

SOCIAL WORKERS, BOARD OF LICENSED

Annual Performance Progress Report (APPR) for Fiscal Year (2011-2012)

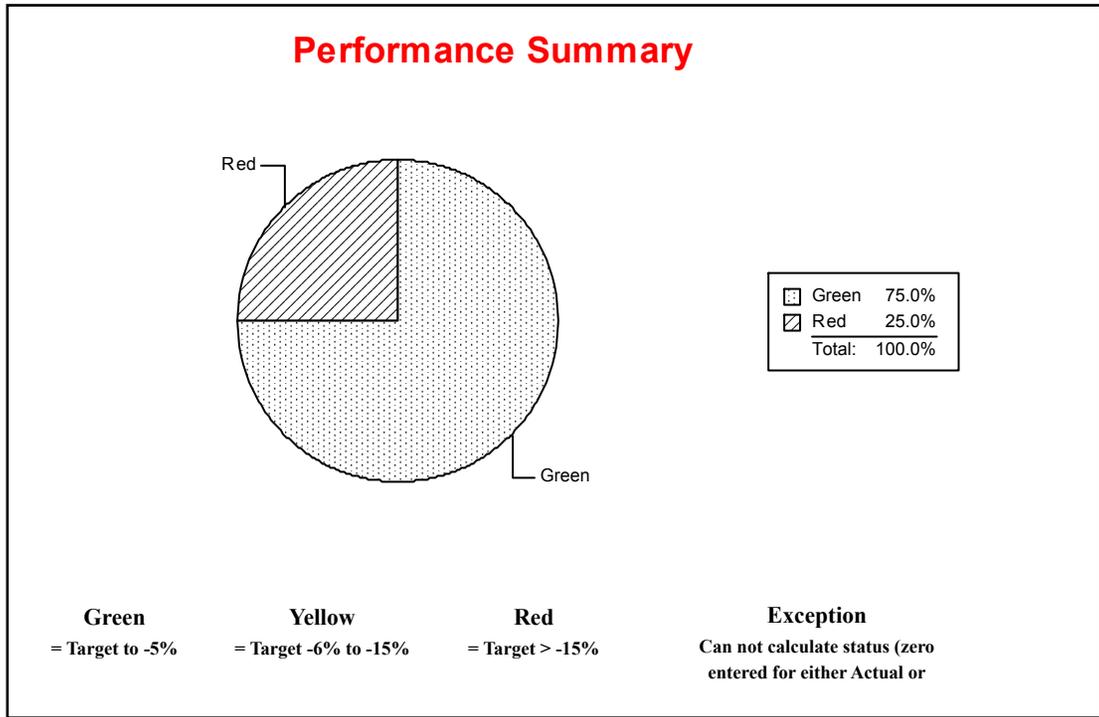
Original Submission Date: 2012

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2011-2012 KPM #	2011-2012 Approved Key Performance Measures (KPMs)
1	TIMELY COMPLAINT RESOLUTION - Percent of complaints upon which the Board makes a decision within six months of when the complaint is received in the Board office.
2	CE AUDITS - Percent of license renewal Continuing Education audits that meet the requirement for accredited coursework.
4	CUSTOMER SATISFACTION WITH AGENCY SERVICES - Percent of customers rating their satisfaction with the agency's customer service as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise, and availability of information.
5	BOARD BEST PRACTICES - Percent of total best practices met by the Board.

New Delete	Proposed Key Performance Measures (KPM's) for Biennium 2013-2015
	Title: Rationale:

SOCIAL WORKERS, BOARD OF LICENSED		I. EXECUTIVE SUMMARY	
Agency Mission: To protect the citizens of Oregon by setting a strong standard of practice and ethics through the regulation of social workers.			
Contact: Martin Pittioni			Contact Phone: 503-373-1163
Alternate: Pam Johansen			Alternate Phone: 503-373-1159



1. SCOPE OF REPORT

The Board's four Key Performance Measures (KPMs) focus on customer service performance, with emphasis on licensing, and some insight on overall Board best practices. With respect to the key arena of consumer protection, the Board does have a KPM that tracks speed of complaint resolution, a measure shared by most agencies with a similar mission. However, that KPM, while valuable, is not a measure of quality of investigations, nor does this measure reflect the increasing subject matter complexity of the complaints received.

The KPMs of the Board do not track performance in the arena of information technology, or fiscal standards and controls. (In the latter arena the Board has historically earned the CAFR Gold Standard every year due to its partnership with the Shared Client Services unit of the Department of Administrative Services,

State Controller's Division).

2. THE OREGON CONTEXT

Degree and Type of Agency influence on Benchmarks and High-level Outcomes:

The Oregon State Board of Licensed Social Workers was created by the Legislature as a public protection agency. The primary mission of the Board is to protect the citizens of Oregon by setting a strong standard of practice and ethics through the regulation of social workers. The Board seeks to provide excellent customer service while effectively accomplishing its mission. The pursuit of its mission of public protection and quality customer service does not contribute to any specific Oregon Benchmark. Nevertheless, the Board currently tracks its performance through four Performance Measures.

3. PERFORMANCE SUMMARY

In Fiscal Year 2012, this agency was within target (within -5%) on three of its four performance measures. The performance measure on speed of consumer complaint resolution remains a serious challenge, even though performance on that measure improved considerably during FY 2012.

4. CHALLENGES

The key challenge for the Board is its primary consumer protection Key Performance Measure on timely resolution of complaints, which in FY 2009 came in 31% below target, 24% below target in FY 2010, and 34% below target in FY 2011. The increase in resources for compliance approved by the 2011 Legislature have led to an improvement to 18% below target for FY 2012, a significant step in the right direction, but still not adequate. Overall, the data reflects a continual rise in the number and complexity of complaints to the Board. In the 2009-11 biennium, the number of new complaints was double the Board's level of new complaints received in the 2005-07 biennium.

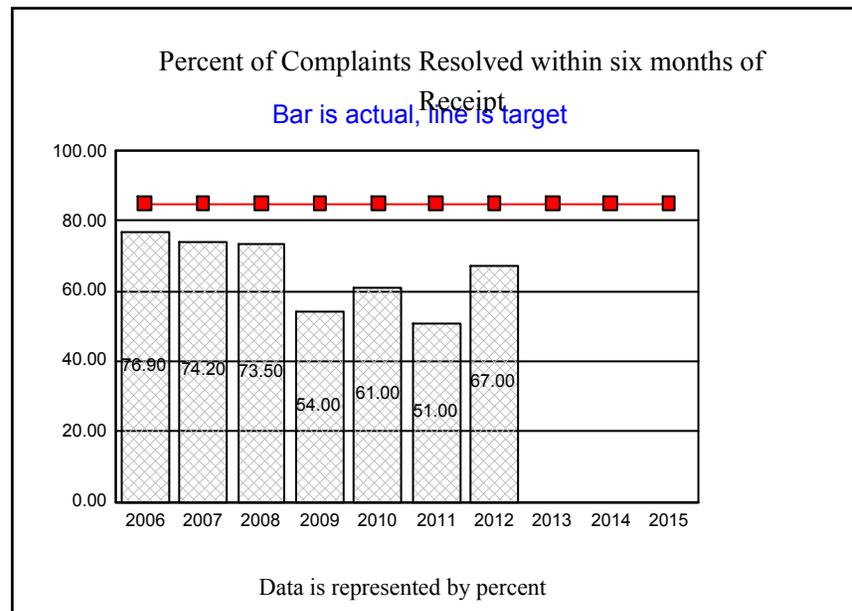
To address the serious drop in performance on this measure, the Board has worked with stakeholders and the Legislature since 2008 to implement fees to fund the Board's first staff-level compliance position. While these elements were put in place during the first half of FY 2009, and the Legislature approved the compliance position to continue through June 2011, the backlog of cases and continued record numbers of new complaints meant that improvement in this arena could not and cannot be achieved quickly. This arena remains the primary focus of Board time and resources. Final budgetary authority for the Board to continue its only compliance-related staff position on a permanent basis was obtained in the 2011 Legislature, together with limited duration authority for a second half-time investigatory position. These additional resources have led to an improvement in performance on this KPM in FY 2012. A new challenge for the Board with respect to this KPM emerged from the 2009 legislative session in the form of passage of Senate Bill 177, which provides the Board with significant expanded authority as of 1/1/2011. This includes for the first time a mandate requiring licensure for all those practicing clinical social work, as well as two new voluntary forms of licensure in the arena of non-clinical social work. While the bill is a very positive step for regulation of social work, the bill will also expand the tasks of the Board's compliance program over time, by adding unlicensed practice cases to the Board's case load. This new challenge will also continue to put pressure on the Board's KPM measuring speed of complaint resolution, together with the continual strong growth in the Board's licensee base. To address this challenge, the Board's only priority for the 2013-15 budget is to request permanent funding authority for a second, full-time investigator position.

5. RESOURCES AND EFFICIENCY

During FY 2012, the Board was staffed by a full-time Executive Director, three licensing staff, and a compliance position, plus a half-time compliance position that does not have permanent funding authority. The Board continues to grow rapidly. After 21% growth in its licensee base in 2009-11, the Board experienced additional 7.5% growth in FY 2012, with continued growth at about that level expected again in FY 2013. Efficiencies are therefore key. On-line renewal options were rolled out beginning Spring 2011 and into FY 2012, and served as a much appreciated efficiency tool for licensees and staff. In addition, the Board laid the groundwork in FY 2012, including drafting of proposed rules, to implement another key efficiency, conversion of Licensed Clinical Social Workers (LCSWs) from one-year to two-year licensure. (Other new license types added in 2011, RBSWs and LMSWs, immediately began operating as two-year licenses and do not need to be converted.) Implementation of this measure is another key step toward realizing efficiencies that will allow the Board to absorb the growth in FY 2012 and FY 2013 without the need to increase staffing resources in licensing.

The Board is entirely funded by fees paid by its licensees (100% Other Funds). The Oregon State Legislature approved a 2011-13 Agency Budget of \$1.24 million.

KPM #1	TIMELY COMPLAINT RESOLUTION - Percent of complaints upon which the Board makes a decision within six months of when the complaint is received in the Board office.	
Goal	Public Protection - this KPM links to the goal of public protection by measuring the timeliness of complaint resolution	
Oregon Context	The KPMs of this Board do not link directly to Oregon benchmarks.	
Data Source	Index of Agency Consumer Protection Complaint Cases	
Owner	Martin Pittioni, Executive Director, 503-373-1163	



1. OUR STRATEGY

The Board worked with stakeholders to increase resources for the compliance function, by raising fees and adding its first compliance staff person on a limited-duration basis in October 2008. The fee increase was ratified in the 2009 Legislature. The Board used this limited duration resource to begin

addressing the backlog in complaints. The outcome however was not as positive as hoped because the complaint load increased simultaneously, and the position experienced turnover multiple times due to the less secure limited duration funding. During FY 2011, the Board responded to this on-going serious challenge to meet its core mission by: working with the executive and legislative branch to secure funding authority for the Board's compliance position on a secure, permanent basis. This approval was obtained effective July 1, 2011. Adding a full-time temporary investigator from April to June 2011 to assist with investigations, working with the Executive and Legislative branch to obtain limited duration functioning authority for a second compliance position at half-time level (0.50 FTE). This approval was obtained effective July 1, 2011. In FY 2012, these additional resources have led to a significant, but not sufficient improvement in the KPM on timely compliant resolution, even though the second investigator position was frequently permitted to work additional hours beyond the funded 0.50 FTE. Significantly, even though the agency resolved 58 cases, the record volume of new cases filed during FY 2012 (70 new cases) meant the agency actually lost ground overall with respect to case resolution. The agency is investing additional temporary resources in FY 2013 to continue improving performance, and is requesting authority to continue the second investigation position full-time with permanent funding in its 2013-15 Agency Request Budget. The Board of the agency is fully aware that the Board will need to raise fees in 2015 to ensure sufficient funding for its positions from 2015-17 forward.

2. ABOUT THE TARGETS

The measure reveals the rate at which the agency is processing and resolving complaints in a timely manner.

3. HOW WE ARE DOING

The Board has not been able to meet this KPM target since FY 2002. Data for FY 2009 reflect a major drop in performance, to only 54% of cases resolved in a timely manner. In FY 2010, this performance improved to 61%, still substantially below the goal of 85% and 10% below the average five-year performance from FY 2005-2009. The performance dropped again during FY 2011 to 51%, due to an increase in case complexity and volume, and turnover in the compliance position early in the fiscal year. Notwithstanding the drop in this particular performance measure, the Board was able to resolve a record 61 cases during FY 2011, and was able to resolve many older cases on its docket. In addition, the Board was able to reach a settlement agreement for public disciplinary outcomes in a record 8 cases, and issued a Notice proposing a disciplinary outcome in another case, where settlement was not within reach. In FY 2012, the performance on this KPM improved significantly to 67% of cases resolved within 180 days. This result is still well below the 85% target. The Board resolved 6 cases with disciplinary outcomes in FY 2012.

4. HOW WE COMPARE

5. FACTORS AFFECTING RESULTS

The data shows the effect of not having a staff-level investigation function in place until late 2008, combined with a dramatic increase in the number and complexity of complaints. Performance in this KPM will show significant lag time before improvement will be realized, due to the accumulated backlog of complaint cases, the continual increase in case complexity, in combination with the volume increase in new complaints. The Board received 57 new cases in the 05-07 biennium, compared to 94 new cases during 07-09. In 09-11 the Board received 110 new complaints, almost double compared to the entire 05-07 biennium. In FY 2012, the Board handled a record 70 new cases, which on a straightline projection basis would result in 140 cases for the 2011-13 biennium, a 27% increase over 2009-11 and 44% increase over 2007-09. The Board has worked with stakeholders and the Legislature to increase fees and fund the Board's first staff-level compliance position, first filled October 2008, and obtained final funding authority for that position from the 2011 Legislature as of July 2011. A second half-time position was also approved as of that date on a limited duration basis. These resources are expected to contribute significantly to improvements in this KPM over time, after allowing for significant lag time to address the existing backlog of cases. The Board is requesting additional resources by requesting permanent funding for a second full-time compliance position in its 2013-15 Agency Request Budget.

In addition, Senate Bill 177 (2009) places additional demands on the Board's compliance function as of 2011, by adding new unlicensed practice cases, and enforcement of a new title protection provision. This will put additional strain on the performance in this measure over time.

6. WHAT NEEDS TO BE DONE

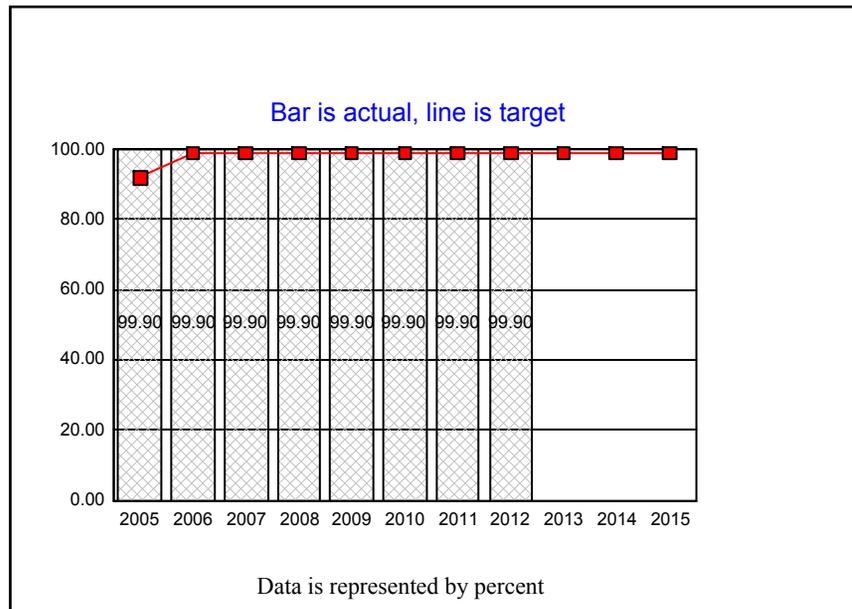
Key to any hope of returning to acceptable levels of performance is legislative approval to obtain final budgetary authority for the Board's sole compliance position (Policy Option Package 100 in the Agency Request Budget for 2011-13). That approval was obtained effective July 1, 2011, and has led to a significant, if not sufficient, improvement in this KPM.

In addition, Senate Bill 177 (2009) places additional demands on the Board's compliance function as of 2011, by adding new unlicensed practice cases, and enforcement of a new title protection provision. In order to achieve performance at acceptable levels on this performance measure, approval of a second compliance position in SB 177-related Policy Package 102 is essential. That approval was obtained effective July 1, 2011, on a limited duration basis (position funding end date of June 30, 2013). The Board has moved very quickly to fill these positions, filled on the same day budget authority was obtained, so that the full impact of these resources could be at work during FY 2012. The Board's Executive Director is intent on supplementing temporary additional resources to further help address the backlog of compliance cases and continue improving performance on this KPM. The Board is continuing to improve its performance on compliance as its key strategic goal, reflected in the Board's sole priority for its 2013-15 Agency Request Budget, which requests permanent funding authority for a second full-time investigation position.

7. ABOUT THE DATA

The data is reported on a fiscal year basis.

KPM #2	CE AUDITS - Percent of license renewal Continuing Education audits that meet the requirement for accredited coursework.	
Goal	Public Protection - this measure links to the goal of public protection by measuring compliance with continuing education requirements by licensees. Continuing education is a key tool for licensees to stay current within their specialty fields.	
Oregon Context	This Board's KPMs do not link directly to Oregon Benchmarks	
Data Source	Agency random audits of continuing education compliance reports conducted during licensure renewal.	
Owner	Kimberly Sommer, Licensing Specialist, 503-373-1161	



1. OUR STRATEGY

Given the on-going outstanding performance on this measure, the agency's strategy is to continue with random audits of continuing education reports.

2. ABOUT THE TARGETS

The measure reveals the extent of licensee compliance with Board continuing education requirements.

3. HOW WE ARE DOING

The performance in this KPM has remained steady at very high levels, as staff works very closely with licensees to ensure compliance with continuing education requirements.

4. HOW WE COMPARE

The random audit percentage of 20% is high, possibly the highest random audit percentage of any health board.

5. FACTORS AFFECTING RESULTS

One factor affecting results is staff time spent on ensuring licensees are fully familiar with how to comply with continuing education requirements.

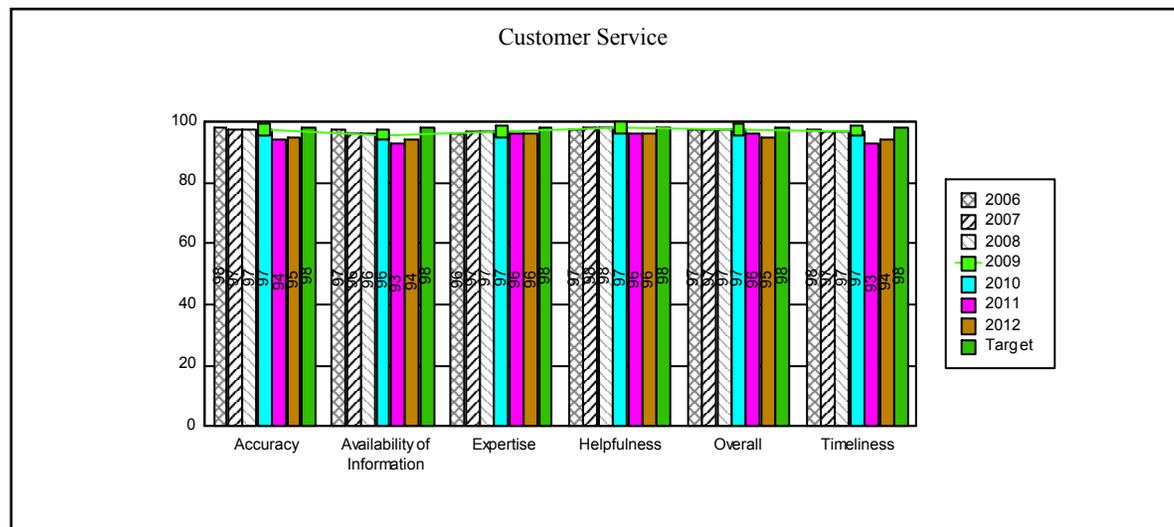
6. WHAT NEEDS TO BE DONE

Although the data does not show the need for changes, the expansion of the Board's authority in January 2011 to include issuance of two new non-clinical license types (RBSWs and LMSWs) may present challenges for this KPM in the future. New CE requirements are under development for these license types, and new RBSW and LMSW licensees will need to be educated on this aspect of their obligations.

7. ABOUT THE DATA

The data is reported on a fiscal year basis.

KPM #4	CUSTOMER SATISFACTION WITH AGENCY SERVICES - Percent of customers rating their satisfaction with the agency's customer service as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise, and availability of information.	2006
Goal	Provide excellent customer service	
Oregon Context	The Board's KPMs do not align directly with Oregon Benchmarks	
Data Source	Responses to customer service surveys. Beginning during FY 2011, the Board moved towards broadening the opportunity for gathering data for this KPM. Previously, this customer service feedback data was compiled exclusively during the (then manual) licensure renewal process. While that opportunity was retained when licensure renewals moved on-line, the mechanics were changed to an automated survey-monkey option that was also available at the end of every e-mail sent out by Board staff. This has significantly broadened the opportunity for citizens and stakeholders to participate in customer service feedback to the agency.	
Owner	Pam Johansen, Licensing Manager, 503-373-1159	



1. OUR STRATEGY

The Board's strategy for this KPM is to increase utilization of technology and implement licensing program streamlining measures, to ensure staff has sufficient time to provide good customer service. The Board has implemented on-line licensure renewal beginning in spring 2011 and into FY 2012, a significant customer service improvement.

2. ABOUT THE TARGETS

The Board has deliberately and continually set a high target for this measure, as the Board expects to achieve excellent customer service results.

3. HOW WE ARE DOING

The Board has consistently performed very well on this measure, within 5% of target, but hopes to improve further by actually achieving in full its 98% target.

4. HOW WE COMPARE

There is no comparable data from other social work boards around the country.

5. FACTORS AFFECTING RESULTS

1. Substantial growth of the licensee base (over 20% in the 2009-11 biennium, and another 7.5% on top of that growth during FY 2012.) 2. Complete overhaul of social work licensing laws and rules effective January 1, 2011 (implementing Senate Bill 177 from the 2009 Legislature). 3. Both line staff positions in licensing were fully staffed with new staff effective August 2010 and authorized to be full-time effective July 1, 2011 by the Legislature, to deal with the licensing growth triggered by SB 177. 4. On-line licensure renewals were implemented on a rolling basis beginning Spring 2011 (completed by spring 2012). 5. The licensing program added two new license types effective January 1, 2011. 6. The Board moved toward an on-line data collection tool for this KPM that expanded the pool of survey respondents beyond those receiving renewal notices from the Board, to all those who communicate with the Board electronically. 7. The Board has significantly emphasized pro-active outreach to MSW and BSW classrooms around the state to educate future licensees about what licensure means, and the basics of social work regulation.

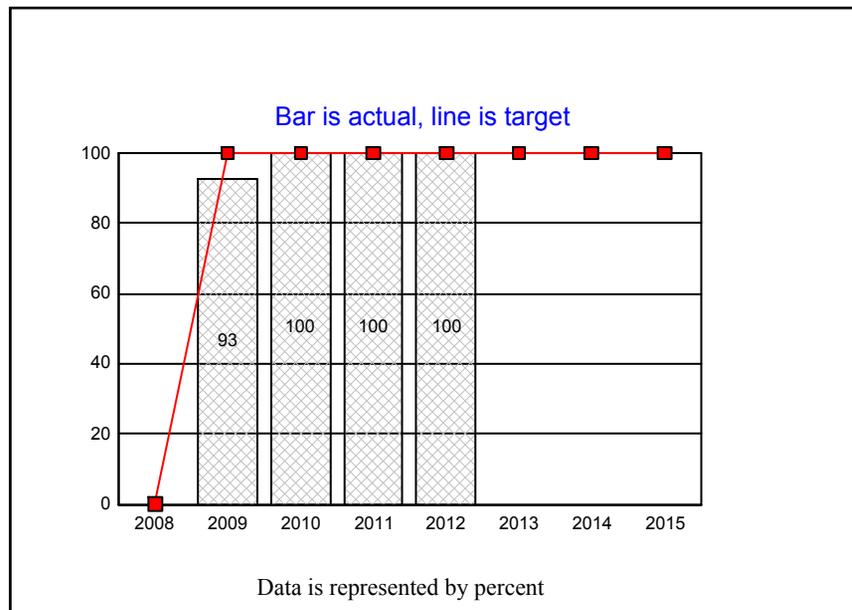
6. WHAT NEEDS TO BE DONE

The Board needs to continue to invest in streamlining of licensing operations and utilization of technology to deliver the best customer performance results with the least amount of resources. The Board will continue to expand IT solutions to meet the needs of its customers and the Board. In FY 2012, the Board began implementation of a highly secure and efficient IT solution to manage Board meeting information electronically, first at the committee level for the Board's Consumer Protection Committee. In FY 2013 this solution has been rolled out to the full Board. Ultimately this means that the highly confidential data citizens, agencies, and licensees entrust to the Board is far better protected. Simultaneously, the Board has begun laying the groundwork for conversion of its main licensee base (LCSWs) to two-year licensure, currently in the rule-writing stage. The two-year implementation for this project is scheduled to start January 2013 and will be fully complete by the end of December 2014. This is the next critical efficiency step that should also contribute to customer satisfaction, since it will reduce the paperwork and need to interact with the Board from once a year to once every two years for LCSWs, for renewal of licensure purposes. Customer satisfaction should hopefully not be negatively impacted since the Board is not raising fees in the process (the \$130 annual fee will go to a \$260 fee with a commensurate doubling of the time the license is valid to two years).

7. ABOUT THE DATA

The data is presented on a fiscal year basis.

KPM #5	BOARD BEST PRACTICES - Percent of total best practices met by the Board.	2009
Goal	Consumer Protection	
Oregon Context	This Board's KPMs do not align directly with Oregon Benchmarks.	
Data Source	Annual Self-Assessment	
Owner	Martin Pittioni, Executive Director, 503-373-1163	



1. OUR STRATEGY

The Board's strategy is to achieve and maintain 100% compliance with best practices.

2. ABOUT THE TARGETS

The Board's position is that this KPM should always be at a 100% target level.

3. HOW WE ARE DOING

After a late introduction of this KPM in FY 2009, which prevented achievement at a 100% level (93% attained), the Board has improved its performance on this KPM to 100%.

4. HOW WE COMPARE

This is a standardized KPM with the same expectation of all stand-alone boards and commissions. It is assumed that most agencies measured by this KPM perform at or near the 100% mark.

5. FACTORS AFFECTING RESULTS

At the time of the initial introduction of this KPM in FY 2009, the (new) Executive Director had not yet received a performance evaluation, which prevented achieving a 100% result that fiscal year. The Board has now had sufficient implementation time to achieve 100% compliance with all best practices.

6. WHAT NEEDS TO BE DONE

Maintain focus on ensuring continued 100% compliance.

7. ABOUT THE DATA

The data is presented on a fiscal year basis.

SOCIAL WORKERS, BOARD OF LICENSED**III. USING PERFORMANCE DATA****Agency Mission:** To protect the citizens of Oregon by setting a strong standard of practice and ethics through the regulation of social workers.**Contact:** Martin Pittioni**Contact Phone:** 503-373-1163**Alternate:** Pam Johansen**Alternate Phone:** 503-373-1159**The following questions indicate how performance measures and data are used for management and accountability purposes.****1. INCLUSIVITY***** Staff :***** Elected Officials:***** Stakeholders:***** Citizens:****2 MANAGING FOR RESULTS****3 STAFF TRAINING****4 COMMUNICATING RESULTS***** Staff :***** Elected Officials:***** Stakeholders:***** Citizens:**