Staff Engagement Survey 2018

### Q3 Staff is regularly informed about issues and possible changes.

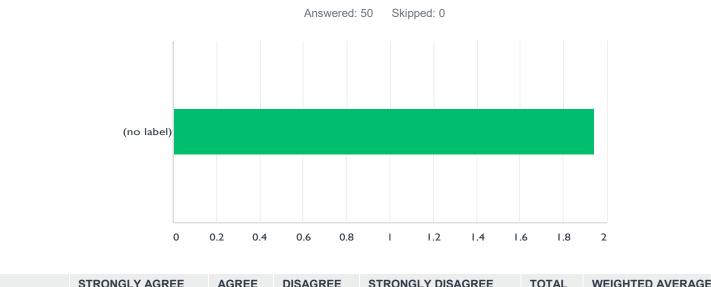


## Q4 I feel safe and comfortable approaching BVNPT management and Executives with ideas and concerns.

10/11/2018 12:18 PM

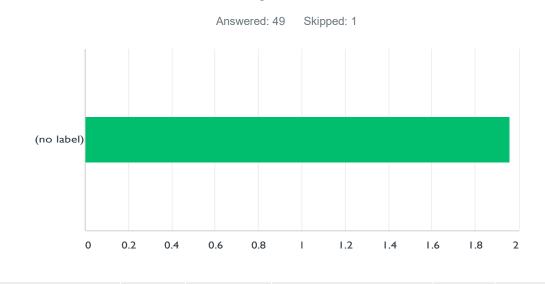


## Q5 I feel that I have the resources, equipment, and training needed to do my job well.



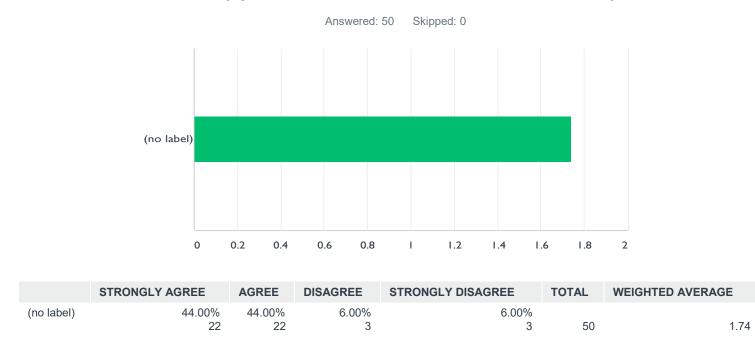
8	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	TOTAL	WEIGHTED AVERAGE
(no label)	30.00% 15	52.00% 26	12.00% 6	6.00% 3	50	1.94

Q6 BVNPT's Executive Management is proactively addressing theissues affecting the Board.

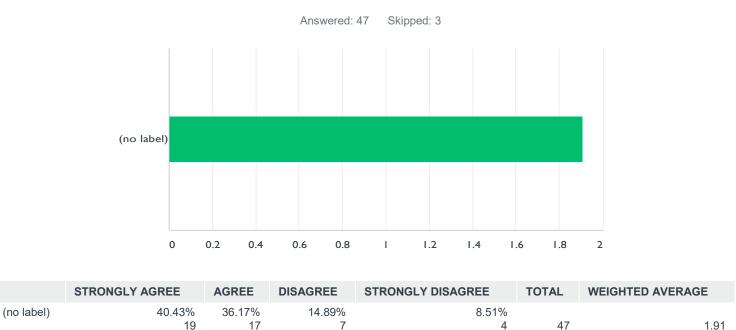


	STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	TOTAL	WEIGHTED AVERAGE
(no label)	40.82%	32.65%	16.33%	10.20%		
	20	16	8	5	49	1.96

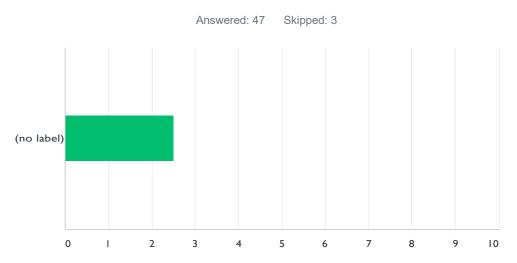
### Q7 I feel that my job responsibilities or duties are clearly defined.



Q8 My manager and the Board's management team has demonstrated genuine interest in and support for me and my career development.



### Q9 It really feels like everyone is on the same team at the Board.



		STRONGLY AGREE	AGREE	DISAGREE	STRONGLY DISAGREE	TOTAL	WEIGHTED AVERAGE
(no lat	bel)	17.02%	36.17%	25.53%	21.28%		
		8	17	12	10	47	2.51



# TEAM MEMBER APPRECIATION

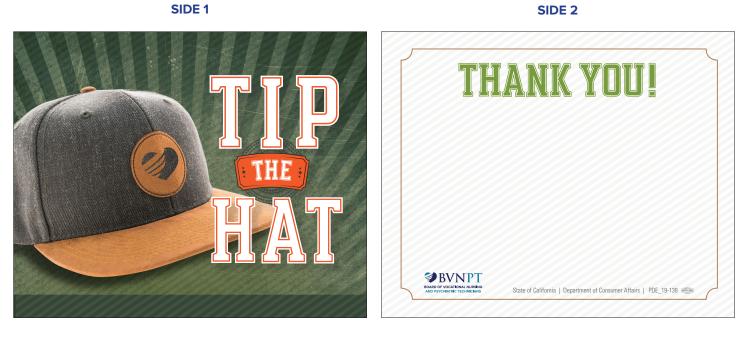




# **TIP THE HAT**

(ATTACHMENT 2fi)

### **BVNPT TEAM APPRECIATION PROGRAM MATERIALS**



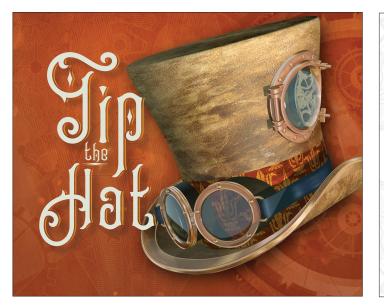
### **BVNPT "Tip The Hat" Cards**



### **BVNPT TEAM APPRECIATION PROGRAM MATERIALS**

### **BVNPT "Tip The Hat" Cards**

SIDE 1





SIDE 2





### **BVNPT TEAM APPRECIATION PROGRAM MATERIALS**

### **BVNPT "Tip The Hat" Cards**





SIDE 1



SIDE 2



# **CERTIFICATES OF APPRECIATION**

(ATTACHMENT 2fii)

**BVNPT "Certificates of Appreciation"** 



Certificate of Appreciation This certificate is presented to
Anne In recognition of your dedicated service and outstanding contributions towards the success of the Board of Vocational Nursing and Psychiatric Technicians We present this award on:
Date Degender

**BVNPT "Above and Beyond" Certificates** 







## **TACO'BOUT AWESOME** 2018-2019

(ATTACHMENT 2fiii)



Taco 'Bout Awesome 2018 Team Appreciation Lunch





## THANK YOU NOTES

## (ATTACHMENT 2fiv)

From:	Bullock, Susan@DCA
To:	Lee, Rochelle@DCA; Yamaguchi, Elaine@DCA; Lyman, Vicki@DCA
Cc:	Ball, Eboni@DCA
Subject:	FW: Application Status
Date:	Tuesday, March 6, 2018 10:32:59 AM

From: Daniel McGillis [mailto:mcgillisdaniel2145@gmail.com]
Sent: Wednesday, February 28, 2018 1:33 PM
To: DCA, Bvnpt@DCA <Bvnpt@dca.ca.gov>
Subject: Application Status

Hello, I recently called your office regarding my licenses being placed on inactive status. And aside from the ½ hour wait time I have nothing but good things to say about the help I received. The problem being that I had submitted the wrong application so there was no proof that I had my 30 CEUs. The operator assured me that this happens and took the proof of hours, fixed my license and had me out the door in 10 min. No muss, no fuss, bing bang boom. I am glad to know that the people working in your office are so professional and capable. My name is Daniel McGillis last 4 is 2145. The operator was Eboni Ball. Friendly, professional and fast. Good job! Thanks for taking care of me. Now I will go back to taking care of my patients.

One thing you may try to have set up, an automatic call back system so that people are not stuck on the phone.

Cheers

Daniel McGillis LVN

From:	Lyman, Vicki@DCA
То:	Chen, Siqi@DCA
Subject:	FW: Thank You Letter of Appreciation
Date:	Monday, April 30, 2018 7:19:00 AM
Attachments:	image004.png

Hi Siqi-

Thank you for your awesome customer service! I appreciate you!!!



From: Johnson, Jen@DCA Sent: Friday, April 27, 2018 11:06 AM Subject: FW: Thank You Letter of Appreciation

### Kudo's to Siqi!!

Below is email I received from an applicant Siqi has helped several times, and he is now an LVN! Good job Siqi on your assistance with Mr. White! The Board truly appreciates you and your hard work!!



Thank you,

### Jen Johnson | Staff Services Manager I

-----Original Message-----From: Trenton White [mailto:trenton.l.white@gmail.com] Sent: Friday, April 27, 2018 9:37 AM To: Johnson, Jen@DCA <<u>Jen.Johnson@dca.ca.gov</u>> Subject: Thank You Letter of Appreciation

Hello Jen,

Your employee Siqi has assisted me throughout my licensure endeavor. He was very attentive and quick to respond with every need that I had. He made sure to let me know everything that was going on. His attitude stayed the same, even when I kept sending emails and bothering him. I have had quite the experience with some other boards, none of course as satisfying as this one. I wish to thank him by letter of appreciation via your email. If he is due for any promotions, I'm sure he would be up for the task! Whatever you're doing to train your employees, please do not change! Forever thankful to him and your organization.

Trenton L White LVN

Lyman, Vicki@DCA
Thompson, Katherine@DCA
RE: Commendation
Thursday, May 31, 2018 10:14:00 AM
image001.png
image003.png
image004.png
image005.png
image006.png
image007.png
image008.png

Suba-

You are doing a fantastic job and I appreciate you!

Thanks! Vicki



From: Thompson, Katherine@DCA
Sent: Thursday, May 31, 2018 7:38 AM
To: Johnson, Jen@DCA <Jen.Johnson@dca.ca.gov>; DCA BVNPT staff <BVNPT\_staff@dca.ca.gov>
Cc: Yamaguchi, Elaine@DCA <Elaine.Yamaguchi@dca.ca.gov>; Lyman, Vicki@DCA
<Vicki.Lyman@dca.ca.gov>
Subject: RE: Commendation

YOU ARE <u>ALWAYS</u>SOO HELPFUL AND POSISTVE!!

TANK YOU : )



From: Johnson, Jen@DCA
Sent: Wednesday, May 30, 2018 4:16 PM
To: DCA BVNPT staff <<u>BVNPT\_staff@dca.ca.gov</u>>
Cc: Yamaguchi, Elaine@DCA <<u>Elaine.Yamaguchi@dca.ca.gov</u>>; Lyman, Vicki@DCA
<<u>Vicki.Lyman@dca.ca.gov</u>>
Subject: FW: Commendation

Kudos to Ms. Suba!!! Thank you for your customer service you continue to provide to our Stakeholders!



Thank you,

Jen Johnson | Staff Services Manager I

Board of Vocational Nursing and Psychiatric Technicians | Evaluations Unit

2535 Capitol Oaks Drive, Suite 205 Sacramento, CA 95833-2945 P: (916) 263-7854

Jen.Johnson@dca.ca.gov \*NEW EMAIL



From: Yamaguchi, Elaine@DCA
Sent: Wednesday, May 30, 2018 4:12 PM
To: Abeywickrama, Suba@DCA <<u>Suba.Abeywickrama@dca.ca.gov</u>>; Johnson, Jen@DCA
<<u>Jen.Johnson@dca.ca.gov</u>>; Lyman, Vicki@DCA <<u>Vicki.Lyman@dca.ca.gov</u>>
Subject: FW: Commendation

Wow!! Check this one out!

Way to go, Suba.

From: Marisol Manipol [mailto:marisol.manipol@brightwood.edu]
Sent: Wednesday, May 30, 2018 3:36 PM
To: Yamaguchi, Elaine@DCA <<u>Elaine.Yamaguchi@dca.ca.gov</u>>
Subject: Commendation

Dear Ms. Yamaguchi,

I would like to do a shout out and commend Ms. Suba for a job well done! She deserved her promotion, she is always ready, very responsive and willing to help the directors especially myself with the BVNPT process.

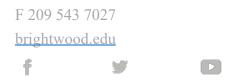
Surpassingly, there is no question that she will not be able to answer back. I am grateful I have her as my go to person! Thank you very much



MARISOL GARCIA- MANIPOL, RN,MSN

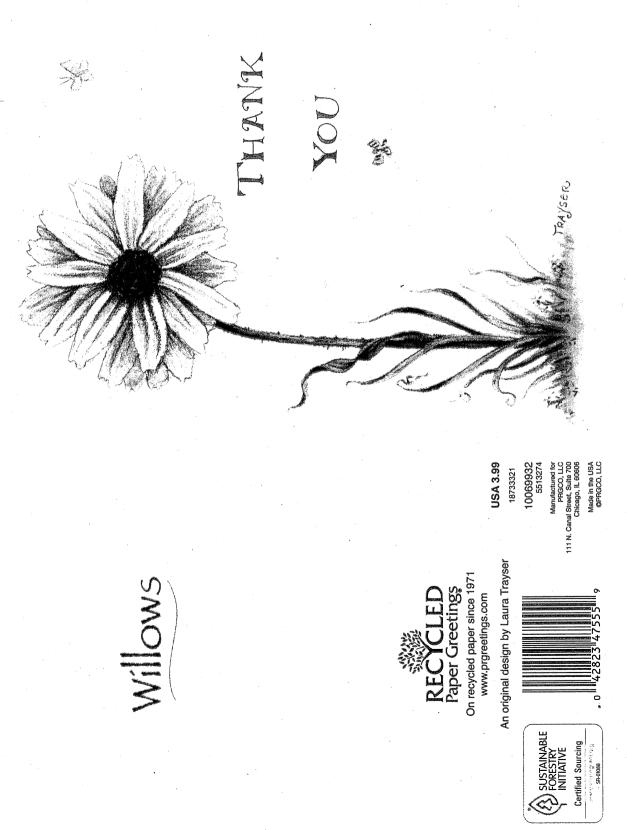
Dean of Nursing Brightwood College 5172 Kiernan Court Salida, CA 95368

#### P 209 543 7000 E 7025



Please consider the environment - do you really need to print this email?

Confidentiality Notice: This message is confidential and intended for the individual(s) named. If you are not that individual, do not disseminate, distribute or copy this email. If you believe you have received this message in error, please contact the sender immediately and delete this message.



Ham Clieden Bisch 5 May Grid Alwight Continue to Bride 7 a willion Fold. Your Many thenks, So much! 

Dear Wrs Thurpson,

From:	Saavedra, Vicky@DCA
To:	Johnson, Jen@DCA; Lyman, Vicki@DCA; Yamaguchi, Elaine@DCA
Subject:	RE: Senator Fuller regarding constituent Christopher Rosado
Date:	Friday, September 21, 2018 11:29:22 AM

Awww shucks guys...you are making me blush. Glad I could help him.

Vicky Saavedra / Evaluations Analyst Board of Vocational Nursing and Psychiatric Technicians Evaluations Unit 2535 Capitol Oaks Dr. Ste. 205 Sacramento, CA 95833 Phone: 916-576-3475 Fax: 916-263-7855 Vicky.Saavedra@dca.ca.gov

IMPORTANT/CONFIDENTIAL: This communication is intended for the use of the individual or entity to which it is addressed. This communication may contain information that is privileged, confidential, and exempt from disclosure under applicable law. If the reader of this communication is not the intended recipient, you are hereby notified that any dissemination, distribution, or copying of this communication is strictly prohibited.

From: Johnson, Jen@DCA
Sent: Friday, September 21, 2018 11:14 AM
To: Lyman, Vicki@DCA <Vicki.Lyman@dca.ca.gov>; Saavedra, Vicky@DCA
<Vicky.Saavedra@dca.ca.gov>; Yamaguchi, Elaine@DCA <Elaine.Yamaguchi@dca.ca.gov>
Subject: Re: Senator Fuller regarding constituent Christopher Rosado

Never disappoints! Good job Vicky.

Jen Johnson Licensing Program Manager Board of Vocational Nursing & Psychiatric Technicians

(916) 263-7854

From: Lyman, Vicki@DCA
Sent: Friday, September 21, 2018 11:13:04 AM
To: Saavedra, Vicky@DCA; Yamaguchi, Elaine@DCA; Johnson, Jen@DCA
Subject: Fwd: Senator Fuller regarding constituent Christopher Rosado

Great job, Vicky!

Wanted you to see the kudos!!

Sent from my Verizon, Samsung Galaxy smartphone

------ Original message ------From: "Beard, Annie" <<u>Annie.Beard@sen.ca.gov</u>> Date: 9/21/18 10:51 AM (GMT-08:00) To: "Lyman, Vicki@DCA" <<u>Vicki.Lyman@dca.ca.gov</u>>, "Brooks, John@DCA" <<u>John.Brooks@dca.ca.gov</u>> Cc: "Agbalog, Lilly" <<u>Lilly.Agbalog@sen.ca.gov</u>>, "Yamaguchi, Elaine@DCA" <<u>Elaine.Yamaguchi@dca.ca.gov</u>> Subject: RE: Senator Fuller regarding constituent Christopher Rosado

Good morning,

I just followed up with our constituent, Mr. Rosado. He stated that all of his questions were answered and he was very satisfied!

He asked me to let everyone know how appreciative he is that his concerns were addressed so quickly! He must have said thank you to me, three times! :+)

Thank you Ms. Yamaguchi for taking care of our constituent! We appreciate you and your team.

Sincerely,

#### Annie Beard

District Representative Office of Senator Jean Fuller 5701 Truxtun Avenue, Suite 150 Bakersfield, CA 93309 661-323-0443 office 661-323-0446 fax annie.beard@sen.ca.gov

From: Lyman, Vicki@DCA [mailto:Vicki.Lyman@dca.ca.gov]
Sent: Thursday, September 20, 2018 1:29 PM
To: Brooks, John@DCA; Beard, Annie
Cc: Agbalog, Lilly; Yamaguchi, Elaine@DCA
Subject: RE: Senator Fuller regarding constituent Christopher Rosado

Thank you, we will look at this issue today.

Take care, Vicki From: Brooks, John@DCA
Sent: Thursday, September 20, 2018 11:34 AM
To: Beard, Annie <<u>Annie.Beard@sen.ca.gov</u>>
Cc: Agbalog, Lilly <<u>Lilly.Agbalog@sen.ca.gov</u>>; Lyman, Vicki@DCA <<u>Vicki.Lyman@dca.ca.gov</u>>
Subject: Re: Senator Fuller regarding constituent Christopher Rosado

Hi Annie,

I'm forwarding this to Vicki Lyman, Assistant EO of the Board, for response.

Sent from my iPhone

On Sep 20, 2018, at 10:22 AM, Beard, Annie <<u>Annie.Beard@sen.ca.gov</u>> wrote:

Good morning Mr. Brooks,

We had a constituent reach out to our office regarding and issue he is experiencing with the Nursing Board. Mr. Brooks stated that he is trying to clarify eligibility for the LVN state board exam.

I was wondering if someone from your office could reach out to Mr. Rosado and address his questions? His information is as follows:

Mr. Christopher Rosado 3181 Milton Drive Mojave, CA 93501 Phone: (661) 878-3518

Thank you in advance for your assistance.

Sincerely,

#### Annie Beard

District Representative Office of Senator Jean Fuller 5701 Truxtun Avenue, Suite 150 Bakersfield, CA 93309 661-323-0443 office 661-323-0446 fax annie.beard@sen.ca.gov Good Morning Lynda,

Thank you for your email. Lauryn is a great asset to our Board and we are appreciative to have staff like her! Unfortunately, we are not able to accept gifts, however I do want to let you know I will make sure she is recognized. Again, thank you for your email.

#### Thank you,

### Jen Johnson, Licensing Program Manager

Board of Vocational Nursing and Psychiatric Technicians | Licensing Division 2535 Capitol Oaks Drive, Suite 205 Sacramento, CA 95833-2945 P: (916) 263-7854 Jen.Johnson@dca.ca.gov



From: Lynda Carlos <LCarlos@concorde.edu>
Sent: Monday, October 29, 2018 5:04 PM
To: Yamaguchi, Elaine@DCA <Elaine.Yamaguchi@dca.ca.gov>; Johnson, Jen@DCA <Jen.Johnson@dca.ca.gov>; Lyman, Vicki@DCA <Vicki.Lyman@dca.ca.gov>
Subject: Lauryn Gardner

Good Day,

I am emailing you today to congratulate you in hiring Lauryn. She really is a great asset to your team. Lauryn has on many occasions assisted us in a variety of ways. When we email and or call her, she for the most part answers all of our questions and if she does not know the answer she quickly asks someone else. More than that she does it with such a positive attitude.

To show our appreciation we would like to send her a gift however, we do not we are allowed?

I look forward to hearing from you and wishing you all a beautiful rest of your week 🕲

Thank you!



**Lynda Carlos** *Administrative Assistant* Concorde Career College Garden Grove



714.620.1027 Phone 714.530.1490 Fax lcarlos@concorde.edu 12951 Euclid Street, Ste 101 Garden Grove, CA 92840 www.concorde.edu

From:	Stepanyan, Liana@DCA
То:	Arreola, Gabriela@DCA; Verdialez, Demarie@DCA; Wagner, Jessica@DCA; Gardner, Lauryn@DCA; Snow, Leslie@DCA; Evans, Dedria@DCA; Davis, Rudy@DCA; Nunez, Arlene@DCA; Chen, Siqi@DCA; Abeywickrama, Suba@DCA; Dunlap, Jeremiah@DCA; Poole, Kristen@DCA; Harris, Monica@DCA
Cc:	Johnson, Jen@DCA; Lyman, Vicki@DCA
Subject:	Shouts to Jeremiah and Rudy
Date:	Wednesday, February 20, 2019 4:27:08 PM
Attachments:	image001.png

### Hi All,

I want to recognize Jeremiah and Rudy for outstanding customer service they have provided to a licensee on Friday 2/15/19. She called and left me a voicemail in tears letting me know what outstanding service she has received from Jeremiah. He has gone above and beyond with Rudy's assistance to get her license active because she was in jeopardy of losing her job. All this happened close to 5pm on a Friday night.

I am very proud that you both worked so well as a team on a Friday night to help her out by getting her license active. I appreciate this .

### Thank you!!

Liana Stepanyan, Licensing Services Supervisor Board of Vocational Nursing and Psychiatric Technicians | Licensing Division 2535 Capitol Oaks Drive, Suite 205 Sacramento, CA 95833-2945 P: (916) 263-7821 Liana.Stepanyan@dca.ca.gov

Department of Consumer Affairs

BOARD OF VOCATIONAL NURSING
AND PSYCHIATRIC TECHNICIANS

From:	Lyman, Vicki@DCA
То:	Davis, Rudy@DCA
Subject:	FW: Customer Service
Date:	Thursday, January 3, 2019 2:40:00 PM
Attachments:	image001.png
	image004.png

Thank you!! I appreciate you!

#### From: Stepanyan, Liana@DCA

Sent: Thursday, January 3, 2019 2:23 PM

To: Arreola, Gabriela@DCA <Gabriela.Arreola@dca.ca.gov>; Bullock, Susan@DCA <Susan.Bullock@dca.ca.gov>; Verdialez, Demarie@DCA <Demarie.Verdialez@dca.ca.gov>; Wagner, Jessica@DCA <Jessica.Wagner@dca.ca.gov>; Gardner, Lauryn@DCA <Lauryn.Gardner@dca.ca.gov>; Snow, Leslie@DCA <Leslie.Snow@dca.ca.gov>; Evans, Dedria@DCA <Dedria.Evans@dca.ca.gov>; Davis, Rudy@DCA <Rudy.Davis@dca.ca.gov>; Nunez, Arlene@DCA <Arlene.Nunez@dca.ca.gov>; Ilustrisimo, Pia@DCA <Pia.Ilustrisimo@dca.ca.gov>; Chen, Siqi@DCA <Siqi.Chen@dca.ca.gov>; Saavedra, Vicky@DCA <Vicky.Saavedra@dca.ca.gov>; Abeywickrama, Suba@DCA <Suba.Abeywickrama@dca.ca.gov>; Dunlap, Jeremiah@DCA <Jeremiah.Dunlap@dca.ca.gov>; Yamaguchi, Elaine@DCA <Elaine.Yamaguchi@dca.ca.gov> Subject: FW: Customer Service

### I just received this email from BVNPT inbox. Huge shout outs to Rudy for providing such excellent customer service!!!!



Liana Stepanyan, Licensing Services Supervisor Board of Vocational Nursing and Psychiatric Technicians | Licensing Division 2535 Capitol Oaks Drive, Suite 205 Sacramento, CA 95833-2945 P: (916) 263-7821 Liana.Stepanyan@dca.ca.gov

Department of Consumer Affairs



From: Gladys Currie-Gill <<u>Gladys.Currie-Gill@usw.salvationarmy.org</u>>
Sent: Thursday, January 3, 2019 10:51 AM
To: DCA, Bvnpt@DCA <<u>Bvnpt@dca.ca.gov</u>>
Subject: Customer Service

Morning,

I just had to send in an email to let you know that you have the most wonderful staff member named Rudolph working at your customer service call center. After waiting for 1 hour on the phone he was very pleasant even though I was very frustrated after having to wait so long.

With his positive energy I could not be frustrated for long. He took the time to explain and re-explain again the answers to all my questions.

He is very encouraging and wished me well on my endeavors.

Thanks,

Gladys



# **BVNPT OFFICE EXPECTATIONS**

(ATTACHMENT 2g)



- TO: Board of Vocational Nursing and Psychiatric Technician (Board) Employees
- **FROM:** Elaine Yamaguchi, Executive Officer Board of Vocational Nursing and Psychiatric Technician
- **SUBJECT:** Office Expectations
- **Purpose** This memorandum is provided to all Board employees to communicate routine office expectations and ensure a uniform understanding of the requirements.

All Board employees must conform to the standards of conduct and expectations outlined in this document.

**Process** Review this document and sign and date the acknowledgement form located at the end of this document. Submit the signed acknowledgement form to your immediate supervisor/manager within five business days. Contact your immediate supervisor/manager if you have any questions regarding this document.

**References** These guidelines represent the Board's implementation of the resources below to best support operational effectiveness throughout the Board.

Resources	Location	Author
Bargaining Unit (BU) Contracts	http://calhr.ca.gov/state-hr- professionals/pages/bargaining- contracts.aspx	CAL HR
Department of Consumer Affairs, Inside DCA	http://inside.dca.ca.gov/	DCA
State Administrative Manual	http://sam.dgs.ca.gov/	DGS
Government Code	http://leginfo.legislature.ca.gov	Leg

# Departmental In addition to the guidelines outlined in this memorandum, each employee is expected to read and adhere to all Department of Consumer Affairs (DCA) policies.

<b>Work Sched</b>	lule
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Introduction Government Code section 11020, requires all offices of every state agency to be kept open for business from 8:00 a.m. to 5:00 p.m. every day, except Saturdays, Sundays and State holidays. Work schedules shall be established and maintained pursuant to the operational needs of the respective unit. Under normal circumstances, each unit shall provide staff coverage from 8 a.m. through 5 p.m. Monday through Friday, except state holidays.

An employee's standard full-time day shift will not begin prior to 7 a.m. or after 8:30 a.m. and may not end earlier than 3:30 p.m. or later than 5:30 p.m. Occasional temporary exceptions may be approved in advance by the supervisor/manager to begin work after 8:30 a.m. or end after 5:30 p.m. To ensure Board operational efficiency, all employees are expected to arrive at work and be at their desk ready to begin work at their scheduled start time. Employees are expected to adhere to their approved daily work schedule. To request a change to the approved schedule, the employee must submit a written request to his/her supervisor/manager for review and approval.

Based on the operational needs of the Board, the Executive Officer or designee may, upon 30-day notice to affected employees, cancel or make permanent changes to work hours, alternate work schedules, and reduced work time schedules.

Alternate work week requests To request, amend, or cancel an alternate work week schedule, complete the Employee Work Hours form and an Alternate Work Schedule (AWS) Election form and submit them to your immediate supervisor/manager. Approval will be based upon the operational needs of the Board. To be eligible for an AWS, an employee must meet the requirements in DCA's Alternate Work Schedule Departmental Procedures Memorandum.

AWS may be rescinded by a supervisor/manager based on operational need. The employee will receive a 30-day notice and the schedule will be effective the following pay period.

Lunch period Employees who work more than five hours per day are entitled to a lunch or meal period of at least 30 minutes and not to exceed one hour. A meal period must be scheduled approximately in the middle of the employee's workday. To ensure adequate office coverage, lunch

	periods may be assigned by the supervisor/manager. Employees may only change their scheduled lunch time if prior approval has been obtained from their supervisor/manager.
	Lunch breaks must not start before 11 a.m. or end after 2:00 p.m. Meal periods taken are not counted as part of total hours worked. Employees who leave their work area during lunch must not "hang out" at another employee's work area who is not on a lunch period. Employees are expected to use their division's "lunch" sign and/or sign out board to indicate lunch time.
Rest periods (breaks)	Employees are allowed 15-minute breaks for every four hours worked unless otherwise stated. Morning and afternoon breaks may not be combined or accumulated, used to make up time, used to exceed lunch breaks, or used to leave early. Employees who smoke must do so on their lunch or break periods. Employees may split up their 15- minute breaks if necessary, but this time is not in addition to the two 15-minute breaks. Please notify supervisor/manager of the intent to split breaks.
	Employees may leave their work area during breaks but must not "hang out" at another employee's work area who is not on a break. Employees are expected to use their division's break sign to indicate break times.
Overtime	All employees, other than excluded employees (e.g., supervisors/managers), must have their supervisor's/manager's prior written approval to work more than their regular work schedule. Complete and submit a BVNPT Weekly Overtime Request form for review and approval, regardless of the compensation method (pay versus time off).

# Attendance and Personnel

Introduction	This section highlights the Board's responsibility for setting consistent work hours that appropriately meet public needs and remain equitable for employees. If there are any attendance or personnel issues, employees need to contact their immediate supervisor/manager, who will contact the Board's Personnel Liaison.
Clock Time	Do not rely on the office wall clocks. Use the clock time shown on your computer to determine your arrival and departure times.

Sign-Out Boards	All employees must use the designated sign-out boards to indicate off- site meetings, scheduled absences, breaks, lunches, and vacations.
Requesting absences	<b>Planned Absences:</b> Requests for discretionary leave must be approved by employee's supervisor/manager in advance. Review and approval or denial of discretionary leave requests will be based upon the Board's operational needs (e.g. pending workload and staffing requirements). Employee vacation/annual leave requests must be submitted and granted or denied in writing in a timely manner. Employee absences without obtaining prior approval may be considered absent without leave (AWOL).
	<ul> <li>Use DCA's Leave Request 2.0 (<u>http://dcasp/custom_apps/coll/lr/SitePages/Home.aspx</u>) to request prior approval from their supervisor/manager for planned absences.</li> <li>For non-emergent care, provide notice as soon as appointment is scheduled.</li> <li>For absences over three days, submit a request as far in advance as possible to requested leave.</li> <li>If your supervisor/manager is out of the office and he/she designate a manager to approve leave requests, you must have your leave request(s) approved by the designated manager.</li> </ul>
	Note: It is not advisable to make vacation reservations (hotel, airline, cruise, etc.) until approval is secured from the employee's supervisor/manager. Having reservations does not guarantee the request will be approved.
	<b>Unplanned Absences:</b> If you are unable to come to work at the scheduled start time due to illness (i.e., self or family sick), or will be late, you must call the designated Attendance Line at (916) 263-7820 no later than fifteen (15) minutes <u>prior</u> to your scheduled start time on each the day of the occurrence. You must <u>clearly</u> state:
	<ul><li>First and Last name;</li><li>Unit;</li></ul>

- Call back phone number;
- Reason you are going to be late/absent; and
  If arriving late to the office, your expected time of arrival.

	If you are going to be later than the original expected arrival time, you must call in 15 minutes prior to the new arrival time. If you fail to show up and call in, your time out is considered AWOL.
	Upon late arrival, you must physically report to your supervisor/manager or send an email. If your supervisor/manager is unavailable, you must physically report or email another manager in your work area.
	On the day you return to the office, you must complete and submit an absence request via Leave Request 2.0.
Approving absences	The supervisor/manager will consider all absence requests on a case- by-case basis and base their decisions on the operational needs of the Board, including workload issues such as project deadlines and urgent assignments. The supervisor/manager must approve or deny employee requests for leave time within two business days.
	On a case-by-case basis, employees may be required to provide medical verification from a licensed health practitioner to their supervisor/manager. If this documentation is required, it must include the following information: (1) the professional opinion of the healthcare professional; (2) the anticipated date(s) employee is medically unable to work; and (3) any restrictions which would preclude employee from performing the full range of duties upon return to work.
Dock and unapproved absences	Dock is time off in which the employee is not compensated. If dock hours are reported for the employee past the dock deadline, the pay warrant may be retracted, and a corrected warrant issued. This may result in an employee receiving their pay after pay day.
	Employees may not normally choose to be on dock if they have leave balances available.
	All unapproved absences will be recorded as absent without leave (AWOL) on the attendance records. Five consecutive days of AWOL may result in automatic separation from state service.
Other allowed activities: Examinations and Promotional Interviews	Employees may take time off with pay to participate in civil service examinations scheduled during working hours if employees give their supervisor/manager at least two business days' notice. The employee must complete an absence request to identify that time off is for an allowed civil service examination. The employee must also submit interview confirmation (e.g., email or letter) to their supervisor.

Interviews based on examination list eligibility are considered part of a state civil service examination.

If the interview is not based on examination placement (e.g. transfer
interview), employee must use their own time.

Monthly<br/>Attendance<br/>ReportsEmployees should update their monthly attendance on a weekly basis.<br/>The attendance summary (HR 634) needs to be submitted two days<br/>prior to the end of the pay period because we are located away from<br/>DCA headquarters. Submit it to your supervisor/manager by the end of<br/>your work shift.

By signing your HR 634, you confirm the leave hours shown as used and earned are correct.

Make Up Time All arrangements to make-up time must be approved in advance by a supervisor/manager. The approval and amount of time permitted is under the supervisor/manager's discretion. However, employees are advised that:

- Make-up time should only be granted on an infrequent or occasional basis.
- Make-up time will not be approved to accommodate habitual tardiness.
- Make-up time must be accrued and used in the same work week and pay period.
- Make up time must be requested, approved and confirmed via email with your supervisor.

**Jury Duty** When notification of scheduled jury duty is received by employees, employees must immediately notify their supervisor/manager. This allows Board management sufficient time to address any pending workload issues. After service of jury duty, employees must provide a copy of their proof of jury duty attendance to their immediate supervisor/manager.

## **Customer Service and Professional Demeanor**

In performing the employee's duties and responsibilities, the employee represents the Board and is expected to provide a high degree of quality customer service. Act courteously, professionally, respectfully, and ethically in every manner, demonstrating quality service, reliability,

and accountability. Develop and maintain positive working relationships with team members, management, and customers alike. Consistent with the Department of Consumer Affairs (DCA) Client Service & Business Communications Policy's 7 C's, all Board employees are required to be:

- **Committed**: Understand the client's needs, follow up on requests, and do what is promised.
- Courteous: Be respectful, professional, and polite.
- **Clear**: Understand what is actually needed, clarify requests, give clear instructions, and use plain language, not jargon.
- **Correct**: Do it right the first time. If you don't know, ask, use spell check, peer review, etc.
- **Complete**: Provide complete instructions and information and understand that a task is complete when the client is satisfied.
- **Concise**: Be brief but comprehensive. Do not overwhelm others with unnecessary or irrelevant information.
- **Concerned**: Take time to listen and give full attention and use a tone of voice that conveys that you understand the importance of the request.

#### **Response Time** Respond to all inquiries/requests (either by phone, e-mail, or face-toface) within two business days, even if the issue is not able to be resolved within this timeframe. If the issue cannot be resolved within three business days, inform the requestor of the estimated resolution timeframe.

All emails must be written in a professional and respectful tone with proper grammar and spelling. In addition, emails to persons outside of the Board must contain a signature block with contact information, like a business card, and the required confidentiality statement.

**Follow up** Keep the individual informed as to the status of requests, including, but not limited to, notification of any delay that may occur.

**Responsibility** If an employee discovers they have made an error, the employee must take responsibility for it and appropriately address it as soon as possible. This includes immediately informing the employee's supervisor/manager.

Meetings/ Training	Arrive on time for all meetings and trainings and put all cell phones and electronic devices on silent mode. Unless expecting an emergency contact, do not review or deal with phone calls and text messages during meetings or training sessions. You may deal with issues during scheduled breaks.
Accepting Money or Gifts	Employees must never solicit or accept gratuities. If an employee receives an unsolicited gift from an applicant, licensee, or other stakeholder; the employee must notify a supervisor/manager immediately and it should be returned to the sender. If it is determined by the supervisor/manager it cannot be returned to the sender, then it must be shared with other staff members or displayed for all to see. Gifts of a large monetary value must be returned or refused. If asked how one may show their gratitude, simply state, "a letter of appreciation would be nice".
Office behavior	When talking or listening to music, be courteous of other staff by using a volume that cannot be heard outside of your personal work space. Set the volume on personal cell phones and electronic devices to silent mode. Personal phone calls and conducting personal business should be transacted during the employee's time (lunch and breaks) and not during state time. Occasional brief personal phone calls are allowed, but lengthy personal matters must be handled on one's own time.
	Visiting co-workers should be kept to a minimum when you are not on a break. If you are on break, only visit with other employees who are also on break so as not to disrupt co-workers who are actually working.
	Employees are always expected to conduct themselves professionally and speak in a respectful tone and volume. Avoid speaking over or through cubicle walls.
	Keep collaboration conversations that occur in the work area brief. If the work discussion involves more than three people or takes longer than <b>five</b> minutes, move to an available conference room.
Appropriate Attire	Dress and appearance are to be appropriate for the work being performed and the environment in which the work is performed. Employees are expected to come to work in clothing that is clean and in good repair.

Employees are expected to maintain personal hygiene appropriate for an office environment. Employee clothing bearing any image, words, or logos shall be consistent with the DCA's sexual harassment prevention policy, workplace violence prevention policy, nondiscrimination policy, and drug-free workplace policy. For safety reasons, shoes must always be worn. Barefoot in any office area is not allowed as this is a safety issue. When conducting business (e.g., interviews, investigations, etc.) in a medical facility, closed toe shoes must be worn for health and safety reasons. Employees may be required to use leave credits to dress appropriately and return to work. Fragrances Some employees may be sensitive to chemicals and may react to different products with widely varying degrees of severity. Employees are encouraged to refrain from using perfume, cologne, after-shave, perfumed hand lotion and/or similar products during work hours.

Special sensitivities will be communicated to employee(s) by management and additional safeguards may be put in place, when appropriate.

## **Assignments/Work Products**

Introduction	Complete and accurate staff work is expected. Thoroughly research the issue and present the supervisor/manager with the facts, the alternatives, and a recommended resolution.
Quality of work	<ul> <li>All work products must be reviewed, verified and complete before submitted to supervisor/manager and: <ul> <li>Be formatted correctly using the DCA Style Guide;</li> <li>Be accurate;</li> <li>Contain proper spelling, grammar and the use of punctuation (make sure to proofread);</li> <li>Have validated calculations;</li> <li>Have verified references to statutes, procedures, forms, quotes, and dates; and</li> <li>Have the current format and version of the document.</li> </ul> </li> </ul>

#### Confidentiality:

	Employees are responsible for maintaining the appropriate level of confidentiality when working with sensitive and/or personal information. It is imperative that employees exercise appropriate care with confidential information and adhere to all DCA/Board requirements governing confidentiality. Confidential information includes, but is not limited to: personal identifying information, social security numbers, medical or employment information, discipline issues, financial transactions, etc. Employees may only access information that is necessary to perform their official duties. Information regarding other State employees, clients, consumers, and citizens may not be released, except in accordance with established procedures and guidelines. All employees having access to privileged, confidential information are required to take proper precautions to avoid any breach of confidential information. Discussion of confidential information not relevant to the business need is strictly prohibited. Employees must immediately report any apparent or suspected security breaches to their supervisor/manager.
Status updates	Employees are expected to update the supervisor/manager with the status of assignment(s).
Due dates	Complete assignments by the due dates. If you cannot complete the assignment timely, discuss the issue with your supervisor/manager prior to the due date.
Conflicting priorities	If unsure as to the priority order of workload, it is the employee's responsibility to obtain clarification from his/her immediate supervisor/manager.
Removing documents/ files	No documentation/case files may be removed outside of the Board without the prior approval of the employee's immediate supervisor/manager and/or the Assistant Executive Officer (AEO).

## **Communication Protocols**

Introduction The release of information or communication with legislative bodies, media outlets, or other governmental agencies must adhere to Departmental guidelines. Although the employee is not authorized to release or communicate directly without prior approval, the employee must always produce completed staff work and provide excellent customer service to the requestor.

Release of documents or information	Any release of documents or information outside DCA, pertaining to the core functions of the Board, must be approved in advance by the employee's immediate supervisor/manager, Enforcement Chief or Assistant Executive Officer. For purposes of this directive, the Board's core functions include, but are not limited to, licensure and investigation of VNs and PTs criminal offender record information (CORI) of all individuals under the jurisdiction of the Board.
Legislative Office	All communication from a Legislative Office, including but not limited to legislators and legislative staff, must be directed to the employee's supervisor/manager, who will forward the communication to the AEO. The AEO will make the appropriate assignment to address the communication and send the request for information through the Executive Officer (EO). Although the employee or supervisor/manager may be asked to provide information relating to the assignment, all legislative communication must go through the AEO.
Media	Any communication with the media, including but not limited to, a news, radio or television reporter must be directed to the employee's supervisor/manager who will forward it to the AEO if appropriate. The AEO will make the appropriate assignment to gather the relevant information to address the communication and send the information to the EO. Although the employee may be asked to gather information relating to the assignment, all communication from and to a reporter must go through EO.

# **Building and Security**

Introduction It is DCA's policy that employees and the public be protected from accidents and injury. Safety is a cooperative undertaking which requires participation by every employee. Employees are not allowed to lift or push an object that is too heavy. Contact your supervisor/manager when assistance is needed to move a heavy object.

Except for the public counter, office suites must be accessed using a key card. Employees are assigned a key card with their photo to enter the Board's offices. If the key card is unavailable, employees must obtain a temporary card from their manager or the Board's Administration and Support Services team. Employees must notify their supervisor/manager immediately if they lose or misplace their

	card key. There is a \$5.00 replacement fee for lost key cards. This fee must be paid before another key card is issued.
Guests	Guests must obtain a visitor pass at the counter in the public lobby, suite 205. Employees must meet guests in the lobby and escort them through the office suites. Designated employees may also escort guests to a specific office or conference room.
	Make sure that you close all entry/exit doors completely. Do not let people who do not work for the Board "tailgate". This means that you cannot let people you do not know follow you into the secured office suites.
Non-office hours	Employees must obtain prior authorization from their supervisor/manager to be in the building during non-work hours. Non- work hours are any hours employees are not scheduled to work (i.e., weekends, holidays, before 6:30 a.m. and after 5:30 p.m.).
Conference Rooms	The Board has several conference rooms for its in-house meetings. To ensure room availability, employees must use Microsoft Outlook to reserve the meeting room. Employee must confirm that they reserved the room correctly. When not scheduled for meeting purposes, the Conference Rooms may be used for employee breaks. These rooms must be kept clean. Do not leave magazines, brochures or food items in any of the Conference Rooms.
Staff Alerts	To ensure staff safety, the Board may post in designated areas a document that includes an applicant's/licensee's photo who is deemed potentially dangerous to the Board. This information shall not be posted in public view.
Candles	Employees are not allowed to light candles, burn incense, etc. anywhere within the office. State law prohibits any type of fire within a State office building.
Break Room	The Board has a break room that can be utilized for breaks and lunch. Please make sure the breakroom is kept clean. The break room may, on occasion, be used for meetings if all conference rooms are in use.

# **Travel and Training**

Travel manual	Traveling employees are responsible for compliance with DCA's policies, guidelines, and procedures. Travel information can be found in the DCA Travel Guide at the following link: <u>http://inside.dca.ca.gov/documents/travel_guide.pdf</u> Travel concerns not covered in the DCA Travel Guide should be directed to the supervisor/manager <b>before the employee travels</b> . Request for reimbursement for an unallowable expense will be denied.
Travel approval	<ul> <li>Employees travelling and/or attending official meetings during state time are required to complete the following tasks:</li> <li>Travel Advance (if applicable) – Submit a travel advance request via CalATERs at least 10-15 working days before the actual travel date to their supervisor/manager to allow sufficient time to process and approve the request.</li> <li>Develop a travel itinerary that includes: the trip information (rental car/personal car); flight information (time flight leaves/returns/destination); hotel stay information (check-in/check-out dates/location) and site(s) being visited with location information (address and telephone number). Submit the travel itinerary to the manager/supervisor 10 business days prior to the scheduled travel. Management has discretion to disapprove any trip.</li> <li>Post a copy of the travel itinerary outside the employee's workstation.</li> <li>Out of Office Message – Ensure that out of office messages are left on assigned voicemail and email systems.</li> <li>Travel Expense Claims (TECs) – If an employee received a Travel Advance, the employee must submit a TEC via CalATERS within 10 days after the date of travel.</li> </ul>
Out-of-state travel	Any travel outside California to conduct state business requires initial prior approval by the Executive Officer. If the EO is unavailable for an extended period of time, the EO's designee can give approval.
Mandatory training	Employees are expected to complete all mandatory training when notified. Provide supervisor/manager with a copy of the course certificate or acknowledgement form, if applicable.
Job-related training	The training request must be approved by the immediate supervisor/manager. After completing the training course, submit a

copy of the training certificate to the Personnel Liaison and your immediate supervisor/manager.

### **Communicating Availability**

Voicemail Employees must set up a primary voicemail. When absent for one or more full days, employees must set up an "alternate" greeting to indicate that they are out of the office. Alternate greetings must include the date of return and the name and telephone number of another employee (or supervisor/manager) who can assist the caller in the employee's absence. Employee must ensure that the backup is aware that they may get calls about the absent employee's case work.

Outlook E-mails Employees must use the Outlook 'out of office' message function to inform others when they will be out of the office for one or more days. Include the date the employee will return and the name, phone number, and email address of a contact person who can assist the person receiving the employee's 'out of office' message. Employee must ensure that the backup is aware that they may receive emails or calls about the absent employee's case work.

Outlook calendar Employees must ensure their Outlook calendar is accessible to all levels of management within their chain of command (i.e. Manager I, Division Chief, AEO, EO). Employees must keep their Outlook calendar up to date with planned absences, scheduled meetings, and training classes. For meetings, include the meeting location.

### **Use of State Equipment**

**Introduction** The use of state equipment and information technology resources is intended for the support of state business.

The term "resource" is defined as information technology facilities, software, and equipment owned or leased by state agencies. This includes mobile devices such as personal computers (PC), compact disks (CD), laptops, cellular phones, tablet PCs, USB drives, and other similar devices. The use of all devices must be consistent with DCA policy.

Disclosure	Employees are granted access to state information to perform their job functions on a need to know basis. Employees shall have no expectation of privacy in their use of state resources.
Telephones and personal electronic devices	Personal phone calls using state and/or personal equipment and conducting personal business should only be taken or made during the employee's time (lunch and breaks) and not during state time. Occasional brief personal phone calls and texts are allowed, but lengthy personal matters are to be handled on one's own time. Other discretionary use of personal electronic devices must be limited to breaks and lunches.
	Specifically, while working, you may not use personal devices to stream movies, television shows, and radio stations or play games using DCA's wi-fi. You may only watch movies, television shows and play games while on break or at lunch. You may stream radio stations/music using your own data plan while working if the music is confined to your cubicle.
	Personal long-distance calls using state equipment are <u>not permitted</u> and considered an abuse of state property. All calls must be conducted using a proper indoor volume that cannot be heard outside the employee's personal work space.
	Personal cellular telephones should not be audible during work hours (i.e. set to silent mode).
Copy, FAX machines, and printers	Do not use state copy machines, FAX machines, printers, office supplies or other state equipment to conduct personal business.
State Computers, E-mail, and Internet Access	Information Technology (IT) systems are to be used for business purposes in serving the interests of the Board and its clients and customers in the course of normal operations. IT systems, including e- mail and the Internet, are provided for business purposes. Staff may use computers for communications and information exchanges directly relating to the mission, charter, and work tasks of the Board, and activities related to the user's state governmental duties. Internet access and state-issued email accounts are provided for business purposes. Minimal and incidental personal use during breaks and lunch is permissible if the use does not interfere with the conduct of State business or result in additional costs to the state. • Use of the internet during break or lunch must not interfere with your co-worker's ability to work.

- Streaming of music, video, movies and television shows for personal reasons <u>is not</u> considered minimal and/or incidental use.
- Remotely accessing work emails through your State-issued email account via the Internet or a mobile device is not permitted unless prior authorization is obtained from the Executive Officer.
- Forwarding of business-related emails that contain casespecific or confidential information to a personal (not-stateissued) email account is prohibited unless prior written authorization is obtained from the Executive Officer.
- Do not send unsolicited mass emails without prior management approval.

Desk, Work Area, Computer Files and Cabinets Employee desk, work areas, computer files, and file cabinets are State property and as such are subject to access by co-workers and/or Managers/Supervisors when searching for work documents. Employees are responsible for maintaining a clean and professional work area with documents kept in a neat and organized manner. Employees must use a secured drawer/cabinet to lock up any pending work that contains confidential information at the end of their scheduled work shift. Personal items must not interfere with or obstruct the work area or violate other policies. Each employee is provided one (1) lockable cabinet for personal use.

### Board of Vocational Nursing and Psychiatric Technicians Office Expectations Acknowledgement

I acknowledge receipt of the Board Staff Expectations and Guidelines dated April 16, 2019. I understand that persons who violate any of these guidelines may be subject to disciplinary action.

Date:

Printed Name:\_\_\_\_\_

Signature:



# LIFE AT BVNPT: A PHOTO COLLAGE

(ATTACHMENT 2h)







#### Future Leadership Development Graduate

Enforcement Division, Intake and Enhanced Screening Unit Manager, Matt McLean Pictured left to right: Chief Deputy Chris Shultz and Matt McLean



Kristine Dano and Jay Prouty setting up the room for the Board Disciplinary Hearings in Anaheim, CA.

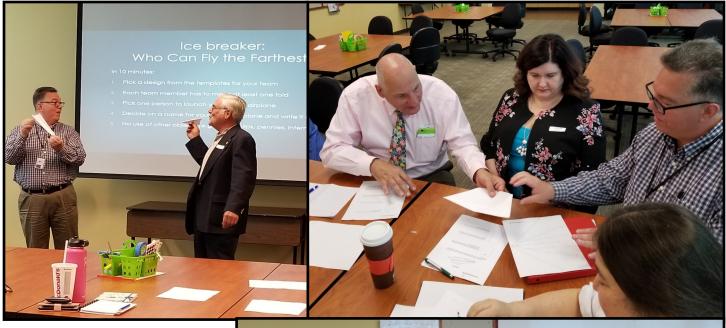
Students taking notes and listening intently at the Board Disciplinary Hearings.



Licensing shout-out to Jeremiah Dunlap for setting the BVNPT record for handling 124 incoming telephone calls in one day!



SOLID training on the Stages of Team Development



BVNPT Collaborates with the Respiratory Care Board (RCB) at a series of meetings facilitated by SOLID.







Left to right: Licensing Division Manager Jen Johnson, Licensing Analysts Jessica Wagner and Demarie Verdialez.



Left to right: Jay Prouty, Jen Johnson, Demarie Verdialez and Jessica Wagner.

Enforcement Division Discipline Unit Manager, Jay Prouty.



#### West Hills Community College Licensing Fair

Team BVNPT shared all things licensing and enforcement with students in the West Hills Community College area. Our team discussed how to apply for licensure and how to correctly answer background questions on the application.



# DCA CENTRALIZED SERVICES RECOMMENDATION

(ATTACHMENT 2i)

#### PROJECT BACKGROUND AND DESCRIPTION

The Department of Consumer Affairs (DCA) Executive staff conducted a series of interviews with centralized services division leaders and members of their staff to discuss the Board of Vocational Nursing and Psychiatric Technicians (BVNPT) administrative operations.

The purpose of this review was to identify opportunities and improve quality of the administration functions for BVNPT per the mandate set by Assembly Bill <u>1229</u>. (Low, 2017)

Coupled with the SOLID Organizational Change Management (OCM) team, DCA's executive staff has been working to combine efforts across DCA to provide resources and recommendations to help BVNPT continue to improve in their day-to-day operations and how DCA and BVNPT can work better together.

#### **SCOPE**

The focus of these conversations was to determine which administrative operation areas have improved over the last two years to help continue achieving positive results within their administrative operation.

#### **RECOMMENDATIONS BY DIVISION**

In conjunction with the OCM staff, we have provided recommendations (*below*) based on feedback from the interviews with the division leaders and information received through the process improvement sessions with BVNPT staff.

Overall, it was recognized amongst the division leaders that there have been positive improvements in BVNPT staff morale, staff engagement, communication, and organization with the support and direction given by both the new Executive Officer and Assistant Executive Officer. BVNPT's leadership and board staff have expressed tremendous excitement surrounding the change management process and having the opportunity to participate in the review of their daily operations. Recent feedback received indicates that BVNPT's staff are looking forward to implementing several of the improved processes that the OCM team has identified to help reduce redundancy and to develop tools to assist in maximizing management and staff performance. The OCM team will continue to participate in discussions with BVNPT staff on identifying other potential improvements in daily the office routines and workload.

#### **IMPLEMENTATION PLAN**

Implementation of the attached recommendations will be determined by BVNPT management and may be monitored and supported by the Office of Board and Bureau Services (OBBS).



Items for Consideration / Recommendations	Centralized
	Service Area
<b>Call Center</b> The Consumer Information Center's (CIC) phone agents provide assistance to consumers and licensees in English and Spanish, and in more than 177 languages with the assistance of Language Line Solutions. Agents mail DCA publications to consumers, refer callers to the appropriate government or private agency, and assist with the filling complaints. CIC's phone agents are often the first point of contact for licensees, registrants, and the public on behalf of the boards, bureaus, and programs that comprise DCA. The Call Center receives anywhere from 40,000 to 60,000 calls per month from licensees and applicants, as well as from consumers who inquire regarding issues both within and outside of DCA's jurisdiction.	Consumer Information Center (CIC) <b>Resources:</b> Verizon Call Center Data
<ul> <li>Recommendations:</li> <li>Utilize phone statistical data to create reports that show monthly, weekly, daily incoming calls which may help to staff the call center properly.</li> <li>Develop a quick hit telephone guide for those calling about the same types of issues.</li> <li>Adjust phone tree periodically to address issues and trending in calls received.</li> </ul>	
Subject Matter Experts (SME)         SME participation is essential to the development of licensure exams and ensures that the exams accurately assess whether candidates possess the minimal knowledge, skills, and abilities necessary to perform tasks competently.         Recommendation:         • BVNPT to continue sharing contact information of SME's to help	Office of Professional Exam Services (OPES) Resources: Expert Consultants
facilitate recruitment. Legislative Affairs Legislative Affairs Division monitors and analyzes legislative bills on consumer issues, provides legislative recommendations, and technical assistance to the programs. The Division also serves as the liaison for the Legislature in handling constituent issues affecting all DCA entities. The Division hosts legislative roundtables during the legislative session, that provides an open forum to discuss all aspects of legislation, including fiscal, information technology, and implementation impacts among DCA's various boards and bureaus.	Legislative Affairs
<ul> <li>Recommendations:</li> <li>Continue to consult with stakeholders and board members on the increase of fees to schools that may take place in 2019.</li> </ul>	



<ul> <li>Maintain an open dialogue with assigned Division analyst on bill analysis.</li> <li>Participate in monthly legislative roundtables as scheduled by Legislative Affairs (March-August).</li> <li>Utilize the Legislative Affairs team in preparation for sunset review and mandated reporting.</li> </ul>	
<b>Communications Plan &amp; Updating Public Material</b> The Communications Division consists of the Office of Public Affairs (OPA), the Office of Publications, Design & Editing (PDE) and Digital Print Services (DPS). Division staff perform a variety of services including developing strategies for disseminating information to internal and external audiences, designing and printing promotional, consumer, and licensee materials, responding to media inquiries relative to the industries and licensees DCA regulates, and developing communication opportunities to educate California's consumers. An in-house design and publishing studio and print shop take care of all your publications writing, editing, design and printing needs.	Communications, Publications Design & Editing, Digital Print Services Resources: Division Information DCA Blog BVNPT Visual Update 2017
<ul> <li>Recommendations:</li> <li>Develop a Communications Plan which should include a media plan for fee increases that will be taking place in 2019.</li> <li>Update public materials such as brochures, website, and "Welcome" video.</li> <li>Provide an update on the diversion program – a brochure was to be created that described the enforcement process and this should be revisited in 2019.</li> <li>Contact Office of Public Affairs to discuss an article in the "Did You Know?" to highlight the positive changes and new staff at BVNPT.</li> <li>Continue to follow up with Communications Division on areas where they can help promote BVNPT's mission, communicate to their licensee populations on important issues, and celebrate successes.</li> </ul>	(2018 coming soon)
<b>Legal Services</b> The Legal Affairs Division provides legal analysis and opinions on laws, issues, proposed legislation, regulations, government contracts, employer- employee matters, the Open Meeting Act, the Public Records Act, and the Information Practices Act. They represent DCA before the State Personnel Board and other administrative tribunals, provide small claims advice, defend clients in depositions, and appear at hundreds of public meetings annually.	Legal Affairs Division
<ul> <li>Recommendations:</li> <li>Continue to include board counsel on meeting materials and incorporated deadlines.</li> </ul>	



<ul> <li>Create an Outlook calendar reminders that include all parties that have a product to return to ensure deadlines are being met.</li> <li>Encourage board education days for the board members to have subject matter experts from other fields provide guidance. <i>Example: Incorporate tools to help them analyze and interpret budget items</i></li> <li>Participate in Regulations Training that is provided by Legal Affairs, to help staff gain an understand of the regulations process.</li> </ul>	
Office of Board and Bureau Services (OBBS)	Resources:
As the liaison between the DCA Executive Office and its boards, bureaus, committees and programs, OBBS provides support services for appointed board members, executive officers, and bureau chiefs by connecting programs with the appropriate DCA resources. OBBS is responsible for coordinating DCA executive officer and board member on-boarding, procedures and trainings, including DCA's Board Member Orientation Training. OBBS facilitates the department's licensing and enforcement work-groups to promote best practices and efficiencies within the licensing and enforcement divisions of all DCA programs. Additionally, it maintains departmental data on board and committee members' required training compliance and appointments and disseminates information related to board and committee meetings. OBBS has provided onboarding sessions that included DCA division overviews with an option to follow up if more information was needed.	Board Member Orientation Training California Business and Professions Code Section <u>453</u> requires every appointed board member to complete a training and orientation program offered by the Department of Consumer Affairs (DCA) within one year
<ul> <li>Recommendations:</li> <li>Continue to work with board members on being more engaged with board staff, board leadership, each other and to increase preparedness for board meetings.</li> <li>The board may benefit from additional trainings on basic processes; Roberts Rule of Order, the enforcement process, etc.</li> <li>Attend and participate in mandatory Board Member Orientation Training (BVNPT Board Member Training roster included under resources – currently one board member in non-compliance).</li> <li>Continue to work with the board to restructure the committee</li> </ul>	of assuming office. The training covers the functions and responsibilities of DCA Board Members.

• Touch base with OBBS and check in on the effectiveness of the Executive Officer Onboarding process progress. Regularly attend Licensing and Enforcement Workgroup meetings to participate in the discussion and stay abreast of resources available on data capture and reporting.

> DEPARTMENT OF CONSUMER AFFAIRS

process. It has been indicated that the board has been unable to act

on the recommendations that came from staff, DCA, and the

Monitor.

•

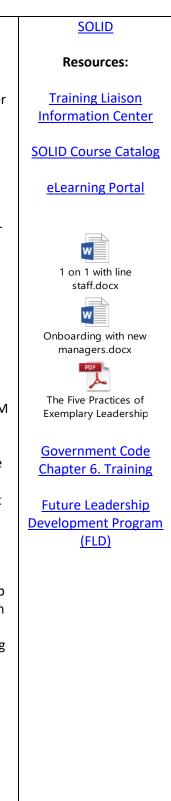


#### **SOLID Training Solutions**

SOLID can provide a training plan that incorporates soft skills and internal software support (BreEZe) that would be beneficial for BVNPT staff to add to their training portfolios. Strategic Planning, Employee Engagement Survey, True Colors, Enforcement and Leadership Academy, Board Member Orientation Training, and the Upward Mobility Program are also available through the SOLID.

#### **Recommendations:**

- Encourage participation in the Strategic Planning process to help create buy in of BVNPT's vision with front line managers.
- Utilize your Training Liaison for training opportunities and trainingrelated questions.
- Offer staff development days for staff to take training via the eLearning Portal and have completed training added to their Individual Development Plans (IDP).
- Executive Management attend upcoming Executive Officer Brown Bags to develop a peer support system and create a collaborative environment for leaders.
- Build upon employee engagement survey feedback and conduct additional staff and manager development activities.
- Implement workforce strengthening activities (e.g. Morning SCRUM Meetings, developmental team pairings, peer strategies for handling poor performance or difficult situations).
- Develop a one-on-one expectations and communications template for managers to use with new staff.
- Engage in the Five Practices of Exemplary Leadership development where staff identify their strengths and areas for improvement along with a process for continuous review.
- Ensure staff are meeting training requirements which include the 20-hour biannual training for supervisors/managers.
- Encourage BVNPT staff to apply for the Fall 2019 Future Leadership Development (FLD) Cohort. See attached link for how to submit an application.
- Support Staff Services Manager (SSM) attendance during upcoming Manager Roundtable Trainings which will cover:
  - Managers Managing Challenges
  - Building a Psychologically Safe Workplace
  - o Employee Engagement
  - Difficult Conversations
  - o Effective Delegation
  - Forming, Storming, Norming, and Performing
  - o Executive Panel Discussion





<ul> <li>Fiscal Operations / Accounting / Travel</li> <li>The Accounts Payable (AP) office is responsible analyzing and auditing Travel and Evidence Expense Claims for compliance with the laws and regulations established by the Department of Personnel Administration. All travel and evidence advances, requisitions and reimbursement of claims are processed in a timely manner, working with clients to resolve any problems or questions.</li> <li>The Budget Office provides annual Governor's Budget development, implementation, and monitoring services. This includes: <ul> <li>Developing budget galley, budget change proposals, and all related supporting schedules and documentation.</li> <li>Facilitating communication and coordination of information between DCA clients and State and Legislative control agencies, including the Department of Finance, State &amp; Consumer Services Agency, Legislative Analyst's Office, and California State Legislature.</li> <li>Provides regular updates on expenditures, revenue, fund conditions, and projections.</li> <li>Provides varied consulting services, including fee analysis, regulation review, BCP review, and assistance on schedules, including out–of–state travel.</li> </ul> </li> <li>Recommendations: <ul> <li>All Out-of-State Travel (OST) requests must be approved by DCA, Agency, and the Governor's Office and <u>must be submitted 30 days prior to travel</u>. <i>Note: OST requests require detailed justifications</i>.</li> <li>Request a meeting with the Budget Office to go over fund condition and strategy on upcoming fee increases.</li> <li>Develop a plan/strategy on how to collect outstanding monies owed by licensees for penalties.</li> <li>Attend Travel Liaison training when available (usually quarterly) to</li> </ul> </li> </ul>	Resources: Fiscal Operations / Budgets Accounts Payable/Travel Unit Travel Guide (May 2018) Travel_guide.pdf
stay abreast of new requirements, Governor's Executive Orders and system updates. Office of Information Services (OIS)	Office of Information
OIS consists of Application Services, Enterprise Technology Services, Infrastructure Services, Client IT Support Services, Enterprise Project Services, and the Office of Information Security. Application Services maintains and develops the core licensing and enforcement platforms in	<u>Services</u> Resources:
DCA's portfolio, including the Consumer Affairs System, the Applicant Tracking System, and BreEZe. Enterprise Technology. The Reports and Data Governance Teams provide reporting solutions and data analytics tools.	<u>BreEZe</u> <u>Training/Reports</u>
<ul> <li>Recommendations:</li> <li>Engage other team members, especially managers, in BreEZe and QBIRT training to bring awareness of the reporting capabilities.</li> </ul>	Quality Business Interactive Reporting Tool (QBIRT)



Share information with technically proficient staff members to help	<b>Client Prioritization</b>
them develop and become points of contacts for BreEZe.	Reports
<ul> <li>Create user manuals and assign backups.</li> </ul>	
<ul> <li>Incorporate the licensing and the enforcement managers into all</li> </ul>	
BreEZe and QBIRT trainings.	
• SPOC should participate in all BreEZe trainings and User Groups on	
a regular basis. There is a tremendous amount of opportunity to	
expand on the tools in BreEZe.	
<ul> <li>Allow staff to take an active role in determining the needs and</li> </ul>	
priorities for the program. This includes communicating with the	
Business Integration Analysts (BIA) to discuss the current issues,	
creating the SIR's needed to request BreEZe configurations or	
updates, monitor the changes to ensure that the program is using	
BreEZe correctly and updating the procedure manuals to document	
the affected applications/functions.	
OIS suggests BVNPT prioritize the types of items that are currently	
in the SIR listing to align with program priorities.	
	Duciness Comises
Business Services Office (BSO)	Business Services
The Business Services Office (BSO) is comprised of nine units responsible for	<u>Office</u>
critical business functions. These functions include space planning and	Resources:
facilities leasing/management, contracts, purchasing, records management,	Resources.
vehicle acquisition, property and asset management, recycling program, Cal	Program Resources
Card program, centralized mail services, subpoena services, and the Small	Unit
Business and Disabled Veteran Business Enterprise programs. These services are provided to all DCA Divisions, Boards and Bureaus statewide.	onic
services are provided to an DCA Divisions, boards and bureaus statewide.	Expert Consultant
Recommendations:	Contracts
<ul> <li>Continue to work with analyst on facilities and/or procurement</li> </ul>	
projects.	<b>Records Management</b>
<ul> <li>Increase participation in the records management program</li> </ul>	Program
including training and quarterly meetings.	
<ul> <li>Work with BSO staff on long term strategy to consolidate all BVNPT</li> </ul>	Records Unit (Imaging)
staff into one office.	
stan into one onice.	
Office of Human Resources (OHR)	Office of Human
The Office of Human Resources (OHR) provides full-service human	<b>Resources</b>
resources support for employees within DCA. OHR's staff interpret laws,	
regulations, bargaining unit contracts, policies, and procedures to provide	Resources:
its clients with the necessary information to make well-informed decisions.	Liaison Training
	<u>Schedule</u>
Recommendations:	
Training	Liaison Training &
<ul> <li>Personnel Liaison should attend Human Resources Liaison</li> </ul>	<u>Responsibilities</u>
Training (BVNPT liaison has not attended in the last four	
training sessions).	



<ul> <li>All managers should attend Examination and Certification</li> </ul>	Examination and
Online System (ECOS) Training (BVNPT liaison has not yet	Certification Online
attended a training session).	System (ECOS)
<ul> <li>Recruitment Process – Request for Personnel Action (RPA</li> </ul>	
Packages)	
Contact your HR analyst as the first step before compiling the RPA	
Packages to help determine the following:	
<ul> <li>What the need/want is to help build a timeline</li> </ul>	
<ul> <li>Build the HR/Liaison conversations into the timeline</li> </ul>	
<ul> <li>Help prepare completed forms</li> </ul>	
Tips on application reviews:	
• When HR okays the eligibility, the board can review the application	
before the final release to speed up the process.	
• Start looking every other day and release the application when	
complete.	
• Two weeks is an average time to spend on application review.	
<ul> <li>The selection process takes about two months - interviews, applications.</li> </ul>	
• When they do the final release, they upload the application.	
• Continue working with OHR on questions or issues that may need	
guidance.	
Note: OHR does understand that requesting help from their analysts may	
add to the delay in completed packages.	





# LICENSING DIVISION





# **STATISTICAL DATA**

(ATTACHMENT 3a)



## Licensing Division Statistical Data

January 1, 2017 thru June 30, 2019

**Executive Summary** 

#### **Statistical Highlights**

There are 68 sets of statistical data in this Executive Summary representing the period from January 1, 2017 through June 30, 2019. Highlights include areas with outstanding progress and areas with room for improvement with explanations for both.

Thirteen of the data sets depict processing times while 55 depict number of items received, processed and/or issued. The data sets reflect both in-house and online processing. The online services reduce processing times even though team members still "touch" the items.

The two biggest challenges for Licensing are reducing/answering the number of incoming telephone calls and reducing the processing time for equivalency applications.

The Licensing Division reorganization in October 2018 focused on reducing the number of incoming calls and increasing the numbers of calls answered. The reorganization is a success as the numbers began shifting in November 2018. January 2019 had several factors impacting call volume as the fees increased, the Brightwood College closure panicked students and the Board notified 3,339 licensees that they needed to get re-fingerprinted because DOJ no longer had their fingerprints on file.

#### **Incoming Telephone Calls:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	18,283	7,629	6,178	6,734	5,710	5,918							50,542
Total 2018	29,472	25,305	32,723	18,723	14,076	12,049	11,983	17,989	19,070	19,526	<mark>8,267</mark>	6,696	215,879
Total 2017	45,669	22,847	11,990	9,269	9,315	10,148	11,485	19,494	20,275	31,455	34,783	25,477	252,207

#### **Incoming Calls Answered:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	2,595	3,215	4,639	4,602	5,117	4,711							24,879
Total 2018	2,051	1,944	1,913	2,354	2,579	2,158	2,197	1,811	1,259	1,478	<mark>2,516</mark>	2,234	24,494
Total 2017	2,687	2,045	3,368	3,387	3,447	2,620	2,338	2,663	1,591	1,693	1,224	1,610	28,673

#### Percentage of Calls Answered:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	14%	42%	75%	68%	90%	80%							62%
Total 2018	7%	8%	6%	13%	18%	18%	18%	10%	7%	8%	<mark>30%</mark>	33%	14%
Total 2017	6%	9%	28%	37%	37%	26%	20%	14%	8%	5%	4%	6%	16%

The processing times for equivalency applications is improving. DCA's Organizational Change Management team's report to the Board recommended changing the way the equivalency applications are initially reviewed since the equivalency applications are complex and require more analysis. The Licensing manager worked with the Staff Services Analysts (SSAs) and Program Technicians IIs (PT IIs) and developed new processes to triage the equivalency applications and reduce processing times.

#### VN Equivalency – Online and In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	40.97	42.50	40.75	29.5	29.8	29.5						
Total 2018	31.70	35.50	40.00	40.00	38.00	38.00	39.60	41.60	43.00	42.00	43.00	43.00
Total 2017	20.25	21.50	22.75	23.80	28.00	17.35	18.00	18.00	20.00	22.00	25.00	28.00

The Board continues instituting efficiencies whenever possible. The letter sent to licensees notifying them of their impending license renewal was seven pages. In November 2018, the Board reduced the renewal letter to one page which dramatically **increased** the number of online renewals and decreased the amount of money spent on printing the letters and postage costs. The Board is getting ready to launch a renewal postcard in the final quarter of 2019 which will further reduce printing and postage costs and maintain/increase the number of online renewals.

#### Percentage of VN Renewals Completed Online

	Jan	Feb	Mar	Apr	Мау	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	94%	97%	96%	97%	97%	97%							96%
Total 2018	69%	70%	69%	70%	72%	70%	72%	72%	73%	74%	78%	85%	73%
Total 2017	72%	60%	66%	61%	62%	61%	65%	67%	66%	64%	68%	67%	65%

#### Percentage of PT Renewals Completed Online

	Jan	Feb	Mar	Apr	Мау	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	94%	96%	96%	96%	96%	99%							96%
Total 2018	77%	72%	74%	77%	76%	78%	79%	75%	81%	73%	83%	85%	77%
Total 2017	77%	65%	71%	66%	67%	64%	70%	73%	72%	70%	72%	76%	70%

#### BVNPT Licensing Division Statistics January 2017 thru June 2019 Vocational Nurses and Psychiatric Technicians

#### **VN Examination Request Received:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	439	563	499	519	884	543							3,447
Total 2018	576	654	600	679	892	489	531	609	563	653	590	858	7,694
Total 2017	449	648	691	504	893	590	535	900	603	642	491	770	7,716

#### PT Examination Requests Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	55	16	9	6	90	42							218
Total 2018	74	15	11	3	60	13	47	65	55	12	11	110	476
Total 2017	68	15	8	3	81	5	79	50	55	9	8	116	497

#### VN Examination Retakes Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	292	328	462	394	376	332							2,184
Total 2018	448	420	453	421	433	378	363	700	409	422	331	301	5,079
Total 2017	419	414	514	388	454	390	405	423	437	401	375	330	4,950

#### PT Examination Retakes Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	19	20	29	27	23	17							135
Total 2018	28	32	29	35	24	35	26	51	30	29	23	21	363
Total 2017	30	27	35	34	32	31	26	33	17	34	22	23	344

#### VN Interim Permits Issued:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	8	9	5	4	7	14							47
Total 2018	20	15	14	10	18	11	15	20	11	13	3	12	162
Total 2017	15	14	9	15	16	17	18	17	28	7	11	16	183

#### PT Interim Permits Issued:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	0	0	0	0	16	0							16
Total 2018	0	0	0	1	3	0	3	0	0	0	0	11	18
Total 2017	0	0	0	0	0	0	0	0	0	0	0	0	0

#### VN Examination Results:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	753	835	838	807	796	761							4,790
Total 2018	662	661	913	850	919	858	984	969	818	831	781	843	10,089
Total 2017	656	772	1179	773	863	916	941	952	916	889	803	758	10,418

#### PT Examination Results:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	40	85	35	42	41	42							285
Total 2018	40	49	85	97	62	50	60	57	50	77	63	36	726
Total 2017	42	44	49	77	68	55	75	66	59	46	66	55	702

#### VN Initial Applications Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	491	568	560	582	507	584							3,292
Total 2018	508	490	619	655	548	623	578	953	551	603	497	527	7,152
Total 2017	581	502	605	639	519	546	517	646	624	582	488	490	6,739

#### PT Initial Applications Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	22	64	53	28	17	15							199
Total 2018	17	28	33	54	48	26	30	51	27	35	45	23	417
Total 2017	24	28	17	31	49	26	38	31	29	34	41	27	375

#### VN Endorsements Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	35	44	49	49	52	47							276
Total 2018	46	48	53	49	47	63	43	88	59	44	35	36	611
Total 2017	49	43	65	42	46	52	56	63	61	83	37	41	638

#### PT Endorsements Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	0	0	0	0	0	1							1
Total 2018	0	0	0	0	0	0	0	0	0	0	0	0	0
Total 2017	0	1	0	0	0	0	1	0	0	0	1	0	3

#### VN Verification Letters Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	125	140	177	158	178	172							950
Total 2018	191	173	153	165	202	165	177	159	154	150	171	135	1,995
Total 2017	127	162	208	185	172	176	158	181	133	180	116	107	1,905

#### PT Verification Letters Received:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	1	1	1	1	0	0							4
Total 2018	0	1	2	1	0	1	1	0	0	0	1	0	7
Total 2017	0	0	0	0	0	0	0	1	1	0	0	0	2

#### VN Licenses Issued:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	544	499	573	589	548	624							3,377
Total 2018	349	442	368	825	917	626	528	933	541	612	498	447	7,086
Total 2017	589	595	658	596	571	397	554	635	506	723	477	547	6,848

#### PT Licenses Issued:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	19	66	55	26	15	15							96
Total 2018	24	16	29	60	47	32	30	57	28	35	38	36	432
Total 2017	22	27	33	27	51	28	25	36	50	30	38	31	398

#### **VN Renewals Completed - Online**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	4,020	3,676	3,569	3,592	3,732	3,611							22,200
Total 2018	3,073	2,534	2,770	2,539	2,630	2,588	2,819	3,147	2,976	3,247	3,177	3,195	34,695
Total 2017	2,825	2,312	2,733	2,304	2,430	2,395	2,432	2,634	2,725	2,618	2,688	2,499	30,595

#### VN Renewals Completed - In House:

	Jan	Feb	Mar	Apr	Мау	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	276	131	133	125	109	108							882
Total 2018	1,398	1,111	1,248	1,078	1,043	1,129	1,076	1,252	1,110	1,156	904	580	13,085
Total 2017	1,097	1,539	1,379	1,456	1,509	1,541	1,312	1,290	1,422	1,484	1,247	1,240	16,516

#### Percentage of VN Renewals Completed Online

	Jan	Feb	Mar	Apr	Мау	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	94%	97%	96%	97%	97%	97%							96%
Total 2018	69%	70%	69%	70%	72%	70%	72%	72%	73%	74%	78%	85%	73%
Total 2017	72%	60%	66%	61%	62%	61%	65%	67%	66%	64%	68%	67%	65%

#### **PT Renewals Completed - Online**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	366	312	350	334	388	342							2,092
Total 2018	295	270	276	265	273	273	317	309	290	280	307	303	3,458
Total 2017	247	231	272	268	238	263	274	314	249	263	274	253	3,146

#### PT Renewals Completed – In House

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	25	12	16	14	15	5							87
Total 2018	89	106	96	81	88	78	86	101	66	103	61	55	1,010
Total 2017	72	125	111	141	119	148	116	116	98	114	108	80	1,348

#### Percentage of PT Renewals Completed Online

	Jan	Feb	Mar	Apr	Мау	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	94%	96%	96%	96%	96%	99%							96%
Total 2018	77%	72%	74%	77%	76%	78%	79%	75%	81%	73%	83%	85%	77%
Total 2017	77%	65%	71%	66%	67%	64%	70%	73%	72%	70%	72%	76%	70%

#### VN Equivalency Applications Received - Online and In House

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	75	99	103	140	109	95							621
Total 2018	143	136	158	150	156	143	126	168	147	170	115	125	1,737
Total 2017	133	147	173	132	174	156	161	157	149	170	116	108	1,776

#### PT Equivalency Applications Received - Online and In House

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	0	1	1	3	1	5							11
Total 2018	0	4	3	1	0	1	0	1	3	0	4	2	19
Total 2017	0	4	0	0	3	2	5	6	4	4	4	0	32

#### BVNPT Licensing Division Statistics January 2017 thru June 2019 Vocational Nurses and Psychiatric Technicians – Processing Times in Weeks

#### VN School Applications – Online:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.21	0.00	0.00	0.00	0.00	0.10						
Total 2018	4.40	3.70	1.70	1.00	0.40	0.50	0.10	0.30	0.10	0.00	0.00	0.20
Total 2017	4.50	4.00	4.25	2.00	2.75	1.50	1.50	1.30	1.00	3.40	2.80	5.50

#### **PT School Applications – Online:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.30	0.00	0.10	0.00	0.00	0.00						
Total 2018	5.10	5.20	4.90	1.00	0.50	1.00	1.30	0.80	0.20	0.70	0.20	0.32
Total 2017	3.75	11.50	10.50	7.00	2.00	1.50	1.40	1.50	5.50	10.00	7.00	3.00

#### VN School Applications – In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.10	0.25	0.10	0.00	0.00	0.10						
Total 2018	1.70	3.00	1.70	1.80	1.00	1.00	0.30	0.20	0.10	0.20	0.30	0.20
Total 2017	8.50	8.75	6.50	4.00	3.60	2.70	1.80	1.30	1.30	2.80	3.00	2.00

#### PT School Applications – In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.00	0.00	0.10	0.00	0.00	0.00						
Total 2018	5.10	5.20	4.70	1.00	5.00	0.80	1.70	0.70	0.70	0.70	0.30	0.20
Total 2017	4.50	7.00	8.50	6.00	1.00	2.00	1.70	3.50	7.50	7.80	4.50	2.70

#### PT Re-Examination:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.00	0.00	0.00	0.00	0.00	0.00						
Total 2018	5.00	2.40	2.50	1.00	1.10	1.10	1.50	1.00	0.90	1.00	0.60	0.50
Total 2017	3.50	5.75	7.00	3.00	4.00	2.25	2.00	1.50	5.50	5.10	3.30	1.80

#### VN Equivalency – Online and In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	40.97	42.50	40.75	29.5	29.8	29.5						
Total 2018	31.70	35.50	40.00	40.00	38.00	38.00	39.60	41.60	43.00	42.00	43.00	43.00
Total 2017	20.25	21.50	22.75	23.80	28.00	17.35	18.00	18.00	20.00	22.00	25.00	28.00

#### PT Equivalency – Online and In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.00	0.00	0.10	0.00	0.00	0.00						
Total 2018	16.10	19.10	23.60	23.00	22.50	10.00	5.60	2.40	1.00	0.40	0.50	0.20
Total 2017	8.00	12.50	15.50	16.25	10.40	4.25	4.80	6.00	10.00	15.60	18.10	22.10

#### VN Verification – Online:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.70	0.75	0.25	0.75	0.60	0.90						
Total 2018	15.20	19.20	16.60	1.80	0.50	0.90	1.20	0.80	1.20	0.90	0.70	1.00
Total 2017	14.50	13.00	7.00	2.80	4.10	3.60	4.70	6.00	10.00	8.50	12.00	13.00

#### VN Verification – In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	1.84	1.30	2.22	2.00	1.60	1.25						
Total 2018	13.90	16.50	15.30	2.10	1.60	1.90	1.70	1.70	1.50	1.90	1.60	2.80
Total 2017	13.00	12.75	8.00	7.25	6.50	5.50	3.50	4.50	8.00	7.00	9.00	12.00

#### VN Endorsements – Online:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.75	0.75	0.50	0.42	0.57	0.80						
Total 2018	2.60	2.90	4.00	1.00	0.60	1.00	1.00	1.60	1.20	1.20	1.70	3.70
Total 2017	2.25	1.25	0.08	1.00	1.00	1.00	1.00	1.00	1.00	1.30	2.00	1.00

#### VN Endorsements – In House:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.74	0.75	0.50	0.42	0.50	0.80						
Total 2018	1.40	1.90	2.00	1.00	2.00	0.70	1.00	1.60	1.20	1.20	1.70	3.70
Total 2017	3.25	4.25	4.75	2.60	2.10	1.70	2.00	1.00	1.00	1.00	2.00	2.00

#### VN Initial Licensure:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.80	0.40	0.00	1.14	0.15	0.25						
Total 2018	1.40	1.90	2.00	1.00	2.00	0.70	1.00	1.60	1.20	0.90	1.00	0.80
Total 2017	3.25	4.25	4.75	2.60	2.10	1.70	2.00	1.00	1.00	1.00	2.00	2.00

#### PT Initial Licensure:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec
Total 2019	0.00	0.00	0.00	0.00	0.00	0.00						
Total 2018	3.40	0.60	1.30	1.00	5.00	1.10	1.30	0.60	0.50	0.80	0.50	0.30
Total 2017	5.00	5.50	4.25	1.80	1.40	1.25	1.70	2.40	6.40	1.40	2.50	2.40

#### Name Changes:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	124	176	131	165	182	165							943
Total 2018	19	36	24	25	39	14	24	27	40	121	107	149	625
Total 2017	46	64	33	37	36	23	33	23	38	27	34	19	413

#### Address Changes:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	670	823	549	652	585	558							3,387
Total 2018	806	1,306	1,022	929	961	870	751	795	591	763	569	518	9,881
Total 2017	1,500	1,727	1,881	1,331	1,345	1,402	1,215	1,307	508	721	642	458	14,037

#### Number of Projected Graduates from Schools (124 schools reported – 28 schools did not report):

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	468	383	496	554	827	554	644	711	650	529	536	795	7,147
Total 2018											441	963	1,404

#### BVNPT Licensing Division Statistics January 2017 thru June 2019 Public Counter and Customer Service

#### Applicants/Licensees Assisted at the Public Counter:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	304	227	216	222	197	172							1,338
Total 2018	449	364	440	151	56	440	306	289	281	308	242	217	3,543
Total 2017	990	515	426	352	368	338	315	384	363	406	343	309	5,109

#### Temporary Licenses Issued at the Public Counter:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	1	1	0	0	0	0							2
Total 2018	30	36	62	152	57	9	6	16	0	4	2	7	381
Total 2017				38	30	24	36	39	50	36	26	27	306

#### Incoming Emails to the General BVNPT Email Box:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	2,594	1,551	1,279	1,154	1,070	1,120							8,768
Total 2018	2,051	1,483	1,832	1,548	1,426	1,449	1,462	1,690	1,484	1,646	1,253	1,228	18,552
Total 2017	2,846	2,237	1,921	890	974	1,050	1,051	1,393	1,264	1,807	2,758	1,445	19,636

#### Incoming Telephone Calls:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	18,283	7,629	6,178	6,734	5,710	5,918							50,542
Total 2018	29,472	25,305	32,723	18,723	14,076	12,049	11,983	17,989	19,070	19,526	8,267	6,696	215,879
Total 2017	45,669	22,847	11,990	9,269	9,315	10,148	11,485	19,494	20,275	31,455	34,783	25,477	252,207

#### Incoming Calls Answered:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	2,595	3,215	4,639	4,602	5,117	4,711							24,879
Total 2018	2,051	1,944	1,913	2,354	2,579	2,158	2,197	1,811	1,259	1,478	2,516	2,234	24,494
Total 2017	2,687	2,045	3,368	3,387	3,447	2,620	2,338	2,663	1,591	1,693	1,224	1,610	28,673

#### Percentage of Calls Answered:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	14%	42%	75%	68%	90%	80%							62%
Total 2018	7%	8%	6%	13%	18%	18%	18%	10%	7%	8%	30%	33%	14%
Total 2017	6%	9%	28%	37%	37%	26%	20%	14%	8%	5%	4%	6%	16%

#### Average Time on Hold in Minutes:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	31.50	18.00	7.5	7.25	3.25	6.0							12.25
On Hold 2017	30.00	36.50	22.25	19.50	20.50	27.25	27.00	31.50	43.50	46.00	54.00	43.00	33.41
On Hold 2018	39.75	36.75	42.50	32.75	29.75	32.50	32.25	42.00	50.00	49.25	24.25	25.75	36.45

#### <u>Cashiering</u>

#### In House Processed Payments - VN Renewal:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	141	106	94	107	132	243							823
Total 2018	209	445	1,037	644	140	71	165	181	119	171	158	136	3,476
Total 2017	344	121	285	271	117	167	203	213	194	220	202	188	2,525

#### **Online Processed Payments - VN Renewal:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	4,092	3,680	3,717	3,680	3,081	2,204							20,054
Total 2018	3,052	2,671	2,843	2,632	2,193	1,431	2,144	3,157	2,978	3,257	3,198	3,231	32,787
Total 2017	2,985	2,302	2,703	2,305	2,017	1,276	1,915	2,651	2,745	2,623	2,697	2,497	28,716

#### In House Processed Payments - PT Renewal:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	7	11	12	14	12	16							72
Total 2018	26	37	112	69	14	11	18	12	15	27	14	15	370
Total 2017	46	20	23	22	10	22	24	15	21	28	20	17	268

#### **Online Processed Payments - PT Renewal:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	382	315	363	336	331	199							1,926
Total 2018	294	275	298	275	240	157	245	304	292	281	307	301	3,269
Total 2017	267	229	274	269	199	144	218	313	251	268	271	258	2,961

#### In House Processed Payments - VN Examinations:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	85	163	159	204	219	134							964
Total 2018	229	232	284	225	358	190	207	227	132	231	179	137	2,631
Total 2017	694	320	514	703	295	492	260	305	264	306	189	209	4,551

#### **Online Processed Payments - VN Examinations:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	397	344	399	385	632	453							2,610
Total 2018	336	326	343	381	556	319	282	519	386	408	354	660	4,870
Total 2017	251	281	295	283	489	361	330	452	333	331	332	555	4,293

#### In House Processed Payments - PT Examinations:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	22	0	2	1	26	2							53
Total 2018	53	6	8	1	29	4	21	3	29	1	3	24	182
Total 2017	27	4	45	2	4	32	73	22	29	6	2	7	253

#### **Online Processed Payments - PT Examinations:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	36	11	9	33	42	40							171
Total 2018	22	10	4	1	39	9	27	28	6	16	8	87	257
Total 2017	10	6	3	1	48	4	7	27	27	2	7	112	254

#### In House Processed Payments - VN Reexaminations:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	39	48	47	33	42	40							249
Total 2018	145	143	109	120	124	91	107	96	89	127	79	59	1,289
Total 2017	155	74	151	316	109	153	91	116	114	91	87	89	1,546

#### **Online Processed Payments - VN Reexaminations:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	284	325	444	392	352	327							2,124
Total 2018	331	294	349	328	340	288	288	357	314	313	262	238	3,702
Total 2017	305	286	362	282	347	291	334	321	326	326	295	252	3,727

#### In House Processed Payments - PT Reexaminations:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	7	5	6	13	12	9							52
Total 2018	15	20	15	16	13	18	15	12	13	17	11	13	178
Total 2017	10	15	55	19	27	29	22	29	15	24	13	14	272

#### **Online Processed Payments - PT Reexaminations:**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	15	16	23	15	12	11							92
Total 2018	9	15	11	18	12	14	14	14	13	19	11	3	153
Total 2017	4	2	6	13	7	9	4	5	5	11	8	9	83

#### In House Processed Payments - VN Interim Permit:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	4	5	0	3	3	0							15
Total 2018	5	4	2	2	4	2	3	2	1	2	2	0	29
Total 2017	3	3	1	3	11	8	1	3	10	3	5	1	52

#### **Online Processed Payments - VN Interim Permit:**

Unline Proce	essea F	<u>aymeni</u>	<u>is - Vn I</u>	nterim P	ermit:								
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	16	9	12	7	25	20							89
Total 2018	15	8	11	8	15	12	0	9	9	10	2	9	108
Total 2017	23	16	10	11	11	9	17	13	21	4	6	13	154
n House Pro	cesse	d Payme	ents - VN	Verifica	ation:								
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	31	42	32	56	41	37							239
Total 2018	70	61	59	69	107	62	68	81	48	41	64	34	764
Total 2017	4	7	3	166	103	97	59	66	54	79	47	34	719
Online Proce	essed F	Payment	s - VN V	erification	on:	· · · · · · · · · · · · · · · · · · ·							
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	88	89	130	91	128	117							643
Total 2018	105	79	85	83	96	87	87	104	88	101	92	77	1,084
Total 2017	11	15	18	95	76	91	89	91	76	84	68	51	765
n House Pro	cesse	d Pavme	ents - VN	N Initial L	icensure	):							
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	17	36	20	23	8	3							107
Total 2018	56	43	63	79	77	48	51	47	30	40	41	28	603
Total 2017	27	110	146	60	83	101	59	80	56	73	47	53	895
Online Proce	essed F	Pavment	s - VN li	nitial Lic	ensure:								
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	474	540	545	561	506	581			1				3,207
Total 2018	450	437	515	571	475	563	525	581	513	561	450	490	6,131
Total 2017	465	430	535	559	453	454	484	567	556	512	432	436	5,883
n House Pro	cesse	d Payme	ents - Pl	Initial L	icensure	:							
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	3	7	3	3	1	0							17
Total 2018	1	2	5	1	8	2	3	5	1	6	3	4	41
		<u> </u>	1 -	1 -	1	-	1	1	1	1	1	1	1

Total 2017

#### Online Processed Payments - PT Initial Licensure:

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	19	57	50	24	17	15							182
Total 2018	16	26	16	50	43	23	28	32	25	30	41	20	350
Total 2017	14	22	14	26	41	23	34	29	26	33	34	23	319
Incoming Mai	Incoming Mail:												
	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total

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Total 2019	4,253	3,619	3,373	4,178	3,306	3,190							21,919
Total 2018	2,878	2,566	2,717	3,274	3,060	3,060	2,913	2,657	3,085	3,254	3,226	2,556	35,246
Total 2017	34,241	5,787	4,747	4,598	4,533	4,135	4,565	3,748	3,129	3,629	2,719	1,998	77,829



# ORGANIZATIONAL CHANGE MANAGEMENT REPORT

(ATTACHMENT 3b)

### California Department of Consumer Affairs

### Board of Vocational Nursing and Psychiatric Technicians



### **Review of Licensing Operations**



DEPARTMENT OF CONSUMER AFFAIRS

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Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

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#### OVERVIEW AND METHODOLOGY

SOLID DCA Organizational Change Management (OCM) was asked by the Department of Consumer Affairs Executive Team to support the Board of Vocational Nursing and Psychiatric Technicians (BVNPT or Board) in identifying improvement opportunities and changes that would increase efficiencies in its licensing section in relation to Business and Professions Code Section 2847.7.

OCM's work involves intensive investigation necessary to develop a comprehensive knowledge of processes to resolve operational needs. This investigation requires a systematic approach with quantitative and qualitative analysis of data and processes. OCM staff effectively identify process "bottlenecks" and develop tools and documents that will assist boards increase their efficiency and effectiveness.

BVNPT protects the consumer from unprofessional and unsafe licensed vocational nurses (LVNs) and psychiatric technicians (PTs). Public protection is paramount to the Board and its highest priority in exercising its licensing, regulatory and disciplinary functions. Toward this end, the Board ensures that only qualified persons are licensed vocational nurses and psychiatric technicians by enforcing education requirements, standards of practice and by educating consumers of their rights.

BVNPT has taken steps toward making improvements that have proved to be successful and for which the Board should be recognized. These include the following:

- The addition of a Licensing Service Supervisor has assisted in supervising the front office staff and generated weekly workload reports, monitored the Board's inbox and created detailed accountability reports.
- The volume of consumer telephone calls has been significantly reduced due to the development of a more efficient process for returning telephone calls and redirecting more staff to answer incoming calls during high volume times.
- Staff morale has increased as a result of management listening to staff's concerns and dedicating a space specifically for staff to take breaks and eat their lunches.

The OCM team conducted interviews with the Board's Licensing staff, Licensing Manager, Assistant Executive Officer, and the Executive Officer to gain an understanding of the culture and work performed at BVNPT. The team also

Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

conducted As-Is mapping<sup>1</sup> sessions with the Board's subject matter experts (SMEs). Once all OCM activities were completed, the OCM team analyzed the interview notes and process maps to create recommendations that would help improve BVNPT's licensing operations. The recommendations are grouped into four primary sections, which include the following:

- Section #1: Streamline VN/PT application process
- Section #2: Develop an understanding for rules and regulations
- Section #3: Improve manager communication and implement staff accountability measures
- Section #4: Explore process change opportunities

Within each section of the recommendations the OCM team lists the background and findings to support each item.

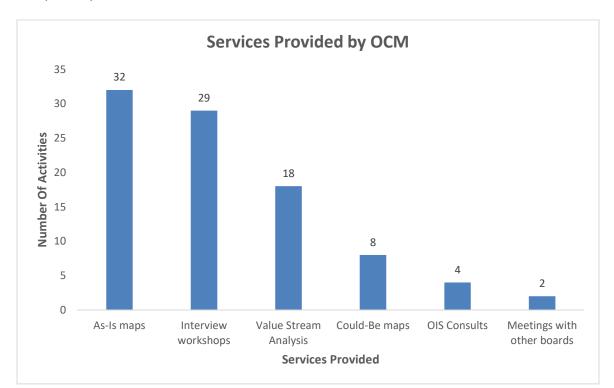
<sup>&</sup>lt;sup>1</sup> The As-Is mapping is defined by OCM as the visualization of interrelated work tasks initiated in response to an event that will achieve a specific result for an actor in this process.

#### SERVICES PROVIDED BY OCM

The OCM team provided a variety of services during this review. These services consisted of the development of As-Is maps, interview workshops, Value Stream Analysis, Could-Be maps, consultations with the Office of Information Services (OIS), and meeting with other boards.

The OCM team met with the OIS team to determine what changes to BreEZe can be done to help BVNPT process their workload more efficiently and to request reports be generated to track accountability.

Board of Registered Nursing (BRN) has been working with BreEZe since Release 1 and has implemented improvements to make their processes more efficient. OCM collaborated with BRN to get a better understanding of the changes they implemented in BreEZe. We scheduled meetings with the licensing management team to gain insight on their licensing unit's best practices. OCM learned that BRN has developed an interactive PowerPoint that helps all applicants understand the application process. For example, when an applicant is reviewing application processing times on the BRN web page there is a link that will give them a step by step guide on how to check their application status. This is one area that OCM believes will benefit BVNPT.



The charts and tables below show the types of services and the corresponding frequency.

#### MAPS COMPLETED

#### As-Is Maps

- 1. Equivalencies Method 1
- 2. Equivalencies Method 2
- 3. Equivalencies Method 3
- 4. Equivalencies Method 4
- 5. Equivalencies Method 5
- 6. Dishonored Checks
- 7. Payment Processing
- 8. Psychiatric Technician Exam Request
- 9. Psychiatric Technician Exam Retake
- 10. Transfer and Refund Process
- 11. Dishonored Checks
- 12. Abandonment Test Takers
- 13. Endorsement
- 14. Certification of Verification
- 15. Fingerprint Verification
- 16. Transcript Request
- 17. Verification of Licensure

- 18. CE Audit-Licensure
- 19. Central Check Returns
- 20. Exam Results
- 21. Exam Re-take
- 22. Fingerprint Handcard
- 23. Franchise Tax Board
- 24. IV and Blood Withdrawal Post Licensure Certificating
- 25. IV and Blood Withdrawal Renewal
- 26. Management Workload Distribution
- 27. Name Change
- 28. Payment Process
- 29. Provider Application New and Renewal
- 30. SAR-NLI
- 31. Special Accommodations
- 32. Unmatched Fingerprints

#### Value Stream Analysis Maps

- 1. Equivalencies Method 1
- 2. Equivalencies Method 2
- 3. Equivalencies Method 3
- 4. Equivalencies Method 4
- 5. Equivalencies Method 5
- 6. Dishonored Checks
- 7. Payment processing
- 8. Psychiatric Technician Exam Request
- 9. Psychiatric Technician Exam Retake
- 10. Transfer and Refund Process

- 11. Central Check Returns
- 12. Abandonment Test Takers
- 13. Endorsement
- 14. Continuing Education Audit-Licensure
- 15. Central Check Returns
- 16. Exam Results
- 17. IV and Blood Withdrawal Post Licensure Certificating
- 18. IV and Blood Withdrawal Renewal

#### Could Be Maps

- 1. Equivalencies Method 1
- 2. Equivalencies Method 2
- 3. Equivalencies Method 3
- 4. Equivalencies Method 4
- 5. Equivalencies Method 5
- 6. Psychiatric Technician Exam Request
- 7. Psychiatric Technician Exam Re-take

#### 8. Endorsement

9. Continuing Education Audit-Licensure

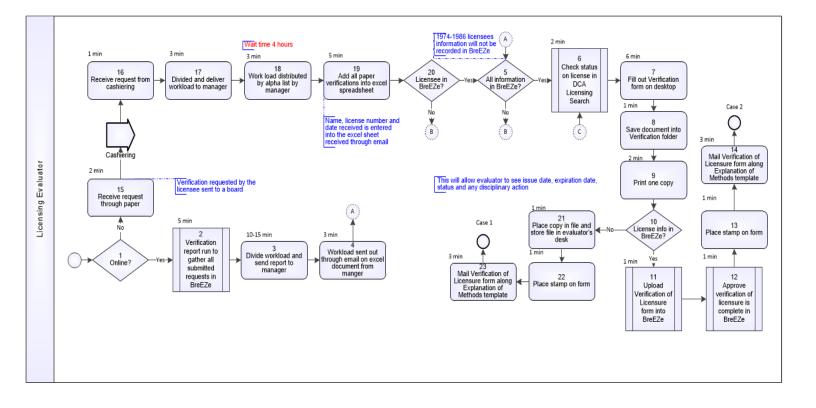
#### 10. Exam Results

- 11. IV and Blood withdrawal Post Licensure Certification
- 12. IV and Blood Withdrawal Renewal

#### SUMMARY OF MAPS

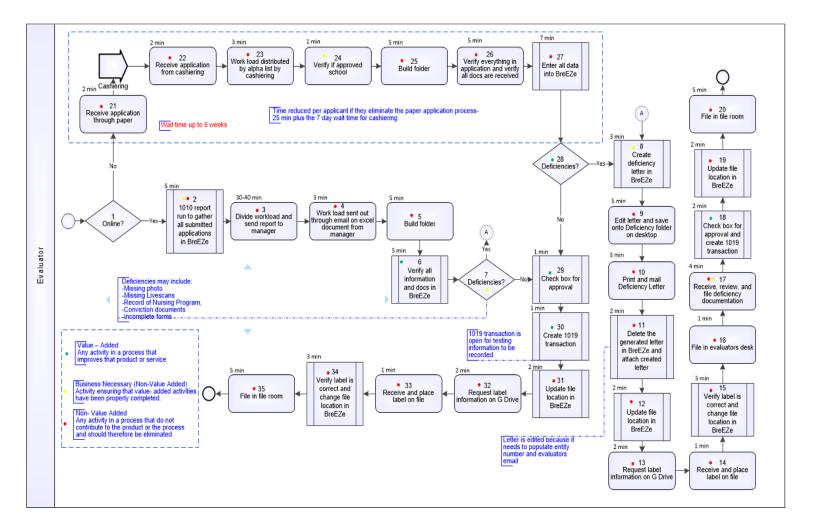
OCM facilitated **Business Process Mapping (BPM)** with BVNPT's Licensing staff to determine their processes and to find efficiencies. The BPM provides a standard language for modeling business processes in a form that is accessible by business users. During the BPM stage, OCM performed three different mapping techniques referenced by the following titles: As-Is, Value Stream Analysis and Could-Be mapping.

The As-Is stage is defined by OCM as the visualization of interrelated work tasks initiated in response to an event that will achieve a specific result for an actor in this process. During the As-Is stage, OCM's staff worked with BVNPT SME's in a series of workshops to map each of their processes to determine durations, volume, roles, systems, tasks and decisions. Additionally, during the workshops the following was reviewed: associated forms, letters, reports, logs, procedures, guidelines, and manuals. OCM also reviewed the laws and regulations associated with the specific processes mapped. At the end of this stage, the board management reviews and approves the maps before moving onto the next stage of the BPM process. Below is an example of an As-Is map produced by OCM.



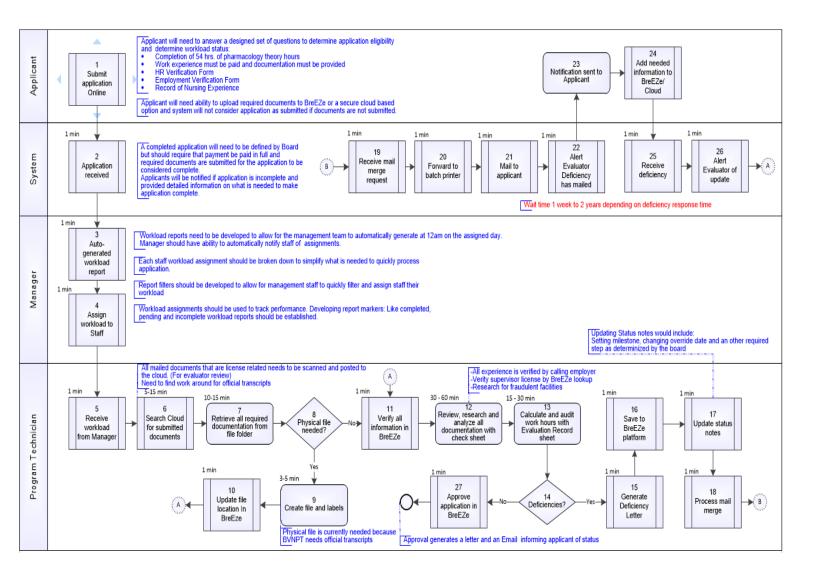
#### Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

Once the As-Is stage was complete, OCM moved on to **Value Stream Analysis** (VSA). During this process, OCM engaged the staff in identifying three critical areas of efficiency: value added, business necessity, or non-value added. During this process, OCM used colored dots to identify each step in the process. Each colored dot is associated with the following improvement: green for value added, yellow for a business necessity and red for non-value added. Any activity in the process that improves the product or service is value added. Activities required by law, regulation, and/or policy is considered a business necessity. Activities that do not contribute to the product or the process and should therefore be eliminated is considered non-value added. This activity is an interactive process that involves both the SME and OCM staff and typically results in the discovery of operational improvements. Below is an example of a value stream analysis map produced by OCM.



Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

Once VSA was complete, OCM moved to the **Could-Be** stage. The Could-Be stage is defined as, maps built upon existing As-Is maps that include proposed improved efficiencies, automation opportunities, associated reports, and an envisioned future process. Using BVNPT staff's recommendations, OCM reviews the As-Is and VSA maps to create a more efficient process. One key benefit of this process was for the staff to gain a sense of ownership which contributed to a desire to implement proposed changes. Below is an example of a Could-Be map produced by OCM.



#### **IMPROVEMENTS GAINED**

One of the key activities of the process map review was to evaluate the five methods used to process an application. The methods are broken down as follows:

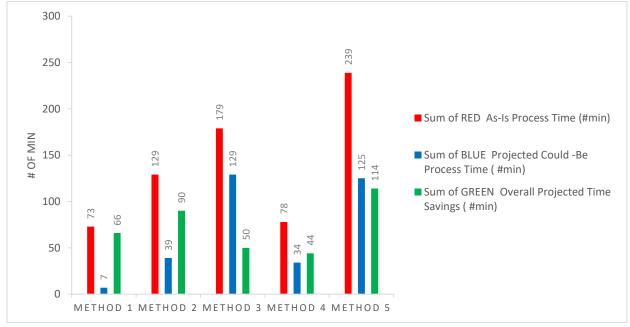
- **Method One-** Applicant has graduated from a California accredited school.
- **Method Two-** Applicant attended California school and completed all hours but did not graduate, graduated from a License Practical Nurse (LPN) program but they are applying from out of state, International students completed BSN (Bachelor of Nursing) program, completed partial registered nursing program, or completed partial RN.
- **Method Three** Applicant attended CA school and did not complete all hours, completed partial registered nursing program, completion of 54 pharmacology theory hours, must have paid work experience or Foreign education.
- **Method Four** Applicant record of Military Service, Basic Course, 12 months bedside nursing by Performance Evaluation Report, DD214 if separated.
- **Method Five** Applicant completion of 54 pharmacology theory hours, must have paid work experience, HR Verification Form, employment verification form, Record of Nursing experience. (Note there is no educational requirement)

On the following pages, Tables A&B and Charts A&B reflect the potential time savings for Applications without Deficiencies and Applications with Deficiencies if proposed changes are implemented.

Related to the following tables, RED identifies the As-Is processing time in minutes it takes to process an application based on times provided by staff during mapping sessions. BLUE identifies the Could- Be process time after the VSA mapping with the SME's. GREEN Identifies the overall projected savings in minutes.

Application <b>without</b> Deficiencies	<b>RED</b> As-Is Process Time (#min)	<b>BLUE</b> Projected Could -Be Process Time (#min)	<b>GREEN</b> Overall Projected Time Savings (#min)
Method 1	73	7	66
Method 2	129	39	90
Method 3	179	129	50
Method 4	78	34	44
Method 5	239	125	114
Totals	698	334	364

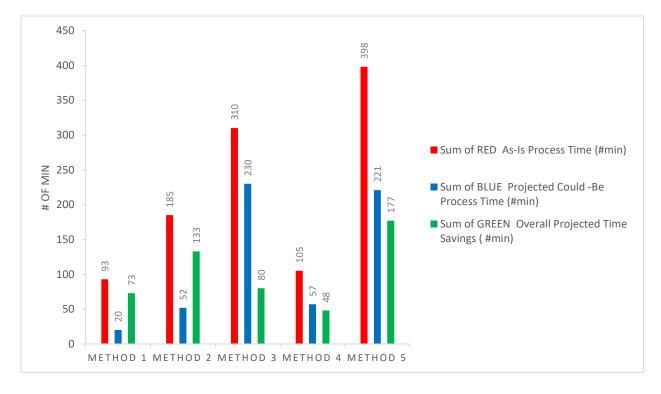




Application <b>with</b> Deficiencies	<b>RED</b> As-Is Process Time (#min)	BLUE Projected Could -Be Process Time (#min)	<b>GREEN</b> Overall Projected Time Savings (#min)
Method 1	93	20	73
Method 2	185	52	133
Method 3	310	230	80
Method 4	105	57	48
Method 5	398	221	177
Totals	1,091	580	511

#### Table B: Time Savings for Applications with Deficiencies<sup>2</sup>

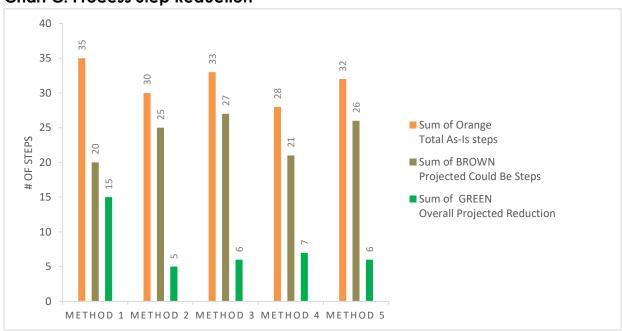
#### Chart B: Time Savings for Applications with Deficiencies



<sup>&</sup>lt;sup>2</sup> This time savings is only for staff work time- deficient applicants have longer overall processing time frames as they require more interaction with applicants and is dependent on applicant to provide information.

Table C and Chart C below reflect the reduction in steps for the different application processes that BVNPT uses to evaluate a licensee's application. **ORANGE** identifies the current number of steps it takes to process an application, broken down in different methods. **BROWN** identifies the projected steps after the VSA mapping with the SME's. **GREEN** identifies the overall projected reduction in steps BVNPT could save if they implemented the changes recommended.

Process Step Reduction	ORANGE Total As-Is steps	BROWN Projected Could Be Steps	GREEN Overall Projected Reduction
Method 1	35	20	15
Method 2	30	25	5
Method 3	33	27	6
Method 4	28	21	7
Method 5	32	26	6
Total Step Savings	158	119	39



#### **Chart C: Process Step Reduction**

#### SOLID OCM RECOMMENDATIONS:

#### Section 1: Streamline VN/PT applications process

### Item # 1: Eliminate/reduce the amount of all paper applications received.

#### Background and findings:

Currently, BVNPT accepts online applications via BreEZe or paper applications via mail when applying to become a Vocational Nurse or a Psychiatric Technician.

According to BreEZe data, 70.7% of all applications received in 2018 were submitted online and the remaining 29.3% were submitted by mail. Processing paper applications adds several additional steps to the application review and is creating inefficiencies within BVNPT licensing operations. Applications submitted through the mail are subjected to the additional steps below:

- The application is received by the mail clerk either at BVNPT or the DCA's central mail room.
- The application is then sent to cashiering to process any payment submitted. If payment is not physically mailed in or paid online, a payment request letter is generated, mailed, and placed in a filing cabinet in the cashiering department until payment is received. If payment is received, it will be processed (typically 2-4 days depending on workload) and the application is moved to the licensing team for processing.
- Once the application is received by the licensing team, they review all documents and enter the applicant's information into BreEZe. The licensing staff then creates a physical file for all documents submitted by the applicant and files it away in the file room. If the applicant passes the exam this information is no longer needed and is destroyed as per their retention policy. This is the current internal process for BVNPT.

However, if the application is submitted online and all the required documents are submitted electronically, the steps stated above are eliminated allowing a faster turnaround time for the applicant.

#### Problem:

As referenced above, there are number of applications that are being received through the mail. Currently there is no training or communication that informs the consumer of the potential delays that result from mailing in their applications. Although BVNPT does a good job of advertising their processing times, they do not effectively communicate the benefits of applying online. Processing these paper applications is a time-consuming process that typically results in application approval delays.

By allowing potential licensees to continue to submit paper applications, BVNPT is accepting the following risk: data entry errors, consumer delays, issuing unneeded deficiencies, delays in communication of application process, requirements to build a physical file to store documents received and associated storage and resource fees.

#### **Recommendations:**

- 1) Eliminate the paper applications and require applications to be submitted online.
- Applicants that contact BVNPT for paper applications should be guided to complete the process online for better processing times. Educating the applicant on how to complete the application online will also help them learn how to check their application status after submission.
- 3) Promote the turnaround times on the BVNPT website and phone directory to show the efficiency of completing an application online verses paper for all the application methods.
- 4) Educate school directors of the advantages of using the online application process to submit applications.
- 5) Develop training material to educate the staff on BreEZe functionality and how to access the notification. This will allow staff to educate the consumer.
- 6) Work with OIS on developing email notification to let applicants know their application status (this functionality is currently being developed).

#### Item # 2: Streamline verification of licensure process.

#### Background and findings:

The endorsement verification process includes verifying a previous or current licensee within the state of California to obtain a license in another state. On average BVNPT has received 600 endorsements in the past three years. Currently, BVNPT processes all verification applications through the mail and online, regardless if they are active or inactive. It can be very time consuming since there are no time restrictions placed on this process. The process for verifications received through the mail is as follows:

- Received and reviewed by the mail room and forwarded to cashiering.
- Cashiering processes the payment and forwards application to the licensing manager.
- Licensing manager distributes workload to assigned staff.
- Licensing team adds verification information into the designated Excel spreadsheet and begins the licensee search.
- If the applicant is currently on BreEZe the request is reviewed, and verification is sent to the licensee or employer.

Verifications that are received online are processed slightly different, below is the process:

- Licensing manager generates verification report and forwards the workload to licensing staff.
- Licensing staff verifies if applicant is currently on BreEZe.
- If the applicant is currently on BreEZe the request is reviewed and verification is sent to the licensee or employer.

This is a simple process if the licensee's information is in BreEZe and the licensee currently holds a license in the state of California. However, if the applicant's license is inactive, expired, or their information is not currently in BreEZe, additional time and research will be required to verify and complete this request. Below are two examples of the delays a licensee may experience:

- If the licensee is pre-BreEZe and their license is not currently active the PT or Staff Service Analyst (SSA) must submit a records request from the State Records Office (SRO) resulting in several days' delay. This is a very timely process because typically there is only one individual that can request the records from the SRO. Currently at BVNPT there is one physical binder located at the designee's desk that houses all the information required to request files from SRO.
- If the licensee's file is not located at SRO the PT or SSA will then need to research the files that are scanned into microfiche. This process results in a delay for the licensee or employer and a delay in approving the application.

#### Problem:

In 2018, BVNPT received 552 license verifications. If the requested licensee is not in BreEZe, BVNPT will need to request the information from an outside source. This activity can include reviewing microfiche or requesting files from state records, all of which are time consuming and require considerable delay for the licensee. This activity also takes time away from BVNPT staff members performing their primary duties of processing applications for licensure in California.

#### **Recommendations:**

- 1) Establish an internal business process for when a verification is received for endorsement, requiring that the applicant has actively held their license within the last five years.
- 2) Educate employers on their ability to use DCA search to verify licensing status of potential employees.

#### Item # 3: Consider eliminating Method 5.

#### Background and findings:

At BVNPT there are several ways to approve an applicant to test. The applications are reviewed by the licensing team and are broken down internally as methods.

#### Problem:

If an applicant falls into the Method Five category, they are less likely to be processed without a deficiency and are more likely to be rejected or give up on the application process because they do not meet the requirements.

The data on applications received between the time frame of January 2016 to October 2018 shows a total of 296 out of 22,477 were Method Five applicants (0.01%). Out of these 296 applicants, only 90 applicants were approved to test (30%) and only 19 of those applicants passed the examination (0.2%). Evaluation of this process may take 4-7 hours as shown on Tables A and B on pages 13 and 14.

Due to the high volume of applications submitted to the equivalency team and the time required to process a Method Five application, there is the potential risk that other BVNPT applicants could experience longer application processing times, adversely affecting the Board's application approval process.

## **Recommendations**:

1) Board staff should continue to evaluate the effectiveness of this pathway to licensure and determine if it is in the best interest to maintain it.

# Item # 4: Resolve the backlog in equivalency applications.

# Background and findings:

There are five methods to qualify for licensure at BVNPT in the State of California. All applicants for licensure must meet the requirements of one of the equivalency methods per the requirements stated on page 12 of this report. Approving applicants to test can be a time-consuming process and because of the limited staff available to process equivalency requests there is currently a backlog of 47 weeks. The equivalency team consists of three staff services analysts that are responsible for processing all applications that require equivalency review. Each analyst assigns themselves their own workload and manages their workload based off the list provided by management. Unlike Method One applicants, where the workload is divided up by schools and assigned to select staff, the equivalency team manages their own workload and there is no accountability for what gets completed. OCM has also determined that because of this backlog there may be applicants that could easily be approved or made eligible to test. Applications are reviewed by the date they are received and not by the method of how the application is submitted. If the applicant were to make a mistake while submitting the application, it could result in delays for the applicant.

# Problem:

OCM has discovered that there is a significant number of equivalency applications that are currently waiting to be reviewed. These applications are reviewed in the order they are received and are only processed by the equivalency team, causing a delay for the applicant. As of January 29, 2019, BVNPT was working equivalency applications dated March 1, 2018 (a total of 47 weeks behind schedule). Due to the impact on the applicant it should be a top priority to resolve this backlog. The backlog is nearly 12 months behind and because of this backlog it is resulting in additional calls with customer complaints and a delay in the testing process.

# **Recommendations:**

1) Screen and separate all equivalency applications by method.

- 2) Train Program Technicians to start the process for Methods Two and Three applications. The Program Technicians can start the process to confirm all documents are received before the analysts evaluate the application. Methods Two and Three do not require as in-depth analysis as Methods Four and Five, allowing the Program Technicians to start the evaluation process.
- 3) Assign a weekly application completion goal and track staff's progress towards meeting the goal.
- 4) Look at external options for assisting with processing applications during peak months (temporary help, Retired Annuitants or shared staff options). Reference seasonal volume graph in Appendix A and B.
- 5) Management needs to continue to ensure staff is consistently applying their regulations while processing applications.

# Item # 5: Interim permit reporting process (Regulation §2872.2).

# Background and findings:

If the application for licensure by examination is received by the Board no later than four months after completion of a Board-approved nursing program and approval of the application, the Board may issue an interim permit authorizing the applicant to practice vocational nursing pending the results of the first licensing examination, or for a period of nine months, whichever occurs first.

An applicant may apply for an interim permit at the same time the applicant submits his or her application for licensure by examination. The Board shall decide whether to issue the interim permit and, if the board decides to issue the interim permit, the permit is issued to the applicant within 60 days of receiving the completed application.

If the applicant passes the examination, the interim permit shall remain in effect until an initial license is issued by the Board or for a maximum period of six months after passing the examination, whichever occurs first. If the applicant fails the examination, the interim permit shall terminate upon notice by certified mail, return receipt requested, or if the applicant fails to receive the notice, upon the date specified in the interim permit, whichever occurs first.

# Problem:

After a closer review of this process, BVNPT needs to develop a better way of tracking interim permits once they are revoked. Currently, the process is to send a letter asking the applicant to return their interim permit, but there is no report to track what is returned. There was a total of 87 Vocational Nurse interim

permits issued and 15 Psychiatric Technician interim permits issued between January 1, 2018 and December 31, 2018 and currently there is no record on the status of these permits. There is the risk that an applicant could be issued an interim permit and fail their test and continue practicing. There is an expiration date on the permit but there is currently no tool used by BVNPT to track returned permits.

# **Recommendations:**

- 1) Add an application status indicator to BreEZe that will allow interim permit data to be tracked.
- Generate a ticket with OIS to determine when failed results are received from Pearson Vue (BVNPT Test Vendor). This should allow automatic notification to be sent to the applicant to return their interim permits to BVNPT.

# Item # 6: False abandonment (applicant schedules test date and postpones test) Regulation §2512.

# Background and findings:

An application is deemed abandoned and the application fee forfeited when:

- 1) The applicant fails to complete the application within the two years after it is originally submitted or within two years after last notification of deficiency.
- 2) The applicant fails to submit the initial license fee within two years after notification by the Board.
- The applicant fails to take the licensing examination within two years after the first assigned date or within two years after failing the examination.

OCM discovered that the applicant may postpone taking the test but fails to notify BVNPT. Since the applicant has notified Pearson Vue of the need to postpone their test date, Pearson Vue will allow the applicant to test even if the two-year window has passed. If the applicant passes the test, their results are sent to BVNPT resulting in potential licensing delays for the applicant.

# Problem:

Applicants are finding a work around for the two-year expiration date. Applicants are using the rules established by Pearson Vue to allow them to register and change test dates to extend their ability to test. This situation is resulting in a backlog because BreEZe is automatically abandoning the application after two years and the staff members must go back and change the applicant's status in BreEZe.

# **Recommendations:**

- 1) Change the rule to allow 21 months for the applicant to register to test from their last test date and adjust Pearson Vue to only allow three months to test.
- 2) Do not accept applications to test after 21 months and abandon the initial application.
- 3) Limit the number of times an applicant can test.
- If there is a limit on test attempts and if an applicant wants to continue to test, they will need to reapply and pay the applicable fees associated with the process.

# Item # 7: The endorsement process needs to be converted to online only, Regulation §2517.

# Background and findings:

Currently out-of-state vocational nurses and psychiatric technicians can submit paperwork to become endorsed to practice in California. This can be done by applying online or by sending their application through the mail. For the date range of Jan 1, 2018 thru Dec 31, 2018 there were 552 requests for endorsements received by BVNPT. Out of the 552 received, 273 were submitted through the mail. That means 49.45 % of all endorsement requests are processed through the mail. Regulation §2517 only requires that they hold a valid license in another state and have successfully passed the National League for Nursing State Board Test Pool Examination for Practical Nurses of the National Council Licensing Examination for Practical Nurses.

# Problem:

As mentioned earlier, 273 out of 552 (49.4%) endorsement requests are submitted through the mail. This is resulting in a six to eight-week delay in processing and is resulting in resources being dedicated to entering information or issuing deficiencies on information not provided by the applicant. If the applicant is required to submit this request online, then BVNPT could communicate more effectively what is needed to complete the application, resulting in quicker turnaround times.

- 1) Require all applicants to submit their endorsement information electronically.
- 2) Establish internal processes that would better define the term "Satisfactory proof of current and valid license as a Vocational Nurse or Practical Nurse or equivalent capacity" as per Regulation §2517.
- 3) Collaborate with OIS to allow for an applicant to upload required documents onto BreEZe to become endorsed in California.

# Section 2: Develop an understanding for rules and regulations

# Item # 8: Lack of consistent training material.

# Background and findings:

During the OCM interviews it was apparent that processes in the licensing unit are not done in a consistent manner. Training has been inconsistent leaving some staff members to question their ability to perform required tasks. The current training is conducted by the veteran staff members and currently the interpretation of the correct work process varies. The inconsistency is causing a variability in loss of productivity and work products.

# Problem:

With a lack of developed training material there is confusion with the licensing staff on how to process applications, review internal and external documents and successfully evaluate potential licensees for the testing process.

# Recommendations

- 1) Create internal procedures using the OCM process maps as guides for current and future staff trainings.
- 2) Assign the responsibility to one person to update training document changes within each unit. The responsible person will update documentation with work flow changes and policy changes.
- 3) If process changes are made, management will send communications electronically to all staff and save a copy in their internal drive.

# Item # 9: Lack of a succession plan

## **Background and findings:**

During the interviews OCM noticed that BVNPT has not properly trained all their staff to perform all the tasks they are assigned. In many cases staff members have been assigned specific tasks and have become proficient at these tasks. Unfortunately, this practice leaves BVNPT vulnerable when staff take vacation, go on medical leave, get promoted or retire. Many staff members are the only individuals responsible for a specific workflow.

## Problem:

There are current processes within the licensing unit done by one staff member and no other staff is trained to cover another person's workload in the event of an absence.

# **Recommendations:**

- 1) Review the As-is process maps created by OCM, to evaluate how the process is done currently. This will allow all the staff to have a consistent work process.
- 2) Create a succession plan that includes cross-training and developing staff to prepare them for additional responsibilities and leadership opportunities.
- 3) Create procedure manuals to assist staff new staff and current staff who might be asked to fill in for someone else.

# Item # 10: Lack of understanding of rules and regulations on approval of VN application process

# Background and findings:

There are several questions by BVNPT staff on applicant qualifications. According to Regulation §2866: An applicant for a licensed vocational nurse license shall comply with each of the following:

- 1) Be at least 17 years of age.
- 2) Have successfully completed at least an approved course of study through the 12th grade or the equivalent thereof as specified by the board.
- 3) Have successfully completed the prescribed course of study in an approved school of vocational nursing or have graduated from a school which, in the opinion of the board, maintains and gives a course which is equivalent to the minimum requirements for an approved school of vocational nursing in this state.
- 4) Not be subject to denial of licensure under Section 480.

During our staff interviews it was expressed by several staff members that there needs to be a review or some additional training on the Board's rules and regulations as it pertains to the approval of applicants to test.

# Problem:

There is a lack of understanding for the rules and regulations as it pertains to the application approval process. New staff members have not been given formal training on the rules and regulations. Instead, new staff are trained by staff that may not have a strong understanding of the rules and regulations. Staff training has been developed using training documents that are outdated or inaccurate. Staff are making decisions on applications based on their understanding and the training they were provided by previous leadership.

- 1) Provide training to all staff to develop an understanding for the rules and regulations that govern their processes.
- 2) Identify and develop a regulations expert and conduct monthly training with all staff.

# Section 3: Improving manager communication and implementing staff accountability measures

# Item # 11: Communication between first level management and staff.

# Background and findings:

During the interviews the OCM team discovered there have been meetings between certain staff members and management which resulted in changes to some of the processes, but those changes were not effectively communicated to the whole unit.

# Problem:

There is a lack of communication in the workplace, which has affected interdepartmental workplace relationships and morale. This lack of communication in the workplace can cause a sense of instability and inconsistency.

- Send out a memo of what is communicated during meetings to all staff members, regardless of whether it pertains to their duties. Open communication will allow staff to be productive and operate effectively. This communication will also increase morale, productivity, trust and communication amongst the whole staff.
- 2) Discuss what the staff has planned for the rest of the week at the weekly meetings. This activity will allow other staff to offer feedback and best practices to get the work done efficiently.
- 3) Conduct monthly one-on-one meetings with the staff to listen to concerns, assist in employee development and to develop workload strategies.

# Item # 12: Limited growth potential within BVNPT leading to a loss of talent and decreased engagement.

# Background and findings:

Currently at BVNPT the licensing staff consists of Program Technician II and Staff Service Analysts (SSA). If the staff want to promote to Associate Governmental Program Analyst (AGPA), they would have to leave the Board. During OCM's team interviews, the staff stated there were limited growth opportunities within the Board. Staff shared their desire to continue working for the Board, but a lack of availability for promotions was a concern.

# Problem:

The lack of upward mobility is causing the staff to leave the Board for growth opportunities. There has been high turnover in staff due to the lack of AGPA positions within the Board. The risk of not having growth potential is causing employees to become complacent or disengaged, distracting them from their assigned duties which could lessen productivity.

## **Recommendations:**

- 1) Complete employee development plans for all staff members and identify areas of engagement.
- 2) Leverage individual strengths and develop avenues for employees to maximize their skillset.
- 3) Encourage employee's involvement and recognize employee successes.

# Item # 13: QBIRT and BreEZe training for licensing leadership to help develop licensing team.

## Background and findings:

At BVNPT the management team has a strong reliance on their in-house Information Technology Associate (ITA). Running and creating reports is all handled by the ITA.

## Problem:

Management might benefit from a stronger understanding of how to run and build customized reports that support what they need to develop their team and increase productivity. Currently, all reports are developed and run by the ITA and if this ITA were to promote or transfer, the management team could be at a disadvantage. An inability to run reports could hinder management by limiting their ability to monitor their staff's workload which would affect their ability to advise staff effectively.

# **Recommendations:**

- 1) Contact the Project Delivery and Administrative Service Chief to develop a customized QBIRT training session with OIS.
- 2) Identify key individuals to work with OIS to develop more productivity reports that reflect data to hold staff accountable and track their progress more effectively.
- 3) Identify two super users to conduct ongoing trainings for other staff within the Board.

# Item # 14: System where first level management can hold staff accountable.

# Background and findings:

Accountability in the licensing section needs improvement. Currently, the licensing manager emails workload assignments to the staff on Friday for the next week. When the staff has completed the assigned work, they send an email back saying it is complete. For tracking purposes, the manager prints and keeps the email and highlights the work assignments as they are completed. This printed email is then thrown away after the work has been completed.

# Problem:

Current management lacks the proper tools to track staff's workload and hold the licensing staff accountable. This is burdensome and time consuming to the manager.

- 1) Create a report that can be used to assign, monitor staff progress, and place accountability on licensing staff.
- 2) Create a process to have a way to spot check the work performed by staff to make sure the work is done accurately.
- 3) Utilize the QBIRT report to create a system to hold the staff accountable.

4) Create a report that can be automatically sent to the manager weekly regarding the workload.

# Section 4: Explore process change opportunities

# Item # 15: BreEZe improvements.

# Background and findings:

BVNPT began using BreEZe on January 19, 2016. Process mapping and user acceptance testing was conducted prior to the release. Moving to BreEZe allowed BVNPT to begin accepting all applications and payments online.

# Problem:

Despite the availability of new functionality through BreEZe, the Board continues to use manual processes which increases the timelines for completing the licensing workload. Workflow outside the system, such as cashiering, is causing unnecessary delays. Current issues BVNPT is encountering:

- The system does not require payment if the current application requires a payment to be made.
- BreEZe does not allow the applicant to review any deficiency letters on their BreEZe account and receive status updates on their application.
- No tracking system in place to allow interim permits to be tracked.

- 1) Submit a request to OIS to make changes to BreEZe to allow the application to be submitted only if payment is received. <sup>3</sup>
  - a. Currently BRN is giving the applicant 7 days
- 2) Make updates to BreEZe to allow the applicant and Licensee to review any deficiency letters on their BreEZe account and receive status updates on their application.
  - Board can submit a ticket with a list of deficiency updates that the applicant may view on their application status bar on BreEZe.
  - b. Board can make notes within BreEZe to explain the deficiency of the application. Feature a quick-help guide of how to check the status for the applicant.
- 3) Develop a tracking system to allow Interim Permits to be tracked.
  - a. Create a unique license type for Interim Permits where the Board can run a report to track them.

<sup>&</sup>lt;sup>3</sup> Currently BRN is giving the applicant 7 days to make payment and if payment is not received their application is deleted and would have to submit a new application.

- b. Generate a ticket with OIS to determine the feasibility of using Pearson Vue results to interface with the Interim Permit process to generate notification letters.
- 4) Submit a BreEZe improvement request where the applicant is able to see their application status.

# Item # 16: Continuing Education audit process.

# Background and findings:

The Continuing Education (CE) audit process requires a licensee to submit a declaration under penalty that they have completed the minimum requirement of CE hours. Those who fail to submit the declaration of the required CE hours have a hold placed on their license. This hold is not removed until they have submitted their renewal form with an appropriate CE work list under penalty of perjury. At this time five percent of the licensing population is notified by letter that they are no longer eligible to practice and must cease practicing until the Board receives documentation demonstrating compliance. There may be licensees currently practicing without their required CE hours. This could impact the consumer because of licensees practicing without their required CE hours.

## Problem:

Currently BVNPT is not processing any CE audits because of the lack of staff. There are also no requirements in the laws and regulations that state they need to process CE audits.

- 1) Automate the CE process. The only interaction by the analyst should be after documentation is received.
  - a) First, second and final cite and fine notifications should be communicated by the system.
  - b) The system should track the process and if no action is taken by the analyst within 30 days, the system generates a second letter.
  - c) If after 15 days no action is taken by the analyst, a final letter is sent, and enforcement unit is notified to take action.

# Item # 17: Physical file abandonment.

# Background and findings:

At BVNPT when an application is received in the mail or online the evaluators build a folder before processing the application. The folder consists of a paper checklist that is placed on the outside of the file with the applicants' name and entity number. Once the evaluator starts verifying the information, they send a request for labels to be made that will be placed on the file. Every applicant and licensee currently has a physical file created in the file room.

An application is considered abandoned when:

- 1) The applicant fails to complete the application within two years after it is originally submitted.
- 2) Applicant fails to complete the application within two years after the last notification of deficiency.
- 3) The applicant fails to take the examination within one year after being scheduled.

# Problem:

Currently at BVNPT there is no process in place to remove files that have been abandoned. In their current state, there is no system in place to track, monitor, and remove applications that have been abandoned. During the interviews and process mapping the OCM team discovered there is no system to abandon files that have been expired or not approved. While mapping some of the processes, the analysts stated some of the files are stored in their cubicle. Lack of an abandonment process could cause a pileup resulting in storage fees and congestion in the file room.

- 1) Develop a system to remove all abandoned files and clean out the file room.
- 2) Assign a designated location for applications or files that have been abandoned.
- 3) Assign staff to track, monitor and shred abandoned files.

# Item #18: Eliminate sending three letters for fingerprinting.

# **Background and Findings:**

Vocational Nurses and Psychiatric Technicians are required to be fingerprinted. The Board fingerprints licensees as one way to ensure that Vocational Nurses and Psychiatric Technicians are safe and competent practitioners. The purpose of fingerprinting is to obtain a criminal history record check. The fingerprints are submitted to the California Department of Justice, who keeps them on file and provides reports to the Board regarding convictions.

# Problem:

The OCM team mapped the fingerprinting process and discovered the Board is currently sending multiple letters of rejection to the licensee. A rejection of a fingerprint is triggered when the evaluator checks the system and the fingerprint results are not approved. There may be multiple reasons for a rejection such as poor quality of the fingerprint received, fingerprints done over a year ago, no record, the Live Scan operator did not record the fingerprints or simply operator error. The evaluator discovers the rejection and sends the first rejection letter, waits three to four weeks for a response, sends the second rejection letter, waits for three to four weeks for a response and sends a final rejection letter via certified mail.

- 1) If the fingerprints are rejected, send one certified letter and allow sufficient time for a response. If no response is received, abandon the file.
- 2) Make the letters available in BreEZe for the applicant to refer to if they have questions.

# IMPLEMENTATION STRATEGIES

In this report, OCM has provided recommendations that will be transferred onto a tracking document that will then be assigned a category. The categories are *communication, documentation, policy, training,* and *workflow*. These categories are designed to help BVNPT identify the level of difficulty needed to achieve success in implementation. OCM developed this improvement tracker to assist BVNPT in tracking their implementation progress.

The OCM team has identified communication issues between the staff and their first level managers. The team would recommend that BVNPT implement weekly scrums or team huddles. OCM conducts weekly scrum meetings where they review all current projects and discuss successes and obstacles everyone may be experiencing. OCM staff engage as a team and often receive constructive feedback and creative ideas on how to resolve obstacles. They also discuss best practices and lessons learned. OCM management recognizes staff achievements, provide operational updates and identifies areas that staff may need assistance. These meetings give both staff and management the ability to stay connected, recognize potential issues and develop solutions in a collaborate manner. If weekly scrums are not achievable at BVNPT, OCM strongly recommends weekly team huddles or standing meetings. These are quick (10-15 minutes) meetings where each team member gives a status report on their work. Often leadership will introduce tools like a speaking ball. The ball is passed around by the team members to ensure that everyone has an opportunity to participate. These are a few suggestions on how management might help build communication within their team.

The OCM team has also identified a few items that could benefit from additional review. These areas are a regulation review, developing application approval standards and developing training documents for current and new employees. For these select items, BVNPT would benefit from the Lean *Kaizen!* approach. During this approach, OCM would facilitate a week-long workshop that would include a team of no more than five BVNPT employees. In this workshop, the BVNPT team would brainstorm solutions, identify improvement opportunities, create an action plan, and assign staff responsibilities for the items that the team has created. The benefit of this type of workshop is that the team members identify needed change, identify solutions, and take responsibility for improving their work flow.

OCM's responsibility in this workshop would be to facilitate and ensure that the team stays focused, capture any items that are out of scope, and assist staff in creating all required documents that are needed for the project. Below is an outline for the time requirements:

# Kaizen! Timeline - maximum of 30 days, from start of event prep, through event, to final follow-up.



This timeline illustrates that OCM will facilitate the Pre-Event Prep, the Kaizen! Event and Event Follow-up. The workshop is intended to provide a forum for the BVNPT team to present their findings to management, who will then assume responsibility for all action items and monitor the team's activities.

The OCM team recommends using the Kaizen! approach to review their regulations and develop application approval standards and training documents. The team believes this will help with the backlog of pending applications. OCM would perform the following activities during this one-week event:

- Work with BVNPT management to identify potential regulations that pertain to the approval of applications.
- Draft a clearly defined charter that would be used to guide the BVNPT team.
- Work with the assigned team to brainstorm solutions, draft training documents, and create a final solutions document.
- Meet with leadership to discuss the team's progress and provide leadership the opportunity to redirect the team if they feel they are moving in the wrong direction.
- In conjunction with the BVNPT team, deliver a PowerPoint presentation that will outline the weeks' activities and identify proposed solutions, action items on how to improve, and assigned staff with task responsibilities for achieving these solutions.

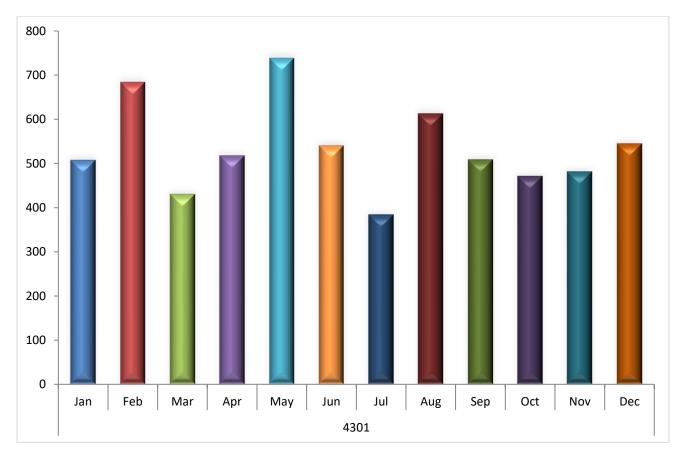
# Appendix: A – Approved application totals

Approved Applications Jan 1, 2018- Dec 31, 2018						
	MTH1	MTH2	MTH3	MTH4	MTH5	<b>Grand Total</b>
4301	6423	644	28	40	14	7149
Jan	508	33	2	4		547
Feb	684	25	3			712
Mar	430	63			2	495
Apr	518	63	3	5	1	590
May	738	84	2	8		832
Jun	541	101	3	3	4	652
Jul	384	75	4	6	1	470
Aug	613	52	3	4		672
Sep	509	47	3	2		561
Oct	471	51	4	4	3	533
Νον	482	25	1	4		512
Dec	545	25			3	573
Grand Total	6423	644	28	40	14	7149

# Appendix: B – Total Applications Approved by Method

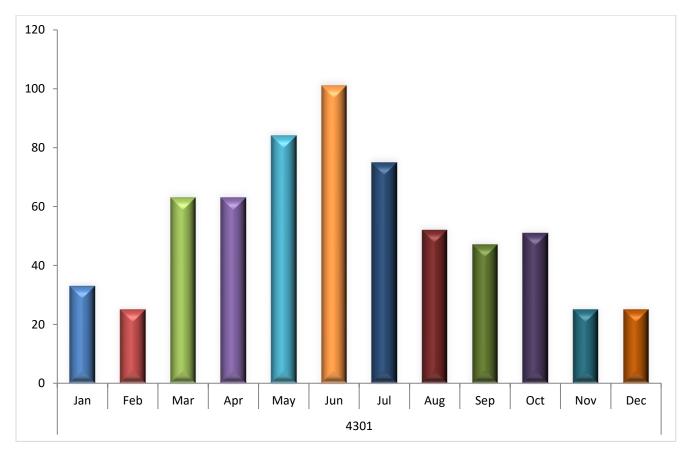
Approved Application by Method 1	
	Method 1
4301	6423
Jan	508
Feb	684
Mar	430
Apr	518
Μαγ	738
Jun	541
luL	384
Aug	613
Sep	509
Oct	471
Νον	482
Dec	545
Grand Total	6423

<u> Method # 1</u>



Approved Application by Method 2	
	Method 2
4301	644
Jan	33
Feb	25
Mar	63
Apr	63
Μαγ	84
Jun	101
Jul	75
Aug	52
Sep	47
Oct	51
Νον	25
Dec	25
Grand Total	644

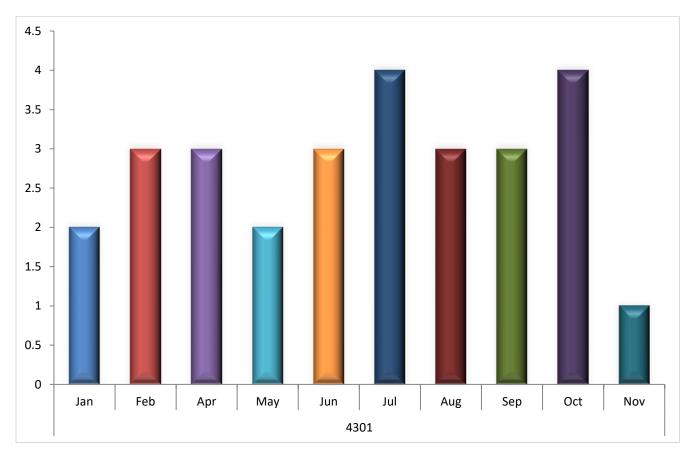
## Method # 2



Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

Approved Application by Method 3	
	Method 3
4301	28
Jan	2
Feb	3
Apr	3
Мау	2
Jun	3
Jul	4
Aug	3
Sep	3
Oct	4
Νον	1
Grand Total	28

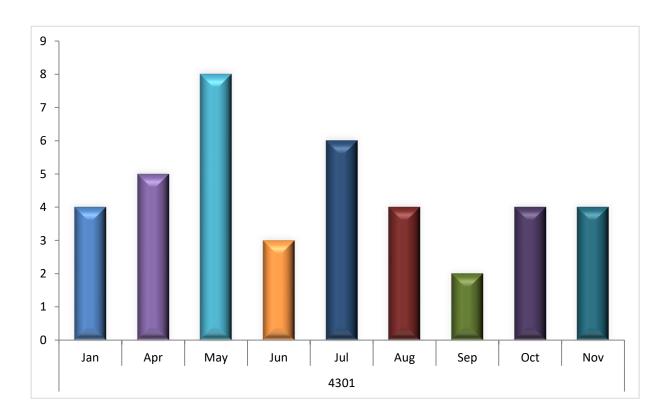
#### Method # 3



Board of Vocational Nursing and Psychiatric Technicians Review of Licensing

Approved Application by Method 4	
	Method 4
4301	40
Jan	4
Apr	5
May	8
Jun	3
luL	6
Aug	4
Sep	2
Oct	4
Νον	4
Grand Total	40

# Method # 4





# CE AUDIT PROCESSES/ PROCEDURES

(ATTACHMENT 3c)

# C.E. AUDIT COST ANALYSIS

#### Board of Vocational Nursing and Psychiatric Technicians

QUANTITATIVE ANALYSIS	UNIT PRICE		QUANTITY	MONTHLY COST		YEAR 1	TOTAL
RECURRING OPERATIONAL COSTS							
Labor Cost of PTII if average time to audit one subject is 0.75 hour (i.e. \$3,400 average gross monthly pay <b>divided</b> by 176 hours per month <b>multiplied</b> by 0.75 hour per audit).	\$	14.49	126	\$	1,825.74	\$ 21,908.88	\$ 21,908.88
Envelopes (*Email)	\$	0.17	126	\$	21.42	\$ 257.04	\$ 257.04
Print Paper per sheet	\$	0.01	126	\$	1.26	\$ 15.12	\$ 15.12
Printer Ink per sheet	\$	0.02	126	\$	2.52	\$ 30.24	\$ 30.24
Postage - Regular Mail (Subject to Audit per month)	\$	0.50	126	\$	63.00	\$ 756.00	\$ 756.00
Postage - Certified Mail (Second Letter sent)10%	\$	6.67	12	\$	80.04	\$ 960.48	\$ 960.48
TOTAL RECURRING OPERATIONAL COST		N/A	N/A	\$	1,993.98	\$ 23,927.76	\$ 23,927.76

Cost to audit 2.5 percent of monthly licensee renewals

QUANTITATIVE ANALYSIS	UNIT PRICE		QUANTITY	MONTHLY COST		YEAR 1		TOTAL
RECURRING OPERATIONAL COSTS								
Labor Cost of PTII if average time to audit one subject is 0.75 hour (i.e. \$3,400 average gross monthly pay <b>divided</b> by 176 hours per month <b>multiplied</b> by 0.75 hour per audit).	\$	14.49	227	\$	3,289.23	\$	39,470.76	\$ 39,470.76
Envelopes (*Email)	\$	0.17	272	\$	46.24	\$	554.88	\$ 554.88
Print Paper per sheet	\$	0.01	272	\$	2.72	\$	32.64	\$ 32.64
Printer Ink per sheet	\$	0.02	272	\$	5.44	\$	65.28	\$ 65.28
Postage - Regular Mail (Subject to Audit per month)	\$	0.50	227	\$	113.50	\$	1,362.00	\$ 1,362.00
Postage - Certified Mail (Second Letter sent) 20%	\$	6.67	45	\$	300.15	\$	3,601.80	\$ 3,601.80
TOTAL RECURRING OPERATIONAL COST		N/A	N/A	\$	3,757.28	\$	45,087.36	\$ 45,087.36

Cost to audit five percent of monthly licensee renewals

#### **CE AUDIT PROCESS/PROCEDURES**

#### **INFORMATION TECHNOLOGY ANALYST:**

- IT Analyst receives audit list from BreEZe (approximately 215 licensees) the 15<sup>th</sup> of each month.
- IT Analyst creates spreadsheet and puts spreadsheet in CE Audit folder
- IT Analyst produces letters via mail merge from spreadsheet
  - Adds audit period
  - Adds due date
- IT Analyst converts letters to PDF and puts copy of letter in CE Audit folder in folder marked "Sent Letters"
- IT Analyst gives letters to Mailroom

#### MAILROOM:

- Use folding machine for letters
- Stuff envelopes with return envelope and letter
- Apply postage
- Mail out
- Receive letters back
  - o Date stamps incoming envelopes and bundles by date received
  - **DAILY** put envelopes in CE Audit basket in SPT II's office

#### SUPERVISING PROGRAM TECHNICIAN II (SPT II):

- Create shared spreadsheet on G drive to track licensees (update as necessary).
  - Create a folder for each month
  - Columns include: date document received (date stamped), licensees name, license #, license type (VN/PT), outcome (pass, fail, incomplete, returned mail), 1<sup>st</sup> deficiency (yes/no/na), 2<sup>nd</sup> /final deficiency letter sent (yes/no), sent to enforcement (yes/no), assigned staff, notes
- Check CE Email box and document the number of emails received and the date received in tracker
- Delegate emails to PT IIs
- Log number of incoming envelopes in tracker by date received
- Assign envelopes to designated staff
- Track spreadsheet to ensure columns are filled out
- Track/update staff spreadsheet with certified mail receipt
- Give cite/fine analyst (Enforcement) any certified returned mail. In analyst's absence, give to Discipline Manager.

#### PROGRAM TECHNICIAN (PT II):

- Get documents (email or envelope) from SPT II with due date
  - Look up licensee in BreEZe using license #.
  - Confirm licensee is active.

- Verify address. If address change is included in documentation, update address.
- Look at provider listed on the certificates. Verify the provider is certified/active
  - California providers can be verified online
  - Nationwide providers can be verified via phone calls
  - If necessary, contacts provider to verify actual certificate (potential fraud)
- Add the number of CE units received during the audit period (must equal 30).
- If correct number of CE units is provided change modifier to PASS in BreEZe.
  - upload document to BreEZe.
    - If you received this via email, reply that the licensee has passed:
      - Send email via BVNPTreply@dca.ca.gov
      - **EMAIL:** Congratulations! You passed the CE Audit. No further information/action is necessary. Thank you.
  - Update appropriate columns on spreadsheet.
- If number of CE units is deficient, prepare deficiency letter using template and add the specific deficiency to the letter
  - Place any received documents together including a copy of the deficiency letter.
     Put all deficiencies in a folder clearly labeled "CE Audit Deficiencies". Keep this on top of your desk where other PT IIs have access in case of absences.
  - Upload deficiency letter to BreEZe.
  - Mail letter via certified mail, return/receipt requested
    - Put certified mail receipt with licensee's documents
  - Update appropriate columns on spreadsheet
- Receive deficient documents
  - Review documents and add up the hours of ALL CE units
  - Determine if pass/fail
    - If pass, update modifier in BreEZe to PASS
    - If fail, give entire folder to SPT II who will forward to Enforcement
  - Update appropriate columns on spreadsheet
  - Add comments in BreEZe that CE Audit Failed and file is being forwarded to Enforcement
  - Upload documents to BreEZe
- Save paper documents (proof of CE units) in a separate box (large cubical next to mini breakroom). The box is clearly marked, "CE Audit documents". Documents must be bundled with a rubber band and labeled with the month received.
- Returned Mail (includes forwarding address)
  - Check RA Address in BreEZe to determine if it's the same as the forwarding address. If so, correct AOR address.
  - Mail (non-certified) original letter to the address indicated on the envelope
  - Include "Address Change Form" with the letter

- Update spreadsheet appropriately
- Document notes in BreEZe
- Returned Mail (does not include forwarding address)
  - Mail (Certified) 2<sup>nd</sup> and final deficiency to the same address
  - Include "Address Change Form" with the letter
  - Save all deficiency letters
  - Save certified receipt in licensees file
  - Update spreadsheet appropriately
  - Document notes in Breeze
- Email SPT II when assigned work is completed



# DEPARTMENT OF JUSTICE FINGERPRINT ISSUE

(ATTACHMENT 3d)



BUSINESS, CONSUMER SERVICES, AND HOUSING AGENCY - GAVIN NEWSOM, GOVERNOR Board of Vocational Nursing and Psychiatric Technicians 2535 Capitol Oaks Drive Suite 205, Sacramento, CA 95833-2945 Phone 916-263-7800 Fax 916-263-7855 www.bvnpt.ca.gov



January 2, 2019

[License Number]

[Name] [Address – line 1] [Address – line 2] [City, State, Zip]

Dear [Name]:

The Board of Vocational Nursing & Psychiatric Technicians (Board) does not have a record of your fingerprints on file from either the Department of Justice (DOJ) or Federal Bureau of Investigations (FBI), which is required by California Code of Regulations, Title 16, sections 2517.5 and 2575.5. All licensed vocational nurses and psychiatric technicians are required to submit to the Board a complete set of fingerprints for conducting a criminal history record check.

#### Please furnish fingerprints within 30 days from the date of this letter.

Failure to submit a full set of fingerprints to the DOJ is grounds for discipline by the Board.

Please be advised that by law, the Board cannot accept fingerprints that were submitted to another state, school, state agency, or place of employment. Licensees must submit another set of fingerprints authorizing the DOJ and FBI to send their fingerprint report to the Board using the form provided on the Board's website at <u>www.bvnpt.ca.gov</u>, **located under** *License Renewal Live Scan Instructions & Forms.* The "Request for Live Scan Service" form must indicate the five-digit Board mail code 13425. Once the Live Scan is completed, please scan and email a copy of the form directly to <u>BVNPT@dca.ca.gov</u> or fax the form to (916) 263-7855. You may also send a copy of the form to the Fingerprint Unit at the address listed at the top of this letter.

Live Scan fingerprinting is only available within the State of California. If you reside outside of California, please contact the Board at (916) 263-7800 to request the "hard card" fingerprint forms and procedures.

Licensees are responsible for the costs of furnishing fingerprints to DOJ, and *the Board cannot process your next license renewal until the requirement is fulfilled.* We recommend that you take **immediate** action, **as lengthy processing delays may occur.** 

If you have additional questions regarding this requirement, please refer to the *License Fingerprint Frequently Asked Questions* on the Board's website indicated above.

# <u>Please note: This requirement is waived if the licensee is in an inactive status. However, a set of fingerprints and proof of thirty hours of continuing education is required to become active.</u>

Fingerprint Unit Board of Vocational Nursing and Psychiatric Technicians

Yamaguchi, Elaine@DCA
Matt Lege; Mendoza, Mark; Rebecca Miller
Lyman, Vicki@DCA
Requests for fingerprints
Friday, January 4, 2019 4:39:12 PM
DOJ fingerprint letter January 2019.pdf

Matt, Mark, Rebecca (and please share this as you think necessary):

I wanted to let you know that there is an issue surfacing, and you may have already started to hear from some of your members.

A few months back, BVNPT was informed that there were a number of licensee files that are missing fingerprints. As these were licensees, not applicants, it's assumed that there were initially fingerprints on file, but we do not have a 100% certainty of how these files went missing. It is imperative that we do have the fingerprints on file, of course, which brings me to the matter at hand.

After a great deal of data analysis, we were given a list of approximately 3300 active licensees that would need to be re-fingerprinted, and unfortunately, at their own expense. We started mailing out notification letters to this list last Friday, and as you may have guessed, we have already begun to receive the calls and emails back. Also a significant number of returned letters with bad addresses, but that's not relevant.

My Board President wanted us to be certain to loop the Union people in, and be sure you were aware of the issue. I've attached the letter that was sent out.

I spoke with Coby Pizzotti at CAPT as well, and he suggested that perhaps we could have a conference call to further discuss this, and to share any updates.

Please don't hesitate to call or email with any questions, and forgive me for dropping this at 4:40 on a Friday.

Best regards, Elaine

# Elaine G. Yamaguchi

Executive Officer Board of Vocational Nursing and Psychiatric Technicians 2535 Capitol Oaks Drive Sacramento, CA 95833 (916) 576-4212



# EDUCATION DIVISION

(ATTACHMENT 4)



# **STATISTICAL DATA**

(ATTACHMENT 4a)



# Education Division Statistical Data

January 1, 2017 thru June 30, 2019

# **Executive Summary**

#### **Complaints Received Regarding Approved Programs**

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	7	10	8	9	7	5	3						49
Total 2018	11	7	7	7	5	5	4	5	6	8	6	10	81
Total 2017	11	11	13	5	5	7	8	8	9	10	11	11	109

## Change Requests from Programs (# of times reviewed)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	341	286	295	253	302	418	470						2,365
Total 2018	375	126	126	126	170	171	171	275	276	333	206	271	2,626
Total 2017	167	167	167	212	213	213	240	240	241	270	270	270	2,670

## Faculty Approval Applications (# of times reviewed)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	174	123	160	203	196	155	232						1,243
Total 2018	286	122	122	122	228	229	128	196	196	222	176	173	2,200
Total 2017	136	136	136	126	126	126	173	173	174	190	190	191	1,877

# Facility Approval Applications (# of times reviewed)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	141	147	162	157	232	216	155						1,210
Total 2018	228	111	111	112	96	97	97	181	182	146	125	109	1,595
Total 2017	150	150	150	101	102	102	113	113	113	126	127	127	1,474

# Reports for Executive Officer Review

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	19	9	13	14	15	15	13						98
Total 2018	26	15	15	15	13	13	13	16	16	13	9	13	177
Total 2017	18	19	19	13	14	14	15	15	15	11	12	12	177

Reports for Board Meetings

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	7	10	6	5	11	8	10						57
Total 2018	8	2	2	3	3	3	3	4	4	10	7	6	55
Total 2017	4	4	4	2	3	3	3	4	4	7	8	8	54

#### Inspections: Onsite

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	6	1	4	5	4	3	4						27
Total 2018	6	3	4	4	1	2	2	3	3	6	4	1	39
Total 2017	5	5	4	2	3	3	2	3	3	3	4	4	41

#### Meetings: In-person

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	17	20	8	4	14	12	6						81
Total 2018	48	28	29	29	25	25	26	38	39	13	27	11	338
Total 2017	35	35	36	27	27	27	34	35	35	17	17	17	342

#### Meetings: Teleconference or Skype

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	14	14	18	21	25	40	42						174
Total 2018	0	0	0	0	0	0	0	0	0	28	13	14	55
Total 2017	0	0	0	0	0	0	0	0	0	18	18	19	55

#### Written Correspondence Received (Incoming)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	1,407	1,338	989	1,129	1,353	1,496	2,015						9,727
Total 2018	2,509	1,465	1,465	1,466	1,317	1,318	1,317	1,444	1,445	1,359	1,244	1,212	17,561
Total 2017	1,811	1,812	1,812	1,367	1,367	1,368	1,402	1,403	1,403	1,271	1,272	1,272	17,560

Written Correspondence Responses (Outgoing)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	930	1,018	857	1,015	1,272	1,299	1,754						8,145
Total 2018	1,631	991	992	992	733	734	734	946	947	976	855	887	11,418
Total 2017	1,205	1,205	1,205	820	820	820	876	876	876	906	906	906	11,421

Telephone Correspondence Received (Incoming)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	361	347	281	483	433	338	416						2,659
Total 2018	427	241	241	242	240	241	241	234	234	275	185	190	2,991
Total 2017	303	304	304	241	241	242	236	236	237	216	217	217	2,994

Telephone Correspondence Responses (Outgoing)

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	459	365	323	473	468	374	426						2,888
Total 2018	483	264	264	264	247	247	247	251	252	330	262	267	3,378
Total 2017	337	337	337	252	253	253	250	250	251	286	286	287	3,379

#### Scope of Practice Questions

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	62	62	133	138	139	115	66						715
Total 2018	143	81	81	81	82	83	83	96	96	85	52	35	998
Total 2017	101	102	102	82	82	83	91	92	92	57	57	58	999

Intravenous Therapy/Blood Withdrawal Course Certification and CE Provider Applications

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	27	10	6	9	5	5	44						106
Total 2018	42	30	31	31	17	18	17	32	32	26	12	4	292
Total 2017	34	35	35	21	22	22	27	27	27	14	14	14	292

Psychiatric Technician Examination Development Session Preparation

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019	20	10	8	16	0	1	9						64
Total 2018	5	1	0	0	1	0	1	11	11	0	0	4	34
Total 2017	3	2	2	1	1	1	4	4	5	1	1	2	27

#### Intravenous Therapy/Blood Withdrawal Approved License Certifications Issued in Breeze

	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep	Oct	Nov	Dec	Total
Total 2019			231	336	255	203	747						1,772
Total 2018													
Total 2017													

\*Education Division team assumed responsibility for IV/BW certifications in March 2019



# YOUTUBE VIDEO COLLAGE

(ATTACHMENT 4b)

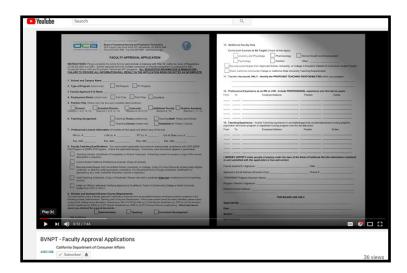
#### **BVNPT Goes Live on YouTube!**

#### **Comprehensive instructions on correctly filling out the**

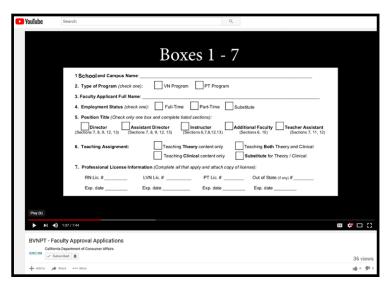
#### Faculty Approval Application

🗧 🕒 YouTube	Search Q	
	Faculty Approval Application	
Play (k)		
► H -	0.05/7:44	🚥 🏘 🗆 🕻
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+ Add to A	Share *** More	<b>i∰</b> ≎ ∰1 o

dca	California Department of Consumer Affairs Published on Aug 2, 2019	SUBSCRIBED	Ų
	Welcome to the Board of Vocational Nursing and Psychiatric Technicians' tutorial for educators filling out the Faculty Approval Application. If you have questions about one section of the application only, you may want to jump ahead to the portion of the video addressing that section, using the guide below:		
	For boxes 1 - 7, go to 1:30 For box 8, go to 2:37 For box 9, go to 3:16 For boxes 10 - 11, go to 3:55 For boxes 12 - 13, go to 4:48 For a review of the additional documents that must be submitted go to 5:03		
	Category Education SHOW LESS		













#### https://www.youtube.com/watch?v=AELM-SuarZs



# COMMUNITY COLLEGE OUTREACH

(ATTACHMENT 4c)



# BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

# CARING CAREERS

# www.BVNPT.ca.gov

The Board serves and protects the public by licensing qualified and competent vocational nurses and psychiatric technicians through ongoing educational oversight, regulation, and enforcement.



3/27/19 1:24 PM

#### STATE OF CALIFORNIA



#### **DEPARTMENT OF CONSUMER AFFAIRS**

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PDE-19\_110

 $( \bullet )$ 

# MADE A MIST'AKE?

You may have been busted, but that's not always a barrier to licensing. Ask how we can help!

Go to www.BVNPT.ca.gov/enforcement for frequently asked questions relating to criminal background questions.

### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

### CARING CAREERS

STATE OF CALIFORNIA | DEPARTMENT OF CONSUMER AFFAIRS PDE-19\_113

# BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

# **CARING CAREERS**

www.BVNPT.ca.gov



#### CARING CAREERS

www.BVNPT.ca.gov

#### What We Do - Licensing

The Board is responsible for the examination and licensing of over 9,500 VN applicants and 1,000 PT applicants annually. There are five different methods to qualify for a LVN license and four different methods to qualify for a PT license in California.

The Board contracts with the National Council of State Boards of Nursing, Inc. for the year-round computer-adaptive vocational nurse licensure examination (NCLEX) administered at over 200 test centers nationwide. After an application is approved, the applicant is sent an NCLEX Registration Bulletin with instructions on registering for the examination. Once the applicant has registered for the NCLEX, an Authorization to Test is mailed from the NCLEX Data Center in Minnesota. The applicant is responsible for calling and scheduling an appointment to test.

There is no national license examination for PTs. The Board develops and administers a year-round computer-administered examination at 24 test centers throughout California. When a PT applicant is approved, the examination vendor mails a Notice of Eligibility and Candidate Handbook. The applicant is responsible for calling the toll-free number and scheduling an appointment to test.

For information regarding out-of-state licensed applicants, go to <u>www.BVNPT.ca.gov</u> and see the Fact Sheet for Out-of-State Licensed Applicants.

Pursuant to Sections 2512 (Vocational Nurses) and 2571 (Psychiatric Technicians) of the California Code of Regulations, an application shall be deemed abandoned if no action is taken on an application by the applicant for a period of two years. Abandoned applications and all pertinent records are destroyed at the end of the two-year period.



#### CARING CAREERS

www.BVNPT.ca.gov

#### What We Do - Enforcement

The Board is mandated to protect consumers from licensees who practice in an unsafe, incompetent or impaired manner. To achieve this goal, the Board administers licensing examinations to ensure that candidates possess the minimum level of competence. The Board regulates the practice of licensed vocational nurses and psychiatric technicians in the State of California.

The Board has authority to revoke, suspend, or place on probation any license if the licensee has violated a provision of the law governing the profession (Business and Professions Code, Division 2, Chapter 6.5, Article 3). Further, the Board has authority to deny licensure to anyone convicted of a crime substantially related to the profession or who has done any act which, if done by a licensee, would be grounds for revocation or suspension of the license.

The Board has established an aggressive enforcement program to ensure that timely and appropriate disciplinary action is taken against unprofessional, incompetent, or grossly negligent practitioners. The Board utilizes the services of the Department of Consumer Affairs' (DCA) Division of Investigation (DOI), the Attorney General's (AG) Office and the Office of Administrative Hearings (OAH) to ensure that disciplinary actions are handled in a fair and judicious manner.

#### **Requirements for a Vocational Nurse License**

#### SECTION A:

- 1. Minimum Age 17 Years.
- 2. Completion of the 12th Grade of schooling or its equivalent (furnish proof).
- 3. Complete and sign the "Application for Vocational Nurse Licensure".
- 4. Complete and sign the "Record of Conviction" form.
- 5. Submit the required Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprints. *Note: A License will not be issued until the board receives the background information from DOJ.*
- 6. Attach the appropriate nonrefundable fee made payable to the "BVNPT".
- Successful completion of a written examination titled the National Council Licensing Examination for Practical (Vocational) Nursing (NCLEX) or the National League for Nursing Test Pool Practical Nursing Examination (NLN). A passing score on a Registered Nurse examination will not satisfy this requirement.
- 8. When the requirements of Steps 1-7 have been met, the Board will advise you of the Initial License Fee to be paid. **This fee is in addition to the application fee**. It takes 4-6 weeks to process your license.

#### **SECTION B:**

- 1. **Graduate of a California Approved School of Vocational Nursing.** Successful completion of a California Approved Vocational Nursing Program. Contact your program director for application forms and instructions.
- Graduate of an Out-Of-State School of Practical/Vocational Nursing. The school of practical/vocational nursing from which you graduated must have been approved by the Board of Nursing in the State in which it is located.

(Licensure in another state does NOT entitle you to practice as a Licensed Vocational Nurse in California. to practice as a Licensed Vocational Nurse in California, you must be licensed by the California State Board of Vocational Nursing and Psychiatric Technicians.)

#### 3. Equivalent Education and/or Experience.

This method **requires** you to complete within ten (10) years prior to the date of application not less than fifty-one (51) months of paid general duty bedside nursing experience in a general acute care facility approved by the Board, at least half of which shall have been within five (5) years prior to the date of application. In addition to this experience, you must also complete a pharmacology course of at least 54 theory hours that covers the following content:

- Knowledge of commonly used drugs and their action
- Computation of dosages
- Preparation of medications
- Principles of administration

The 51 months of experience shall include a minimum of each of the following:

- 48 months medical/surgical nursing
- 5 weeks maternity or genitourinary nursing
- 5 weeks pediatric nursing

Experience in any of the following areas may be substituted for a maximum of eight (8) months of medical/surgical experience:

- Communicable Disease Nursing
- Public Health Nursing
- Industrial Nursing
- Office Nursing (M.D.)
- Psychiatric Nursing
- Operating Room Nursing
- Hemodialysis

- Private Duty Nursing (In a general acute care facility)
- Emergency Room Nursing
- Geriatric Nursing
- Recovery Room Nursing
- Out-Patient Clinic

Experience must be verified by the employer showing specific dates of employment and shall include certification from the R.N. Director or Supervisor that the applicant has satisfactorily demonstrated the following knowledge and skills:

- a. Basic Bedside Nursing
  - Ambulation Techniques
  - Intake and Output
  - Bedmaking
  - Neurological Check
  - Catheter Care
  - Personal Hygiene and Comfort Measures
  - Collection of Specimens
  - Positioning & Transfer
  - Diabetic Urine Testing
  - Range of Motion
  - Enema
  - Skin Care
  - b. Aseptic Technique (May be demonstrated in classroom, lab, and/or patient care settings)
    - Urinary Catheterization
    - Sterile Dressing Change
    - Sterile Irrigations

Applicants with formal nursing education may submit official transcripts for evaluation for possible credit in lieu of paid bedside nursing experience. The transcripts must be submitted to the Board directly from the school and must show theory and clinical hours completed.

- c. Nursing Service in the Medical Corps of any Branch of the Armed Forces of the United States. This method requires you to:
  - Submit proof of having at least twelve (12) months service on active duty in the medical corps of any of the armed forces rendering bedside patient care. The proof submitted must show date(s) and wards assigned.
  - Submit proof of having completed a basic course of instruction in nursing while in the armed forces.
  - Submit proof that service was honorable (DD-214).

**Note:** A combination of military and nonmilitary experience is not acceptable under this method. Proof of 12th grade education is not required under this method.

d. 4-Year Expired California Licensed Vocational Nurse.

Section 2892.1 of the Business and Professions Code specifies that a license which is not renewed for 4 years shall expire. An expired license cannot be renewed, re-issued or reinstated. The licensee is required to submit a new application and retake the licensure examination to receive a new license.

Applicants under this method must submit evidence of prior licensure with this Board (i.e., copy of expired license or license number, original issue date and expiration date.)

Please Note: State Boards of Nursing in many states require graduation from an approved school of nursing. Please be aware that if you are deemed eligible for licensure in California using another method of qualifying (i.e., military experience or equivalent education and experience) you may not be eligible for licensure by endorsement in other states.

#### **Requirements of a Psychiatric Technician License**

All applicants for a Psychiatric Technician license in California must meet all requirements under Section A, and one of the three methods of qualifying for examination in Section B.

#### SECTION A:

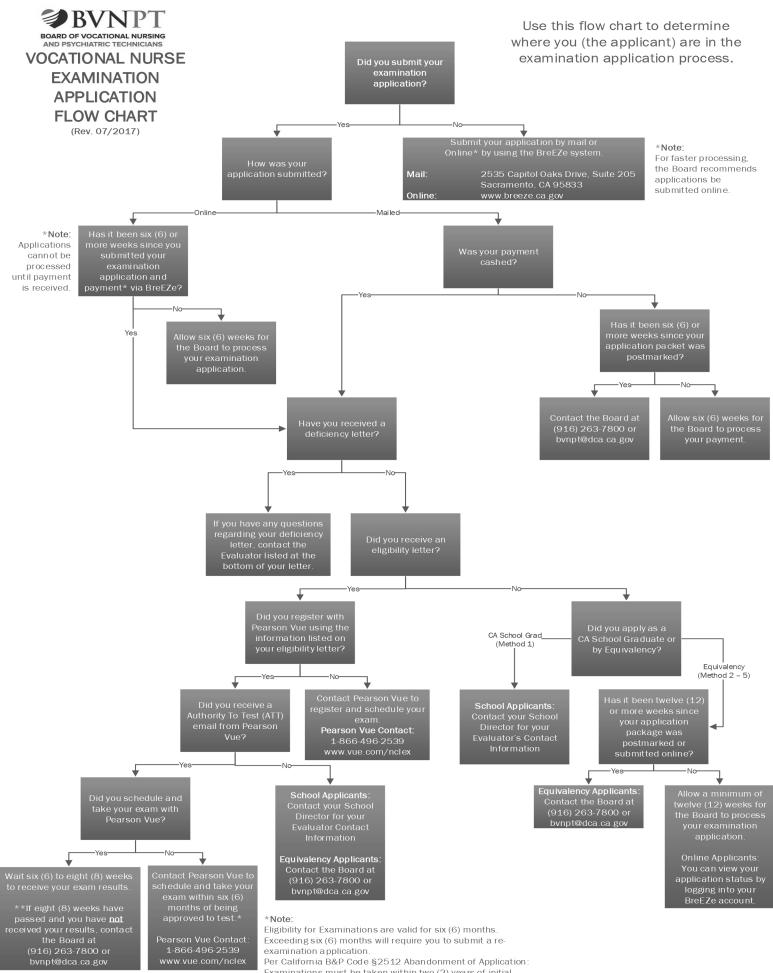
- 1. Minimum Age 18 Years.
- 2. Completion of the 12th Grade of schooling or its equivalent (furnish proof).
- 3. Complete and sign the "Application for Psychiatric Technician Licensure" and furnish a valid U.S. Social Security number.
- 4. Complete and sign the "Record of Conviction" form.
- 5. Submit the required Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprints. *Note: A License will not be issued until the board receives the background information from DOJ.*
- 6. Attach the appropriate nonrefundable fee made payable to the "BVNPT".
- 7. Successful completion of a written examination titled the California Psychiatric Technician Licensure Examination.
- 8. When the requirements of Steps 1-7 have been met, the Board will advise you of the Initial License Fee to be paid. This fee is in addition to the application fee. It takes 4-6 weeks to process your license once this fee is received.

#### SECTION B:

- 1. Graduate of a California Approved School of Psychiatric Technicians. Successful completion of a California Approved Psychiatric Technician Program. Contact your program director for application forms and instructions.
- 2. Equivalent Education and/or Experience.

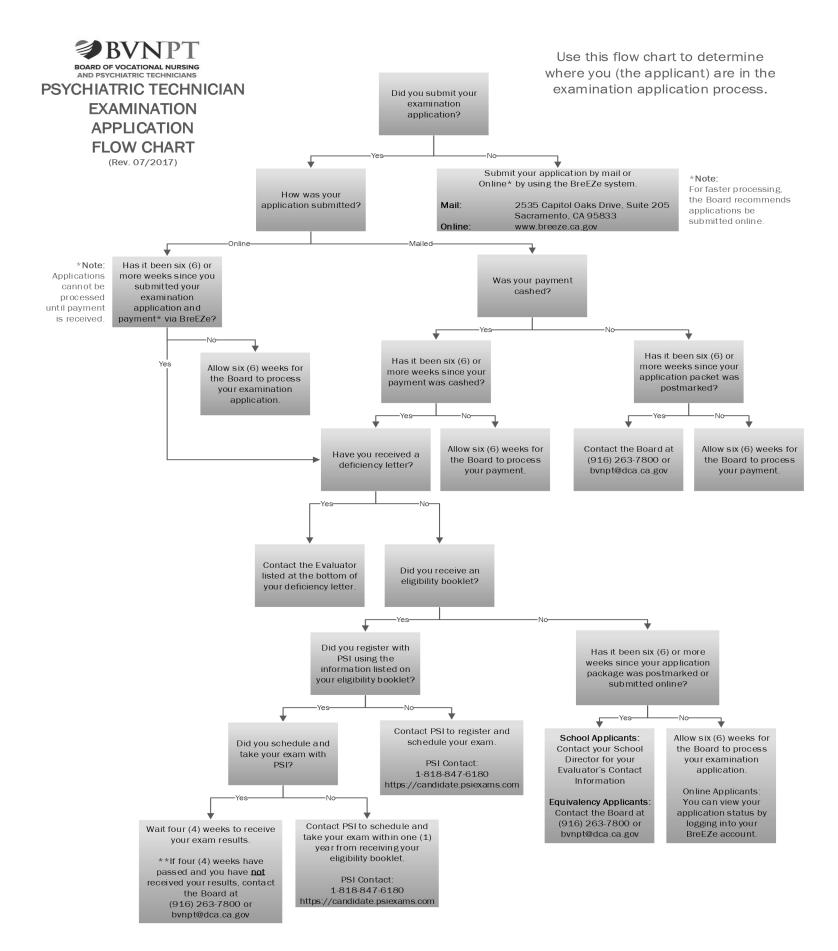
Completion of 576 hours of theory (experience may not be substituted for formal course work) and 954 hours of supervised clinical experience within ten years prior to the date of application. Any or all supervised clinical experience may be satisfied by paid work experience. The following minimum hours shall be included:

- a. Pharmacology course of at least 54 theory hours that covers the following content:
  - Knowledge of commonly used drugs and their action
  - Computation of dosages
  - Preparation of medications
  - Principles of administration
- b. 126 hours of theory (experience may not be substituted for formal course work) and 270 hours of supervised clinical experience in nursing science. You may substitute 9 months of paid work experience in nursing sciences for the 270 hours of supervised clinical experience.
- c. 108 hours of theory (experience may not be substituted for formal course work) and 270 hours of supervised clinical experience in mental disorders. You may substitute 9 months of paid work experience in mental disorders for the 270 hours of supervised clinical experience. 108 hours of theory (experience may not be substituted for formal course work) and 270 hours of supervised clinical experience in developmental disabilities. You may substitute 9 months of paid work experience in developmental disabilities for the 270 hours of supervised clinical experience.
- 3. Nursing Service in the Medical Corps of any Branch of the Armed Forces of the United States. This method requires:
  - a. Completion of an armed forces course involving Neuropsychiatric Nursing and an armed forces or civilian course from an approved school in the care of the developmentally disabled client.
  - b. Completion of at least one year of verified full time paid work experience, including at least six months in a military clinical facility rendering bedside care to clients with mental disorders and at least six months in a military or civilian clinical facility rendering bedside care to clients with developmental disabilities.



Examinations must be taken within two (2) years of initial approval to test or two (2) years from your last fail date.

approval to test or two (2) years from



<b>DCA ONLINE</b>
LICENSING SYSTEM
www.breeze.ca.gov



Department of Consumer Affairs BREEZE

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contact os	-

#### DCA BreEZe Online Services

Welcome to the California Department of Consumer Affairs (DCA) BreEZe Online Services. BreEZe is DCA's new licensing and enforcement system and a one-stop shop for consumers, licensees and applicants! BreEZe enables consumers to verify a professional license and file a consumer complaint. Licensees and applicants can submit license applications, renew a license and change their address among other services.

- If you were registered with the DCA Online Professional Licensing services before, you will need to re-register with BreEZe.
  BreEZe only accepts credit card payments for American Express, Discover, MasterCard, and Visa.

FOR CONSUMERS Check Licenses and file complaints.	FOR APPLICANTS AND LICENSEES Applicant and licensing needs are available here. You will need to <u>register</u> , or use your existing user name and password
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BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

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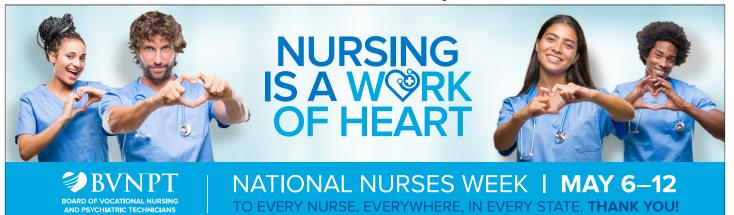


# **NURSES WEEK**

(ATTACHMENT 4d)

#### **BVNPT NURSES WEEK PRINT MATERIALS**

BVNPT 72" x 22" Lobby Banner



**BVNPT Bookmarks** 



#### **BVNPT Home Page Web Banner**



#### **BVNPT Facebook Posts**







# COLLABORATION WITH RESPIRATORY CARE BOARD— JOINT STATEMENT

(ATTACHMENT 4e)





#### Respiratory Care Board of California and Board of Vocational Nursing and Psychiatric Technicians Joint Statement - April 2019

The Respiratory Care Board (RCB) and the Board of Vocational Nursing and Psychiatric Technicians (BVNPT) began meeting in 2018 to discuss concerns related to reports of scope of practice issues occurring in sub-acute facilities, long-term care, skilled nursing facilities, and athome care locations in California. Board members, staff, legal counsel and experts weighed in on the issues by considering current laws, education and training. Prioritizing both boards' highest priority of public protection, the boards have agreed on a joint statement.

Both boards agree that respiratory care practitioners (RCPs), licensed vocational nurses (LVNs) and psychiatric technicians (PTs) are invaluable members of the patient care team in providing optimum care to patients. Each health care professional relies on others to perform their practice well. They establish a therapeutic interface among all health care personnel that benefits patients in their care and safety.

Both boards' mandates require that "protection of the public shall be the highest priority... in exercising its licensing, regulatory, and disciplinary functions. Whenever the protection of the public is inconsistent with other interests sought to be promoted, the protection of the public shall be paramount." (*Business and Professions Code sections* 2841.1, 3710.1 and 4501.1) Each board's oversight responsibility is summarized below:

Respiratory Care Board of California (RCB)	Board of Vocational Nursing and
	Psychiatric Technicians (BVNPT)
Responsible for licensing and regulating the	Responsible for licensing and regulating the
practice of respiratory care pursuant to the	practice of vocational nurses and psychiatric
Respiratory Care Practice Act (Business and	technicians pursuant to the Vocational
Professions Code section 3700 et seq.). The	Nursing Practice Act and the Psychiatric
RCB is statutorily charged with protecting the	Technicians Law (Business and Professions
public from the unauthorized and unqualified	Code Section 2840 et seq. and Section 4500
practice of respiratory care and from	et seq., respectively).
unprofessional conduct by persons licensed	
to practice respiratory care (Business and	
Professions Code section 3701).	

The boards jointly agree that stakeholders should be aware that RCPs, LVNs and PTs must follow their respective scopes of practice for patient safety. Violating the respective scope of practice could lead to patient harm and the license being formally disciplined by the respective boards.

A concern to both boards is unlicensed and/or unqualified vendors instructing health care professionals to provide ventilator care. Both boards agree this is an unsafe practice. Further, section 3702.7 of the Business and Professions Code provides that the education of health care

professionals about respiratory care, including clinical instruction and the operation or application of respiratory care equipment and appliances is within the respiratory care scope of practice and would require licensure as an RCP.

Given that numerous patients admitted to sub-acute facilities, long-term care, skilled nursing facilities, and at-home care locations require respiratory care, with some dependent upon ventilators to sustain life, and given concerns for care that is being provided at some facilities in California, the RCB and the BVNPT issues this joint statement to inform administrators and staff at sub-acute facilities, long-term care, skilled nursing facilities, and at-home care locations on the following issues:

#### **PATIENT CARE PRACTICES**

#### **Invasive Mechanical Ventilation**

Invasive mechanical ventilation is a lifesaving intervention for patients with respiratory failure and is at the core of respiratory care practitioners' education, training, and competency testing. Given the clinical knowledge of the hazards, indications, contraindications of mechanical ventilation, and complexity associated with invasive mechanical ventilation, and that extensive and formal education and training is required to provide such care.

Respiratory Care Practitioners are authorized to provide the following types of care (LVNs and PTs are not authorized to provide this care):	Licensed Vocational Nurses and Psychiatric Technicians role in patient care:
	<ul> <li>The LVN and PT are authorized to provide care to the patient receiving invasive mechanical ventilation when the care is <u>not</u> specifically related to the mechanical ventilation but is within the LVN or PT's scope of practice. That care includes but is not limited to:</li> <li>Basic Assessment (data gathering) of <u>total</u> patient.</li> <li>Administration of ordered medications that do not require manipulation of the mechanical ventilator.</li> </ul>
<ul> <li>Troubleshooting artificial airway problems and ventilator-related controls and alarms.</li> <li>Assessment of a patient's response to ventilator adjustments or current settings.</li> <li>Assessment for the placement and/or placement of a speaking valve or trach plugging.</li> <li>Transporting patients intra or inter facility to daily activities and/or scheduled shower days.</li> </ul>	<ul> <li>Provision of ordered treatments.</li> <li>Hygiene care.</li> <li>Comfort care.</li> <li>Patient and family education.</li> <li>LVNs and PTs are <u>not</u> responsible for ensuring the security of the artificial airway and related functionality of the ventilator before, during and after transport. However, LVNs and PTs can go as part of the team, but they are not responsible for the ventilator or related care.</li> </ul>

#### **CARE/TREATMENT PLANS**

Respiratory Care Practitioner	Licensed Vocational Nurses and
	Psychiatric Technicians
Recommend appropriate respiratory care	Contribute data to the registered nurse needed for
intervention/s, and manage, or modify, respiratory	the evaluation process. However, LVNs and PTs
care interventions based on the patient's	cannot make clinical diagnosis of the patient's
response to therapy and written protocols	respiratory condition, and/or make respiratory
approved by the medical staff.	care recommendations based on their clinical
	findings.

Both boards recognize that working titles using any derivative or synonymous meaning of the word "respiratory" for LVNs and PTs is prohibited. This includes but is not limited to: Respiratory Aide, Respiratory Nurse, Inhalation Nurse, etc.

#### **Scope of Practice Questions and Information**

Both Boards prefer written inquiries to ensure accurate and complete responses. Phone calls are accepted, and you will be requested to submit the inquiry in writing. Responses to written inquiries may take up to five business days depending on the complexity of the question.

Respiratory Care Board	Board of Vocational Nursing and Psychiatric Technicians
E-mail: <u>rcbinfo@dca.ca.gov</u> Telephone: 916.999.2190 Toll-free: 866-375-0386 Website: <u>www.rcb.ca.gov</u>	Email: <u>bvnpt.sop@dca.ca.gov</u> Telephone: 916.263.7843 Website: www.bvnpt.ca.gov





#### FACT SHEET

Given that numerous patients admitted to sub-acute facilities, long-term care, skilled nursing facilities, and athome care locations require respiratory care, with some dependent upon ventilators to sustain life, and given concerns for care that is being provided at some facilities in California, the RCB and the BVNPT issues this joint statement to inform administrators and staff at sub-acute facilities, long-term care, skilled nursing facilities, and at-home care locations on the following issues:

#### **PATIENT CARE PRACTICES**

#### **Invasive Mechanical Ventilation**

Invasive mechanical ventilation is a lifesaving intervention for patients with respiratory failure and is at the core of respiratory care practitioners' education, training, and competency testing. Given the clinical knowledge of the hazards, indications, contraindications of mechanical ventilation, and complexity associated with invasive mechanical ventilation, and that extensive and formal education and training is required to provide such care.

Respiratory Care Practitioners are authorized to	Licensed Vocational Nurses and Psychiatric Technicians role in
provide the following types of care (LVNs and	patient care:
PTs are not authorized to provide this care):	P
Changing any setting on a ventilator, with or	The LVN and PT are authorized to provide care to the patient
without a physician's order.	receiving invasive mechanical ventilation when the care is <u>not</u>
Routine and/or emergent changing inner	specifically related to the mechanical ventilation but is within
and/or outer cannulas <u>.</u>	the LVN or PT's scope of practice. That care includes but is
Reconfiguring or changing aerosol or	not limited to:
ventilator circuits.	Basic Assessment (data gathering) of total patient.
Manipulating ventilator breathing circuits	Administration of ordered medications that do not require
including disconnecting or reconnecting the	manipulation of the mechanical ventilator.
circuit, for any purpose, including, but not	Provision of ordered treatments.
limited to administering bronchodilator or	Hygiene care.
nebulizer treatments.	Comfort care.
Troubleshooting artificial airway problems	Patient and family education.
and ventilator-related controls and alarms.	• LVNs and PTs are <u>not</u> responsible for ensuring the security
Assessment of a patient's response to	of the artificial airway and related functionality of the
ventilator adjustments or current settings.	ventilator before, during and after transport. However,
Assessment for the placement and/or	LVNs and PTs can go as part of the team, but they are not
placement of a speaking valve or trach	responsible for the ventilator or related care.
plugging.	
• Transporting patients intra or inter facility to	
daily activities and/or scheduled shower	
days.	





#### **CARE/TREATMENT PLANS**

Respiratory Care Practitioner	Licensed Vocational Nurses and
	Psychiatric Technicians
Recommend appropriate respiratory care	Contribute data to the registered nurse needed for the
intervention/s, and manage, or modify,	evaluation process. However, LVNs and PTs cannot make
respiratory care interventions based on the	clinical diagnosis of the patient's respiratory condition, and/or
patient's response to therapy and written	make respiratory care recommendations based on their clinical
protocols approved by the medical staff.	findings.

The boards jointly agree that stakeholders should be aware that RCPs, LVNs and PTs must follow their respective scopes of practice for patient safety. Violating the respective scope of practice could lead to patient harm and the license being formally disciplined by the respective boards.

A concern to both boards is unlicensed and/or unqualified vendors instructing health care professionals to provide ventilator care. Both boards agree this is an unsafe practice. Further, section 3702.7 of the Business and Professions Code provides that the education of health care professionals about respiratory care, including clinical instruction and the operation or application of respiratory care equipment and appliances is within the respiratory care scope of practice and would require licensure as an RCP.

Both boards recognize that working titles using any derivative or synonymous meaning of the word "respiratory" for LVNs and PTs is prohibited. This includes but is not limited to: Respiratory Aide, Respiratory Nurse, Inhalation Nurse, etc.

#### **Scope of Practice Questions and Information**

Both Boards prefer written inquiries to ensure accurate and complete responses. Phone calls are accepted, and you will be requested to submit the inquiry in writing. Responses to written inquiries may take up to five business days depending on the complexity of the question.

Respiratory Care Board	Board of Vocational Nursing and Psychiatric Technicians
E-mail: <u>rcbinfo@dca.ca.gov</u> Telephone: 916.999.2190	Email: <u>bvnpt.sop@dca.ca.gov</u> Telephone: 916.263.7843
Toll-free: 866-375-0386	Website: www.bvnpt.ca.gov
Website: <u>www.rcb.ca.gov</u>	



# ENFORCEMENT DIVISION

(ATTACHMENT 5)

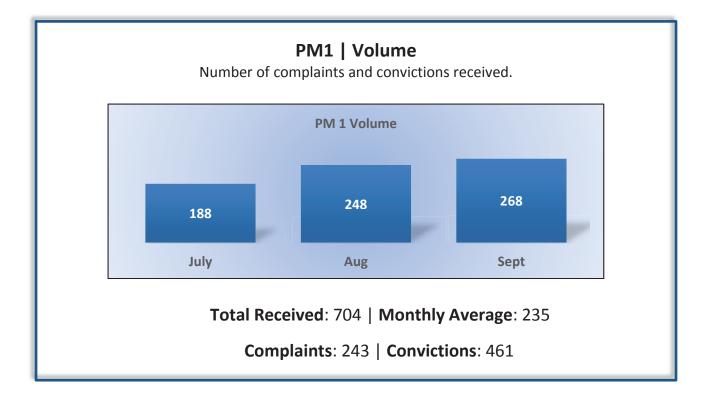


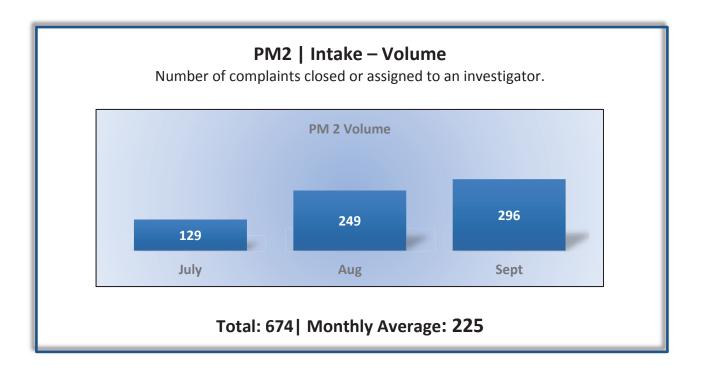
# ENFORCEMENT DIVISION PERFORMANCE MEASURES

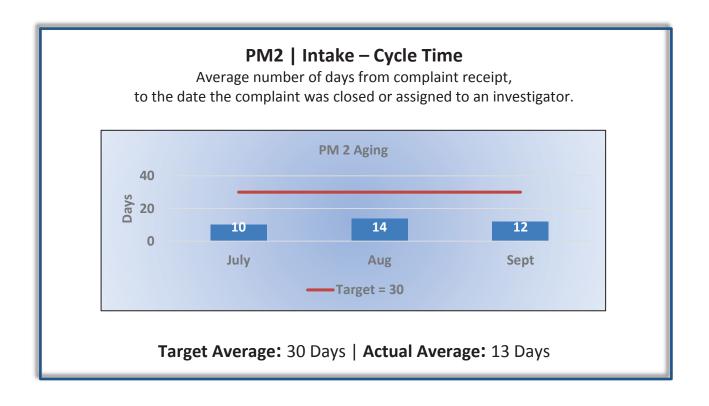
(ATTACHMENT 5a)

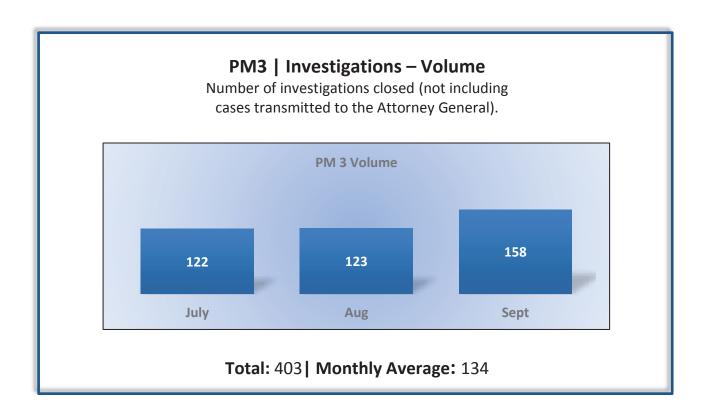
#### **Enforcement Performance Measures**

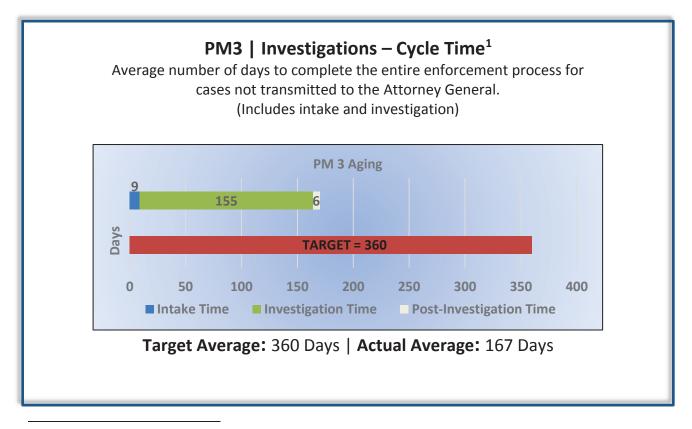
Q1 Report (July - September 2017)



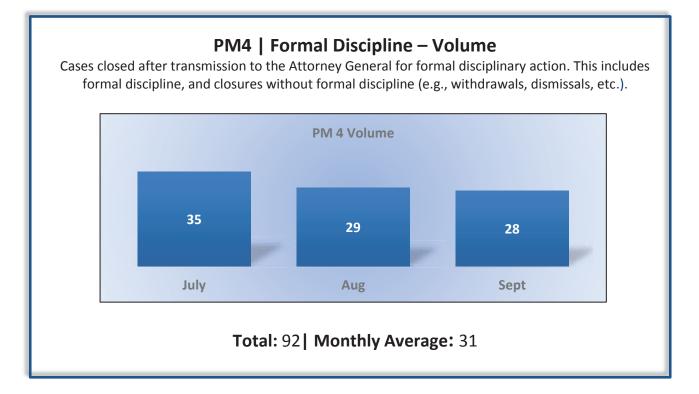


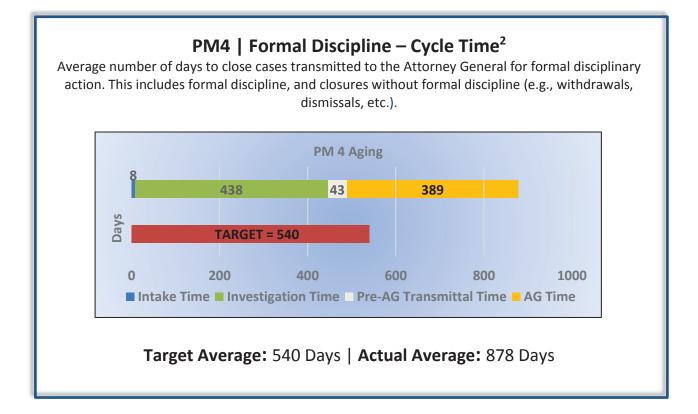




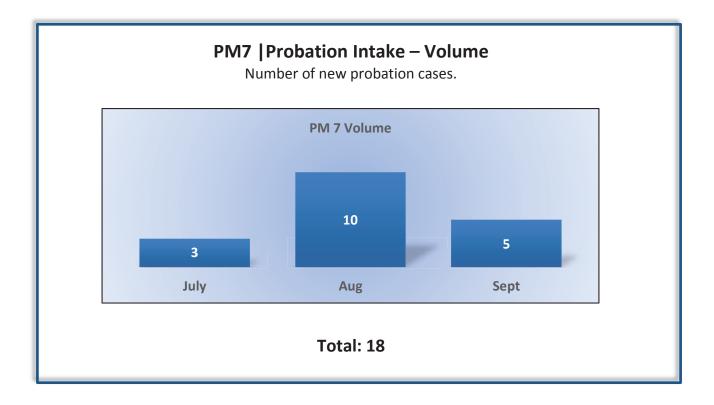


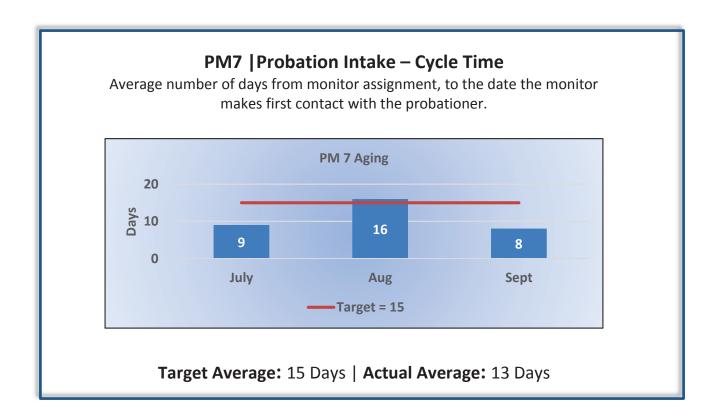
<sup>&</sup>lt;sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

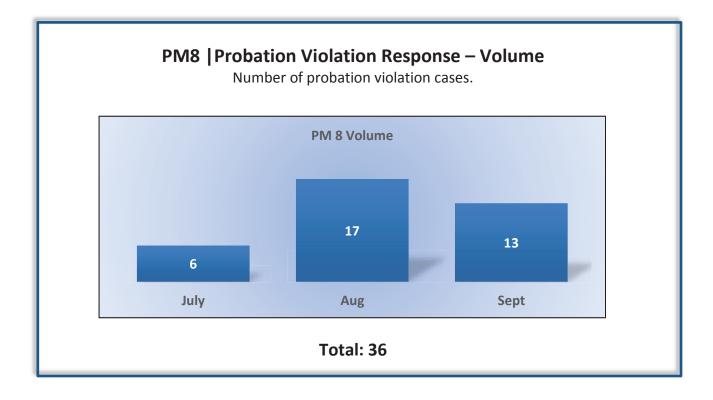


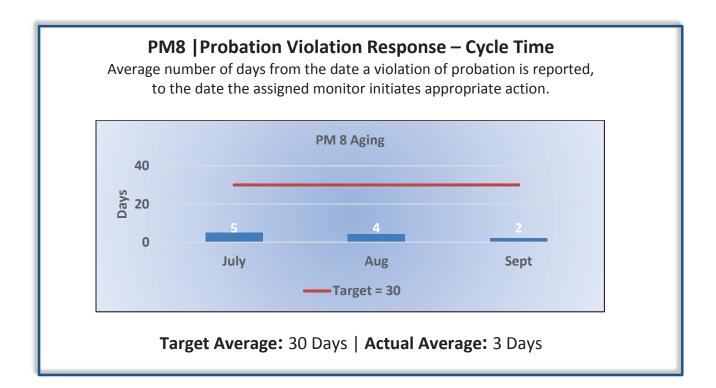


<sup>&</sup>lt;sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).



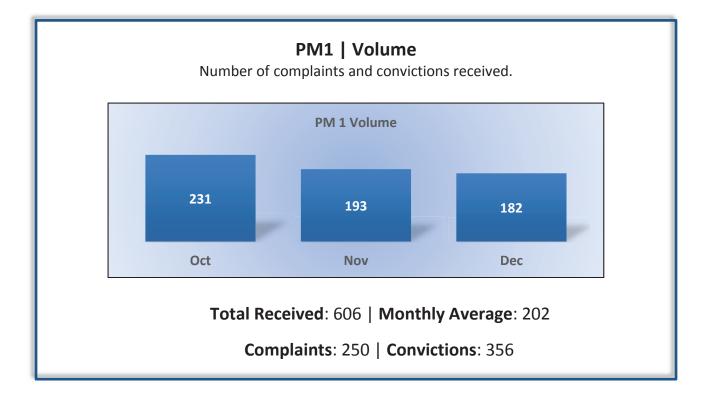


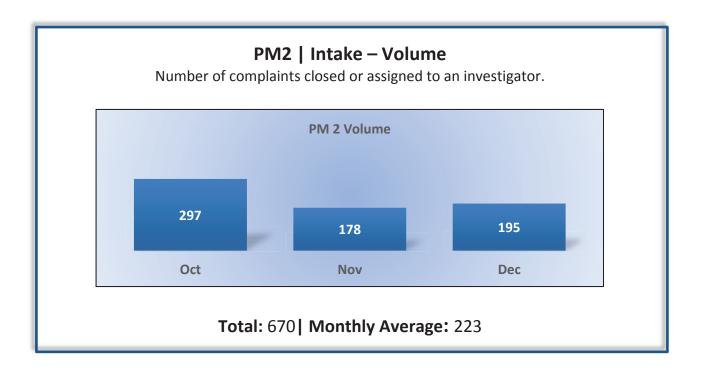


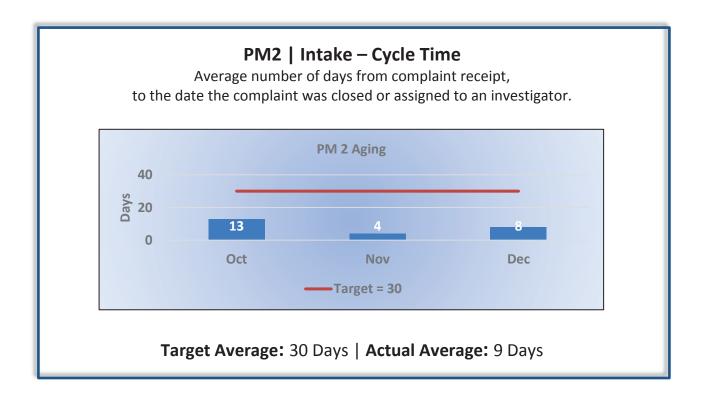


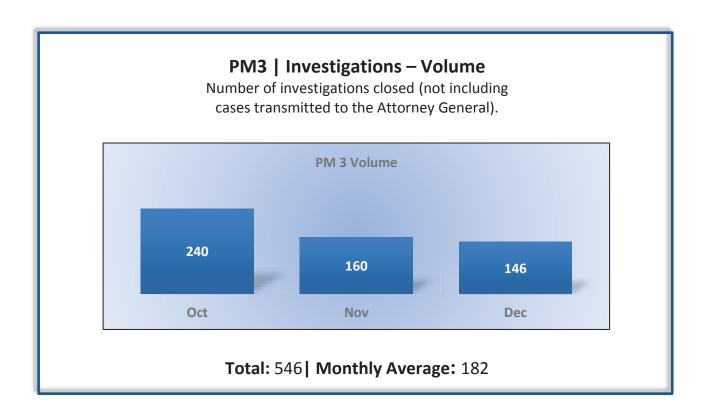
#### **Enforcement Performance Measures**

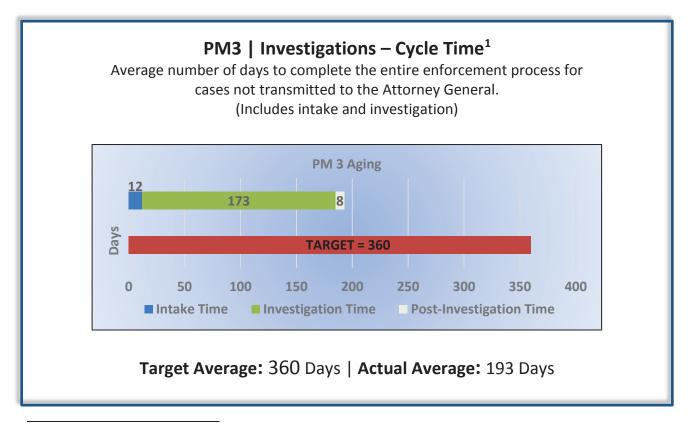
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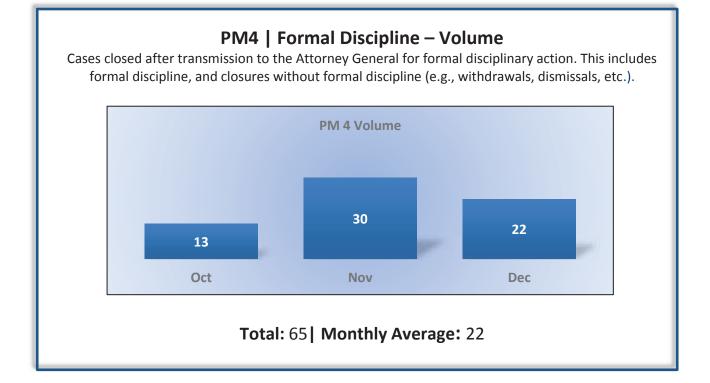






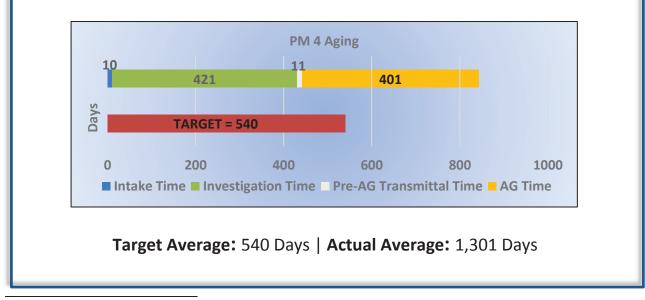


<sup>&</sup>lt;sup>1</sup> Due to rounding, there might be small discrepancies between the PM3 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Post-Investigation time).

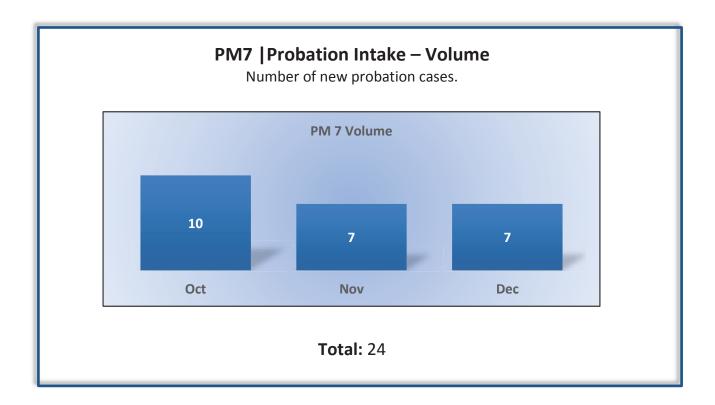


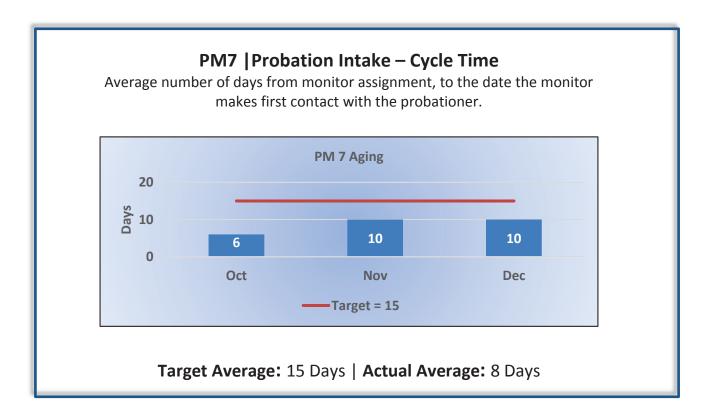
#### PM4 | Formal Discipline – Cycle Time<sup>2</sup>

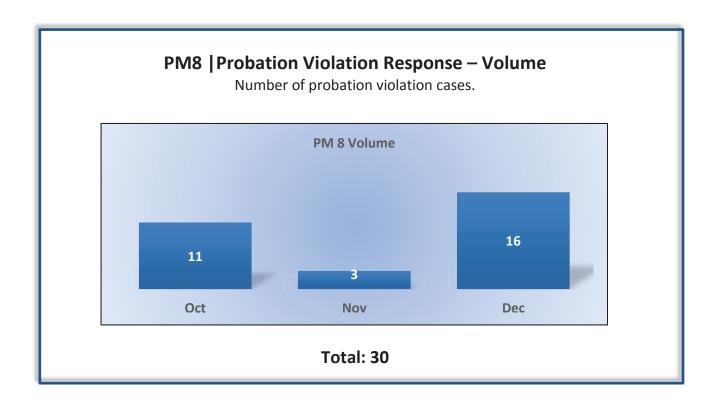
Average number of days to close cases transmitted to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).

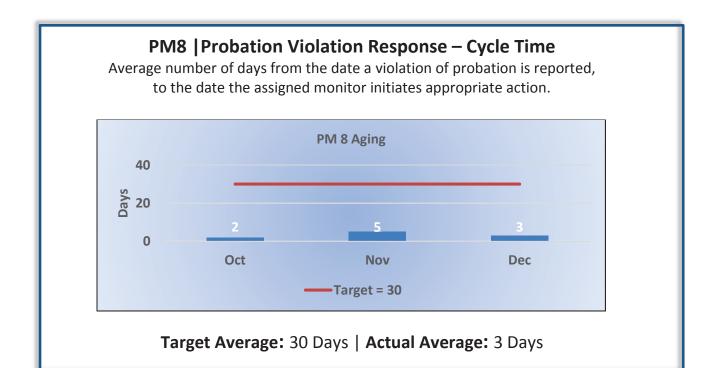


<sup>&</sup>lt;sup>2</sup> Due to rounding, there might be small discrepancies between the PM4 "Actual Average", and the sum of the individual case stages (i.e., Intake time + Investigation time + Pre-AG Transmittal time + AG time).

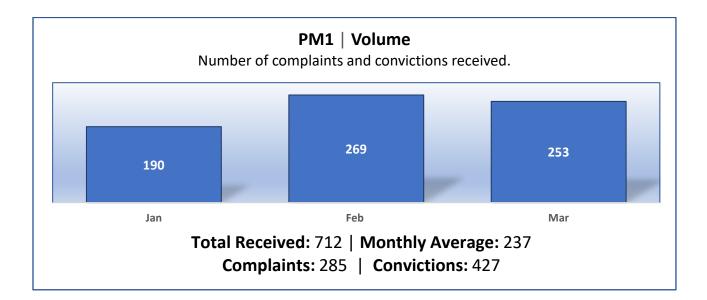


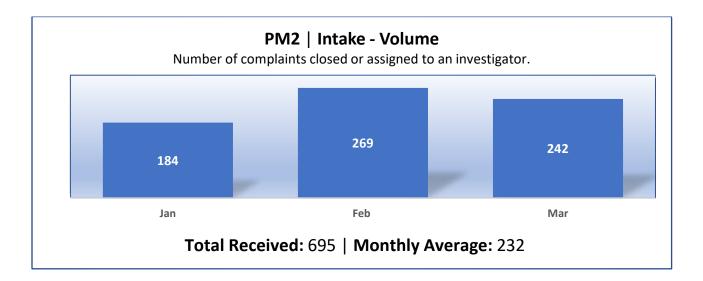


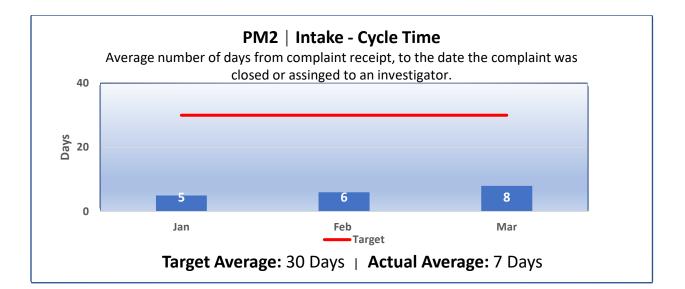


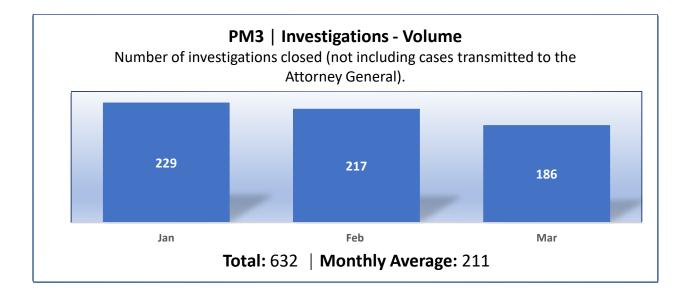


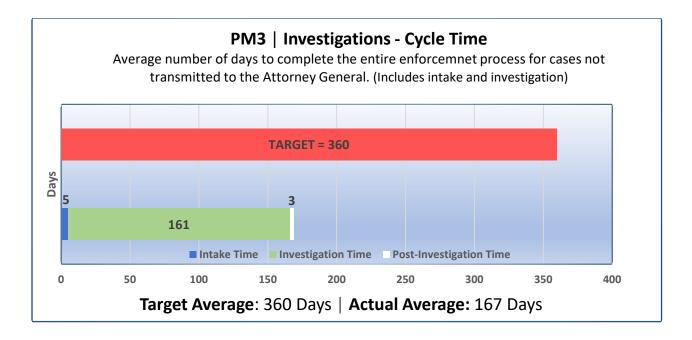
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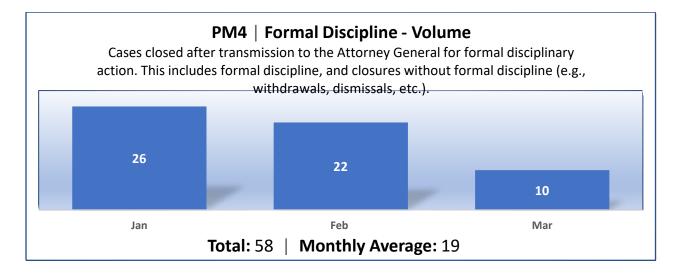


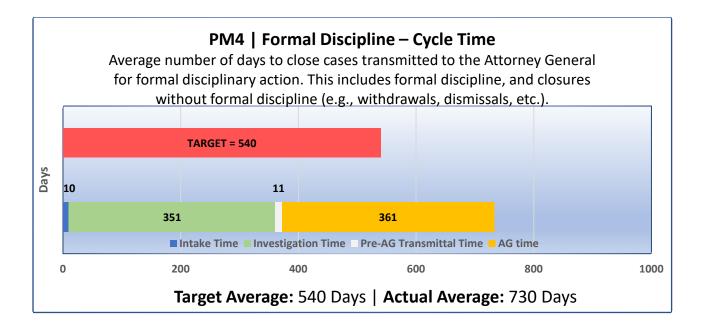


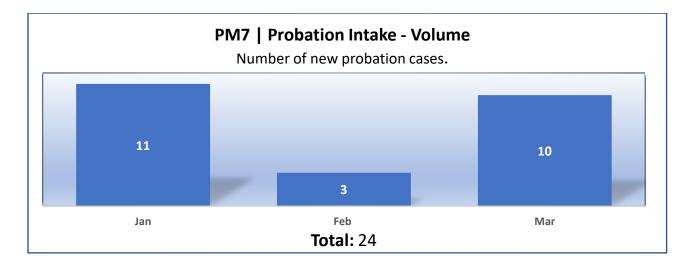


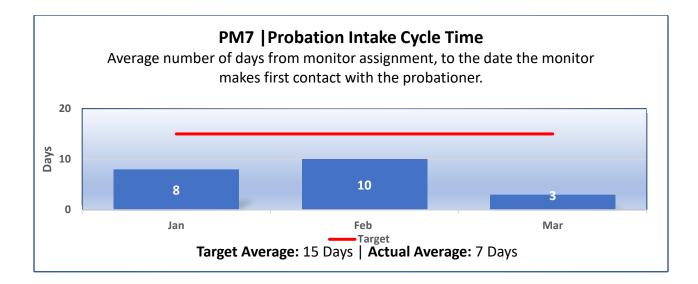


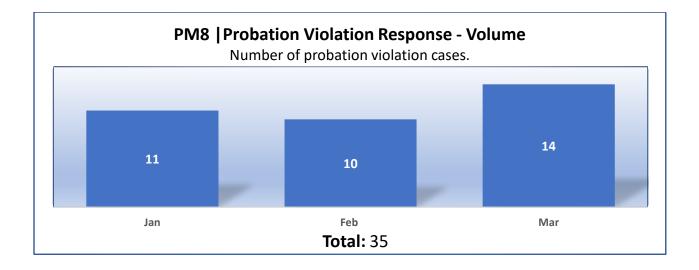


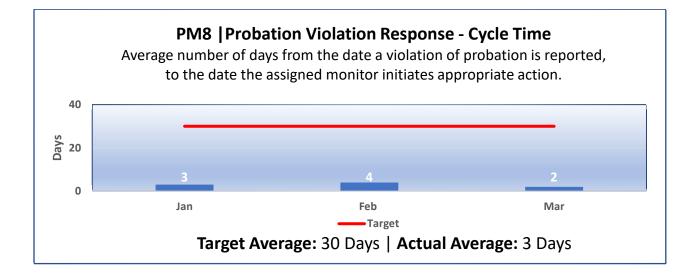




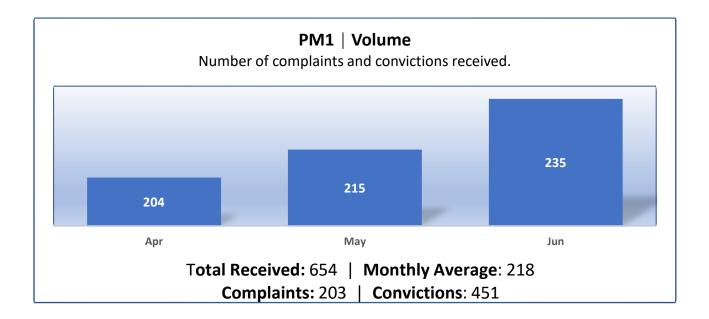


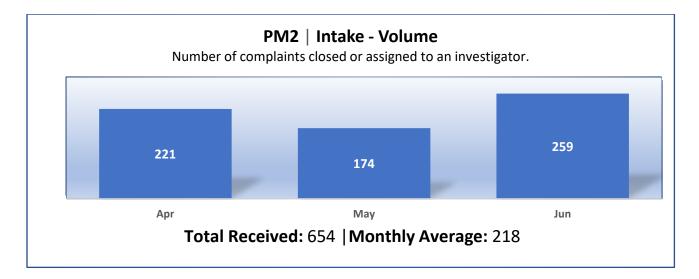


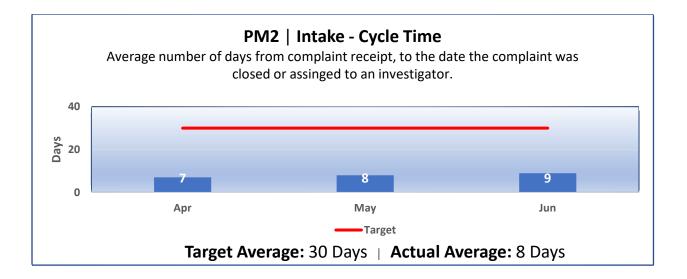


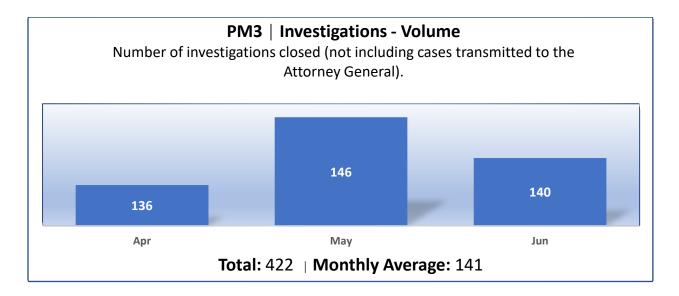


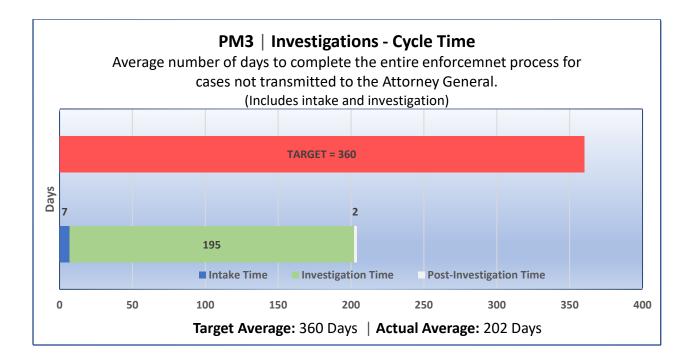
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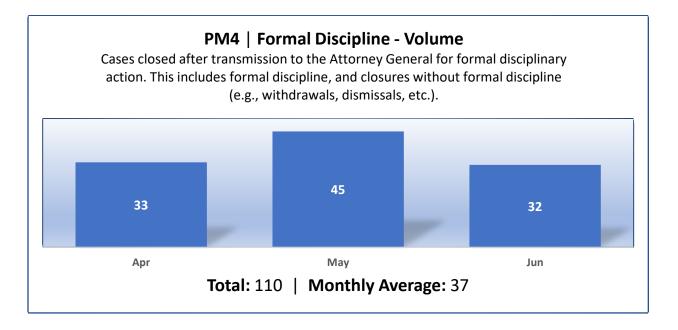


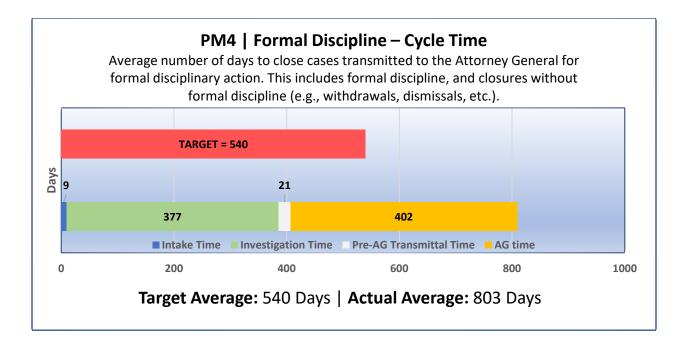


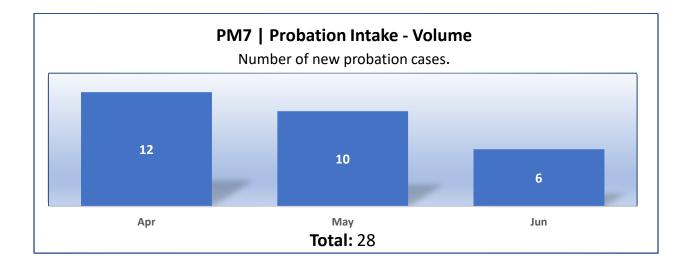


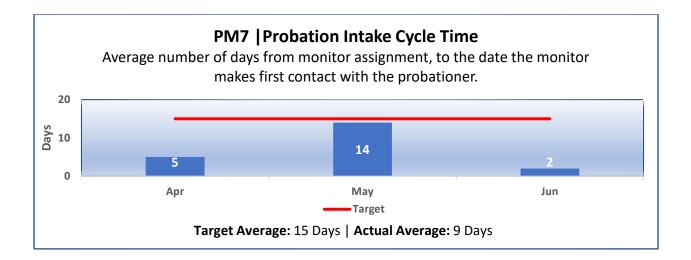


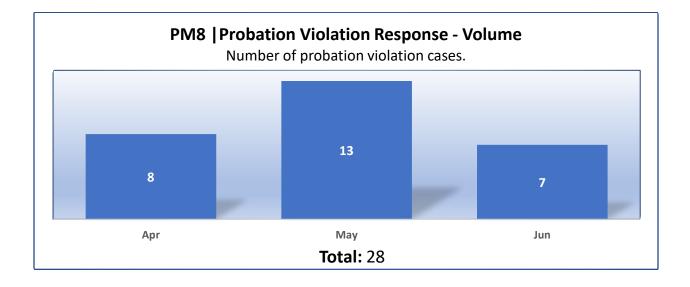


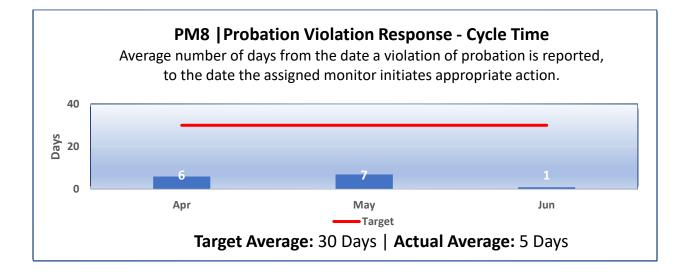




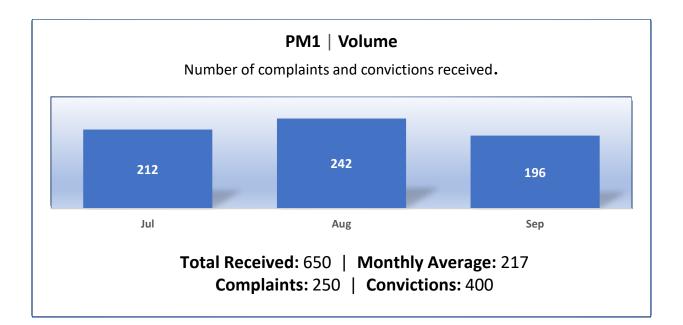


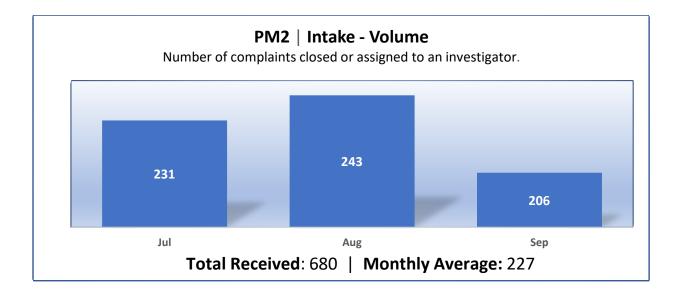


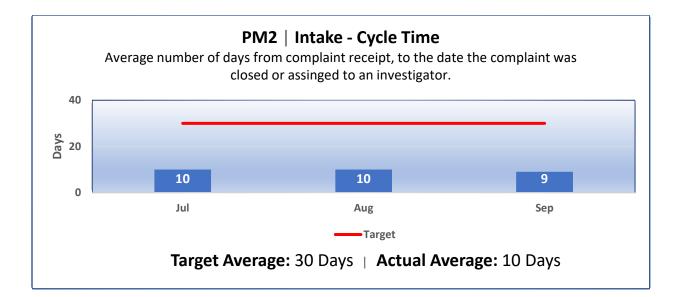


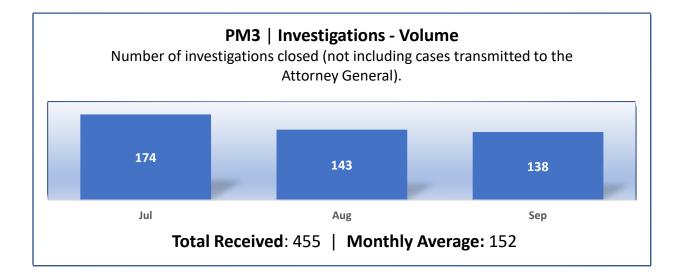


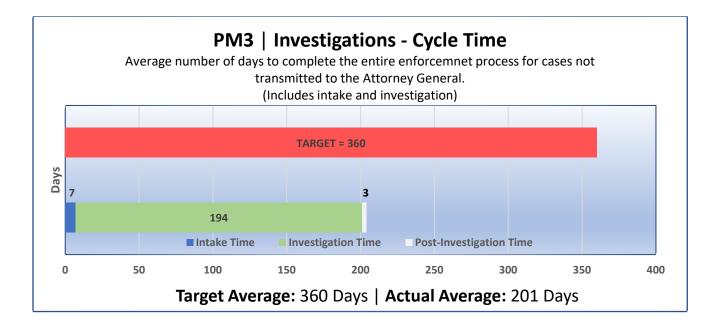
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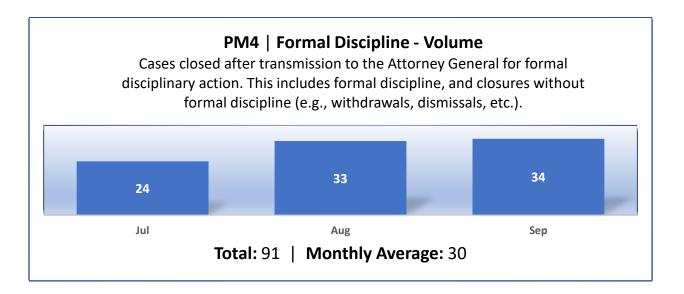


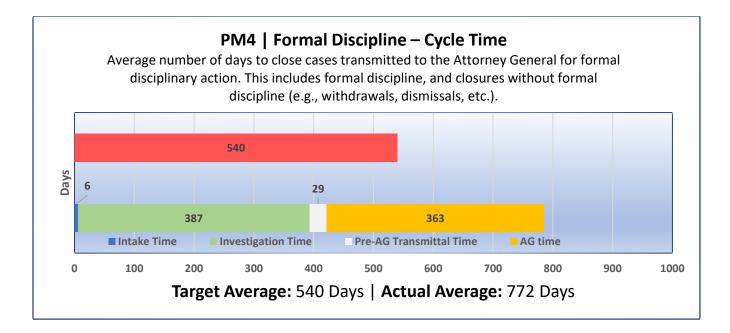


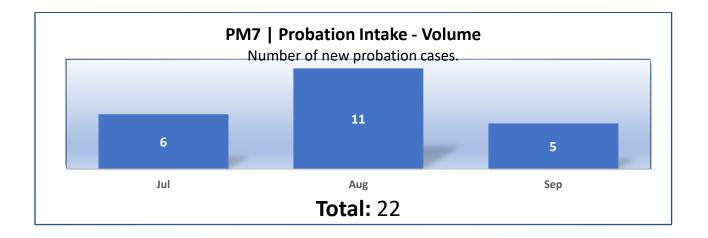


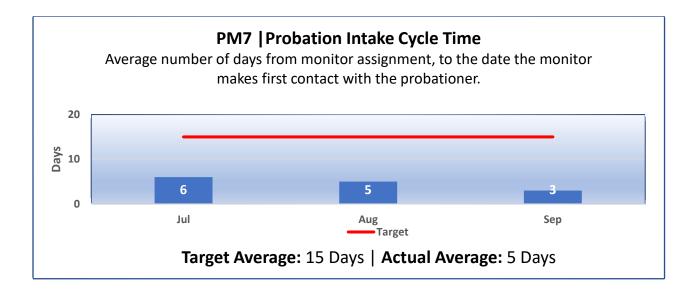


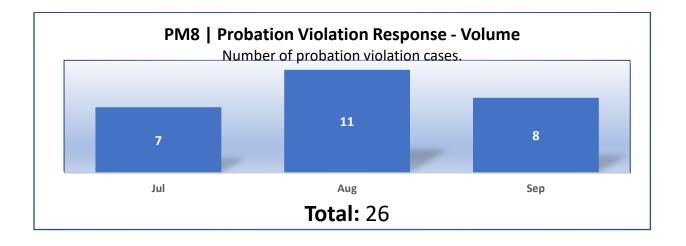


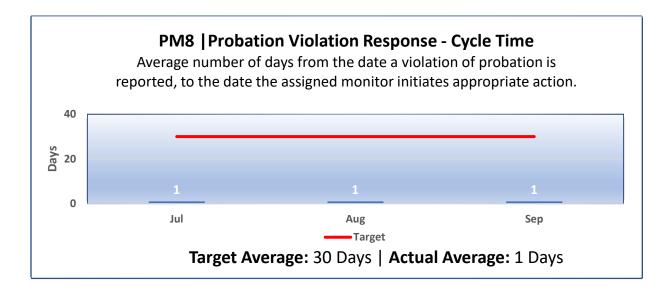




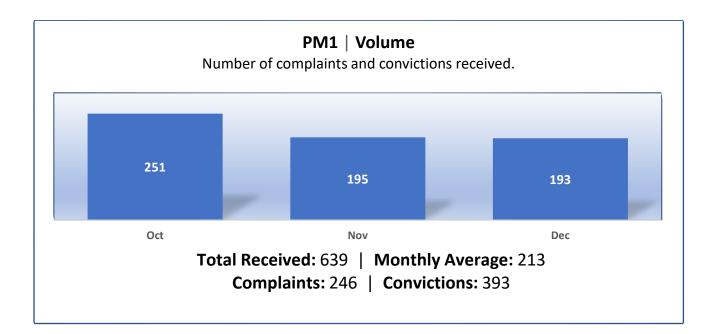


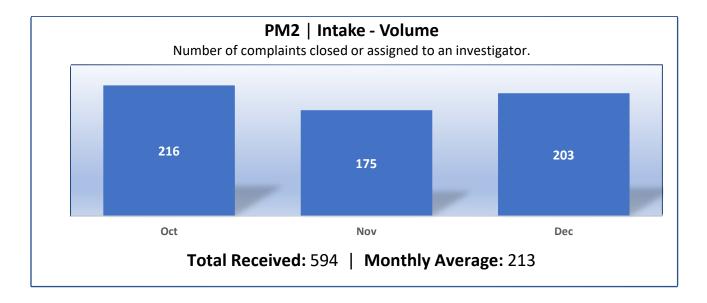


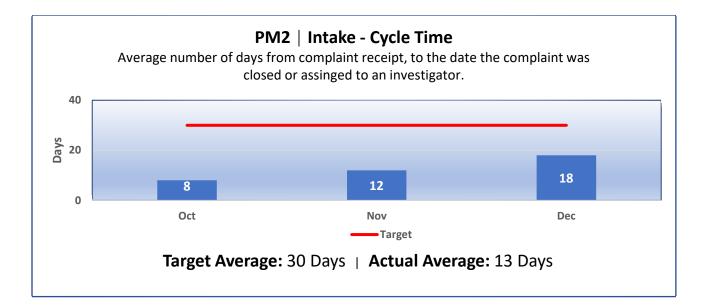


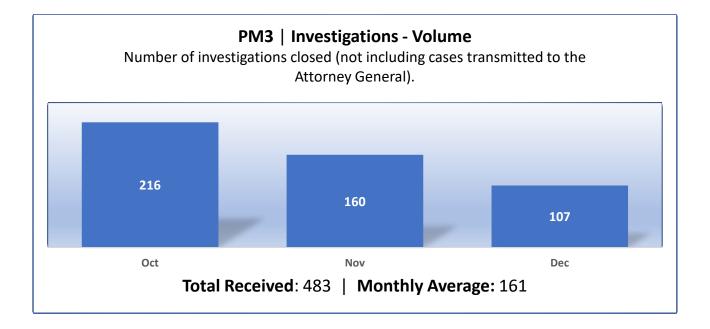


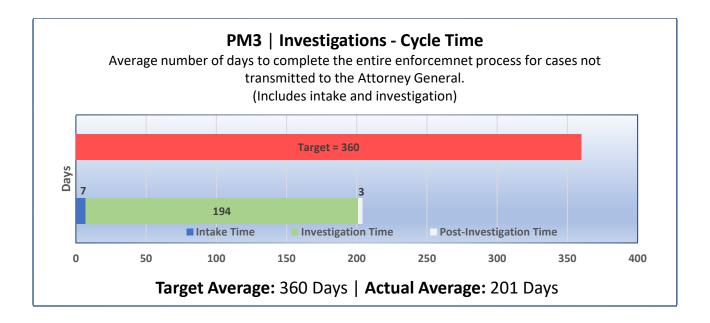
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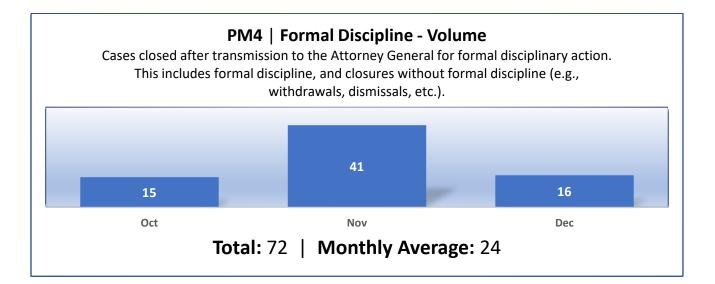


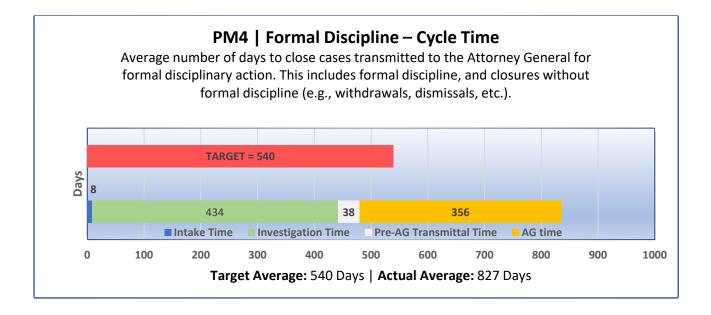


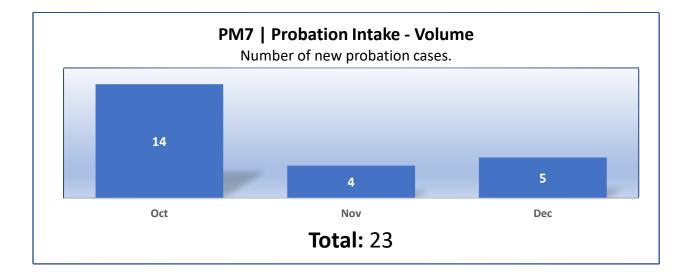


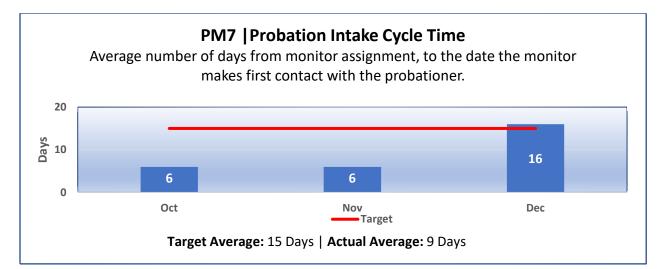


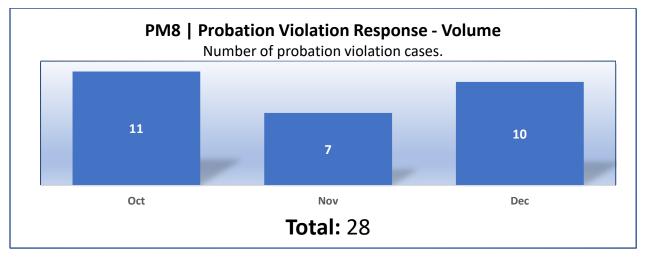


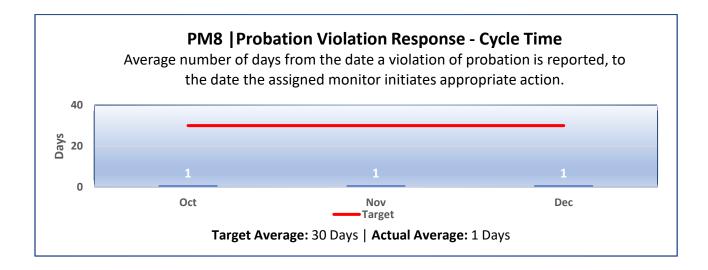




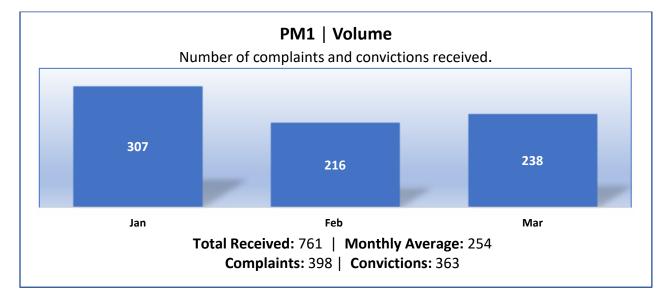


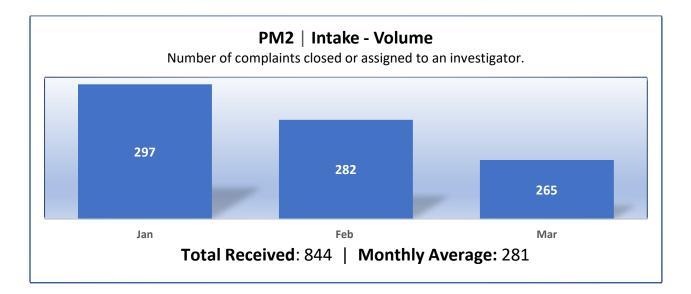


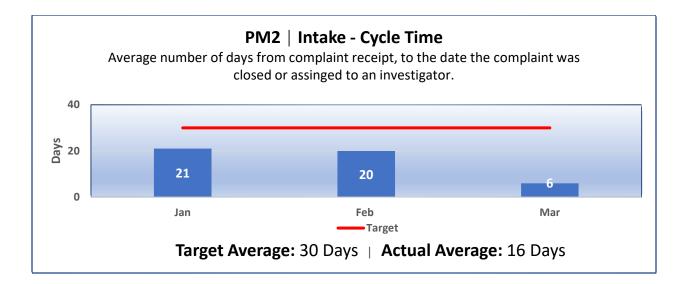


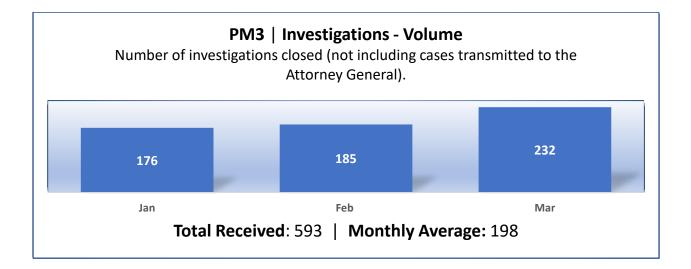


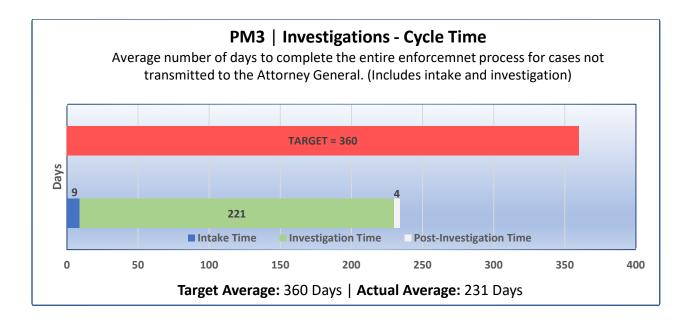
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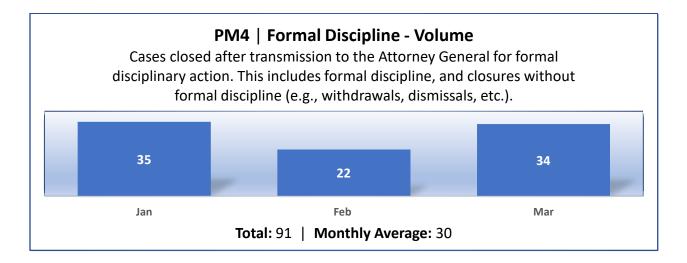


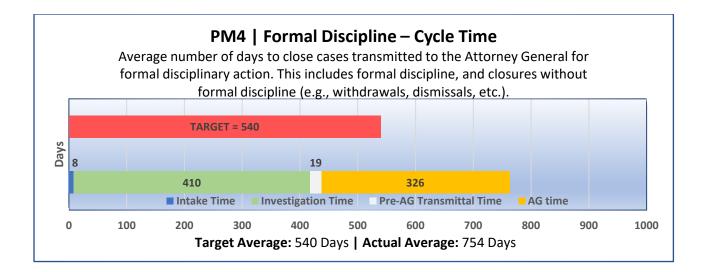


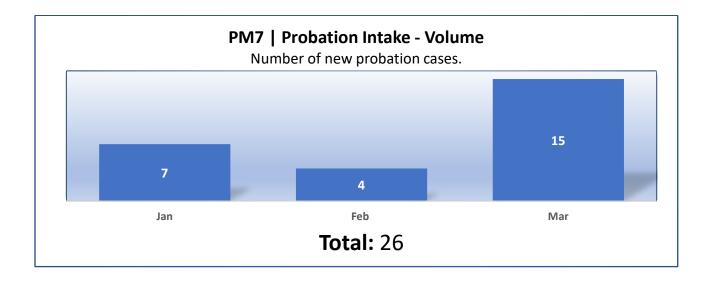


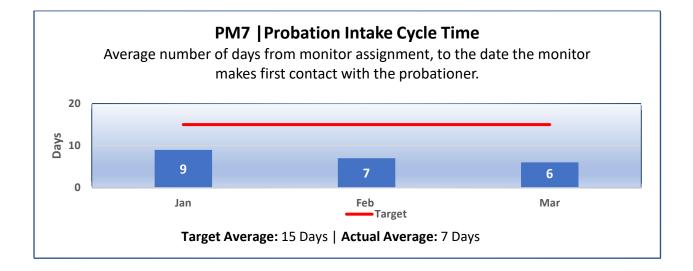




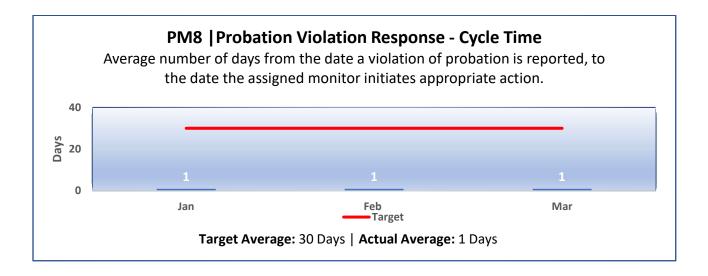




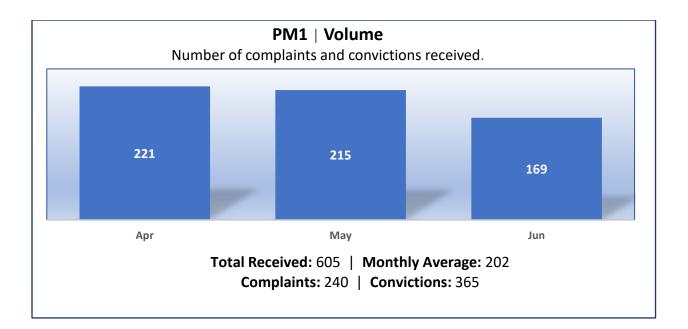


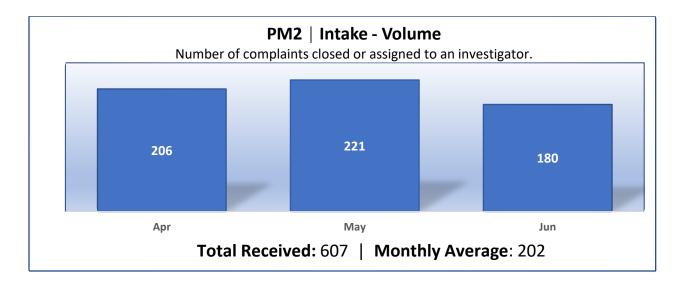


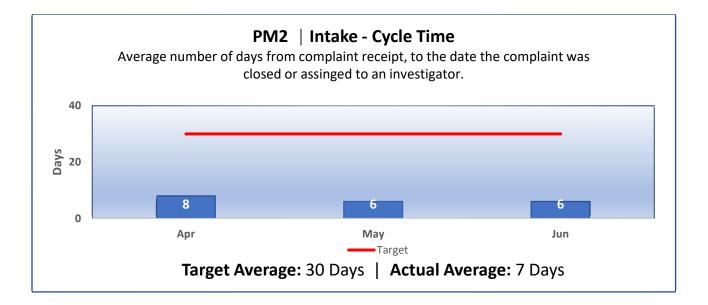


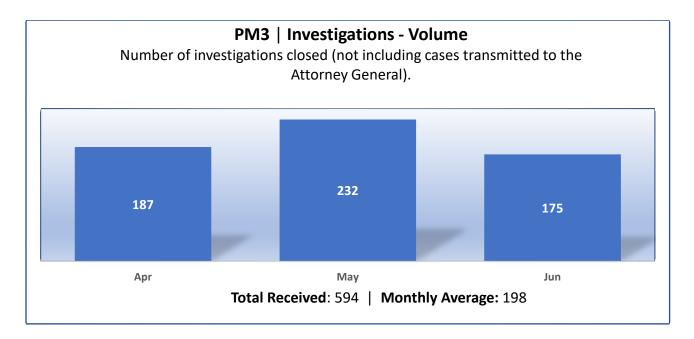


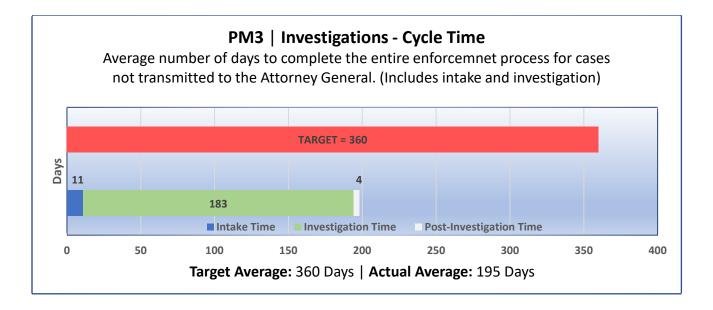
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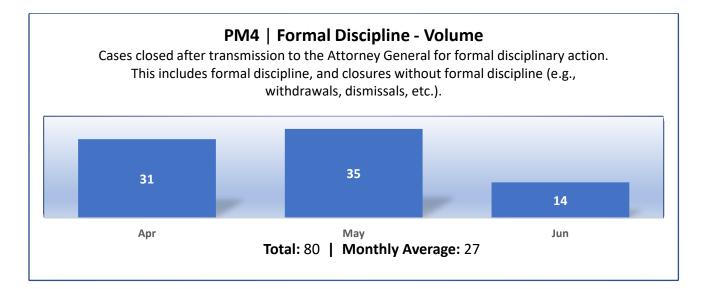


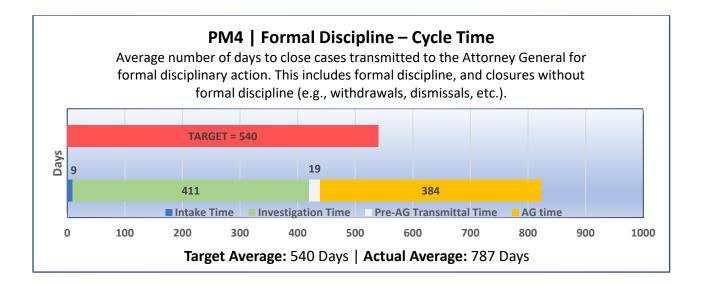




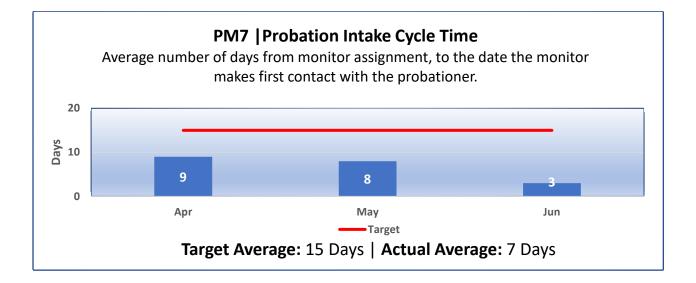


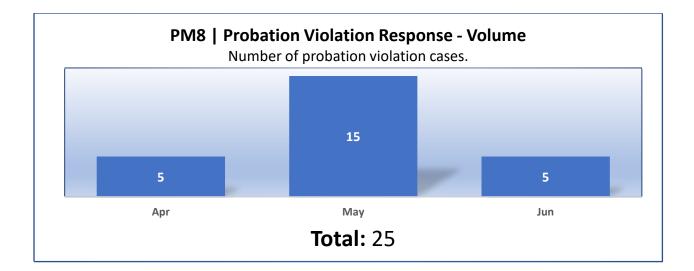


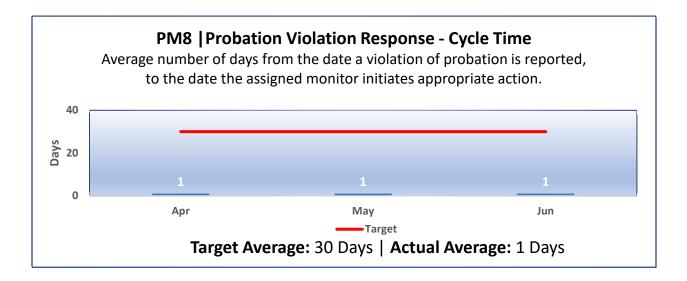








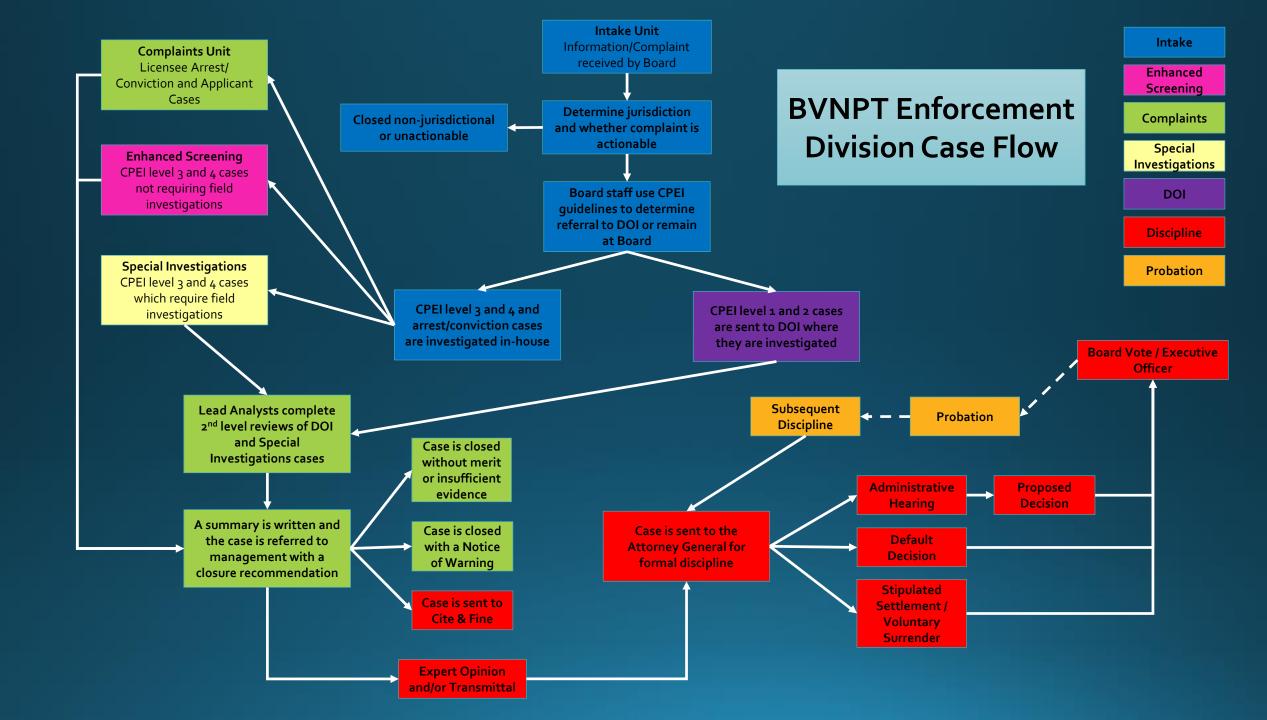






# **ENFORCEMENT CASE FLOW**

(ATTACHMENT 5b)





# FINAL BVNPT REPORT IN RESPONSE TO THE MONITOR'S RECOMMENDATIONS

# (ATTACHMENT 5c)



BUSINESS, CONSUMER SERVICES, AND HOUSING AGENCY • GAVIN NEWSOM, GOVERNOR

**BOARD OF VOCATIONAL NURSING & PSYCHIATRIC TECHNICIANS** 2535 Capitol Oaks Drive, Suite 205, Sacramento, CA 95833-2945 Phone (916) 263-7800 Fax (916) 263-7855 Web www.bvnpt.ca.gov



July 1, 2019

The Honorable Steven Glazer, Chair Senate Business, Professions and Economic Development Committee State Capitol, Room 2053 Sacramento, CA 95814

The Honorable Evan Low, Chair Assembly Business and Professions Committee State Capitol, Room 4126 Sacramento, CA 95814

Chris Shultz, Chief Deputy Director Department of Consumer Affairs 1625 North Market Boulevard, Suite S-308 Sacramento, CA 95834

#### Subject: Response to the Administrative and Enforcement Monitor Final Report

Dear Chairman Glazer, Chairman Low and Chief Deputy Director Shultz:

Per the requirements of AB 1229 (Low, Chapter 586, Statutes of 2017), the Board of Vocational Nursing and Psychiatric Technicians (BVNPT) is submitting its July 1, 2019 report addressing recommendations made by the Administrative and Enforcement Monitor issued on December 18, 2017. The BVNPT is pleased to report that it has implemented, or implemented with modifications, all 58 recommendations issued by the Monitor.

In this report, we prepared a high-level narrative, discussing our work from January 2018 through June 2019. We also included an updated version of the report matrix from our January 1, 2019 report. In the matrix, we showcase all implementation updates that have occurred since January 2019.

Additionally, the board is working closely with the Department of Consumer Affairs (DCA) to review, evaluate and improve other areas of operations. To that end, we expect recommendations that include improvements to staffing, business processes and resource management to be available in Summer 2019.

The next and final report will be issued on January 1, 2020. Should you and your staff wish to meet and discuss the information contained in this report or any other information, please contact our Executive Officer, Elaine Yamaguchi at 916-576-4212.

Sincerely,

/signature on file/

**TAMMY ENDOZO, L.V.N.** Board President

cc: Che Salinas, Chief Deputy Secretary, Legislative Affairs, Office of Governor Newsom Alexis Podesta, Secretary, Business, Consumer Services and Housing Agency Members, Board of Vocational Nursing and Psychiatric Technicians

### BOARD OF VOCATIONAL NURSING AND PSYCHIATRIC TECHNICIANS

#### REPORT TO THE LEGISLATURE JULY 1, 2019

#### INTRODUCTION

The Board of Vocational Nursing and Psychiatric Technicians (BVNPT) is pleased to report its progress implementing the recommendations from the Administrative and Enforcement Monitor Final Report, as presented on December 18, 2017. This report, in compliance with the July 1, 2019 deadline set in Business and Professions Code Section 2847.6, outlines BVNPT's progress in implementing the recommendations as of June 2019.

#### BACKGROUND

AB 179 (Bonilla, Chapter 510, Statutes of 2015) required the California Department of Consumer Affairs (DCA) to appoint an Administrative and Enforcement Program Monitor (Monitor) for the BVNPT. This required the Monitor to complete specified reviews and analyses of BVNPT's Enforcement Division, assessments of BVNPT's vacant positions and hiring, staff training, staff oversight, staff performance evaluations, and board member training and support services.

The Monitor's recommendations focused on key areas of concern. The recommendations are grouped in "buckets" and provide implementation updates for each of the categories. The implementation matrix shows each Monitor recommendation in numerical order, its status, and BVNPT's actions in implementing each recommendation.

#### **BVNPT IMPLEMENTATION ACTIVITIES**

#### <u>Personnel</u>

At the end of 2017, BVNPT had a vacancy rate exceeding 20 percent. The absence of a permanent Executive Management team compounded existing low staff morale, and negatively impacted BVNPT's ability to process licenses and evaluations, enforcement cases, cashiering, and administrative work.

The BVNPT has made significant progress in addressing vacancy issues. Specific to the Enforcement Personnel issues cited in the Monitor's Report, as of June 2019, the Enforcement Division is nearly 100 percent staffed, and DCA's Division of Investigation (DOI) oversight has transitioned to a consultative role. The Monitor also provided recommendations regarding BVNPT's general personnel issues pertaining to the timely and meaningful completion of evaluations and Individual Development Plans (IDPs). Management implemented a tracking system and all staff members receive an annual IDP. The report also directed the Executive Management team to review the overall organizational structure and determine appropriate and optimal staffing levels, regarding staff classification and number of employees.

The Licensing reorganization reduced backlogs, and the number of incoming telephone calls to the Board decreased by 62 percent since January 1, 2019. The Monitor also recommended staffing reviews and reorganization to address the backlog of cases and the failure to identify and assign investigations. DOI assisted BVNPT in this reorganization by developing procedures and training the team.

The Enforcement Division is now comprised of five separate units; Intake and Enhanced Screening Unit, Licensee and Applicant Case Review Unit, Special Investigations Unit, Discipline Unit, and Probation Unit. At this writing, the Enforcement Division's leadership is complete and works together to increase mutual understanding of each unit's roles and responsibilities.

(This section encompasses our work on Recommendations 23, 28, 29, 30, 32, 36, 41 and 48. Specific information on the individual Recommendations is on the attached matrix.)

#### Intake and Enhanced Screening

The Monitor examined BVNPT's enforcement case processing and issued a significant number of recommendations related to the reorganization of the Enforcement Division; specifically, the need to create a distinct unit to handle case intake and the investigation of complaints. To that end, BVNPT divided the Complaints Unit to differentiate those functions, and converted a vacant Investigator position to a Manager position. The newly-formed Intake and Enhanced Screening Unit and Licensee and Applicant Case Review Units are now fully functioning, and, with the hiring of the Licensee and Applicant Case Review Units are signments and workload maximizing oversight and accountability.

The Intake and Enhanced Screening Unit duties are now shared by three Associate Governmental Program Analysts (AGPAs) whose duty statements have been revised and provide greater consistency in processing intake and enhanced screening cases. The sharing of duties serves to eliminate work silos which make it difficult to cover staff absences and vacancies.

Further, the Monitor made a series of recommendations pertaining to previous case management by former leadership. These involved finding, identifying, and

reopening hundreds of cases. With DOI's assistance, these recommendations were implemented.

The Monitor also noted BVNPT's lack of established procedures and challenges in adhering to the Consumer Protection Enforcement Initiatives (CPEI) and called for training, the creation of desk manuals, and staff understanding of the individual and team roles. As staffing changes took place, these factors improved, and the team continues to make progress in resolving the case backlog. BVNPT continues to develop its statistical reporting functions and, pending Board approval, will post comprehensive information on our processing times.

(This section encompasses our work on Recommendations 2, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19, 20, 21, 26 and 27. Specific information on the individual Recommendations is on the attached matrix.)

#### Enforcement Issues

BVNPT was fortunate to have the presence and guidance of the Division of Investigations (DOI) from late 2017 through 2018.

The Monitor made several recommendations about the role of the BVNPT Enforcement Chief, aimed at improving internal and external communications. DOI provided the groundwork, and the Enforcement Chief continues implementing reforms, including weekly case triage meetings open to all enforcement staff, collaborative work with other enforcement divisions within DCA's healing arts boards and the Attorney General's Office.

The Monitor noted workload issues within the Probation Unit. To address this capacity problem the board supplied the Probation Unit with four additional support staff. Each analyst carries approximately 100 cases. The Probation Unit also handles all Cost Recovery responsibilities.

After peaking at 471 in April 2018, the total number of probationers declined to 395 as of March 30, 2019, noting an improvement in this area.

Additionally, the Probation Unit is reviewing/revising the BVNPT Disciplinary Guidelines in advance of proposed regulatory updates.

Similarly, the Monitor noted inefficiencies with BVNPT's Citation and Fine program and recommended that all the responsibilities be transferred to the Discipline Unit. This has been accomplished: BVNPT issued 30 citations, and collected \$16,850 in fines since January 1, 2019. In addition, staff conducted a comprehensive audit of the Citation and Fine program to ensure compliance and, in cases where non-compliance is identified, the matter is referred to the Franchise Tax Board for collection through the Intercept Program.

(This section encompasses our work on Recommendations 42, 49, 50, 22, 31, 34, 35. Specific information on the individual Recommendations is on the attached matrix.)

#### Partnerships

BVNPT continues to work with several DCA divisions to maintain efficient board operations. These valuable partnerships include DCA's Budget and Finance, Human Resources, Internal Audits, Organizational Change Management, SOLID, Legal Affairs Division, the Office of Information Services, and the Executive Office. We developed new and improved existing working relationships with other Boards and Bureaus, particularly our fellow Healing Arts boards.

Our partnership with DOI precedes the Monitor's work with BVNPT and is the theme of several of the recommendations. The Monitor recommended that DOI provide enforcement-related management and technical support, training, and case reviews.

BVNPT continues a positive relationship with the Office of the Attorney General (AG). The Monitor recommended that BVNPT work with the AG and increase our utilization of the Fast Track Pilot Program for disciplinary matters arising from licensee arrest and conviction reports. These steps significantly increased our case management efficiency. Initially, the Fast Track Pilot Program included the Sacramento, Oakland, San Francisco, and San Diego Offices of the Attorney General. In May 2019, this program was expanded to include the Los Angeles AGs office. Additionally, the Board initiated electronic transmission of these cases via the DCA Cloud. This provides a secure and efficient transmittal process and eliminates the postage costs associated with mailing the documents.

(This section encompasses our work on Recommendations 6, 7, 46, 38, 43, 44, 45, 57, and 58. Specific information on the individual Recommendations is on the attached matrix.)

#### **BVNPT's Governance**

BVNPT's Board members must complete several DCA board training and orientation programs – some specific to the operation of BVNPT. The newest board member spent time with the Enforcement staff in May 2019 to learn about the Board member's role in the disciplinary process including mail ballots and petitioner hearings. Staff maintains a log tracking the completion of DCA mandatory training for each Board member.

In addition, the Board plans an additional day at two of its four yearly meetings to incorporate training and planning activities. In May 2018, the Board began discussing its Strategic Plan, and received training about the enforcement programs. In November 2018, the Board spent a day working with DCA's Strategic Planning consultants to develop its Mission, Vision and Values, and

formulate the backbone of the new Strategic Plan, which will guide BVNPT's operations from approximately 2020-2023.

(This section encompasses our work on Recommendations 51, 52, 53, 54, 39, 40, and 47. Specific information on the individual Recommendations is on the attached matrix.)

#### **Continuing Education Audit**

Per the Monitor's recommendation, a team of BVNPT analysts examined the CE Audit Program and developed a plan and timeline to commence the audit in November 2018. The team gleaned information and guidance from staff who previously processed audit information, Licensing and Education Subject Matter Experts, and the Enforcement Division to develop a start-to-finish CE Audit program. They also developed the requisite documents and letters.

Research and analysis indicated that five percent of the monthly renewing population would yield a steady and meaningful sampling. The team then projected the staffing and resources needs to manage the program successfully. Executive Management reviewed the team's recommendations, and upon an examination of the current staff and resources available, chose to delay the start until 2019, after the hiring and reorganizing in the Licensing Division throughout 2018 had settled. In January 2019, the Board had four vacancies in the Licensing Division and determined that the audit would be delayed until the vacancies were filled and the individuals properly trained. While it is urgent that this function be reinstated as soon as possible, it is essential that the program launched is efficient and sustainable. The CE audit commenced in June 2019.

(This section encompasses our work on Recommendations 3, 4, and 33. Specific information on the individual Recommendations is on the attached matrix.)

#### Legislation and Regulations

The Monitor recommended that the Board pursue legislation to provide the Executive Officer the authority to approve default decisions. Default decisions are straightforward cases in which a licensee or respondent does not respond to a disciplinary notice or action within the required timeframe. These are currently sent to the board members, along with other cases to deliberate. The Board would save time and resources by authorizing the Executive Officer to approve these administrative matters. At its February 2019 meeting, the Board voted to have the Executive Officer seek legislation to have the authority to delegate the default decisions to the Executive Officer.

Although not discussed in the Monitor's recommendations, BVNPT is working to strengthen its fiscal stability and sustainability by updating its fee structure through legislation. BVNPT did not raise licensing fees for approximately a decade, despite rising costs and additional mandated requirements. BVNPT staff developed a new fee structure proposal that was approved by the Board in April

2018 and successfully added language to the Department's annual omnibus bill. This bill, SB 1480 (Hill, Chapter 571, Statutes of 2018) was enacted and took effect January 1, 2019.

However, SB 1480 did not include the language BVNPT developed to create fees for schools and programs under the board's jurisdiction. From April to November 2018, the Executive Officer and staff conducted a series of meetings and conference calls with stakeholders to discuss the structure and need for these new fees. At the November 2018 meeting, the Board authorized staff to seek an author for this legislation. BVNPT continues to host stakeholder meetings and conference calls regarding the school fees.

(This section encompasses our work on Recommendations 37, and 55. Specific information on the individual Recommendations is on the attached matrix.)

#### **Other Improvements**

The Monitor recommended that BVNPT review and revise the Record of Conviction form and make it more understandable to applicants and licensees. As of December 2018, BVNPT worked internally and with DCA Legal Counsel and will issue new forms reflecting the revised language.

In addition, BVNPT is preparing regulations for AB 2138 (Chiu and Low, Chapter 995, Statutes of 2018). AB 2138 changed boards' ability to deny a license based on past criminal convictions.

In compliance with AB 1229, BVNPT worked with consultants from DCA's Organizational Change Management Office to examine the licensing and administration teams' operating processes. This analysis mapped each individual business function and identified areas that needed to be streamlined to increase efficiency. At the same time, management developed a thorough and userfriendly catalog of the licensing and administrative process statistics to provide a clear picture of the workload and address any potential backlogs.

Finally, BVNPT consulted with DCA's Communications Office to improve the usefulness and accessibility of the website, utilize social media, and develop informational content for the Internet. The Discipline Unit developed a video for licensees/applicants on the discipline process. You can access the video at <u>https://youtu.be/PvpjTBdLrso</u>. BVNPT jumped into the social media world in March 2019 and posts positive and informative messages on Facebook and Twitter. The NECs are in the development stage to produce training videos for new Program Directors that detail the application process which may eliminate deficiencies. The Licensing Division is following suit and developing a video explaining the equivalency application process which is timeconsuming and difficult. (This section encompasses our work on Recommendations 1, 5, 24, 25, 56, 57 and 58. Specific information on the individual Recommendations is on the attached matrix.)

#### CONCLUSION

This report represents a high-level summary of BVNPT's work over 2018 and the first half of the 2019 calendar year. We are proud to note that the Monitor's recommendations are all implemented or implemented with modifications. We are well-aware that 2019 and beyond entails intensive work to make these actions permanent and efficient. BVNPT notes that, in the latter half of 2019, we will prepare our next Sunset Report.

The entire BVNPT team would like to thank the Department of Consumer Affairs, the Division of Investigation, the Business, Consumer Services and Housing Agency, and the Members and Staff of the Assembly and Senate committees for their advice, support and assistance.

Most of all, the Executive Management team and the Board would like to thank the dedicated and talented staff of BVNPT, without whom none of this would be possible.

Note: In the following matrix, we highlighted items in the middle column in light green if a status change occurred since our January 2019 report. The right-hand column shows a brief summation of the actions taken by BVNPT to implement the recommendation.

Recommendation #	Status	Updates
<b>Rec 1:</b> Critically review and overhaul Item No. 9 of the current Record of Convictions form to make it more readable and understandable and to reduce the frequency that license applicants misreport or over-report prior convictions (see also Rec. 5)	Implemented	<ul> <li>February 2018: The Enforcement Chief (Chief) discussed amending the language in the current Record of Convictions Form with Legal. Due to the bodies of law contained in the form, the applicants are confused and overreport, causing unnecessary workload for Licensing and Enforcement. The Chief will meet with the Executive Officer (EO) and Licensing Division to discuss as the specific form is a Licensing Form.</li> <li>May 2018: Division of Investigations (DOI) met with BVNPT's legal counsel to discuss the proposed language. BVNPT's legal counsel is currently reviewing.</li> <li>September 2018: DCA Legal reviewed, revised, and approved the proposed language clarifying the Record of Convictions Form. However, due to the potential impact of AB 2138 (Chiu/Low), a revised Record of Convictions Form containing the approved language has not been published.</li> <li>December 2018: Implementation of AB 2138 will be in July of 2020. The</li> </ul>
		Record of Conviction Form is scheduled for release January 1, 2019 with the approved language and the new Governor's name.
		<b>June 2019:</b> The Record of Conviction form was updated, and due to the BreEZe deployment schedule, implementation is delayed.
<b>Rec 2</b> : Develop and implement procedures to enable case intake staff to exercise judgment in determining whether to request records from law enforcement agencies and the courts for license	Implemented	<b>February 2018:</b> The assigned applicant technician exercises judgement in determining whether to request records from law enforcement agencies and courts for license applicants. The assigned technician makes a recommendation on a short form, then reviewed by a lead analyst. With the intake function pulled into a new business unit, the Enforcement Chief and DOI are working on formalizing a quality control process. (Partially Implemented)

applicant cases based on minor criminal offenses that occurred in the distant past and screen the cases to identify and close cases that do not require desk investigations.		<ul> <li>May 2018: Desk procedures for the Applicant Technician have been updated to reflect this recommendation.</li> <li>June 2019: In an ongoing effort to maintain quality control, all desk procedures are regularly reviewed and updated.</li> </ul>
<b>Rec 3:</b> Restructure and expand the Continuing Education (CE) Compliance Audit Program. Issue an initial standard form 30-day audit letter to a sample of at least 5 percent of renewing licensees in conjunction with issuing their license renewal notifications. If the licensee is non-responsive to the initial request, promptly issue a second/final request. If the license is non-responsive to the final request or confirms that they did not complete any (or completed very little) of the required CE, refer the case to Enforcement for issuance of a citation. Streamline the Certificate of Completion review process by limiting reviews of the documents in cases that appear to show full compliance with BVNPT's CE requirements	Implemented	<ul> <li>February 2018: The EO and Board staff are reviewing audit process to identify improvements.</li> <li>May 2018: The EO and BVNPT staff have created a working group to review past CE Audit Program processes and are currently creating a proposed redevelopment of the program, to be launched before the end of 2018.</li> <li>August 2018: The working group continues restructuring the CE Audit Program with a mid-September deliverable outlining the number of licensees to be audited and the resources necessary to implement the audit. The five percent sample indicated in the Monitor's recommendation will most likely be a smaller number based on available resources in both the Education and Enforcement Divisions.</li> <li>December 2018: The Board anticipates launching the CE Audit in the first quarter of 2019.</li> <li>June 2019: We implemented the CE Audit in June 2019. Team members are cross-trained to back-up the primary licensing technician to ensure documents are processed timely. We developed new processes/procedures to include timelines and enforcement-related activities.</li> </ul>

<b>Rec 4:</b> Assess the feasibility of imaging CE-related document submissions or enabling submission of the documents electronically.	Implemented with Modifications	<ul> <li>February 2018: The EO and Board staff are reviewing audit process to identify improvements. The EO will provide an update at the May 2018 Board meeting. The recommendation requires Board staff meeting with BreEZe subject matter experts.</li> <li>May 2018: The EO has been in contact with third party vendors of CE Audit imaging and management services.</li> <li>September 2018: Based on BVNPT's fund condition, it is not feasible to contract with an outside vendor to image CE-related documents. The CE working group is researching budget-friendly methods to retain CE-related documents electronically.</li> <li>December 2018: The CE-related documents can be scanned into the licensee's BreEZe account for the audit period.</li> </ul>
<b>Rec 5:</b> Critically review and overhaul Item No. 9 of the current Record of Convictions form to make it more readable and understandable and reduce the frequency that licensees misreport or over-report prior convictions when renewing their license (see also Recommendation IV-1). Develop additional programming for on-line renewals that requires confirmation when the "Yes" box is checked or to prevent further processing of the renewal application until other	Implemented	<ul> <li>February 2018: The first part of the recommendation ties to Recommendation #1. The Enforcement Chief had preliminary talks with its BreEZe subject matter expert. However, the Enforcement Chief and Board staff will reach out to DCA Office of Information Services (OIS) soon to discuss feasibility of this recommendation.</li> <li>May 2018: DCA Board legal is currently reviewing updated language for Item No. 9. Board staff will discuss the feasibility of a potential change at the next BreEZe User Group Meeting.</li> <li>September 2018: DCA Legal reviewed, revised and approved the proposed language clarifying the Record of Convictions Form. However, due to the potential impact of AB 2138 (Chiu/Low), a revised Record of Convictions Form containing the approved language has not been published.</li> <li>December 2018: Implementation of AB 2138 is July 2020. The Record of Conviction Form is scheduled for release January 1, 2019 with the approved</li> </ul>

additional information about the self-reported conviction are completed.		<b>May 2019:</b> The Record of Conviction form was updated, and due to the BreEZe deployment schedule, implementation is delayed.
<b>Rec 6:</b> Work collaboratively with the AG to identify ways to increase BVNPT's utilization of the current Fast Track Pilot Program for licensee arrest/conviction report cases and other qualifying cases.	Implemented	<ul> <li>February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation.</li> <li>June 2019: The Fast Track Program has been expanded to include all Offices of the Attorney General statewide. Additionally, the Board initiated electronic transmission of cases to the Office of the Attorney General via the DCA Cloud.</li> </ul>
<b>Rec 7:</b> Work collaboratively with the AG to identify ways to expand the Fast Track Pilot Program for licensee arrest/conviction cases and other qualifying cases to other geographic regions of the state.	Implemented	<ul> <li>February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation.</li> <li>June 2019: The Fast Track Program has been expanded to include all Offices of the Attorney General statewide. Additionally, the Board initiated electronic transmission of cases to the Office of the Attorney General via the DCA Cloud.</li> </ul>
<b>Rec 8:</b> Develop and implemented a structured business process for screening licensee complaints to identify cases that do not require field investigations.	Implemented	<ul> <li>February 2018: The Enforcement Division has created a new business unit called the Intake &amp; Enhanced Screening Unit. 2 Associate Governmental Program Analysts (AGPA) have been redirected from the Complaint Unit to perform Enhanced Screening functions. Staff has been noticed of redirection and currently phasing out of previous unit workload.</li> <li>The Enforcement Chief and DOI are working to fully implement a structured business process. DOI is assisting Board staff in further breaking CPEI Category 3/4 and licensee complaints to solidify Intake Analyst training with regards to triaging cases suitable for enhanced screening. Procedures are currently being reviewed and amended. Furthermore, the Enhanced Screening functionality is not yet up and running. Support of the Enhanced Screening function will be done by DOI, as well as the Supervising Special Investigator I. (Not Implemented)</li> </ul>

		<ul> <li>May 2018: Desk procedures for the Intake Analyst have been created to reflect this recommendation. The Intake Analyst has been trained to screen all incoming complaints to determine what complaints do not require field investigations.</li> <li>June 2019: Cases that do not require field investigation are being assigned to the Enhanced Screening Unit for completion of a desk investigation. Desk procedures for all Intake and Enhanced Screening Unit processes are in the process of being updated to ensure and maintain quality control.</li> </ul>
<b>Rec 9:</b> Restore processes for opening and investigating cases involving discipline by another state/agency. Develop and implement procedures to enable case intake or screening staff (or both) to review and not open new discipline by another state/agency cases or, alternatively, screen and close	Implemented	<b>February 2018</b> : The Intake Analyst currently queries NURSYS (a nationwide database managed by the National Council of State Boards of Nursing) as required and addressed any cases involving discipline by another state. The Intake Analyst desk handles this portion, then when a case is identified, it is moved to the Complaint Unit. Cross-Discipline Reports are currently not being run and will be addressed immediately. BreEZe has automated reports that remove the need for courtesy notices from any BreEZe based boards. Furthermore, the previous regime requested that courtesy notices not be sent, as automation has provided most
discipline by another state/agency cases that do not require completion of a desk investigation. Additionally, notify agencies providing "courtesy notices" to stop doing		up to date discipline information. (Partially Implemented) <b>May 2018:</b> Desk procedures have been updated for Intake Analyst for NURSYS queries. The Intake Analyst queries NURSYS once per week.  The Intake and Enhanced Screening Unit Manager has been running the cross-
so if the information is available to BVNPT through BreEZe, from standard BreEZe reports, or the agency routinely posts the information to another professional licensing database		board discipline case report. Desk procedures have been developed and the Intake Analyst has been trained on this process. The Intake Analyst will run this report once a month and open cases accordingly. June 2019: Intake staff continues to review reports of discipline by other state Boards of Nursing and other DCA and CA state agencies to determine the

that is otherwise queried by BVNPT.		appropriate course of action. The analyst quickly determines if the case is redundant and all redundant cases are closed at intake.
<b>Rec 10:</b> Continue to refine licensee complaint case coding procedures and practices and provide training to staff to further improve the consistency and completeness of complaint records and the tracking and	Implemented	<b>February 2018</b> : Enforcement Chief along with DOI and Enforcement management team are revising procedures to validate best practices as it pertains to coding. Proper application will be reinforced in unit meetings. Enforcement Chief and Enforcement management team encourages staff to take BreEZe training as refresher as well as provide feedback if SOLID can provide Enforcement specific training.
reporting of Enforcement Program workload, backlog and performance information.		Enforcement Chief will be attending all BreEZe Enforcement meetings with pertinent staff to ensure all proposed changes are done in a matter most efficient to the Board. (Partially Implemented)
		<b>May 2018:</b> Procedures have been updated and provided to staff. In-house training has been provided to enforcement staff. Enforcement management continue to discuss case coding with staff during bi-weekly staff meetings and monthly one-on-one case review meetings. Enforcement management review individual analyst case reports monthly for quality control purposes.
		<b>June 2019:</b> Procedures are regularly updated to include new processes as well as revision to current processes.
<b>Rec 11:</b> Develop and implement processes for enhanced screening of licensee complaint cases that do not require field investigations.	Implemented	<b>February 2018:</b> A new business unit has been created in response to this recommendation to handle enhanced screening cases that do not require field investigations. While the structure of the unit has been formed, processes have not yet been fully developed. The Enforcement Chief along with DOI continue to lay out business processes in procedures. With staff being redirected, the Enhanced Screening desk has not been initiated. (Not Implemented)
		<b>May 2018:</b> One Complaints Unit AGPA has been redirected and has fully transitioned to the Enhanced Screening desk. DOI and the Intake and Enhanced Unit Manager have been training the AGPA on handling cases that

Rec 12: With limited	Implemented	<ul> <li>do not require field investigations. Desk procedures have been created for this new process.</li> <li>June 2019: Enhanced Screening duties are now shared by three AGPAs who perform desk investigation along with Intake functions.</li> <li>February 2018: Per the Enforcement Monitor, the Board has implemented this</li> </ul>
exceptions, stop closing licensee complaint cases during intake without investigation and ensure supervisory reviews are completed of all licensee complaint cases closed during intake without investigation.		recommendation. June 2019: Cases are reviewed at Intake by an AGPA. All analyst recommendations for closure are forwarded to a manager for review and final decision. Cases closed at intake are limited to non-jurisdictional, unactionable, or redundant cases.
<b>Rec 13:</b> Reopen licensee complaint cases previously closed during intake from February through May 2017 as determined appropriate by the Division of Investigation and assign the re-opened cases to BVNPT's Investigation Section or the Division of Investigation as determined appropriate by the Division of Investigation.	Implemented	February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation. This represents a small number of cases overall.
<b>Rec 14:</b> Complete Division of Investigation reviews of all licensee complaint cases closed during intake from September 2016 through January 2017, re-open any	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation. This represents a small number of cases overall.

cases previously closed during intake as determined appropriate by the Division of Investigation and transfer the re-opened cases to the Investigation Section or DOI as determined appropriate by the Division of Investigation.		
<b>Rec 15</b> : Assign currently pending licensee complaint intake cases to BVNPT's Investigation Section or DOI as determined appropriate by the Division of Investigation.	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation.
<b>Rec 16:</b> Stop Pilot Project 2.0 involving the collection of releases and administrative/personnel records for newly received licensee complaint cases by Intake Unit staff and redirect Intake Unit staff to focus exclusively on completing case reviews, research and triage of newly received license complaint cases.	Implemented	February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation.
<b>Rec 17:</b> Revise BVNPT's licensee complaint intake policies	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation.

and procedures consistent with the above recommendations, provide training to Complaint Section staff to support implementation of the recommendations, and monitor implementation to assure that all recommendations are fully and consistently implemented.		
<b>Rec 18:</b> Locate or account for all cases shown in Breeze as Closed Pending Conviction and assign them for ongoing monitoring.	Implemented	<b>February 2018</b> : All closed pending criminal conviction (CLPX) cases have been re-opened and are currently being monitored.
<b>Rec 19:</b> Develop and implement positive internal controls to ensure that cases Closed Pending Conviction are monitored and tracked by staff on a continuing basis.	Implemented	<ul> <li>February 2018: All CLPX cases have been re-opened. The CLPX code has been retired. A new follow-up code has been created called CCCA (Criminal Case Follow-Up). (Not implemented).</li> <li>May 2018: All cases pending conviction are now left open until adjudicated. New procedures have been developed and implemented. Board analysts now follow up with the courts monthly and use the BreEZe code CCCA to record their activity.</li> </ul>
<b>Rec 20:</b> Reopen and further investigate Investigation Section cases closed with a NOW during early-2017 as determined appropriate by the Division of Investigation.	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation. This represents a small number of cases overall.

<b>Rec 21:</b> Complete Division of Investigation reviews of all Investigation Section cases closed since mid-May 2017.	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation.
<b>Rec 22:</b> Transfer all Citation Program responsibilities to the Discipline Section.	Implemented	<ul> <li>February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation.</li> <li>June 2019: The Citation and Fine analyst conducted a comprehensive audit to ensure compliance and, in cases where non-compliance is identified, the matter is referred to the Franchise Tax Board for collection through the Intercept Program.</li> </ul>
<b>Rec 23:</b> Temporarily redirect one experienced (1) Special Investigator (SI) to complete reviews of pending AS05 cases, triage the cases for discipline, prepare case summaries, and refer the cases for issuance of a NOW, citation or to the AGO, as appropriate. Provide a 2nd level supervisory level reviewer for all closed cases. Utilize Discipline Section staff, as needed, to assist in preparing and submitting discipline packages to the AGO. Improve internal controls and reporting for monitoring the status of these cases and develop procedures for expediting reviews in cases where the responsible	Implemented w/modifications	<ul> <li>February 2018: This recommendation was completed to address the initial AS05 (secondary case review) holdover. Due to lack of resources, redirection of a SI was not feasible. DOI staff assisted the Board to complete review of AS05 cases, triage the cases for issuance of a NOW, citation, or transmittal to the AG.</li> <li>Discipline Unit dedicated resources during this time to expedite transmittals to the AG. With the redirection of Complaint AGPAs, the Enforcement management team along with DOI are handling AS05 secondary case reviews.</li> <li>The Board will work with DOI and the SI Unit to develop procedures to flag completed investigations of high profile and/or confirmed egregious violations to ensure an expedited review by Board analysts and timely referral to the AG for disciplinary action. (Partially Implemented with Modifications)</li> <li>May 2018: The Intake and Enhanced Screening Unit Manager and Intake Analysts have been trained to identify serious cases and ensure that these cases are investigated promptly, to track and monitor the status of the investigations, and to ensure that the completed investigation reports are reviewed by staff quickly and routed appropriately.</li> </ul>

investigator believes there is an imminent risk of consumer harm.		<b>June 2019:</b> A Discipline analyst was assigned to address and resolve the backlog of cases pending transmittal to the Office of the Attorney General.
<b>Rec 24:</b> Modify the Quarterly Enforcement Workload and Performance Report format to more consistently distinguish between license applicant cases, licensee subsequent arrest/conviction report cases, licensee complaint cases, and CE audit failure cases. Additionally, align the Quarterly Report Data with data provided in the Division's Monthly Statistical Reports. Provide both Quarterly and Monthly Reports to the Enforcement Committee within 10 days following each reporting period.	Implemented	February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation. June 2019: The Enforcement Division monthly and quarterly statistical reports were revised with the assistance and input of the Enforcement Monitor to capture all relevant data points.
<b>Rec 25:</b> On an annual basis, develop goals for each of the workload and performance measures listed on the Quarterly Enforcement Workload and Performance Report and include the goals in all quarterly reports.	Implemented	<ul> <li>February 2018: The Board has not developed goals for each of the workload and performance measures listed on the Quarterly Enforcement Workload and Performance Report. With the development of a more robust reporting system, the Board can now work to implement this recommendation.</li> <li>May 2018: Enforcement managers have proposed enforcement goals, which will be discussed and further developed at the next Enforcement Committee Meeting.</li> <li>September 2018: The new Enforcement Chief is meeting with the Enforcement Managers to ensure the proposed goals accurately reflect the</li> </ul>

<b>Rec 26:</b> Continue to redirect and consolidate available resources as needed to enable additional screening and completion of on-line public complaints and licensee complaints that do not require field investigation.	Implemented	<ul> <li>workload and performance measures listed on the Quarterly Enforcement Workload and Performance Report.</li> <li><b>December 2018:</b> The Enforcement Division Chief is meeting with the Enforcement Managers to continuously monitor and revise the goals of the respective units as needed.</li> <li><b>February 2018:</b> The Board has reclassified a vacant SI to a Staff Services Manager I (SSMI) position to oversee the Intake &amp; Enhanced screening unit. The Board has also redirected staff to handle the Enhanced Screening desk. The Enforcement Chief will evaluate whether redirection and consolidation of resources is further needed in the future as workload dictates. (Partially Implemented)</li> <li><b>May 2018:</b> The Board has filled the newly created SSMI position. The Board has also redirected one AGPA from the Complaints Unit to work solely on complaints that do not require field investigation. The Board will continue to evaluate and redirect staff and consolidate resources as needed.</li> </ul>
<b>Rec 27:</b> Continue to utilize available blanket expenditure authorization funding to maintain the availability of a full-time AGPA position to serve as a Lead Analyst for the Intake Unit and provide complaint screening and second level intake and complaint screening review services.	Implemented	February 2018: Per the Enforcement Monitor, the Board has implemented this recommendation.
<b>Rec 28:</b> Modify classification of Intake unit's authorized permanent Staff Services Analyst (SSA).	Implemented with modifications	<b>February 2018:</b> After further evaluation, the Acting EO modified this implementation. Two AGPAs were redirected out of the Complaints Unit instead.

		<ul> <li>The Enforcement Chief is working with OHR to approve the modified AGPA duty statements.</li> <li>May 2018: Upon further review of Enforcement Program staffing needs, only one AGPA was redirected from the Complaint Unit to the Intake Unit. Additionally, one SSA was redirected to the Discipline Unit to streamline the discipline process.</li> </ul>
<b>Rec 29:</b> Reclassify a currently vacant Special Investigator position to SSM I and redirect the position to serve as a Manager for the new Intake, Screening, Discipline Review and Enforcement Support Section (see Final Recommendation 36).	Implemented	<ul> <li>February 2018: The vacant SI position has been reclassed to a SSM I per approval by DCA Office of Human Resources (OHR). A candidate pool has been identified and interviews will commence middle of February. (Partially Implemented)</li> <li>May 2018: The new manager was hired and started on March 5, 2018.</li> </ul>
<b>Rec 30:</b> As Investigation Section case backlog and new case assignments decrease, redirect vacant positions to address current Enforcement and BVNPT needs.	Implemented	<ul> <li>February 2018: A vacant SI position was moved to the Intake &amp; Enhanced Screening unit to meet business needs. The EO and Enforcement Chief continue to evaluate workload needs.</li> <li>May 2018: The EO and Enforcement Division continue to monitor and evaluate workload needs.</li> <li>September 2018: Since the backlog and new case assignments are holding steady, this is considered implemented. All staffing in the Enforcement Division is monitored monthly and positions will be redirected as needed.</li> </ul>
<b>Rec 31:</b> Transfer the Reinstatement Analyst position and related Petition for Reinstatement responsibilities to the Probation Section and	Implemented with modifications	<b>February 2018:</b> The Enforcement Chief modified the initial recommendation and did not transfer the Reinstatement Analyst. The Enforcement Chief and Discipline Unit Manager have one Discipline Analyst working a 50/50 time split, supporting in other areas of Probation until visible decrease in workload. Refer to Rec. 35. (Partially Implemented with Modifications)

assign the Reinstatement Analyst a limited probation monitoring caseload as a supplement to their Petition for Reinstatement cases (e.g., monitoring of some of the Probation Section's Year 3 probationers) or continue utilizing other Discipline Section staff to monitor some probationers until monitoring caseloads decrease to lower levels.		<b>May 2018:</b> The Board is utilizing Retired Annuitants to assist the Probation Units as needed.
<b>Rec 32:</b> Upgrade the Enforcement Division's Data Quality Control and Statistical Reporting Analyst position to the AGPA level and redirect the position and associated data quality control and reporting responsibilities to the Intake, Screening, Discipline Review and Enforcement Support Section (see Final Recommendation 36).	Implemented	<ul> <li>February 2018: The Enforcement Chief is working with DCA OHR to approve modified duty statement. (Implemented)</li> <li>May 2018: The position was upgraded. Applications are currently being screened and interviews will be scheduled soon.</li> <li>June 2019: The Enforcement Division's Quality Control and Statistical Reporting Analyst position was filled in October 2018.</li> </ul>
<b>Rec 33:</b> Redirect and consolidate available resources as needed to support expansion of the CE Audit Program. Consider transferring responsibility for auditing	Implemented	<b>February 2018:</b> The EO and Board staff are reviewing audit processes to identify improvements. The EO will provide an update at the February 2018 Board meeting. Refer to Rec. 3

compliance with BVNPT's CE requirements and the CE Compliance Audit Specialist position to the Discipline Section and utilizing Discipline Section staff to aid with completing additional compliance reviews.		<ul> <li>May 2018: The EO and Board staff continue to hold working group meetings to develop a plan to develop and launch a new CE Audit program before the end of 2018.</li> <li>December 2018: The reorganization of the Licensing Division supports the CE audit functionality. The Discipline Section will be responsible for the Cite/Fine component of the audit.</li> <li>June 2019: The Licensing Division implemented the CE Audit June 3, 2019. We started the audit based on the number of staff available to successfully process the incoming documents. Cross-training ensures that the documents are processed timely. In those cases where non-compliance is identified, the matter is referred to the Discipline Unit's Citation and Fine Program for issuance of a citation and fine.</li> </ul>
<b>Rec 34:</b> Assign some probation monitoring cases to the Section Manager until monitoring caseloads decrease to lower levels.	Implemented	<b>February 2018:</b> The Probation Unit Manager has taken a reduced caseload to assist staff.
<b>Rec 35:</b> To address elevated Probation Program workload demands for the next 12 to 18 months, continue to utilize Temporary Help to augment Probation Section staffing. Subsequently, as probation monitoring caseloads decrease because of either a decrease in the probationer population or redistribution of probation monitoring cases among other Probation Section staff, begin	Implemented	<ul> <li>February 2018: The Probation unit is currently training its retired annuitants to handle limited caseload, cost recovery, as well as assist Probation staff at an administrative level.</li> <li>If Probation workload decreases, as the Enforcement Monitor predicts, the Enforcement Chief and EO will discuss reduction of Temporary Help services. (Partially Implemented)</li> <li>May 2018: Retired Annuitants currently handle a limited case load and assist Probation staff as needed.</li> <li>June 2019: The Retired Annuitants continue to be vital to the success of the Probation Program.</li> </ul>

reducing the Section's utilization of Temporary Help services.		
<b>Rec 36:</b> Establish a new Intake, Screening, Discipline Review and Enforcement Support Section. Transfer all Complaint Section Intake Unit staff and associated responsibilities to the new Section. Transfer one (1) of the Complaint Section's other Lead Analysts and the Section's discipline review responsibilities to the new Section. Transfer the Division's Data Quality Control and Statistical Reporting Analyst position and associated responsibilities to the new Section.	Implemented with modifications	<ul> <li>February 2018: The Intake &amp; Enhanced Screening Unit has been formed. Upon approval from the Acting EO, this recommendation has been modified; two lead analysts have been redirected instead of the one as originally recommended.</li> <li>A vacant SI was reclassified to a SSMI to oversee the new unit. Furthermore, the Division's Data Quality Control reporting desk's duty statement is still under review with DCA OHR.</li> <li>May 2018: The new unit has been formed. Upon reassessing the workload, only one AGPA was redirected from the Complaint Unit to work cases that do not require field investigation. The SSMI position was approved and the new manager started April 9, 2018.</li> <li>September 2018: OHR approved the Division's Data Quality Control positions duty statement. Interviews were held in August for this position which was vacated when the incumbent was promoted to the SSM I position in April 2018.</li> <li>June 2019: The Intake and Enhanced Screening Unit is fully formed and functioning. The unit is responsible for all intake, enhanced screening, data quality control, and statistical reporting. Two AGPAs were transferred to the unit to perform enhanced screening and desk investigation duties.</li> </ul>
<b>Rec 37:</b> Repeal Section 2847.8(b) requiring that the Board submit a specified report to DCA in advance of each meeting specified in Section 2847.8(a).	Implemented	<ul> <li>February 2018: Board staff will reach out to the Department to assist in making legislative changes.</li> <li>May 2018: Board staff is working on bill language to present to Department for legislative changes.</li> </ul>

		<ul> <li>September 2018: This was not accomplished in the 2018 legislative session. BVNPT will continue to work with the Department to determine if a statutory change is necessary.</li> <li>June 2019: This section sunsets on the natural on January 1, 2020. Additional legislation is not necessary.</li> </ul>
<b>Rec 38:</b> DCA and the Division of Investigation should continue to provide enforcement-related management, supervisory, technical support and training services for at least the next 3 to 6 months and until BVNPT's Leadership and Enforcement Program Management Teams are fully rebuilt and sufficiently trained to enable more autonomous management of the Enforcement Program. During this transition period, the Enforcement Division's Management Team should seek out and accept direction from the Division of Investigation's more knowledgeable and experienced staff with respect to identifying needs for and implementing changes needed to enable improved Enforcement Program performance.	Implemented	<ul> <li>February 2018: With the chaptering of AB 1229, DOI has an emphasized presence with the Board, providing support to BVNPT's Enforcement Division. With a new SSI, DOI has committed itself to assisting transition. Furthermore, DOI is assisting in the development of the new Intake &amp; Enhanced Screening Unit.</li> <li>DCA Executive Office has provided staff to serve as a transition to the new EO. DCA staff continue to provide leadership and executive management pending the appointment of the AEO. (Partially Implemented)</li> <li>May 2018: DOI staff have continued to oversee the Enforcement Program and have focused on implementing the Enforcement Program staff and participate in the hiring of new Enforcement Program staff.</li> </ul>

<b>Rec 39:</b> BVNPT should request additional support from the Department of Consumer Affairs or through recruitment of a Retired Annuitant with prior executive management experience to bolster BVNPT's Leadership Team capabilities until a permanent Executive Officer and a permanent Assistant Executive Officer (AEO) are appointed.	Implemented	<ul> <li>February 2018: The Governor appointed BVNPT's EO as of January 22, 2018. An Acting EO served from January 2- 19 and remained with BVNPT to assist in the transition of EO Elaine Yamaguchi. DCA Executive Office continues to lend staff to support in an executive management role. (Partially Implemented)</li> <li>May 2018: The DCA Executive Office continues to support BVNPT Executive Staff and all facets of program functions. An Assistant Executive Officer was hired and started March 1, 2018.</li> </ul>
<b>Rec 40:</b> Appoint a seasoned Executive Officer to the Board that has prior executive-level management experience, preferably with other California State Government regulatory programs, and including demonstrated success turning around other troubled programs or organizations. Additionally, when making this appointment, consider the candidate's management style and willingness and ability to work collaboratively with DCA.	Implemented	February 2018: The Governor appointed Elaine Yamaguchi as EO.
<b>Rec 41:</b> When appointed, BVNPT's Executive Officer and Assistant Executive Officer should review the Board's	Implemented	<b>February 2018:</b> The EO, with support from DCA's Executive Office, reviewed BVNPT's organizational structure and is making changes to establish best business practices with regards to the different AGPA positions in Education, Licensing and Administration Business Units.

needs for all the different AGPA positions currently allocated to BVNPT's Education, Licensing and Administration Business Units.		<ul> <li>May 2018: With the hire of AEO Vicki Lyman, who started on March 1, 2018, the Executive Team continues to review BVNPT's staffing needs, and is in communication with OHR on developing current and possible new positions.</li> <li>September 2018: All AGPA positions as well as all existing positions in BVNPT have been reviewed by the EO and AEO to determine if the positions are correctly allocated within BVNPT.</li> </ul>
<b>Rec 42:</b> BVNPT's Enforcement Chief should become more actively and directly engaged in addressing issues contributing to poor workforce morale and discontent within the Complaint Section, including needs for additional training and support for the Section Manager targeted to developing (1) more effective working relationships with subordinate staff and (2) a better understanding of the nature of the Section's enforcement cases, how the cases are investigated, the Section's case handling and review processes, and how BreEZe works (e.g., by working some of the licensee arrest/conviction report cases assigned to the Section).	Implemented with modifications	<ul> <li>February 2018: The Enforcement Chief meets regularly with the Complaint Unit Manager to discuss workload as well as address issues regarding discontent and morale. With the redirection of lead staff to the Intake &amp; Enhanced Screening Unit, Complaint Unit Manager has taken over lead duties. The Complaint Unit Manager has assigned herself caseload to assist staff. (Partially Implemented)</li> <li>May 2018: The Enforcement Chief separated from the Board on March 15, 2018, prior to the completion of his probationary period. Interviews for the new Enforcement Chief are currently being conducted. The Complaint Unit Manager also separated from the Board on April 30, 2018, prior to the completionary period. The new Intake and Enhanced Screening Unit Manager has taken over Complaint Unit Management Duties. The New Manager was an internal promotion and is a BreEZe SME for BVNPT.</li> <li>June 2018: Board staff, in partnership with the Department, conducted interviews and hired a new Enforcement Chief. The new Enforcement Chief will start at the Board in August. The Board will then conduct an onboarding process to ensure continued implementation of Enforcement-related recommendations.</li> <li>September 2018: The new Enforcement Chief started August 20, 2018 and has set up one-on-one meetings with the Enforcement Managers and team members. The Enforcement Chief was in a similar role with another DCA Board and has years of experience managing enforcement teams.</li> </ul>

<b>Rec 43:</b> The Division of Investigation should continue to conduct individual case reviews on at least a semi-monthly basis with each of the Investigation Section's investigators. For training and development purposes, the Enforcement Chief and the Investigation Section Manager, when appointed, should participate in most (or all) of these reviews for at least the next 6 to 12 months and, over time, Enforcement Division management should assume responsibility for completing these reviews. The frequency and duration of the reviews should be regularly adjusted as appropriate to each investigator's development needs.	Implemented with modifications	<ul> <li>February 2018: This recommendation has not been implemented. DOI will work with the SSI and Enforcement Chief to assist with regular case review. (Not Implemented)</li> <li>May 2018: The Enforcement Chief separated from the Board on March 15, 2018, prior to the completion of his probationary period. The Supervising Special Investigator and the Division of Investigation continue to conduct individual case reviews on a semi-monthly basis with the Special Investigators.</li> <li>June 2018: Board staff, in partnership with the Department, conducted interviews and hired a new Enforcement Chief. The new Enforcement Chief will start at the Board in August. The Board will then conduct an onboarding process to ensure continued implementation of Enforcement-related recommendations.</li> <li>September 2018: The new Enforcement Chief, Candace Raney, started August 20, 2018. She and DOI are scheduling meeting case review meeting with the Supervising Special Investigator and Special Investigators. This is an ongoing process.</li> <li>June 2019: The Supervising Special Investigator conducts monthly case review meetings with each Special Investigator.</li> </ul>
<b>Rec 44:</b> Continue to provide Enforcement Division staff with formal classroom type training as needed to bolster their knowledge, skill, and abilities.	Implemented	<b>February 2018:</b> Per the Enforcement Monitor, the Board has implemented this recommendation.
<b>Rec 45:</b> Utilize DOI to support initial training of newer investigators.	Implemented	<b>February 2018:</b> DOI has committed itself to assisting the SI unit, providing guidance and direction to the Enforcement Chief as well as the newly appointed SSI.

		<ul> <li>May 2018: DOI has provided training and support to the newly hired Supervising Special Investigator. DOI is also involved in the hiring process of the two vacant Special Investigator positions.</li> <li>August 2018: DOI continues to provide support and training to the Supervising Special Investigator and Special Investigators.</li> <li>September 2018: This recommendation is considered implemented as DOI is committed to providing ongoing support and training to the Supervising Special Investigator and Special Investigators.</li> </ul>
<b>Rec 46:</b> Utilize AG Liaison services at a higher level for a limited period to provide additional on-site applied technical assistance and training to BVNPT's investigators.	Implemented with modifications	<ul> <li>February 2018: The Enforcement Chief will explore enhancing communication with the AG Liaison. The bulk of communication with the AG Liaison comes from the Discipline Unit. The Enforcement Chief will reach out to the AG Liaison to explore classroom training as well as on-site technical assistance. (Not Implemented)</li> <li>May 2018: The EO and AEO, the Board's Legal Counsel, and DOI met with representatives from the AG's Licensing Section to discuss developing future training for Board Staff as well as scheduling a recurring meeting between the AG and the Board.</li> <li>September 2018: This is considered implemented as DOI and the AG's Licensing Section are committed to provide training on an as-needed basis. The new Enforcement Chief is committed to maintaining this relationship with DOI and the AG's office.</li> </ul>
<b>Rec 47:</b> Establish an Interagency Work Group comprised of representatives of the Business, Consumer Services and Housing Agency, the	Implemented with modifications	<ul><li>February 2018: The EO will reach out to relevant entities to discuss feasibility of this recommendation.</li><li>May 2018: The EO has discussed this recommendation with representatives from the BCSH Agency and will continue discussions with all the parties.</li></ul>

Department of Consumer Affairs, the Senate Committee on Business, Professions and Economic Development, the Assembly Committee on Business and Professions, and BVNPT's governing Board to assess needs for development of a 360-degree Executive Officer feedback process and, if needed, the best approach and timeframe for developing and implementing the process.		September 2018: The EO continues discussion on this recommendation. June 2109: DCA's Boards and Bureau Services agreed to initiate an electronic survey as a 360-degree Executive feedback tool. The survey will be sent to the Governor's Office, Agency, DCA Executive Staff, other Executive Officers within DCA, BVNPT Board Members, the Senate Committee on Business, Professions and Economic Development, the Assembly Committee on Business and Professions, unions representing the BVNPT licensing populations and other stakeholders. Because of time constraints and the difficulties scheduling this diverse group, it was concluded that an electronic survey is the best method to obtain a thorough assessment.
<b>Rec 48:</b> Complete required Probation Reviews for all new or internally promoted staff within the timeframes specified by CalHR and, on an annual basis, complete Annual Performance Reviews and Individual Development Plans for all other BVNPT managers and staff.	Implemented	<ul> <li>February 2018: BVNPT has not been compliant with completing IDPs, probation reports on all staff within the timeframes specified by CalHR. This issue will be addressed and prioritized.</li> <li>May 2018: The AEO is working with all managers to complete all pending probation reports and develop and implement Annual Performance Reviews and Individual Development Plans for all BVNPT staff. (Partially Implemented)</li> <li>August 2018: Policies and procedures have been put in place, and all staff are currently receiving Probation Reviews and Annual Reviews within the timeframes specified by CalHR. Individual Development Plans are completed when requested by staff per CalHR guidelines.</li> </ul>
<b>Rec 49:</b> The Enforcement Chief should maintain open lines of communication and meet periodically with counterparts at the Division of Investigation and the Office of Attorney General to jointly develop and	Implemented	<b>February 2018:</b> The Enforcement Chief and the Enforcement management team communicate regularly with DOI regarding Enforcement related processes to discuss strategies on improving BVNPT's Enforcement program. Examples include discussion on issuances of NOWs, AG transmittal cases, investigative methodology, etc.

implement strategies to further reduce BVNPT case backlogs and the amount of time needed to complete investigations and impose discipline when supported by results of the investigations.		<ul> <li>The Enforcement Chief communicated with the DAG liaison mostly regarding viable discipline cases on a case-by-case basis. However, communication can be enhanced.</li> <li>The Enforcement Chief will be emphasizing communication with DOI/AG to evaluate strategies to assist in Enforcement Division's timelines and backlog.</li> <li>May 2018: DOI and the Board have established regularly occurring quarterly meetings. Regularly occurring meetings with the AG are currently being scheduled.</li> <li>September 20, 2018: The new Enforcement Chief started August 20, 2018 and will establish ongoing communication with the AG's Office and DOI and implement strategies to reduce case backlogs.</li> <li>December 2018: The Enforcement Chief is actively engaged with the AG's Office and DOI regarding strategies to reduce case backlog.</li> </ul>
<b>Rec 50:</b> BVNPT's Enforcement Chief should work collaboratively with DCA and other DCA-affiliated healing arts boards to develop and	Implemented	<b>February 2018:</b> The Enforcement Chief has presented alongside DOI and the Medical Board at the OSLTCO conference, encouraging increased partnerships with the Board and the Ombudsman. This was the first occasion BVNPT had the opportunity to present.
implement strategies for further improving awareness among OSLTCO's staff and volunteers,		The Enforcement Chief will reach out to similar DCA affiliated healing art boards to see if strategies can be shared to increase outreach and awareness.
and the patients that they serve, regarding their respective Licensing and Enforcement Programs, including participating every		<b>May 2018:</b> The Enforcement Chief separated from the Board on March 15, 2018, prior to the completion of his probationary period. Onboarding of the new Enforcement Chief will include the include introduction to the OSLTCO and reinforcing the need for the continued relationship with OSLTCO.
few years in an OSLTCO conference.		<b>June 2018</b> : Board staff, in partnership with the Department, conducted interviews and hired a new Enforcement Chief. The new Enforcement Chief will start at the Board in August. The Board will then conduct an onboarding

		<ul> <li>process to ensure continued implementation of Enforcement-related recommendations.</li> <li>September 2018: The new Enforcement Chief started August 20, 2018 and is committed to full implementation of this recommendation</li> <li>June 2019: The Enforcement Division Chief is working collaboratively with DCA and other DCA-affiliated healing arts boards to foster collaboration and cooperation amongst the boards. The Chief is in the process of identifying opportunities for implementing strategies as recommended.</li> </ul>
<b>Rec 51:</b> Consistently provide all new Board members with substantive New Board Member Orientations and related training and reference materials specific to BVNPT's Enforcement Program, and other BVNPT programs and services, that complements the Board Member Orientation Training (BMOT) provided by DCA and helps new members	Implemented with modifications	<ul> <li>February 2018: The Board has revamped its training for Board members and will continue to do so with its newest Board members. A Power Point presentation has been developed for each respective unit, detailing business processes, workflow, etc. Furthermore, the EO will reach out to DCA's Office of Board and Bureau Services, inviting staff to observe and provide feedback.</li> <li>May 2018: The two newest Board Members, who had not been afforded the opportunity to engage in the BVNPT-specific training and orientation are scheduled to come to Sacramento on June 4, 2018 for this training. Following this, all Board members will be offered the opportunity to come to the BVNPT offices for training.</li> </ul>
to better understand and fulfill their program oversight, strategic planning, policy development, Executive Officer performance evaluation and other responsibilities. Require that all new members attend two (2) days of orientation training and offer an optional follow-up day of training to new members within 3 to 6 months		<b>September 2018:</b> The two newest Board members received BVNPT specific training/orientation. This training was not videotaped. BVNPT is developing a comprehensive PowerPoint presentation that can be used for new and veteran Board members that complements the BMOT training provided by DCA. Updated reviews/evaluations/audits of BVNPT's audits are shared with the Board's Executive Committee and any relevant Board Committee. This is considered implemented as this is an ongoing process as new Board member are appointed. BVNPT scheduled Board members for training sessions with DCA's SOLID team to begin developing a new strategic plan. The trainings will commence late September/early October with a comprehensive, 4-hour training at the November 2018 Board meeting.

of completion of the initial training. Have a representative of DCA participate in the BVNPT-specific orientations to help integrate the training with DCA's BMOT training, particularly with respect to helping the member understand and fulfill their oversight responsibilities. Update the reference materials provided to Board members to include recently completed reviews, evaluations or audits of BVNPT's programs or operations that would be beneficial for purposes of better understanding the Board's historical development and problems currently facing the Board and provide the members with an overview of the information contained in each of these documents		
each of these documents.  Rec 52: In collaboration with	Implemented	February 2018: The EO will be reaching out to DCA to discuss implementation
DCA, develop and provide BVNPT Board members with a How to Oversee Board Licensing, Education and Enforcement Programs training session and videotape the session so that it can be	with modifications	of this recommendation. <b>May 2018:</b> The first step of this goal was taken on May 16, 2018, where the Board Members were provided training on the Enforcement Case Management processes. <b>September 2018:</b> The EO/AEO concluded that rather than videotaping the training, it should be updated on a regular basis as the needs of the Board

provided to new Board members on a continuing basis.		change. With this modification, new Board members will have the most up-to- date training. A comprehensive PowerPoint presentation is being developed with input from DCA's Boards and Bureaus Services Office.
<b>Rec 53</b> : Better define the Enforcement Committee's roles and responsibilities, including roles and responsibilities related to (1) overseeing the Board's Enforcement Program and (2) communicating Enforcement Program-related information to the full Board to support fulfillment of the Board's strategic planning, policy development, Executive Officer performance evaluation and other responsibilities. Consider better defining the roles and responsibilities of other Board committees, where necessary.	Implemented	<ul> <li>February 2018: Partially Implemented per the Enforcement Monitor.</li> <li>May 2018: The Board President has initiated discussion with the Board Members regarding possible restructuring and official charges of the Board's committees.</li> <li>September 2018: The Board's Executive Committee is redefining each Committee structure with respect to the Committee's roles and responsibilities and how the Committees communicate with the Board. The Board is meeting with DCA's SOLID group at the November 2018 Board meeting to begin developing their new strategic plan.</li> <li>June 2019: The Board is committed to restructuring all Committees and ensuring that the strategic plan accurately reflects the work of the Board.</li> </ul>
<b>Rec 54:</b> Provide briefings to Enforcement Committee members, initially on at least quarterly basis, to provide information regarding case intake, investigation and discipline workloads, backlogs, and performance, performance improvement initiatives underway and planned, policy matters, and other matters as	Implemented	<ul> <li>February 2018: The Enforcement Chief sends quarterly enforcement statistics providing a narrative on key performance measures.</li> <li>The Enforcement Chief provides the Enforcement Committee relevant materials in advance of meetings and further exploring strategies to assists the Committee understand trends, ongoing and emerging problems, and changes underway.</li> <li>The Enforcement Chief and Board staff will be revamping its reporting documentation to align with sample Exhibits provided by the Enforcement Monitor. (Partially Implemented)</li> </ul>

determined by the Committee. Assist members in understanding the information that is provided by highlighting trends, ongoing and emerging problems, and changes underway and planned to address these problems and improve Enforcement Program performance.		<b>May 2018:</b> Board staff have developed a robust report with the assistance of the Enforcement Monitor. This information is provided to the Enforcement Committee on a quarterly basis.
<b>Rec 55:</b> Legislation to provide EO authority to approve default decisions.	Implemented	<ul> <li>February 2018: Board staff is monitoring progress of AB 888 and will report directly to the EO. In addition, Board staff will discuss with pertinent Committee with regards to taking a position at the February Board meeting.</li> <li>May 2018: The Board continues to discuss AB 888.</li> <li>June 2018: AB 888 was gutted and amended and is no longer relevant to BVNPT. The EO will seek direction from the Board on how to address this issue in the next legislative cycle.</li> <li>June 2019: At the February 2019 Board meeting, the Board instructed the EO to work with DCA Legislative Affairs and solicit an author to carry legislation whereby the EO has the authority to approve default decisions.</li> </ul>
<b>Rec 56:</b> Update the public documents available from BVNPT's website to include all the Board's reports to the Legislature related to its March 2017 Sunset Review, all of the Monitor's reports, and other publications and information	Implemented with modifications	<ul> <li>February 2018: Board staff is continually updating the website to ensure all pertinent documents are available for public consumption. Sunset Review reports, Enforcement monitor reports are available on BVNPT's website.</li> <li>May 2018: In addition to the above, the EO and AEO have engaged in discussions with the DCA Communications office about BVNPT's publications, social media presence, and messaging.</li> </ul>

that should be readily available to all Board members and the public such as BVNPT Strategic Plans and Enforcement Program Quarterly Statistical Reports.		<b>June 2019:</b> As of July 1, 2019, DCA's Chief Information Technology Officer must certify that ALL DCA websites are compliant per the Americans with Disabilities Act (ADA). To accomplish this BVNPT must remove non-compliant information from its website and make all posted documents ADA compliant. This process can take years and documents will be made ADA compliant based on priority. All future documents will be ADA compliant before posted to the website.
<b>Rec 57:</b> To enable prompt identification of emerging problems and potential needs for DCA to conduct more in- depth reviews and evaluations of BVNPT's licensing processes, DCA should request and review monthly statistical reports from BVNPT regarding BVNPT's cashiering and licensing workloads, backlogs and processing times. DCA should request that the monthly statistical reports be provided to DCA within five (5) business days of the end of each month.	Implemented	<ul> <li>February 2018: The EO is communicating with the Department to implement this recommendation.</li> <li>May 2018: DCA Executive Staff, Office of Information Services (OIS) and Board staff met on May 10th tor review processing times. OIS provided demo of reports available through its reporting took, QBIRT. Moving forward, BVNPT licensing staff will utilize these reports to evaluate staff workload and processing times. BVNPT and the Department will continue to meet on a quarterly basis to discuss processing times and workflow. Additionally, staff from the Department's SOLID Organizational Change Management (OCM) team will begin working with BVNPT's licensing and administrative teams on process improvement (per AB 1229) in the early Fall. BVNPT management and staff met with staff from the Department's Executive Office and Fiscal Operations unit on February 27, 2018 to review and discuss BVNPT cashiering reports. Department cashiering staff has provided template reports for BVNPT cashiering staff to complete and report back on. BVNPT and Department will continue to meet as necessary to ensure that BVNPT cashiering processing times are within acceptable timeframes. Unlike the past two years, it is hoped that BVNPT will most likely not require assistance from the Department's Fiscal Operations unit to complete all cashiering transactions prior to the end of the fiscal year.</li> <li>September 2018: Regarding licensing processes, the Department has provided the Board with all the relevant licensing statistics. A meeting will be scheduled in October to provide a more in-depth analysis of the numbers. Regarding cashiering, the Department has been reviewing the Board's</li> </ul>

		<ul> <li>cashiering process on a quarterly basis. The Department has determined that processing times are meeting expectations with no known backlogs.</li> <li><b>December 2018:</b> DCA has worked with BVNPT leadership to examine the Board's cashiering and licensing workloads, backlogs, and processing times. Regarding cashiering, the department determined that BVNPT has significantly improved internal cashiering processing time, reducing processing down from 30 days in 2017 to 4 days in 2018. Regarding licensing, the department determined that BVNPT also improved on key metrics, such as application and examination timelines. The department will continue to work with Board staff throughout 2019 to routinely examine cashiering and licensing workloads.</li> </ul>
<b>Rec 58</b> : DCA's Internal Audits Office or the Division of Investigation should conduct a follow-up review of BVNPT's Temporary License issuance processes to verify that the measures taken during March to prevent improper issuances of Temporary Licenses remain in place.	Implemented	<ul> <li>February 2018: DCA Internal Audits Office has reviewed this process as part of the 360-day review. Board staff will communicate with DCA Internal Audits Office to review and address findings. An additional update will be provided at the May Board meeting.</li> <li>May 2018: The EO and AEO have met with the Internal Audits Office and reported all the steps implemented by the Administration Manager and staff. No further corrections were required.</li> </ul>



# YOUTUBE VIDEO COLLAGE

(ATTACHMENT 5d)

## **BVNPT Goes Live on YouTube!**

**Record of Conviction Form Discussed...** 



### https://www.youtube.com/watch?v=PvpjTBdLrso&feature=youtu.be

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BVNPT team members: (I to r): Jay Prouty, Dominique Morris, Tara Shuster, and Tricia Perry.



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