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Information

Professional Practices Committee

Plan for a Division of Professional Practices Dashboard Measurement System

Executive Summary: This agenda item provides information on setting performance measures for critical stages of DPP's business processes. Staff also presents proposed targets to perform vital tasks and a proposed report on performance measures, with targets, cycle time, and volume.

Policy Question: What level and amount of information does the Commission need in order to be adequately informed about the workload and workflow in DPP?

Recommended Action: For information only

Presenter: Nanette Rufo, Director, Division of Professional Practices

Strategic Plan Goal: 1

Promote educational excellence through the preparation and certification of professional educators

- ◆ Evaluate and monitor the moral fitness of credential applicants and holders and take appropriate action

January 2012

Plan for a Division of Professional Practices Dashboard Measurement System

Introduction

This agenda item provides information on setting performance measures for critical stages of the Division of Professional Practices' (DPP) business processes. Staff also presents proposed targets to perform vital tasks and a proposed report on performance measures, with targets, cycle time, and volume. These measurements would be displayed in a data dashboard, an executive level information display (similar to an automobile's dashboard) that is designed to be easy to read. Staff is looking for guidance, direction and advice from the Commission members about whether this approach will meet the information needs of Commissioners.

Background

State Auditor report recommendation

On April 7, 2011, the California State Auditor recommended the Commission revise its strategic plan to identify the programmatic, organizational, and external challenges that face DPP and the Committee of Credentials (COC), and to determine the goals and actions necessary to accomplish its mission. Performance measures are a component of a strategic plan. Cycle time is the amount of time required to complete a business process and volume is a tally of the units of work performed. The dashboard is designed to provide key information in three areas: How much work is being done at a specific point in the process? Was the work done on a timely basis? Is DPP meeting standards set by the Commission?

Why measure performance?

Measuring performance is important for several reasons. First, performance measures will assist the Commission with fulfilling its oversight functions. The Commission members have a duty to oversee the operations of the Commission. Second, this information allows the Commission members to determine if staff is fulfilling their assigned duties and productively using limited resources. Lastly, what gets measured gets done. This information will be used in DPP's efforts to continuously improve its processes.

Timeliness of activities

Cycle time is the average time to complete a specific task under the control of DPP staff. DPP staff is proposing to measure the cycle time for several tasks and compare to target timeliness goals and report the results to the Commission. For example, the proposed report would display the average time staff took to initially request information from a court or law enforcement agency. DPP staff would not measure how long the court or law enforcement agency took to respond to DPP's request because that activity is not under our control.

Volume

Volume is a simple tally of the units of work. For example, the number of requests for information DPP staff sent to a court or law enforcement agency.

Target

A target is a specific level of performance against which actual performance is compared. Targets should be challenging, yet attainable and realistic. The report would compare the target against the cycle time or actual achievement.

Six stages of DPP's core business processes

The Commission has previously seen the Educator Discipline Workflow chart, Attachment 1. That chart accurately reflects the many stages a case may flow through. Much of the data being presented to the Commission in the monthly workload reports follow the steps in the Workflow chart. However, the charts do not appear to be particularly helpful in assessing the performance of Commission staff. It is impossible to determine the *promptness and effectiveness of staff work* from reviewing the number of cases at stages in the process. To provide key data on staff performance, staff suggests collecting measurements of staff performance. This means looking at critical activities within the Commission's control and then measuring the timeliness of staff action. Staff identified six critical business process stages and proposes measuring them. The six business processes below contain DPP's core business function.

1. Log intake documents. This step begins when the report of potential misconduct is received by DPP. Staff records in the computer system all receipts of reports of potential misconduct, such as mail, applications, criminal history reports, affidavits and district reports of misconduct. All documents received in DPP are date stamped electronically or manually on the day of receipt. Staff will send an acknowledgement of affidavits and district reports. However, staff usually must obtain more information to determine if the Commission has jurisdiction to impose an adverse action.

2. Assign to staff and gather documents. Case or intake documents are assigned to DPP staff, who requests court, law enforcement and other records. Staff reviews the respondent's misconduct for initial jurisdiction and policy compliance.

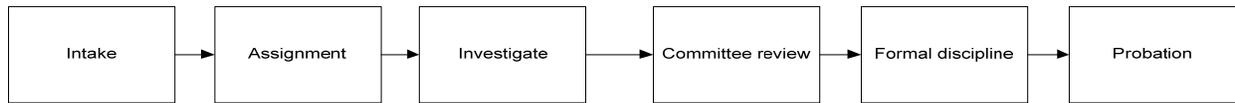
3. Investigate and send notice of allegations. After the assignment process is complete, staff collects and verifies facts to determine jurisdiction and potential violations of law. Staff notifies the respondent they are under investigation and additional material may be submitted or gathered. Staff prepares a Confidential Investigative Report for COC review.

4. Committee Review. Cases are presented to the COC to determine probable cause and any adverse action recommendation at the COC formal review meeting.

5. Formal discipline and final decision. This process includes any administrative action that could affect the issuance or status of the respondent's license. This process includes the Commission's adoption of the COC's recommendation, complete Petitions for Reinstatement, the filing of an Accusation or Statement of Issues, Settlement Agreement, Administrative Hearings, and submitting an Administrative Law Judge's proposed decision to the Commission.

6. Probation. Once there is a Settlement Agreement between the Commission and respondent, staff schedules an initial meeting with the respondent and monitors the respondent for potential violations of the Agreement. If the respondent successfully completes probation, the case is closed. If not, the respondent faces an adverse action.

These stages are graphically displayed below:



Proposed cycle time target and volume definitions

The chart below is an overall view of the DPP business process in six stages. The chart briefly summarizes the actions under the control of DPP staff necessary to complete that stage, the cycle time target, and the volume measurement.

PROPOSED CYCLE TIME TARGET AND VOLUME DEFINITIONS

Business Process	Cycle Time Target	Volume Measurement
1. Intake Log documents.	Each document will be logged within 5 days from the date of receipt.	Number of items logged in by DPP.
2. Assignment Assign to intake unit staff and gather documents.	Following assignment, documents will be requested within 10 calendar days, when necessary. Follow-up requests will be made every 45 calendar days, when necessary.	Number of assignments made from intake.
3. Investigate Investigate and send Letter of Inquiry.	Respondent notified of charges within 60 calendar days from assignment. Confidential Investigative Report prepared.	Number of people notified that allegations will be presented to the COC for initial review.
4. Committee Review COC review and determination of probable cause.	All cases must complete the COC review process within 6 months.	Number of cases considered by the COC. (Since the COC may review a case twice, this number will be higher than initial review above.)
5. Formal Discipline Formal discipline and final decision activities.	All COC recommendations, complete Petitions for Reinstatement, and Proposed Decisions must be presented at the next available ¹ Commission or Committee meeting.	Number of final actions taken by the Commission.

¹ Available means next available meeting after window for appeal has passed.

6. Probation After an agreement between the Commission and respondent, staff monitors for compliance with terms of the agreement.	6a. Numbers of days from placement on probation to date monitor makes first contact should be 15 days or less.	Number of probation cases.
	6b. Number of days from when a violation is discovered to appropriate action should be 7 days or less.	Number of days from discovery of a violation to action.

Example of the proposed dashboard measurement report

In order to provide a more transparent and easy to understand executive-level report on performance measures and volume measurement, staff has prepared an example of the proposed report, in Attachment 2.

Attachment 2 is an example of the type of information to be displayed to the Commission. This example does **not** contain actual results. We present this report only to provide an example of how the report would look. At this time, the database does not capture all information needed to generate the proposed reports. However, before spending scarce resources modifying the database and entering data, staff wants to make sure this report will assist the Commission in carrying out its oversight responsibilities.

Conceptual discussion by the Commission

The purpose of this agenda item is to request the Commission discuss and advise Commission staff. What level and amount of information does the Commission need in order to be adequately informed about the workload and workflow in DPP? Does the proposed report meet that need?

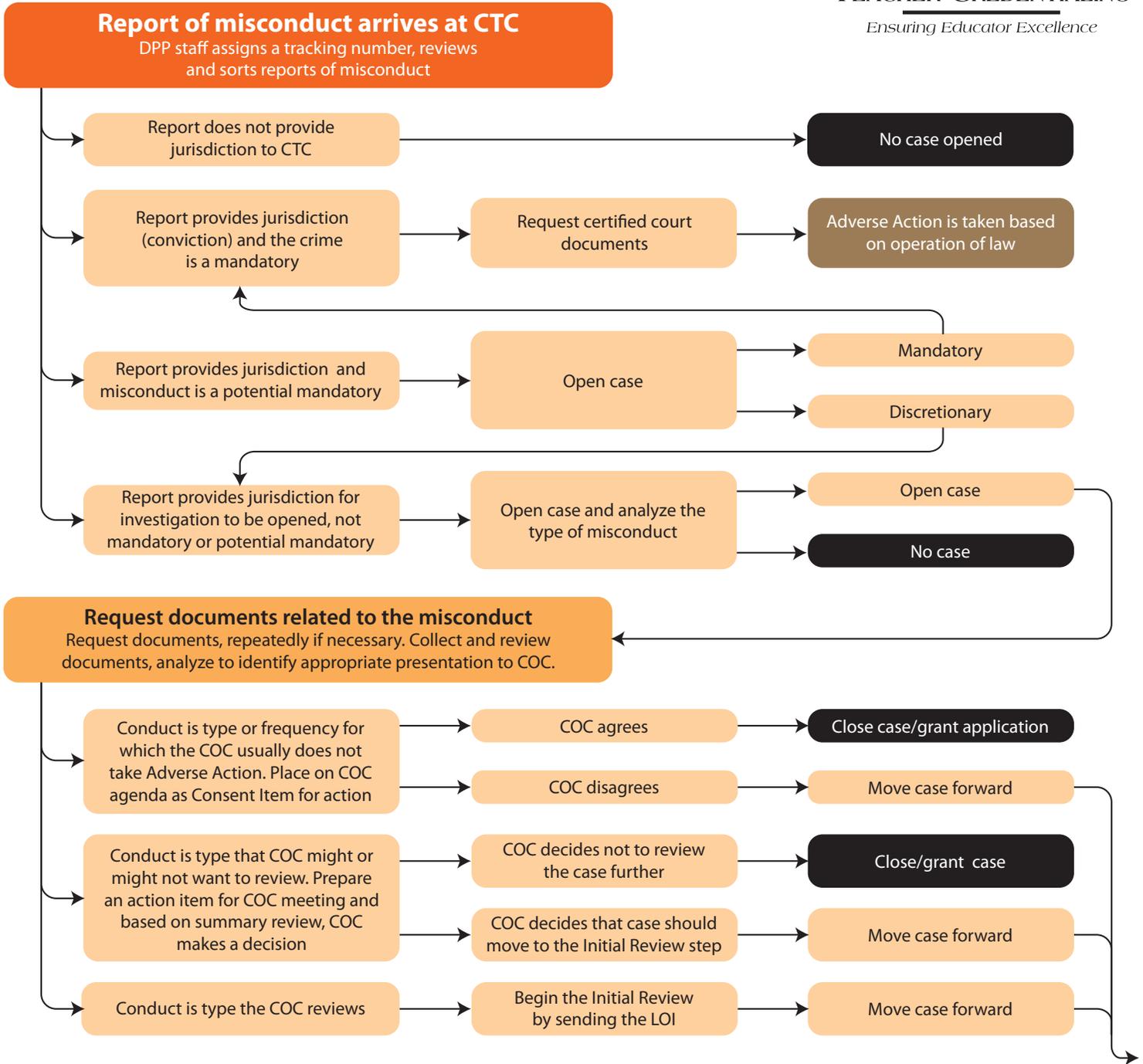
Next steps

Based on the comments from the Commissioners, staff will proceed to develop the report along with any requested changes. Staff will need to modify the computer system and its internal policy and procedures to gather the data. Staff estimates that the first report will be presented to the Commission using actual data in mid-2012.

Educator Discipline Workflow



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Ensuring Educator Excellence



Continued on following page

KEY TERMS:

CTC: Commission on Teacher Credentialing

DPP: Division of Professional Practices

COC: Committee of Credentials

LOI: Letter of Inquiry

CIR: Confidential Investigative Report

Applicant: Individual applying for a credential in California.

Credential Holder: Individual who holds, or held a credential in California.

Initial Review: The COC reviews CIR to decide whether to move the case forward for Formal Review or can close/grant at this time.

Formal Review: The COC reviews CIR and additional information submitted by the respondent.

Respondent may appear before the COC. The COC can close the case, grant/deny the credential, and/or recommend an adverse action to the CTC.

Adverse Action: Disciplinary actions ranging from private admonition to credential revocation or denial.

Credential: A credential, certificate, life diploma, permit, certificate of clearance or waiver issued by the Commission.

Educator Discipline Workflow

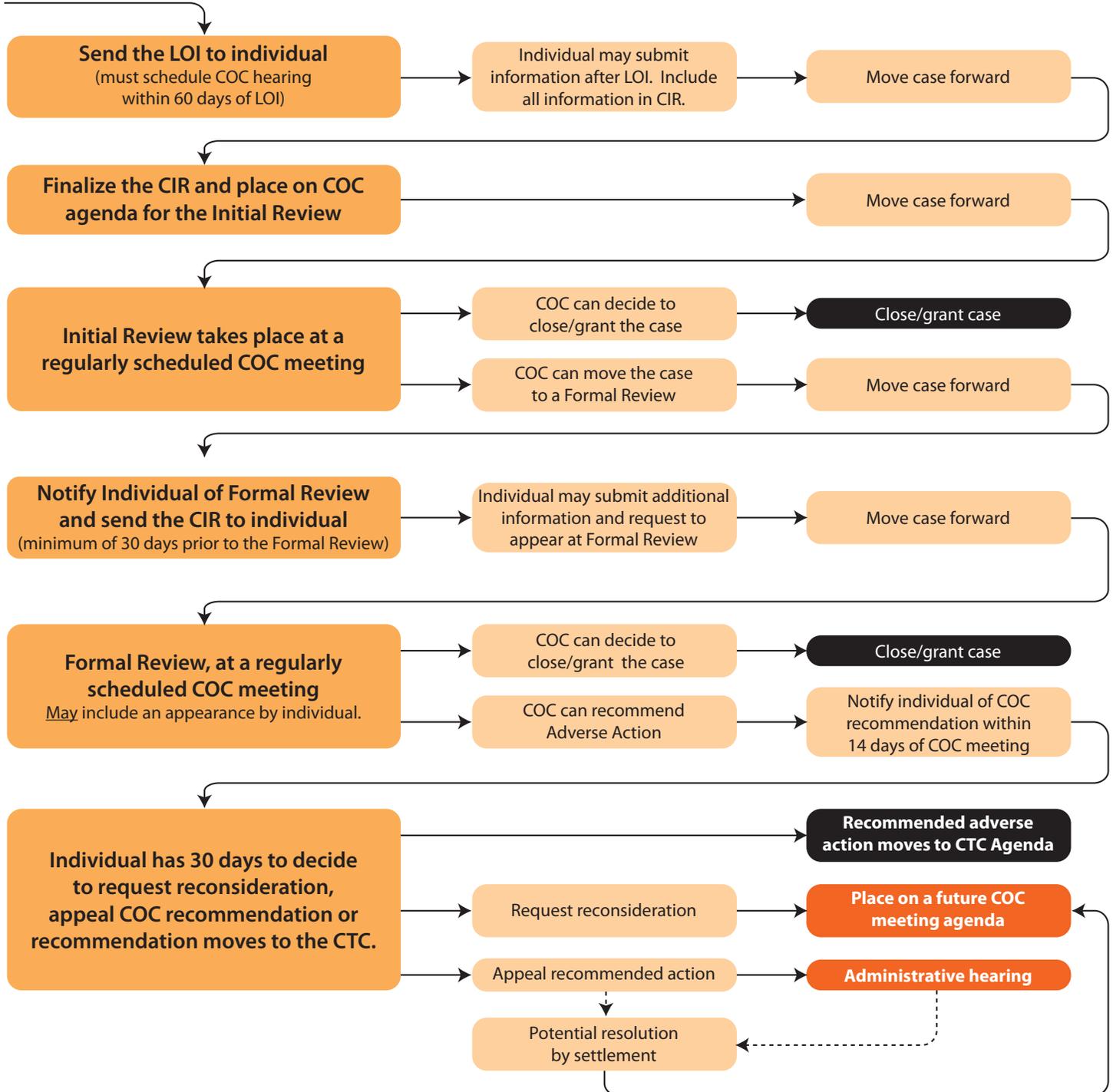
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COC Actions or possible Adverse Actions:

Applicant: "Grant" or "Deny the Credential Application"

Holder: "Close Case" "Private Admonition" "Public Reproval" "Suspend" (1-364 days), or "Revoke" all Credentials

NOTE:

Applicants have the burden of proof — they are applying for a license.

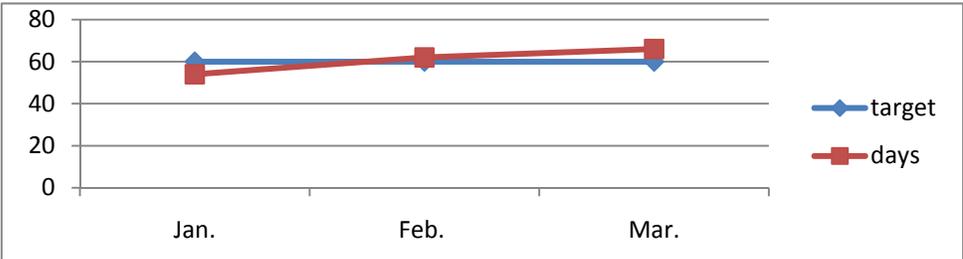
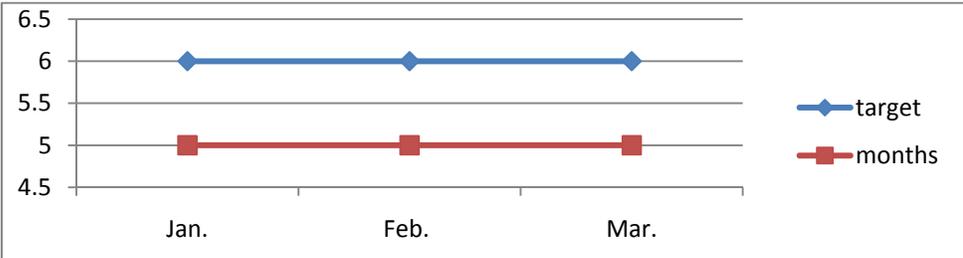
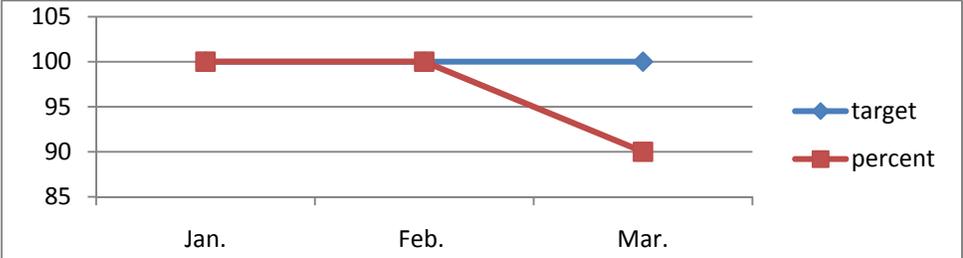
- Credential holders hold a credential and the Commission has the burden of proof because the Commission would be taking away the individual's property right to that credential.
- A denial or revocation is not necessarily permanent. The individual, under specified circumstances, may seek a credential in the future.

Attachment 2

EXAMPLE ONLY

DPP PERFORMANCE MEASURES - JANUARY THROUGH MARCH 2012

Business Process	Average time to process														
1. Intake Documents logged.	<table border="1" style="display: none;"> <caption>Intake Documents logged - Average time to process</caption> <thead> <tr> <th>Month</th> <th>Target (days)</th> <th>Actual (days)</th> </tr> </thead> <tbody> <tr> <td>Jan.</td> <td>15</td> <td>18</td> </tr> <tr> <td>Feb.</td> <td>15</td> <td>16</td> </tr> <tr> <td>Mar.</td> <td>15</td> <td>20</td> </tr> </tbody> </table> <p>The Commission has set a target of 15 days for this activity.</p>			Month	Target (days)	Actual (days)	Jan.	15	18	Feb.	15	16	Mar.	15	20
Month	Target (days)	Actual (days)													
Jan.	15	18													
Feb.	15	16													
Mar.	15	20													
Volume	1608	1430	1762												
2. Assignment Document gathering.	<table border="1" style="display: none;"> <caption>Assignment Document gathering - Average time to process</caption> <thead> <tr> <th>Month</th> <th>Target (days)</th> <th>Actual (days)</th> </tr> </thead> <tbody> <tr> <td>Jan.</td> <td>45</td> <td>55</td> </tr> <tr> <td>Feb.</td> <td>45</td> <td>45</td> </tr> <tr> <td>Mar.</td> <td>45</td> <td>40</td> </tr> </tbody> </table> <p>The Commission has set a target of 45 days for this activity.</p>			Month	Target (days)	Actual (days)	Jan.	45	55	Feb.	45	45	Mar.	45	40
Month	Target (days)	Actual (days)													
Jan.	45	55													
Feb.	45	45													
Mar.	45	40													
Volume	496	682	504												

<p>3. Investigate Investigate and send Letter of Inquiry.</p>	 <p>The Commission has set a target of 60 days for this activity.</p>
<p>Volume</p>	<p style="text-align: center;">72 76 81</p>
<p>4. Committee Review COC review and determination of probable cause.</p>	 <p>The Commission has set a target of six months to complete this activity.</p>
<p>Volume</p>	<p style="text-align: center;">287 319 386</p>
<p>5. Formal Discipline Formal discipline and final decision activities.</p>	 <p>The Commission has set a target of next available meeting for this activity.</p>
<p>Volume</p>	<p style="text-align: center;">120 125 176</p>

