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# 4A

## Action

### *Professional Practices Committee*

#### **Division of Professional Practices Strategic Plan**

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**Executive Summary:** This agenda item provides recommendations for a Division of Professional Practices Strategic Plan for the Commission's consideration.

**Recommended Action:** In response to the recommendations of the Bureau of State Audits, staff recommends that the Commission amend its current (2007) Strategic Plan by adding a 7<sup>th</sup> goal that lays out specific strategic priorities for the Division of Professional Practices.

**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

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## **Division of Professional Practices Strategic Plan**

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### **Background**

A recommendation from the Bureau of State Audits (BSA) was that the Commission revise its Strategic Plan for the Division of Professional Practices (DPP). Specifically, the recommendation stated:

The commission should revise its strategic plan to identify the programmatic, organizational, and external challenges that face the division and the committee [of Credentials], and determine the goals and actions necessary to accomplish its mission.

Many of the organizational challenges faced by DPP were identified in the extensive analysis and comments in the BSA report. In addition, information and discussion from the stakeholder meetings held in October and November 2011 served to inform the proposed DPP Strategic Plan.

Staff presented this item in January as a proposal for incorporation into the Commission's new Strategic Plan, which is under development. Commissioners were concerned about developing a new Strategic Plan in a piecemeal fashion and requested that staff incorporate these ideas as the new plan was developed. With the consent of the Commission Chair, and given the timing of the Commission's response to the BSA (due in April 2012), staff is bringing this item for action by the Commission as a proposed amendment to the 2007 Strategic Plan.

### **Timing of Activities**

The list of activities to be accomplished in the proposed amendments to the Strategic Plan is ambitious. As with any ambitious plan, it is difficult to plan a schedule for a variety of reasons. Many of the needed improvements require modification of the Commission's database. Such modifications require a significant allocation of the Commission's scarce information technology (IT) resources. To the extent that IT staff are redirected to the Commission's other critical IT issues, the project will be delayed. In addition, other special projects arise which absorb the Commission's limited resources.

The current draft includes one major goal and five objectives. In terms of priority of the various activities, the highest priority is remediation of the systemic weaknesses identified by the BSA. While much work has been done on these issues, significant additional work must still be accomplished. Remediation of issues identified by the BSA is the focus of Objectives 1 and 2. The focus will be on needed changes to the database, documenting those procedures, and training staff. The goal will be to accomplish those activities so that an independent consultant could be brought in to assess DPP's data oversight and control measures during summer 2012.

Some measures in Objectives 1 and 2 will be started later, like establishing a Best Practices Committee, as resources can be taken off the database issue and moved to other issues. Activities for Objective 3, Introduce Policy, Legislation and Update Regulations, would be undertaken in late 2012. Resource issues addressed in Objective 4 would be done in the fall of 2012.

## **Recommendation**

Staff recommends that the Commission review and adopt the proposed amendment to its 2007 Strategic Plan. The Commission retains the ability to make changes to the plan as part of its strategic planning activities in 2012.

### **Proposed Amendment to 2007 Strategic Plan**

*Goal 7: Effectively, efficiently, and fairly monitor the fitness of all applicants and credential holders to work with California students.*

#### ***Objective 1***

Establish and maintain an effective program for professional discipline.

Major Activities for Objective 1:

- Establish and track monthly discipline case monitoring and oversight reports.
- Evaluate the process for discipline; identify process improvements and identify and eliminate redundancies and bottlenecks in the process.
- Institute a Best Practices Committee to research and identify internal and external best discipline practices.
- Implement efficient DPP procedures for: intake, assignment, investigation, probable cause determinations, formal discipline, and probation.
- Review and revise internal business practices to create a more streamlined and efficient system.
- Establish a discipline case audit program.
- Reduce DPP investigation case cycle time.
- Ensure that all DPP staff have current procedures available. Update all procedures and provide training as new processes developed.

#### ***Objective 2***

Update and optimize discipline related data systems, equipment, and software.

Major Activities for Objective 2:

- Implement Discipline Activity and Monitoring Reports.
- Establish performance expectations and manage discipline case activities for achievement of expectations.

- Redesign the Commission's data system to adequately track intake, assignment, investigation, probable cause determinations, formal discipline, and probation.
- Enhance the Commission's data system to adequately control, document and ensure separation of duties.
- Retain consultant for an independent evaluation of the data oversight and control plan and strengthen system as needed.
- Test and implement an automated return of notices of arrest to the Department of Justice. Continue manual processing to return arrest notices to DOJ.
- Integrate case records with the data system by implementing a front-end scanning procedure that would allow attachment (PDF scanned copy) of any document received into the electronic case record.

### ***Objective 3***

Introduce new policies, any needed legislation, and update regulations to more effectively conduct discipline activities.

Major Activities for Objective 3:

- Present policy options to the Commission to guide the work of DPP staff.
- Convene a stakeholders meeting to discuss revisions to the regulation requiring reports from school districts (Title 5, CCR section 80303).
- Develop new legislation if needed for more effective discipline capabilities.
- Develop regulations to implement new legislation and update existing regulations.

### ***Objective 4***

Identify and obtain the resources needed to implement objectives 1- 3.

Major Activities for Objective 4:

- Conduct workload study to determine staffing levels necessary to handle the discipline workload.
- Generate a Budget Change Proposal, as needed, for additional staff, additional training for existing staff, and additional funding for field investigations.
- If additional DPP staff are needed, authorized, and funded, hire and train staff.

- Identify financial resources needed (cost of overtime, temporary help, investigative travel, etc).
- Obtain Department of Finance approval to utilize needed resources.

***Objective 5***

Engage in outreach to inform educators and the public about educator discipline.

Major activities for Objective 5:

- Expand field work by investigators.
- Increase educators' awareness of the consequences of unprofessional conduct.
- Educate administrators about reportable event responsibilities.