N/A Antonette Sorrick, Executive Officer	Implementation Plan Submitted for: December 31, 2020

GOVERNANCE

One or more components of this section were addressed in a prior Implementation Plan and, therefore, the related information does not carry forward.

Information and Communication

On a quarterly basis, staff communicates with the Board about operational, programmatic, and financial updates.

Internally, the Board has a multi-level communications strategy which includes regular unit meetings, monthly all-staff meetings, monthly email communication from the Executive Officer to the Board, and quarterly management meetings. Externally, the Board produces a quarterly newsletter, maintains accounts on Facebook and Twitter, and regularly updates its website. Lastly, the Board conducts its quarterly Board meetings in various locations across the state to encourage participation from stakeholders. These meetings are frequently available as live webcasts.

Staff are able to report programmatic concerns and inefficiencies to management at staff meetings, unit meetings, and biweekly one-on-one meetings with their direct supervisor.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the process implemented: No

Is the process documented: No

What's Next

Next Milestone:

Update With Progress—June 30, 2020

Staff continues to communicate with the Board about operational, programmatic, and financial updates through its regularly-scheduled quarterly Board meetings. Due to budget constraints and restrictions due to COVID-19, Board and Committee meetings are not currently being held in person. The Board complies with its requirement to meet by conducting its meetings via teleconference.

Contact Person(s): Jeffrey Thomas

Is the process implemented: No

Is the process documented: No

What's Next

Internally, Board staff is meeting its goal of communicating directly with staff regarding programmatic needs, and anticipating a return to full-staffing in-house upon the end of the declared emergency stemming from COVID-19.

Next Milestone: December 30, 2020

MONITORING

The information included here discusses the entity-wide, continuous process to ensure internal control systems are working as intended. The role of the executive monitoring sponsor includes facilitating and verifying that the Board of Psychology monitoring practices are implemented and functioning. The responsibilities as the executive monitoring sponsor(s) have been given to:
Antonette Sorrick, Executive Officer; and Jeffrey Thomas, Assistant Executive Officer.

The Board routinely meets one-on-one with staff to identify programmatic problems to enable management to respond to vulnerabilities.

Management performs ongoing reviews of completed staff work. The Board conducts an annual evaluation of the Executive Officer's performance, which reflects on the program's overall performance. The Board periodically undergoes comprehensive review of operations by external entities, such as DCA, the Bureau of State Audits, and the State Legislature (Sunset Review).

Program assessment is routine and ongoing, providing almost constant opportunity for program improvement as vulnerabilities are identified. As vulnerabilities are identified, appropriate staff is assigned to ameliorate the vulnerability.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the process implemented: No

Is the process documented: No

What's Next

Next Milestone:

Update With Progress—June 30, 2020

Internally, Board staff is meeting its goal of communicating directly with staff regarding programmatic needs.

The Board completed its evaluation of the Executive Officer's performance in December, 2019 as part of its ongoing review of operations. The Board was scheduled to have its Sunset hearing in March, 2020; however, due to the declared emergency stemming from the COVID-19 outbreak, the

hearing has been extended to 2021.

Contact Person(s): Jeffrey Thomas

Is the process implemented: Partially

Is the process documented: Partially

What's Next

Board staff is anticipating a return to full-staffing in-house upon the end of the declared emergency stemming from COVID-19.

Next Milestone: December 30, 2020

RISKS AND CONTROLS

Risk: Staff Recruitment and Retention

Staff expert is relied upon exclusively without any backup to assist in their absence.

As a small program, the Board has limited resources to build in training redundancies. Limited positions create challenges for crosstraining backup staff.

Long-term absences or vacancies create work-stoppages.

Control: Organizational Process Mapping
The Board is in the process of working with DCA to assess workflow.

The aim of this assessment is to generate process maps, identify process efficiencies, and to quantify staff workload. This will identify staffing needs and assist in succession planning.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the control put into practice: No

Is this control reducing the risk as expected: No

What's Next

Next Milestone:

Update With Progress—June 30, 2020

The Board has completed process mapping for two of its three units.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

Board management will continue process-mapping the remaining units with a projected completion date of late 2020.

Next Milestone: December 30, 2020

Control: Increase Staffing/Resources

Once the program assessment is completed, the Board can seek authority for additional staff as determined by the assessment through the Budget Change Proposal (BCP) process.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the control put into practice: No

Is this control reducing the risk as expected: No

What's Next

Next Milestone:

Update With Progress—June 30, 2020

As part of its process-mapping, one unit has already completed a workload analysis that seems to favorably support undertaking a BCP.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Partially

Is this control reducing the risk as expected: Partially

What's Next

The Board will submit a budget change proposal for consideration in the 2021 Budget Act.

Next Milestone: December 30, 2020

Risk: Fi$Cal Impacts to Operations and Decision Making

Accurate and timely revenue and expenditure reports are not currently available from the Fi$Cal system and this ultimately results in DCA being unable to produce timely reconciled monthly and year-end financial statements to Boards. Specifically, the Board is unable to access timely reports and readily validate the accuracy of data postings. This results in information lags as well as in poor, and inaccurate, real-time reporting to the Board. Further, reports generated from the system often track awkward reconciliation points or contain incomplete or not user-friendly data. Accurate and usable reports are needed to make prudent budget and operational decisions. Special funds often have

structural funding concerns, so understanding cash balances and expenditure status is essential. Board staff, as a result, often manually track unresolved Fi$Cal issues in hopes of providing better real time data to executive level managers. This adds significant staff time, and the manual preparation of reports outside of the system opens the Board up to a larger opportunity for making unintended errors.

Control: Elevating Issues to DCA
The Board is in communication with DCA on a regular basis to resolve open items which include posting corrections, programming concerns, and report suggestions within the system.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the control put into practice: No

Is this control reducing the risk as expected: No

What's Next

Next Milestone:

Update Without Progress—June 30, 2020

Fi$Cal remains far behind in reporting and the Board is still unable to rely on it for up-to-date information. Staff must continue to treat reconciliations as a largely-manual process.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Yes

Is this control reducing the risk as expected: Partially

What's Next

Board staff will continue to communicate with DCA about its needs for current fiscal data while also continuing to resolve fiscal issues through manual adjustments by staff.

Next Milestone: December 30, 2020

Control: Independently Tracking Data
The Board relies on data tracking outside of the Fi$cal system and regularly works with budget, accounting, and business services staff at DCA to track issues and make forecasting projections. This information is often utilized for meeting materials. Additionally, the Board requests information as needed from DCA to try to identify and fix errors.

Update Without Progress—December 31, 2020

Contact Person(s):

Is the control put into practice: No

Is this control reducing the risk as expected: No

What's Next

Next Milestone:

Update With Progress—June 30, 2020

The Board staff continues to work closely with budget, accounting, and business services staff at DCA to track issues and make forecasting projections.

   Contact Person(s): Jeffrey Thomas

   Is the control put into practice: Yes

   Is this control reducing the risk as expected: Partially

What's Next

Board staff will continue to work with the various offices within DCA to compile the fiscal data it needs for presentation to stakeholders and for management of its resources.

Next Milestone: December 30, 2020

Risk: Regulations

Prompted by an increase in the number of other board regulations disapproved by the Office of Administrative Law, in late 2016, the Department and Agency changed the process for reviewing regulations submitted by the Board of Psychology. The resulting process enhanced scrutiny from the Department and Agency successfully reduced the number of disapproved regulations because it led to a more thorough examination of regulation packages. But while disapproval rates were reduced, a consequence was lengthened timelines for the Board to adopt regulations.

Control: Increased DCA Regulation Management Staffing
The Department was authorized in the 2019 Budget Act to hire six attorneys, a senior legal analyst, and a research program specialist II to increase its capacity for developing, reviewing and issuing regulations. The Department's attorneys are being trained by the Office of Administrative Law to review regulations. The Department is also conducting training of all participants in the regulations process to improve regulation packages and timelines. In addition, the Department is developing a department-wide computerized regulation management and tracking system to better track and streamline the review of regulations.

   Update Without Progress—December 31, 2020

      Contact Person(s):

      Is the control put into practice: No

      Is this control reducing the risk as expected: No

   What's Next

Next Milestone:

Update With Progress—June 30, 2020

The Department filled all of its positions as of October 2019. All of the members of the unit are dedicated solely to working on regulations. One attorney serves in a lead capacity to assign work and review regulations. The five other attorneys were paired with clients based on similarities in licensure and workload demands. The research data specialist assists in developing and reviewing the fiscal and economic analyses associated with regulations.

With the creation of the unit, the Department significantly increased its training capacity. The Department is also nearing completion of the computerized regulations tracking system and anticipates employing the system on a trial basis near the end of the second quarter of 2020. The Department also saw a substantial increase in 2019 in regulations submitted to the department compared to the prior year.

These resources, along with additional data collection, should continue to improve the Department's overall review and approval of regulations.

Contact Person(s): Jeffrey Thomas

Is the control put into practice: Yes

Is this control reducing the risk as expected: No

What's Next

The Regulations Unit is expected to provide an online tracking portal for regulations packages to allow programs to follow the progress of each package.

Next Milestone: December 30, 2020