GMAP Final GMAP Reports - Health Professions Quality Assurance

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Health Professions Quality Assurance
Performance Audit Issued August 2007

Agency Action Plan

Link the full audit report.
Link to a summary of the findings and the agency's response.
Link to the briefing to the State Legislature.

Action plan legend

Action Plan

Actions ▾

📎	Finding	Rec.	Agency Action Step	Lead	Due Date	Status	Current Resources	Budget Impact	Needs Legislation	Notes
	F1	R1	We will follow any legislative direction regarding changes to operating agreements between HPQA and the boards and commissions.	Legislature	7/1/2008	Completed	No	No	Yes	Operating agreements negotiated in 2011 are in place for 16 boards and commissions. One board is still considering the agreement.
	F2	L1	We are conducting a second study of the registered counselors' profession.	Bob Nicoloff, Legislature		Completed	Yes	No	Yes	Completed 11/20/2007

F2	L2	We will follow legislative direction regarding registered professions.	Patti Latsch		Completed	No	No	Yes	Legislation re counseling professions implemented 7/1/2009; legislature has not acted on the other registered professions.
F2	R1	We are replacing desk manuals with online procedures.	Sam Marshall	6/30/2008	Completed	Yes	No	No	Desk manuals and business practices are now available online for staff access
F2	R2	The new computer system will have checks against errors.	Sam Marshall	2/19/2008	Completed	Yes	No	No	Completed 2/19/2008
F2	R2	We will centralize our credentialing work units to promote standard business practices.	Karen Jensen	6/18/2008	Completed	Yes	No	No	Functions were centralized in June 2008. Physical moves completed 10/6/08.
F2	R2	We will include audit suggestions and quality assurance pilot project results in revised procedures.	Patti Latsch	9/30/2008	Completed	Yes	No	No	CSO procedures 4-3-11 (8/2009)and 4-3-13 (4/2009) adopted; ILRS workflow documents requirements – in place 2/19/2008
F2	R3	We will work with the boards to change the administration of the exams for the three professions mentioned in the report.	Bonnie King/Steve Saxe	12/31/2007	Completed	Yes	No	No	Completed 12/31/2007
F2	R3	We will review the administration of jurisprudence exams with other boards and commissions in the context of their rules and policies.	Steve Saxe, Melissa Turner, Executive Directors, Program Managers	3/31/2008	Completed	Yes	No	No	Completed 3/14/2008
F2	R4	We will follow legislative direction regarding establishing a minimum age for health care professions.	Steve Saxe		Completed	No	No	Yes	DOH completed study indicating that it was not appropriate to set a minimum age limit for individual professions.

F2	R1	We will identify necessary resources for a formal training program	Sam Marshall		Deferred	No	Yes	No	DOH completed work 12/12/2007; need budget authority from legislature. Further work deferred pending budget authority. Working on issue within current resources.
F6	R6	We will identify necessary resources for a formal training program	Sam Marshall		Deferred	No	Yes	No	DOH completed work 12/12/2007; need budget authority from legislature. Further work deferred pending budget authority. Working on issue within current resources.
F8	R4	We will identify necessary resources for a formal training program	Sam Marshall		Deferred	No	Yes	No	DOH completed work 12/12/2007; need budget authority from legislature. Further work deferred pending budget authority. Working on issue within current resources.
F3	L1	We will follow legislative direction regarding additional authority to conduct background checks.	Julie Miracle, Steve Hodgson, Dave Magby, Patti Latsch, Shannon Beigert, Joel Emery		Completed	No	No	Yes	Legislation implemented 7/1/2008.
F3	R2	We are developing mandatory reporting rules that will include the timeline for reporting unprofessional conduct.	Margaret Gilbert, Tami Thompson	5/31/2008	Completed	Yes	No	No	Completed 3/31/2008
F3	R3	We will develop a quality assurance sampling process to audit completed background checks.	Patti Latsch	7/31/2007	Completed	Yes	No	No	Completed 9/30/07

F3	R5	We are testing a national search service for public criminal conviction records. If it is useful, we will assess costs and consider expanding to all applicants.	Patti Latsch	7/31/2008	Completed	Yes	Yes	No	Completed 8/1/08
F4	R1	We will provide the threshold list used for Secretary-regulated professions to all boards and commissions for their adoption and use. (Develop check list as part of Procedure 205).	Patti Latsch	7/31/2008	Completed	Yes	No	No	Completed 5/29/2008
F4	R10	We will continue to send notification letters when we assess the complaint. We will look into the cost of additional notifications.	Kristi Weeks	6/30/2008	Completed	Yes	Yes	No	Implementation of RCW 18.130.057 addressed this recommendation.
F4	R2	We will develop specific criteria for imminent danger. (Procedure 212 to be expanded with examples).	Patti Latsch, Executive Directors	2/29/2008	Completed	Yes	No	No	Completed 11/1/2007
F4	R3	We will evaluate the success of other states' use of multiple complaints to identify incompetent practitioners. We will adopt practice review procedures if there is evidence that they are effective.	Patti Latsch, Melissa Turner	5/31/2008	Completed	Yes	No	No	Completed 5/31/2008
	R4	We will evaluate the success of	Patti Latsch, Melissa	5/31/2008	Completed	Yes	No	No	Completed 5/30/2008

F4		other jurisdictions' experience with long-term behavioral indicators. If they are shown effective, we will adopt new procedures.	Turner						
F4	R5	We will update training related to disciplinary case tracking after the first internal quality review.	Patti Latsch, Kirby Putscher	11/30/2007	Completed	Yes	No	No	Completed 12/07/2007
F4	R8	We will develop a common case assessment worksheet for use in all Secretary-regulated professions and recommend its use in board/commission-regulated professions.	Patti Latsch	11/30/2007	Completed	Yes	No	No	Completed 11/30/2007
F4	R9	The database complaint types and closure codes are defined in manuals for the obsolete computer system, ASI. We have reduced the number of complaint types and closure codes for the new system. We have clear definitions for each. The ILRS system will be fully implemented in June 2008.	Sam Marshall	6/30/2008	Completed	Yes	No	No	Completed 2/19/2008
	R6	We will seek funds to study the feasibility of electronic	Sam Marshall, DIRM	10/31/2007	Deferred	No	Yes	No	Doing what we can within current resources. Regular discipline panel calls ensure prompt

F4		document management. It will include imaging of complaint files.							intake and assessment of complaints. DOH work on imaging system funding request complete 12/12/2007. Further action on imaging system is deferred as funding is needed to implement an imaging system.
F13	R3	We will seek funds to study the feasibility of electronic document management. It will include imaging of complaint files.	Sam Marshall, DIRM	10/31/2007	Deferred	No	Yes	No	DOH completed funds request 12/12/2007. Funding was not available. Deferred pending budget authority.
F4	R7	We will re-evaluate what should be included in case records and revise our procedures on how to organize and manage records.	Patti Latsch	9/30/2008	Completed	Yes	No	No	Completed 08/2011 Procedure adopted May 2009. Training is complete as of 12/15/2009. Policy effective 01/01/2010 and implementation under way.
F6	R10	We will re-evaluate what should be included in case records and revise our procedures on how to organize and manage records.	Patti Latsch	9/30/2008	Completed	Yes	No	No	Completed: 08/2011 Procedure adopted May 2009. Training is complete as of 12/15/2009. Policy effective 01/01/2010 and implementation under way.
F7	R3	We will re-evaluate what should be included in case records and revise our procedures on how to organize and manage records.	Patti Latsch	9/30/2008	Completed	Yes	No	No	Completed 08/2011 Procedure adopted May 2009. Training is complete as of 12/15/2009. Policy effective 01/01/2010 and implementation under way.
F5	R1	We are developing a public awareness strategy and will identify its costs for the Legislature.	Michael Wilson		Deferred	No	Yes	No	DOH work on funds completed 12/12/2007; Broad public awareness strategy deferred pending funds needed for next step. Doing what we can within current resources.

F-ref	Code	Description	Owner	Date	Status				Comments
F4	R2	We are developing a public awareness strategy and will identify its costs for the Legislature.	Michael Wilson	6/30/2008	Deferred	No	Yes	No	DOH work on funds completed 12/12/2007; Broad public awareness strategy deferred pending funds needed for next step. Doing what we can within current resources.
F5	R3	We will calculate the cost to redevelop our Web site to focus on customer needs.	Michael Wilson	10/31/2007	Deferred	No	Yes	No	DOH work requesting funding completed 12/12/2007; Full website redesign deferred pending Funds needed for further development Substantial progress made within current resources.
F5	R4	We are testing outreach to vulnerable populations, particularly the elderly, based on the results of the Elway Poll.	Michael Wilson, Meghan Young	12/31/2007	Completed	Yes	No	No	Completed 8/30/2007
F6	L1	We will follow legislative direction regarding additional investigative tools.	Patti Latsch, Karen Jensen		Completed	No	No	Yes	Implemented legislation; Oct 2009
F6	R8	We already have these practices in place requiring supervisors to officially sign off on all investigations.	Patti Latsch		Completed	Yes	No	No	Completed prior to audit; 3/1/05
F6	R1	We will propose improvements to the process to authorize an investigation	Patti Latsch, Executive Directors, Program Managers	5/31/2008	Completed	Yes	No	No	Completed 6/1/2008
F6	R2	We have state-approved guidelines in place.	Patti Latsch		Completed	No	No	No	Completed prior to audit
F6	R4	We will complete the contract process for expert	Blake Maresh	12/31/2007	Completed	Yes	No	No	Completed 3/10/2008

		review of standard of care cases.							
F6	R6	We already have these practices in place to ensure all investigators receive appropriate training.	Patti Latsch		Completed	Yes	No	No	Completed prior to audit
F6	R7	We already have these practices in place to ensure all investigators receive appropriate training.	Patti Latsch		Completed	No	No	No	Completed prior to audit
F6	R9	We will have a single caseload report available for each investigator in the new licensing system.	Sam Marshall	6/30/2008	Completed	Yes	No	No	Completed 2/19/08
F6	R3	A workload standards study is now underway to identify appropriate staffing levels. We will provide the report to the Legislature when it is completed.	Patti Latsch	12/31/2007	Deferred	No	Yes	No	Staffing study was completed by November 2007, was revised in 2008 and in December 2009 was validated by JLARC audit. The study provided a model that is in use to assess fiscal impacts of legislation and to prepare decision packages for staff and funding. Staffing to the level suggested by the model is deferred pending funding.
F8	R3	A workload standards study is now underway to identify appropriate staffing levels. We will provide the report to the Legislature when it is completed.	Patti Latsch	12/31/2007	Deferred	No	Yes	No	Staffing study was completed by November 2007, was revised in 2008 and in December 2009 was validated by JLARC audit. The study provided a model that is in use to assess fiscal impacts of legislation and to prepare decision packages for staff and

									funding. Staffing to the level suggested by the model is deferred pending funding.
F7	L1	We will follow legislative direction regarding requiring a deadline for adoption of sanction guidelines.	Margaret Gilbert, Kristi Weeks		Completed	No	No	Yes	Legislation has been implemented. Emergency rules effective 01/01/09.
F7	L2	We will follow legislative direction regarding shift of authority for misconduct cases; Secretary disciplines for misconduct, while boards/ commissions continue to discipline standard of care violations.	Legislature		Completed	No	No	Yes	Legislation implemented July 2008. Procedure adopted 5/5/2009.
F7	L3	We will follow legislative direction regarding sanction guidelines. (Loss of disciplinary authority if sanction guidelines not adopted).	Legislature		Completed	No	No	Yes	Disciplinary authorities all adopted sanction guidelines by 10/18/2007.
F7	R1	We will work with OFM to see whether further action is appropriate to require all boards and commissions to adopt the sanctioning guidelines.	Laurie Jinkins, Karen Jensen	12/31/2007	Completed	Yes	No	No	All boards and commissions adopted the sanction guidelines as of 10/18/2007.
F7	R2	We will continue to enter default orders according to the law.	Patti Latsch		Completed	No	No	No	Completed and ongoing
	R4	We will review our options to assure	Patti Latsch	6/30/2008	Completed	Yes	No	No	Ongoing quarterly audits to assure accuracy.

F7		accuracy in reporting disciplinary actions. (basis of action)							
F8	R1	The new computer system will include automated notices and reminders.	Sam Marshall	6/30/2008	Completed	Yes	No	No	Completed 2/19/2008; infrastructure complete actual notices and reminders completed with centralization of the compliance monitoring function in July 2008.
F8	R2	We adopted a procedure in 2006 that requires a single reminder letter to practitioners who have not met a due date. We will continue to send follow-up or requests for additional information where needed.	Patti Latsch		Completed	No	No	No	Completed prior to audit. The current process allows only one reminder letter to a provider who has failed to meet an order requirement.
F8	R4	A central compliance unit will support consistency in the compliance process.	Karen Jensen	6/30/2008	Completed	Yes	No	No	Functions centralized 6/1/2008; Moves completed November 2008.
F8	R5	The compliance procedure, which includes the letter templates, is available on the HPQA Intranet site. We are replacing desk manuals with online procedures.	Patti Latsch	6/30/2008	Completed	No	No	No	Completed prior to audit. Procedure under revision to reflect centralized compliance unit and ILRS.
F9	R1	We have enhanced our performance management system to meet the criteria suggested in the audit.	Karen Jensen		Completed	No	No	No	Completed 6/1/2007

F9	R2	We have enhanced our performance management system to meet the criteria suggested in the audit.	Karen Jensen		Completed	No	No	No	Completed 6/1/2007
F9	R3	We will post measures of importance to the public on the agency Web site.	Steve Hodgson, Michael Wilson	6/30/2008	Completed	Yes	No	No	Completed 11/30/2008
F10	R1	We will update job descriptions to incorporate quality assurance as we consolidate functions.	Sam Marshall, Kathryn LePome	3/31/2008	Completed	Yes	No	No	Completed 3/14/2011
F10	R1	We will identify the costs of adding staff to the Department's internal audit function.	Sam Marshall		Completed	Yes	Yes	No	DOH has established a second internal auditor position and recruitment is under way. HSQA also completed a self assessment pilot and added quality assurance duties to all appropriate job descriptions.
F10	R2	We have begun a pilot of a Control Self Assessment in HPQA.	Shannon Beigert, Josh Shipe, Charles Satterlund	9/30/2008	Completed	Yes	No	No	Completed 6/4/2008 with ongoing activities; First pilot completed. Self assessment completed and changes implemented to address findings.
F10	R3	We will contract out specialized internal audits as needed.	Bill White		Completed	No	No	No	Ongoing
F11	R1	We are implementing the new ILRS computer system that meets agency standards.	Sam Marshall	6/30/2008	Completed	Yes	No	No	Completed 2/19/2008
F11	R2	We are implementing the new ILRS computer system that meets agency	Sam Marshall	6/30/2008	Completed	Yes	No	No	Completed 2/19/2008

			standards.						
F11	R3	We will continue to regularly install security patches, as they are available.	Sam Marshall, DIRM		Completed	No	No	No	DIRM updates as required.
F11	R4	We will develop a notification system between HSQA managers and the technology staff to maintain current system access for all users and IT development / maintenance staff.	Sam Marshall, HR, DIRM	11/30/2007	Completed	Yes	No	No	Completed 12/7/2007
F11	R4	We will update the user access records and restructure the way they are maintained.	Sam Marshall	11/30/2007	Completed	Yes	No	No	Completed 12/12/2007
F11	R5	HPQA is in the midst of analyzing and correcting data in the legacy systems in preparation of the conversion to ILRS. This will continue until the new system is implemented.	Sam Marshall	6/30/2008	Completed	Yes	No	No	ILRS was implemented 2/19/2008
F11	R6	We will avoid the use of computer "side systems."	Sam Marshall		Completed	No	No	No	Completed 2/19/2008
F12	R1	We will complete a business continuity plan to sustain critical investigation and disciplinary activities.	Patti Latsch, Bill Kellington, Dave Magby, Karl Hoehn, Tracy Auldredge	12/31/2007	Completed	Yes	No	No	Under revision due to reorganization. Initial plan completed 12/31/2007.
F12	R2	We will develop an alternative means of contact for key personnel.	Office Directors	12/31/2007	Completed	Yes	No	No	Under revision due to reorganization. Initially completed 11/20/2007. 10/2009 Contact lists

										revised and up-to-date.
F12	R3	We will review disaster recovery plans to make sure there is sufficient information for staff to follow them.	Shannon Beigert, Patti Latsch, Tracy Auldredge	12/31/2007	Completed	Yes	No	No		Completed 11/15/2007
F12 ▾	R4	We are working with the Department of Information Services for a primary "hot" site for disaster recovery.	DIRM	9/30/2012	In Progress	No	Yes	No		Doing what we can within current resources. Site secured 4/9/2008; Lack of funding from 2008 Legislature has slowed progress. Funding secured FY12; implementation set for the fourth quarter of FY12.
F12	R4	We will have an interim disaster recovery site in operation.	DIRM	12/31/2007	Completed	Yes	No	No		Completed 12/12/2007
F12	R5	We will have an interim disaster recovery site in operation.	DIRM		Completed	Yes	No	No		Completed 12/12/2007
F13	R1	We have upgraded our policies on destruction of confidential records to require that they be deposited in locked containers and shredded.	DOH		Completed	No	No	No		Completed 7/16/2007
F13	R2	We have procedures in place regarding confidential materials in keeping with DOH policy.	DOH		Completed	No	No	No		Completed 7/16/2007