

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

House Bill 3338 (2015), resulted in a performance audit of the Teacher Standards and Practices Commission (TSPC) during the fall of 2015. Published in January of 2016, the audit report cited several areas for improvement for the agency. This document provides actions that have been taken to address the audit findings, as well as plans for continuous improvement targeting the efficiency of the agency. The initial responses (provided in black font) were actions taken between January 2016 and May 2016. Updates **in red font** reflect action steps taken between June 1, 2016 and September 20, 2016. **Updates noted in green font reflect actions taken between September 2016 and December 2016.**

Since June 2016, the Executive Director has engaged in conversation with educators and stakeholders to identify barriers that exist to obtaining licensure in a timely manner. Additionally, agency staff have identified potential solutions to addressing these barriers. It is important to note the following responses are the result of agency collaboration and are serious actions designed to improve agency management, customer service, and overall agency efficiency. It is also important to recognize these responses are not intended as excuses; rather are thoughtful and intentional steps to address the audit recommendations.

Audit Recommendation	Action Steps Taken
IMPROVE LICENSURE PROCESSING – Agency Management	
Continue Communicating with employees on license rule changes before and after Commission approval	<p><i>May 2016</i> <i>The agency has established a regular routine of meeting with licensure employees both prior to proposing rule changes to the Commission and immediately following Commission adoption of the rules. Follow-up meetings are held to ensure employees’ questions are answered and there is a clear understanding of Commission intent.</i></p> <p><i>September 2016</i> <i>Monthly Labor Management meetings are held immediately prior to the All-Staff Meeting (which is the 3rd Thursday of each month). The Director of Licensure, the Deputy Director and the Executive Director conduct specific agency area (Licensure/Professional Practice/Program Approval) meetings following the all-agency staff meeting. Agendas and notes are posted to the Agency network drive.</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>December 2016</i></p> <p>The Agency continues to conduct regular meetings with staff during which potential solutions are discussed with all staff providing input to the rulemaking process. Prior to the rules being taken to the Rules Advisory Committee (RAC), TSPC staff have collaboratively engaged in discussion regarding the external and internal impact of potential rule revision. Following the RAC meeting, staff are provided information from the discussion that occurred during the RAC meeting. Additionally, staff are informed of the action taken by the Commission following each Commission meeting.</p>
<p>Develop a plan to address issues that could hinder the successful implementation of the online application system.</p>	<p><i>May 2016</i></p> <p>The agency has worked closely with NICUSA as well as with DAS staff to minimize the impacts of the online system's implementation. The agency has relied on the agency's legacy data system to continue issuing licenses as the online system's features are further developed.</p> <p><i>September 2016</i></p> <p>TSPC moved forward with the initial roll-out of the eLicensure system in January 2016. While the ability to apply and pay online was available, the remaining features were incomplete. As a result, TSPC staff were utilizing two systems simultaneously. This early implementation resulted in unforeseen and unintended consequences to internal procedures and protocols. While staff were no longer accepting cash and check payments, and the volume of mail decreased significantly, the information was not automatically entered into the Legacy system for issuance of licenses.</p> <p>In July 2016, the new Executive Director shadowed licensure staff to learn the processes utilized for each stage of the process. Working with the licensure staff, the Director of Licensure and the NICUSA team, changes were made to internal processes—to maximize efficiency. As issues continued to arise with the new eLicensure system, the Executive Director, Director of Licensure, and key agency staff began to meet weekly with NICUSA to address issues with the system development and implementation. When leadership at NICUSA experienced technical issues firsthand, engagement in communication and problem-solving emerged as a top priority. The following information was provided by NICUSA:</p> <p>Online Licensing System Background</p> <ul style="list-style-type: none">- Partial system rolled out to educators January 2016

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

- Provides online filing and electronic payments
- 23,849 teachers have registered to use the online system
 - 15,854 total applications have been submitted and paid for online
- Represents a significant change to educators shifting from a paper-based process to an online system
 - 80% of educators using the system have been largely successful without any issues
 - 20% of educators experience technical or usability issues
 - Web browser restrictions limiting system functionality
 - Connecting the educator online account to their electronic license records (Record Connect)
 - Lack of educator familiarity with using online systems
 - Results in increased phone calls and emails to TSPC for technical support

Online Licensing System Next Steps

- Actively working to troubleshoot and implement fixes for issues as they surface
- Continually seeking out bottlenecks in the system and application review processes to streamline license issuance
- Conducting usability testing and evaluating analytics to identify common educator trouble spots
- Constructing help text, tips, and instructions for web pages to help educators complete online filings
- Added an additional developer and web designer to focus on implementing system improvements
- Developing short online video tutorials to help educators use the online system
 - Web browser usage
 - Logging in and creating an account
 - Completing an online application
 - District and University access
- Roll out additional functionality by the end of the year
 - Evaluation and license issuance module
 - Intelligent work queue design for increased TSPC efficiency
 - District and University access
 - Streamlined document and license information sharing
 - Agency administrative features
 - Public communications module
 - Ability for TSPC staff and educators to communicate directly through the online licensing system

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>December 2016</i></p> <p><i>Learning from the negative impact of the premature roll-out of the e-Licensure system in January 2016, the Leadership team engaged staff in the demonstration and testing phases of the new system. Based on feedback from staff, as well as district personnel directors (Oregon School Personnel Association), it is still premature to continue with the full migration to the new system in December 2016. TSPC engages Wally Rogers, Manager, Oregon E-Government & Transparency, Office of the State CIO - Enterprise Shared Services and Ben Tate, Strategic Technology Officer – Education, Office of the State CIO in weekly meetings/discussion with NICUSA leadership. While the desire is to fully migrate to the online licensing system, it is important that the system be fully functional prior to launching. TSPC staff continue to engage in the testing process. TSPC is optimistic regarding a Spring rollout of the remaining functionality of the new e-Licensure system.</i></p>
<p>Create and regularly update written policies and procedures for evaluating and processing licenses centered on using the upcoming online application system.</p>	<p><i>May 2016</i></p> <p><i>The agency will update written policies and procedures, production goals, and quality control procedures—once the online system has been fully implemented. Scheduled completion of Fall 2016.</i></p> <p><i>September 2016</i></p> <p><i>During the first three months of the new Executive Director’s tenure, leadership has reviewed the existing written policies and procedures for evaluating and processing licenses. Efforts to streamline the process have resulted in the need to revise policies/procedures. The Director of Licensure and licensure team will continue to review policies and procedures for evaluating and processing licenses, as the online application system is still in progress.</i></p> <p><i>December 2016</i></p> <p><i>TSPC evaluators charged with evaluating applications began implementing a new process during the week of November 16, 2016. At that time, TSPC was processing applications received in mid-July –about 18 weeks from the date the application was received. However, after implementing the new process, TSPC evaluators now have ownership of an application and are utilizing technology to maintain accurate production records. As of December, evaluators are processing applications within 10 weeks. Unfortunately, TSPC is still utilizing</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>multiple licensure/data systems until the full migration to the e-Licensure system. Regardless of this barrier, TSPC evaluators are more productive and are working diligently to decrease the turnaround time. Since the volume of applications received remains high during the Fall months, the decrease in turnaround time is significant.</i></p>
<p>Consider identifying and incorporating best practices employed internally and at other licensing agencies.</p>	<p><i>September 2016</i> <i>The new Executive Director, Deputy Director, and the Director of Licensure bring perspectives from other NASDTEC states and are taking steps to implement best practices in all areas of the agency. TSPC utilizes the NASDTEC Survey feature to solicit national trends and research from other licensing agencies.</i></p> <p><i>December 2016</i> <i>The process for assigning applications to evaluators was revised (as identified above). As a result, the production has increased in the volume of licenses issued. TSPC leadership continues to collaborate with the licensure team to implement best practices.</i></p>
<p>Develop licensing production goals and use the reporting capabilities of the online licensing system to track progress and provide feedback to staff.</p>	<p><i>September 2016</i> <i>The online reporting system does not provide detailed reports at this time, however, the Director of Licensure is monitoring production goals and communicating to licensure staff daily. During the summer months, the licensure team continued to meet the needs of the districts by issuing licenses at consistent volumes. This is significant—as one full-time evaluator was on medical leave during this time and is not scheduled to return to work until late Fall 2016.</i></p> <p><i>December 2016</i> <i>TSPC still utilizes the Legacy database to issue licenses, which does not generate accurate production reports. In the interim, TSPC evaluators have collectively resolved to tackle the backlog, noting progress as a team. TSPC leadership, in collaboration with evaluators developed a new process for tracking progress. This has resulted in a significant increase in the numbers of licenses produced.</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

The new process:

- An evaluator “checks out” a certain date, and runs a personal report of applications received on that date. Which date is assigned to which evaluator is tracked in an Excel spreadsheet viewable by everyone.
- Once they complete that date (either issuing the license or sending an “incomplete” notice), the evaluator marks the date complete and selects the next available date.
- If they “incomplete” an application, they record that in the Track-It system. Then when the requested document arrives, the account will show on their daily Pending list and they continue processing the application that they originally evaluated.
- Because we’re still working in multiple systems, once they’ve issued a license, they must issue the license out of the “Life” system, approve the application in eLicensing and mark it “worked” on the Excel spreadsheet.

The table reflects an increase in the productivity of licenses issued since implementing the new process, when compared to production during the same three month period in 2015.

Month	Licenses Issued in 2015	Licenses Issued in 2016	INCREASE
October	1862	2370	508
November	1281	1861	580
December	1922	2300	378

The licensure team issued 1,466 more licenses during the first three months of implementation of the new process (October-December), as compared to the same time period in 2015.

Develop a process for systematically reviewing issued licenses to ensure quality and consistency.

September 2016

The Director of Licensure and the Executive Director monitor the issuance of licensure and clarify issues with licensure staff as issues arise. Increased training efforts have occurred since the audit. Additionally, staff have trained the new Executive Director in the processing of licenses. This provides additional agency leadership capacity to oversee the level of accuracy in issuance of licensure.

December 2016

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

The Director of Licensure continues to monitor the issuance of licenses and clarifies issues with staff as errors are found. The barrier for true quality control continues to be the lack of capability of the Legacy database to provide reporting to allow any kind of quality audit. TSPC has implemented a policy to allow a licensee to submit additional documentation within 30 days of issuance for reconsideration of a licensure decision.

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
<p>IMPROVE EXPEDITED LICENSE SERVICE – Agency Management</p>	
<p>Work to reduce license backlog and issue more timely licenses.</p>	<p><i>September 2016</i> <i>The agency leadership has reviewed internal processes to determine areas for improvement in efficiency. Minor adjustments have been implemented to streamline productivity and additional adjustments are scheduled for late Fall 2016.</i></p> <p><i>December 2016</i> <i>TSPC still utilizes the Legacy database to issue licenses, which does not generate accurate production reports. In the interim, TSPC evaluators have collectively resolved to tackle the backlog, noting progress as a team. TSPC leadership, in collaboration with evaluators developed a new process for tracking progress. This has resulted in a significant increase in the numbers of licenses produced.</i></p> <p>The new process:</p> <ul style="list-style-type: none"> • <i>An evaluator “checks out” a certain date, and runs a personal report of applications received on that date. Which date is assigned to which evaluator is tracked in an Excel spreadsheet viewable by everyone.</i> • <i>Once they complete that date (either issuing the license or sending an “incomplete” notice), the evaluator marks the date complete and selects the next available date.</i> • <i>If they “incomplete” an application, they record that in the Track-It system. Then when the requested document arrives, the account will show on their daily Pending list and they continue processing the application that they originally evaluated.</i> • <i>Because we’re still working in multiple systems, once they’ve issued a license, they must issue the license out of the “Life” system, approve the application in eLicensing and mark it “worked” on the Excel spreadsheet.</i>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

The table reflects an increase in the productivity of licenses issued since implementing the new process, when compared to production during the same three month period in 2015.

Month	Licenses Issued in 2015	Licenses Issued in 2016	INCREASE
<i>October</i>	<i>1862</i>	<i>2370</i>	<i>508</i>
<i>November</i>	<i>1281</i>	<i>1861</i>	<i>580</i>
<i>December</i>	<i>1922</i>	<i>2300</i>	<i>378</i>

The licensure team issued 1,466 more licenses during the first three months of implementation (October-December), as compared to the same time period in 2015.

Track explanations for all expedited service requests.

May 2016

The agency has kept a careful eye on expedited service requests and has devoted newsletter space to helping districts understand when it is appropriate to use expedited service and recognizing that these licenses are intended for true emergency situations.

September 2016

The agency continues to monitor requests and tracks explanations for expedited service requests. Initial data revealed a decrease in the number of expedited applications during July and August 2016. Districts have an assigned TSPC evaluator and communicate directly with this contact. Increased communication between districts and their assigned TSPC evaluator resulted in the prioritization of issuance of licenses—thereby further eliminating the need for the expedited service request.

December 2016

*While not fully functional, the eLicensing System includes a data field to identify expedited application requests. TSPC continues to require districts to include a **Statement of Need** with their request for expedited service.*

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

The Commission clearly define what constitutes an “urgent situation” warranting expedited service for license applications.

September 2016

The OARs have been reviewed and communication to districts has increased in this regard. Additional communication from TSPC is ongoing.

December 2016

With the reduction in the backlog and turnaround time, districts have fewer “urgent situations” for which they need to have an application expedited. These ‘urgent situations’ involve not having a licensed educator in the classroom the next day (e.g. a medical emergency left a classroom vacant, and a licensed teacher was not available to take over this classroom.)

Discuss appropriate procedures for processing applications that need expedited service due to agency delays.

September 2016

Licensure staff have constant communication with district personnel directors regarding educators for whom expedited services are required.

December 2016

The expedited requests that are received during the fall and winter months are generally expedited appropriately. The Restricted Substitute License is a commonly expedited request during the school year. Schools report an extreme shortage of substitute teachers, and they frequently need them in the classroom quickly.

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
IMPROVE COMPLAINT INVESTIGATIONS – Agency Management	
<p>Prioritize obtaining a case management system, and standardize case tracking in the interim.</p>	<p><i>September 2016</i> The agency is requesting authority to fund the development of a case management system to assist in the prioritizing and standardizing of investigation cases. The agency also requests authority to employ an ISS6 position to develop efficiency tools for all agency areas. In the interim, the newly hired Deputy Director has worked to improve the flow of case assignment and completion.</p> <p><i>December 2016</i> The Professional Practices Team now meets twice each month with the Deputy Director. Purposes of these meetings are to streamline investigative processes, improve other internal practices, establish clear expectations regarding investigations, and provide feedback to investigators.</p>
<p>Consider requiring complaint investigators to obtain certifications.</p>	<p><i>September 2016</i> All five investigators were scheduled to attend the CLEAR (National Investigator Certification) training in Portland September 12-14, 2016. Four of the five investigators completed this training and are awaiting test results to determine certification status. If passing scores are earned, the investigators have requested to pursue the next level of national certification next year.</p> <p><i>December 2016</i> All four (out of five) investigators who completed the CLEAR training, passed the training with very high marks. They all have expressed interest in completing the next phase of CLEAR training in the future.</p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

<p>Improve case management of investigations, including researching best practices at other boards, clarifying expectations on the amount of investigative work required, setting performance goals, and providing regular feedback to investigators.</p>	<p><i>September 2016</i> <i>The agency is reassigning professional practices oversight duties to the newly hired Deputy Director to assist in clarifying expectations for investigation case load production, performance goals and other activities.</i></p> <p><i>December 2016</i> <i>The Professional Practices Team now meets twice each month with the Deputy Director. Purposes of these meetings are to streamline investigative processes, improve other internal practices, establish clear expectations regarding investigations, and provide feedback to investigators. The setting of performance goals will be incorporated into the staff evaluation process being implemented by the Executive Director.</i></p>
<p>Provide more guidance to districts on complaint filing and how to properly conduct district-level investigations.</p>	<p><i>September 2016</i> <i>Guidance provided in the TSPC Newsletter and in presentation to Oregon School Personnel Association (OSPA) during summer conference.</i></p> <p><i>December 2016</i> <i>TSPC Deputy Director presented to district personnel directors during the October Oregon School Personnel Association (OSPA) meeting in October 2016, as well as at the state COSA meeting in November 2016. In December 2016, the Professional Practices Team conducted the first “Conversation with the Districts” webinar. This was one opportunity for district and school administrators to have a conversation with the TSPC Team regarding professional practices questions or issues which are most pertinent to them. The intent is to hold these webinar opportunities at regular intervals in the future.</i></p> <p><i>The TSPC newsletter has been utilized to convey frequently asked questions and trends observed by the Professional Practices team.</i></p>
<p>Work with investigators to improve the agency’s complaint form.</p>	<p><i>May 2016</i> <i>The agency developed new complaint forms for both school districts and patrons with instructions and suggestions about what they might consider prior to filing a complaint. The form was completed and launched in Spring 2016, so it is too early to determine whether the published guidelines will have an impact on the number of reports and</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>complaints filed during the year.</i></p> <p><i>September 2016</i></p> <p><i>Completed May 2016; however, the Deputy Director will continue to monitor the complaint process and the complaint form and process will be revised as future needs require.</i></p> <p><i>December 2016</i></p> <p><i>No additional revisions are necessary at this time.</i></p>
<p>Develop an online guide to what constitutes a valid complaint.</p>	<p><i>May 2016</i></p> <p><i>The complaint form has been revised and posted online.</i></p> <p><i>September 2016</i></p> <p><i>Agency staff utilize the revised complaint form to adequately capture complaints provided via telephone calls. The Deputy Director and the Professional Practices staff are developing communication and presentation materials to better inform patrons and districts of what constitutes a valid complaint, and what does not warrant a referral to TSPC. Items were included in the August TSPC Newsletter and a presentation to personnel directors is scheduled for October 2016.</i></p> <p><i>December 2016</i></p> <p><i>The Professional Practices Team is working with districts and schools via the other avenues of communication identified previously to assist in the determination of what constitutes a valid complaint. The first recommendation TSPC is now providing to districts and to schools is, in instances where the need to report is uncertain, to contact a TSPC Regional Investigator for a clarifying discussion of the issue.</i></p>
<p>Develop a plan for communicating discipline issues to educators. Provide more guidance to investigators on the amount of investigative action required for lower-tiered complaints.</p>	<p><i>May 2016</i></p> <p><i>The agency, working with the Commission has developed an expedited investigation process for cases low-level priority cases that rarely result in discipline.</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

September 2016

The Deputy Director and the Professional Practices staff are developing communication and presentation materials to better inform educators of professional standards and common violations reported to the Commission. Items were included in the August TSPC Newsletter and a presentation to personnel directors is scheduled for October 2016.

December 2016

TSPC Deputy Director presented to district personnel directors during the October Oregon School Personnel Association (OSPA) meeting in October 2016, as well as at the state COSA meeting in November 2016. In December 2016, the Professional Practices Team conducted the first “Conversation with the Districts” webinar. This was one opportunity for district and school administrators to have a conversation with the TSPC Team regarding professional practices questions or issues which are most pertinent to them. The intent is to hold these webinar opportunities at regular intervals in the future.

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
IMPROVE COMPLAINT INVESTIGATIONS – Commission	
<p>Provide more guidance to investigators on the amount of investigative action required for lower-tiered complaints.</p>	<p><i>September 2016</i> <i>The Deputy Director has regular meetings with the investigation staff. Processes have been reviewed for efficiency and minor adjustments to the work flow have been implemented.</i></p> <p><i>December 2016</i> <i>The Professional Practices Team now meets twice each month with the Deputy Director. Purposes of these meetings are to streamline investigative processes, improve other internal practices, establish clear expectations regarding investigations, and provide feedback to investigators.</i></p>
<p>Monitor improvements to case management and to guidance for investigators, districts and educators. If high caseloads and lengthy investigations remain. Consider tightening the interpretation of state laws or increasing the number of investigators.</p>	<p><i>September 2016</i> <i>The Deputy Director has been assigned Professional Practices and is working to review and revise this area of work. TSPC has requested spending authority to develop a case management system for this purpose. TSPC has consulted with DOJ representation (Raul Ramirez) regarding interpretation of state laws and OARs. TSPC staff are developing communication to districts with regard to reporting requirements. Scheduled presentation to Personnel Directors in October 2016.</i></p> <p><i>December 2016</i> <i>TSPC has implemented a new screening procedure for DHS reports received by the agency. Prior to going to an investigator, DHS reports are now reviewed by the Deputy Director to determine whether TSPC has jurisdiction to act on the report. Additional preliminary investigation steps are also taken, in collaboration with an investigator when</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

necessary, to determine if a full TSPC investigation is warranted based upon the DHS report. These procedures have helped in reducing the number of DHS reports which go to a full investigation.

January 2017

TSPC completed an analysis of investigator caseload, the investigation backlog, and investigation productivity. The Deputy Director has worked with investigators to re-balance active caseloads. As of January 2017, all investigators have fifty (50) or fewer cases assigned to them. Furthermore, the re-balancing of the caseloads was also conducted to ensure that, beginning in January 2017, three (3) of the four (4) TSPC investigators are working cases not more than 12 months old. Backlog cases older than 12 months have been assigned to the limited duration investigator for completion.

Trends within investigation productivity show tremendous progress in reducing the investigation backlog over the past eight (8) months. TSPC data indicates that from June 2016 to January 2017, the backlog of cases pending TSPC investigation has been reduced by a total of fifty-four (54) cases. By contrast, from June 2015 to June 2016, the backlog of pending cases was reduced by a total of fifty-seven (57) cases. In other words, in eight (8) months, TSPC investigators have produced 94% of the case output which previously took twelve (12) months to accomplish. As a result, the TSPC investigation backlog now is below 190 cases and is at its lowest total since February of 2012.

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
IMPROVE CUSTOMER SERVICE – Agency Management	
Update the agency’s website so that it provides educators with clear instructions for obtaining and renewing licenses.	<p><i>May 2016</i> The agency spent significant time revising and updating the agency’s web site providing detailed information on the new licensure system, instructions for filing, information regarding eligibility and other important information for licensees.</p> <p><i>September 2016</i> Agency leadership have requested the migration from Sharepoint 3 to Sharepoint 4. The newsletter is archived on the website for future reference. Additionally, agency staff have worked with NICUSA to develop tutorials for navigation the e-Licensure system.</p> <p><i>December 2016</i> Agency staff continue to update the agency website as relevant information surfaces.</p>
Begin tracking common questions received over the phone and email in order to develop a more comprehensive and useful FAQ page for the website.	<p><i>May 2016</i> The agency has developed a Frequently Asked Questions page on the website.</p> <p><i>September 2016</i> Additionally, TSPC staff (including PSRs) have worked with NICUSA to create tutorials for the e-Licensing system.</p> <p><i>December 2016</i> Updates to the FAQ page are made as necessary, based on feedback from agency staff –in response to inquiry trends noted during electronic and telephonic communication.</p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

<p>Increase outreach efforts to better communicate licensure rule and process changes to educators and districts.</p>	<p><i>May 2016</i> <i>The agency hired a communications contractor to assist with the regular publication of newsletters to school districts and stakeholders.</i></p> <p><i>December 2016</i> <i>The agency has transitioned to producing newsletters internally. Additionally, TSPC collaborates with external agencies and entities to distribute information to stakeholders. TSPC began utilizing a Rules Advisory Committee (RAC) to engage stakeholders in the rule-making process prior to making recommendations to the Commission.</i></p>
<p>Develop individual performance goals for customer service staff, monitor progress towards those goals and provide regular feedback to staff.</p>	<p><i>September 2016</i> <i>TSPC Leadership has requested training for staff regarding customer service. DAS Human Resources Contact (Carol Williams) has provided options available to TSPC.</i></p> <p><i>December 2016</i> <i>Training was provided to customer service staff by DAS Human Resources. Additionally, Public Service Representatives meet regularly with the Director of Licensure regarding telephone call data (dropped call rates, response times, call length, etc.).</i></p>
<p>Regularly review email and phone responses from staff to ensure educators and districts receive accurate and consistent information.</p>	<p><i>May 2016</i> <i>The agency monitors response times to phone and email and regularly reports these times to the Commission.</i></p> <p><i>September 2016</i> <i>The Director of Licensure, Deputy Director and Executive Director monitor correspondence from staff and conduct discussions with relevant staff to clarify any inconsistencies with information.</i></p> <p><i>December 2016</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>The Director of Licensure, Deputy Director and Executive Director monitor correspondence from staff and conduct discussions with relevant staff to clarify any inconsistencies with information.</i></p>
<p>Include customer service staff in meetings discussing licensure rule changes to help ensure that they give consistent advice to applicants.</p>	<p><i>September 2016</i></p> <p><i>The Director of Licensure includes public service representatives and evaluators in licensure rule change discussions. The staff are key in providing common errors found in applications received. This information is then communicated to districts via the newsletter and email.</i></p> <p><i>All licensure (including PSR) staff are provided opportunities to review and provide feedback to NICUSA regarding the online application process. NICUSA staff has worked directly with PSR staff to develop tutorial videos to share with educators and post to the agency website (release October 2016).</i></p> <p><i>December 2016</i></p> <p><i>Customer service staff continue to engage in licensure rule and e-Licensing System development discussions.</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
IMPROVE WORKING ENVIRONMENT – Agency Management	
<p>Work with staff to develop a plan for timely, open internal communications.</p>	<p><i>September 2016</i> <i>The TSPC Executive Director utilizes the agency listserv for internal communications. The Deputy Director and the Director of Licensure conduct regular discussions with respective staff and use email and face-to-face communication daily. The labor/management team is utilized for communication/discussion of agency matters.</i></p> <p><i>December 2016</i> <i>The Labor Management Committee (LMC) meets monthly and determines the agency agendas. The agendas are posted to the TSPC Network Drive and minutes are posted following the meetings. The Organizational Chart reflects a direct line of communication for each staff member. Additionally, the Executive Director, Deputy Director and Director of Licensure maintain an open door policy with staff and have a cell phone contact list to communicate any agency emergencies or timely information after hours.</i></p>
<p>Regularly review internal processes and procedures and periodically research best practices to identify opportunities for process improvements.</p>	<p><i>September 2016</i> <i>The Executive Director has shadowed TSPC staff to learn the processes and procedures used. In collaboration with the Deputy Director, the Director of Licensure, and TSPC staff, new procedures have been implemented and additional changes have been identified for revision.</i></p> <p><i>The TSPC leadership team has regular communication with key staff at the Chief Information Office (Ben Tate) and NICUSA to identify opportunities for utilization of technology for efficiency.</i></p> <p><i>December 2016</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>The TSPC leadership team continues to engage with TSPC staff to identify potential areas of improvement in processes used and communication both internally and externally. Additionally, a feedback loop has been established for all areas of the agency, including educational partners.</i></p>
<p>Develop performance expectations and standards for employees, monitor employee work, and provide regular and timely feedback on employee progress.</p>	<p><i>September 2016</i> <i>TSPC's new leadership team has reviewed personnel records and consulted with contracted human resources (DAS) to devise a new employee evaluation tool, as well as a revised schedule for employee evaluations.</i></p> <p><i>December 2016</i> <i>The Commission approved the Executive Director's goals during the November 2016 meeting.</i> <i>Goal 3: To improve customer service provided by the agency staff.</i> <i>Activity 1: Implement an agency personnel evaluation system designed to increase individual and agency capacity.</i> <i>Activity 2: Determine professional development needs for all agency employees and provide opportunities for professional growth based on identified needs.</i> <i>Activity 3: Incorporate professional development into the agency budget and allocate resources as they are available.</i></p> <p><i>Agency leadership continues to work with respective personnel to implement a new performance evaluation system. The initial engagement involves reviewing personnel position descriptions and aligning expectations to the agency's key performance measures, as well as the Executive Director's approved goals.</i></p>
<p>Develop collaborative, written development plans with each employee.</p>	<p><i>September 2016</i> <i>TSPC leadership is reviewing position descriptions for all personnel to ensure expectations match the employee classification. Once completed, conferences will be conducted with each employee to establish goals and written development plan (anticipated Fall 2016).</i></p> <p><i>December 2016</i> <i>TSPC leadership has developed a process for each employee to establish goals for the evaluation cycle. The November agency meeting presented an opportunity to discuss this process. The December meeting provided a deeper dive into this process. The Executive Director, Deputy Director, and Director of Licensure will continue to meet with respectively assigned personnel to establish goals and a timeline for receiving feedback regarding the progress of meeting these</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

goals. Since the goal development concept is new to the agency, this will be phased in, through training opportunities, during the 2017 year.

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

Audit Recommendation	Action Steps Taken
IMPROVE OVERSIGHT AND ACCOUNTABILITY – Commission	
<p>Create a mechanism for staff to communicate their concerns if staff feels that management is not adequately addressing them.</p>	<p><i>September 2016</i> <i>Labor Management Committee (LMC) Meetings occur monthly. Labor leadership has a direct line to the Commission Executive Committee. Three labor/management meetings have occurred since June 2016.</i></p> <p><i>December 2016</i> <i>The Labor Management Committee (LMC) continues to serve as the communication forum for any agency related concerns. Additionally, the DAS contracted Human Resources contact (Carol Williams) is onsite at TSPC every other Wednesday and is available to TSPC staff. Since September, no issues/complaints regarding management not being responsive to staff concerns/inquiries have been reported to the LMC or to the DAS Human Resources contact.</i></p>
<p>Consider using the committee structure already in place to increase the Commission’s awareness of individual programs, processes and results.</p>	<p><i>September 2016</i> <i>Committee Meetings are now audio recorded for increased transparency.</i></p> <p><i>December 2016</i> <i>The Executive Committee met December 20, 2016 to review the existing committee structure and determine the best use of the committees in preparing for full Commission meetings. Additionally, the Rules Advisory Committee (RAC) meetings are recorded and made available to the Commissioners. The agency leadership set a goal to have all items available to the Commission at least two weeks prior to the Commission meeting date.</i></p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

<p>Develop expectations and goals for the executive director that address reducing licensure and investigation backlogs, improving responsiveness to educators and improving the agency’s work environment.</p>	<p><i>May 2016</i> The Commission will be developing expectations and goals for the executive director as it relates to reducing the backlog in licensure and investigations. The director has already taken steps to improve the agency’s work environment by setting up regular meetings with staff and open communications.</p> <p><i>September 2016</i> The Commission employed a new Executive Director June 1, 2016. The position description very clearly articulates the expectations for the Executive Director and the agency. The interview process involved stakeholders and agency staff.</p> <p><i>December 2016</i> The Commission approved the Executive Director’s Goals during the November 2016 meeting. The Goals are available here: http://www.oregon.gov/tspc/Pages/Executive_Director/Executive_Director_Page.aspx</p>
<p>Monitor agency performance and provide guidance to management on ways they can address operational challenges.</p>	<p><i>May 2016</i> TSPC provides agency reports to the Commission during quarterly meetings.</p> <p><i>September 2016</i> TSPC continues to provide agency reports to the Commission during quarterly meetings. Additionally, the Executive Director communicates frequently with the Commissioners regarding agency operational matters.</p> <p><i>December 2016</i> TSPC continues to provide agency reports to the Commission during quarterly meetings. Additionally, the Executive Director communicates frequently with the Commissioners regarding agency operational matters. The item Commission Correspondence has been added to the executive committee agenda in order to provide the Commission with a transparent process for receiving external concerns or suggestions to the agency or Oregon Administrative Rules (OAR).</p>
<p>To improve oversight and accountability, the Commission should seek feedback from staff and outside stakeholders on agency and executive director performance.</p>	<p><i>May 2016</i> Agency Satisfaction Survey results are shared with Commission</p>

Teacher Standards and Practices Commission (TSPC)

Response to the Audit Recommendations

	<p><i>September 2016</i> <i>TSPC Executive Director will share communication received from external stakeholders regarding performance with members of the Commission. The Executive Director welcomes constructive feedback from staff, collaborating agencies, and outside stakeholders on agency and executive director performance.</i></p> <p><i>December 2016</i> <i>The Commission approved the Executive Director's Goals during the November 2016 meeting. The Goals are available here: http://www.oregon.gov/tspc/Pages/Executive_Director/Executive_Director_Page.aspx Additionally, the Executive Director developed a 'Delegation Request Form' for any member of the public who wishes to address the Commission regarding any matter. The form is available online at http://www.oregon.gov/tspc/documents/tspccommdeleg.pdf</i></p>
<p>To improve oversight and accountability, the Commission should conduct annual evaluations of the executive director based on his/her performance in meeting Commission approved expectations and goals.</p>	<p><i>September 2016</i> <i>Goals have been developed and are scheduled to be submitted to Commission for consideration and approval on November 4, 2016. An evaluation will occur annually, beginning in 2017.</i></p> <p><i>December 2016</i> <i>The Commission approved the Executive Director's Goals during the November 2016 meeting. The Goals are available here: http://www.oregon.gov/tspc/Pages/Executive_Director/Executive_Director_Page.aspx The Executive Director provides an update to the Commission quarterly regarding progress made towards meeting approved goals.</i></p>



Oregon

Kate Brown, Governor

TEACHER STANDARDS AND PRACTICES COMMISSION

250 Division Street N.E. Salem, OR 97301

Phone: (503) 378.3586

Fax: (503) 378.3758

January 12, 2016

Gary Blackmer, Director
Audits Division
Office of the Secretary of State
255 Capitol Street NE, Suite 500
Salem, OR 97310

RE: Audit Report: *Teacher Standard and Practices Commission: Better Oversight and a More Productive Work Environment Could Improve Service to Educators*

Dear Mr. Blackmer:

The Teachers Standards and Practices Commission was established in 1965 with the responsibility to maintain and improve performance in the education profession. Since its inception, much has changed in the education profession, but what remains the same is the commitment of the Commission to its responsibilities. As indicated by the Secretary of State's Audit, the Commission has a great deal of work ahead in restoring the confidence of the educators and the public it serves.

As the governing body for the agency, it is the responsibility of the Commission to monitor the effectiveness of the agency and its executive director. The Commission recognizes that a more proactive and responsive approach is required to resolve agency challenges before they become unmanageable. Clear and measureable expectations regarding agency performance and workplace conditions begins with the Commission. Although the Commission is comprised of 17 appointed and confirmed individuals representing a wide array of stakeholders, we all share a common and focused desire to ensure Oregon teachers are properly and efficiently licensed, investigations are promptly and professionally completed and educator preparation programs are thoroughly accredited.

The recent history of licensing and investigative backlogs will not be easy to undo or escape, but it will be one of the priorities for the Commission to resolve. We thank the auditors for their clarity in identifying areas of concern, and their thoughtfulness in their recommendations. The Commission looks forward to the work ahead and the challenges presented as the result of this process.

To improve licensure processing, we recommend agency management:

Recommendation: Continue communicating with employees on license rule changes before and after Commission approval. The agency agrees with this recommendation.

Recommendation: Develop a plan to address issues that could hinder the successful implementation of the online application system. The agency disagrees with this statement. The agency the contractor has delivered on all major milestones of the project and we are actively engaged in the launch. The contractor has a long-standing track-record for delivering online

January 12, 2016

Page 2

applications systems. The transition has been thoughtfully planned to ensure the least impact on stakeholders. The agency has hired a communications person to assist in getting information to educators, districts and stakeholders. Currently new communication is being delivered through direct email communication, vibrant web changes, and staff training for a consistent message regarding the implementation.

Recommendation: Create and regularly update written policies and procedures for evaluating and processing licenses centered on using the upcoming online application system. The agency agrees with this recommendation. Once the online application process is fully implemented the agency will work on needed procedures for evaluating licenses.

Recommendation: Consider identifying and incorporating best practices employed internally and at other licensing agencies. The agency agrees this is a good practice. With only three and a half management employees the agency has been focused on simplifying licensure and implementing the new online system. Once the system is fully launched later in 2016 and the impact on response times, employee time to issue a license and other internal practices can fully be analyzed, the agency will consider innovative practices in other small agencies.

Recommendation: Develop licensing production goals and use the reporting capabilities of the online licensing system to track progress and provide feedback to staff. The agency agrees with this recommendation and will continue to give daily feedback to the licensure and customer service unit regarding the previous day's performance as a team as we have since 2011.

Recommendation: Develop a process for systematically reviewing issued licenses to ensure quality and consistency. The agency agrees this is important and will review this recommendation once the online system is fully launched later in 2016.

To help improve expedited license service, we recommend agency management:

Recommendation: Work to reduce license backlog and issue more timely licenses. The agency agrees with this recommendation and has worked to develop the new online application system to achieve this goal over the past two years. Work on the backlogs has been ongoing and will continue to be a top priority.

Recommendation: Track explanations for all expedited service requests. The agency agrees with tracking expedited service explanations and accepts responsibility for the brief lapse in oversight over this process during our recent staffing turnover.

Recommendation: The Commission clearly define what constitutes an "urgent situation" warranting expedited service for license applications. The Commission generally agrees with this recommendation and will clarify conditions warranting an expedited service for license applications. Expedited service for license applications should include clearly defined components such as restricting the service to Districts and not individuals as well as requiring a reason justifying the "urgent situation" with the completed application. We anticipate a full

January 12, 2016

Page 3

commission discussion, concerning expedited license application, at our April 6-8, 2016 meeting, with final recommendations by the June 22-24, 2016 meeting.

Recommendation: Discuss appropriate procedures for processing applications that need expedited service due to agency delays. The Commission generally agrees with this recommendation. The Commission is committed to develop a procedure addressing such occurrences. This will be included in the discussion at our April 6-8, 2016 meeting, with final recommendations by the June 22-24, 2016 meeting.

To improve complaint investigations, we also recommend agency management:

Recommendation: Prioritize obtaining a case management system, and standardize case tracking in the interim. The agency agrees with this recommendation. The agency has hired a limited duration scanner to determine the scope of the documents that will be needed to be classified in a case management system. The agency started conversations with NIC-USA to start development of a case management system once our online application system is more fully implemented.

Recommendation: Consider requiring complaint investigators to obtain certifications. The agency and the Commission will consider this recommendation.

Recommendation: Improve case management of investigations, including researching best practices at other boards, clarifying expectations on the amount of investigative work required, setting performance goals, and providing regular feedback to investigators. The agency agrees with this recommendation. The agency has three full-time investigators and one limited duration investigator. The agency needs a full-time manager for this unit to accomplish this work. Given the current approved staffing, the oversight of the licensure unit and investigation unit is handled by one manager. The caseload in both areas (licensure and investigations) grew when we cut the licensure supervising management position in the 2013-2015 budget.

Recommendation: Provide more guidance to districts on complaint filing and how to properly conduct district-level investigations. The agency agrees it is important to provide more guidance regarding complaint filing but disagrees that it is within the agency's purview to train on how to conduct internal investigations. Investigations are generally conducted with the assistance of school district legal counsel and other district human resources. The agency does not have the staffing resources to pull investigators from important caseload management to conduct trainings.

Recommendation: Work with investigators to improve the agency's complaint form. The agency agrees with this recommendation and will have this completed by the April 2016 Commission meeting.

Recommendation: Develop an online guide to what constitutes a valid complaint. The agency agrees that guidance on complaints is important and will work with the Commission to identify

January 12, 2016

Page 4

what *does not* constitute a valid complaint and have recommendations regarding complaint guidance completed by the end of summer 2016.

Recommendation: Develop a plan for communicating discipline issues to educators. The agency agrees this is important, however the agency does not currently have the resources or capacity to develop an ongoing communication regarding discipline and complaints related to investigations.

We also recommend the Commission:

Recommendation: Provide more guidance to investigators on the amount of investigative action required for lower-tiered complaints. The Commission generally agrees with this recommendation. The Commission recognizes the need to balance its responsibility to protect students and families with the realities of limited resources. A clearly defined procedure needs to be developed and implemented to allow investigators to better prioritize investigative resources and ensure that high priority investigations are completed timely, efficiently and completely. The newly implemented tiered system will be closely monitored by the Commission to determine its effectiveness.

Recommendation: Monitor improvements to case management and to guidance for investigators, districts and educators. If high caseloads and lengthy investigations remain. Consider tightening the interpretation of state laws or increasing the number of investigators. The Commission generally agrees with this recommendation. It is the responsibility of the Commission to monitor the agency's ability to efficiently investigate cases and be prepared to make the necessary adjustments to maintain the level of service expected by the public. The Commission will develop a process to monitor the number of cases being received as well as the length of time being dedicated to the investigation. If funds become available and are approved, the Commission will consider increasing the number of investigators.

To improve customer service, we recommend agency management:

Recommendation: Update the agency's website so that it provides educators with clear instructions for obtaining and renewing licenses. The agency agrees with this recommendation and has recently hired a new staff person with web capabilities who has been working effectively with the contracted communications person to review the entire web site. Major web renovations have already been completed and will be continued.

Recommendation: Begin tracking common questions received over the phone and email in order to develop a more comprehensive and useful FAQ page for the website. The agency agrees with this recommendation and through work with the contracted communications person and new agency staff, a revised and useful FAQ is nearing completion and will be posted in the next two weeks.

Recommendation: Increase outreach efforts to better communicate licensure rule and process changes to educators and districts. The agency agrees this is a great practice but disagrees that it currently has the staffing resources to accomplish this consistently. Throughout the online

application launch and implementation of a revised licensure system we are using a temporarily contracted communications person to accomplish this recommendation in the near term.

Recommendation: Develop individual performance goals for customer service staff, monitor progress towards those goals and provide regular feedback to staff. The agency agrees with this recommendation and has postponed development of these goals until the full launch of the online application system. In late fall 2015, the agency promoted an employee to lead worker in this area to assist with communication, coordination and production. The agency understands the importance of establishing performance goals and providing regular feedback to staff. The agency has communicated daily performance to the licensure staff via email since 2011. This information includes the: number of licenses issued, number of pending applications, number of email responded to, number of pending email, number of walk-in customers and number of phone calls received.

Recommendation: Regularly review email and phone responses from staff to ensure educators and districts receive accurate and consistent information. The agency agrees this is important and has taken the following steps: We have met with staff regularly regarding the rule changes and developed a training plan for the new online application system. With the hiring of a rule coordinator, information gaps are being filled in the rules to assist with clearer communication to educators, districts and higher education. Following full implementation of the online system, the agency will develop a plan to review licensure information responses regularly to ensure we are dispensing accurate information.

Recommendation: Include customer service staff in meetings discussing licensure rule changes to help ensure that they give consistent advice to applicants. The agency agrees this is important and has been including all licensure staff in meetings regularly throughout rule development since May 2015. This practice will continue.

To improve working environment, we recommend agency management:

Recommendation: Work with staff to develop a plan for timely, open internal communications. The agency agrees with this recommendation.

Recommendation: Regularly review internal processes and procedures and periodically research best practices to identify opportunities for process improvements. The agency agrees with this recommendation and our responses have been fully addressed in other recommendations related to licensure and investigations procedural improvements.

Recommendation: Develop performance expectations and standards for employees, monitor employee work, and provide regular and timely feedback on employee progress. The agency agrees with this recommendation and our responses have been fully addressed in other recommendations related to licensure and investigations performance monitoring.

Recommendation: Develop collaborative, written development plans with each employee. The agency agrees with this recommendation. This work will be completed following implementation of the new online application system.

To improve oversight and accountability, we recommend the Commission:

Recommendation: Create a mechanism for staff to communicate their concerns if staff feels that management is not adequately addressing them. The Commission generally agrees with this recommendation. To ensure opportunities for developing positive workplace conditions, the Commission will create more access for agency staff to communicate unresolved concerns. The Commission is committed to developing a mechanism to improve the communication between the Commission and the agency staff.

Recommendation: Consider using the committee structure already in place to increase the Commission's awareness of individual programs, processes and results. The Commission generally agrees with this recommendation. The committee structure will be considered as one option to improve oversight and accountability. The Commission's awareness of individual programs, processes and results will be the focus during the development of such a structure.

Recommendation: Develop expectations and goals for the executive director that address reducing licensure and investigation backlogs, improving responsiveness to educators and improving the agency's work environment. The Commission generally agrees with this recommendation. During this transitional period, the Commission is committed to developing clear and measureable expectations for the executive director addressing licensure and investigation backlogs, improving responsiveness to educators and improving the agency's work environment.

Recommendation: Monitor agency performance and provide guidance to management on ways they can address operational challenges. The Commission generally agrees with this recommendation. The Commission is committed to developing an organizational structure monitoring agency performance as well as providing guidance for management in addressing operational challenges.

Recommendation: To improve oversight and accountability, the Commission should seek feedback from staff and outside stakeholders on agency and executive director performance. The Commission generally agrees with this recommendation. Access to the Commission for staff and outside stakeholders regarding agency and executive director performance should include a variety of ways not limited to public Commission meetings. The Commission is committed in ensuring staff and outside stakeholders have regular input into the performance of the agency and the executive director.

Recommendation: To improve oversight and accountability, the Commission should conduct annual evaluations of the executive director based on his/her performance in meeting Commission approved expectations and goals. The Commission generally agrees with this

January 12, 2016

Page 7

recommendation. The Commission has already started discussions concerning the evaluation process for the executive director. The Commission is committed to developing an evaluation process to include opportunities for providing feedback as well as to annually evaluate the executive director's performance in meeting Commission approved expectations and goals.

Collectively, these recommendations will help guide the Commission to implement strategic changes necessary for improved agency oversight, enhanced transparency and increased effectiveness. Implementation timeframes will be determined by prioritizing efforts towards the most time sensitive and impactful recommendations. Obviously, the transition to a new executive director provides opportunities for immediate systemic changes. Commission discussions have already started regarding recommendations pertaining to the Commission's review of the executive director's performance expectations and systematic evaluation. Licensure and investigative backlogs continue to adversely affect the agency's ability to meet the immediate needs of educators and will remain a priority until fixed. With the launch of the new online system, it is reasonable to expect the licensure backlog to be resolved during 2016. With the implementation of the tiered-system for investigations, it is reasonable to expect the investigative backlog being reduced during 2016. Both backlogs will be closely monitored by the Commission who will continue to work with the executive director and the staff to identify opportunities for a faster resolution.

Respectfully,



Victoria Chamberlain

Executive Director on behalf of the Commission

cc: Commissioners



Summary of Emergency Board Action

December 2016

The Legislative Emergency Board met on December 14, 2016 and considered an agenda of 34 items. The Emergency Board approved five allocations from the Emergency Fund, including one from a reservation established at the Board's September 2016 meeting. Five allocations from special purpose appropriations made to the Emergency Board were approved. The Board also approved a request made by the Legislative Fiscal Office to consolidate all unallocated special purpose appropriations into the Emergency Fund. Typically, special purpose appropriations not used by a specified date become available for any purpose allowed by the Emergency Board. The unused amounts are consolidated for ease of access during the next legislative session. After the Emergency Board actions in December, the unallocated Emergency Fund balance (including the \$7.7 million in transferred unused special purpose appropriations) is \$28.3 million.

The agenda included 11 items that requested additional 2015-17 biennium authority to spend Lottery Funds, Other Funds, and Federal Funds. The Emergency Board approved expenditure limitation increases of approximately \$381 million Other Funds (\$339 million for the Oregon Health Authority rebalance), \$8.1 million Federal Funds, and \$0.3 million Lottery Funds. The Emergency Board also authorized the establishment of six permanent positions (11.18 FTE).

The agenda included ten agency reports which the Emergency Board acknowledged receiving. The Emergency Board also heard 4 requests for the submission of federal grant applications, all of which were approved.

The following is a summary of significant Emergency Board actions taken at the December 2016 meeting:

EDUCATION

- Allocated \$2,058,554 from a reservation established within the Emergency Fund for the Department of Education to be distributed to school districts and Education Service Districts for the costs related to testing for elevated levels of lead in water fixtures which are used for drinking, food preparation, and other uses leading to human consumption.
- Allocated \$1,414,193 from the Emergency Fund to the Higher Education Coordinating Commission for a grant to Portland Community College for completion of the final five quarters of the program for former nursing students of the ITT Technical Institute in Portland.
- Approved, retroactively, the submission of a federal grant application by the Department of Education to the U.S. Department of Education for an Enhanced Assistance Grant to develop an

alternative science assessment for students with severe cognitive disabilities; the agency was notified that it did not receive the grant after submitting the request to the Emergency Board.

- Increased the Other Funds expenditure limitation for the Teacher Standards and Practice Commission by \$358,049 for increased fingerprinting, legal, and credit card related costs.

HUMAN SERVICES

- Allocated \$10,624,903 from a special purpose appropriation made to the Emergency Board to the Department of Human Services for caseload costs or other budget challenges, increased the agency's Other Funds expenditure limitation by \$6,706,289, increased the Federal Funds expenditure limitation by \$226,939, and authorized the establishment of one permanent

position (0.25 FTE) to rebalance the Department's 2015-17 budget.

- Allocated \$29,375,097 from a special purpose appropriation made to the Emergency Board to the Oregon Health Authority for caseload costs or other budget challenges, increased the agency's Other Funds expenditure limitation by \$338,848,484, approved other transfers between appropriations and expenditure limitations, with the understanding that the Department of Administrative Services will unschedule \$751,500,655 Federal Funds limitation, and authorized the establishment of five permanent positions (10.93 FTE) to rebalance the agency's 2015-17 budget.
- Allocated \$659,392 from the Emergency Fund to the Department of Administrative Services for distribution to the University of Oregon, Lane Community College, and the Lane County Health Department for expenses incurred as a result of the meningitis vaccination program in Lane County.
- Acknowledged receipt of a report from the Oregon Health Authority on the new behavioral health investments.
- Acknowledged receipt of a report from the Department of Human Services on program sustainability options and actions.

PUBLIC SAFETY and JUDICIAL BRANCH

- Allocated \$596,000 from the Emergency Fund to the Department of Public Safety Standards and Training to pay for emergency repairs to fire life safety systems, and deferred consideration of a request to fund additional training classes until the 2017 legislative session.
- Increased the Other Funds expenditure limitation for the Department of Justice by \$1,804,679 and the Federal Funds expenditure limitation by \$5,647,521 for the Child Support Enforcement Automated System (CSEAS) project to cover expenditures through June 2017.
- Approved, retroactively, the submission of a federal grant application by the Department of Justice to the U.S. Department of Justice and increased the Federal Funds expenditure limitation by \$1,342,520 for expenses related to the Umpqua Community College shooting incident.
- Approved, retroactively, the submission of a federal grant application by the Department of

Public Safety Standards and Training to the U.S. Department of Homeland Security in the amount of \$500,000 for the purchase of a mobile fire training unit.

- Acknowledged receipt of a report from the Department of Corrections on female and male prison population trends and system bed capacity.
- Allocated \$2,000,000 from a special purpose appropriation made to the Emergency Board to the Department of Corrections to reduce isolation and improve the care of seriously mentally ill adults in custody in the Behavioral Health Unit at the Oregon State Penitentiary.
- Denied a request by the Department of Corrections for an allocation of \$3,800,000 from the Emergency Fund to reactivate the Oregon State Penitentiary Minimum Security Facility by June 2017 in order to provide a second women's prison to accommodate the current prison population and the anticipated population growth reflected in the October 2016 prison population forecast.
- Allocated \$4,055,962 from the Emergency Fund to the Public Defense Services Commission for trial-level public defense costs.
- Acknowledged receipt of a report from the Public Defense Services Commission on compensation plan changes.
- Acknowledged receipt of a report from the Judicial Department on potential courthouse capital construction project funding requests.

NATURAL RESOURCES

- Acknowledged receipt of a report from the Department of Forestry on the 2016 fire season, allocated \$1,768,628 from a special purpose appropriation made to the Emergency Board for fire severity, increased the Other Funds expenditure limitation by \$10,178,762 for the processing of payments for fire season costs, and recommended that General Fund appropriations of \$6,791,209 for large fire costs, \$333,568 for interest expenses, and \$532,278 for district deductible costs be included in an early 2017 session budget rebalance bill.
- Increased the Federal Funds expenditure limitation for the Parks and Recreation Department by \$500,000 for a grant to the Southern Oregon Land Conservancy.

Emergency Fund Balance Summary		
	Agency Requests	Full Committee Action
General Purpose Emergency Fund		
Appropriation (after 2016 Session adjustments)	32,000,000	32,000,000
Allocations to date	(2,650,923)	(2,650,923)
Unallocated Balance	29,349,077	29,349,077
Reservations (within General Purpose)	5,000,000	5,000,000
Reservations allocated to date	0	0
Unallocated Reservations	5,000,000	5,000,000
# December 2016 Requests - General Purpose		
5 Public Defense Services Department - Trial Level Public Defense Costs	(4,055,962)	(4,055,962)
7 Department of Education - Lead Testing in School Water Systems (from Reservation)	(5,000,000)	(2,058,554)
9 Higher Education Coordinating Commission - Nursing Student Program at Portland Community College	(1,589,193)	(1,414,193)
10 Department of Human Services - 2015-17 Budget Rebalance	(13,072,892)	0
12 Oregon Health Authority - 2015-17 Budget Rebalance	(38,597,132)	0
13 Oregon Health Authority - University of Oregon Meningitis Outbreak (Department of Administrative Services)	0	(659,392)
15 Department of Public Safety Standards and Training - Life Safety Systems Emergency Repairs	0	(596,000)
21 Department of Corrections - Re-activating Oregon State Penitentiary Minimum Facility for Women Inmates	(3,824,977)	0
27 Department of Forestry - 2016 Fire Season Costs and Insurance (see SPA)	(12,083,999)	0
37 Legislative Fiscal Office - Transfer of Unused Special Purpose Appropriation to Emergency Fund	7,693,230	7,693,230
Total Requests - General Purpose	(70,530,925)	(1,090,871)
General Purpose Unallocated/Unreserved Balance after 12/2016	(41,181,848)	28,258,206
Special Purpose Appropriations - Agency Specific (after 2016 Session actions)		
Allocations/Transfers to Date	(11,468,805)	(11,468,805)
Unallocated Balance	51,786,640	51,786,640
# December 2016 Requests - Special Purpose Appropriations - Agency Specific		
1 Secretary of State - Voter Registration Record Costs	(324,782)	(324,782)
10 Department of Human Services - 2015-17 Budget Rebalance	0	(10,624,903)
12 Oregon Health Authority - 2015-17 Budget Rebalance	0	(29,375,097)
20 Department of Corrections - Behavioral Health Unit	(2,000,000)	(2,000,000)
27 Department of Forestry - 2016 Fire Season Costs and Insurance (see General Purpose)	(1,768,628)	(1,768,628)
37 Legislative Fiscal Office - Transfer of Unused Special Purpose Appropriation to Emergency Fund	(7,693,230)	(7,693,230)
Total Requests - Special Purpose - Agency Specific	(11,786,640)	(51,786,640)
Special Purpose - Agency Specific - Unallocated Balance after 12/2016	40,000,000	0



Appendix C

Summary of Proposed Technology Projects

TSPC has included a Policy Option Package to purchase or develop a Case Management System for Investigations. POP 102 includes \$200,000 for this expenditure.

Case Management System: The agency reviewed at least three different vendor options and products prior to soliciting a bid from NICUSA to develop a case management system. The system will assist in monitoring cases, tracking investigation reports, and allow investigators to create and work within a digital investigation system. Currently cases are tracked manually with an excel sheet and case documentation is kept in paper investigative files. The office has adopted procedures for investigation, but does not have a case tracking system that allows us to smoothly track cases from entrance into the system (via a complaint or other information), to dismissal or final order of misconduct. The product proposed by NICUSA would allow the agency to do these modest functions and may prove useful to other agencies who need a similar tracking system. NICUSA provided a development quote for the 2017-2019 biennium of \$250,000. However, with the requested addition of a 1.0 FTE ISS 6 position, the agency intends to minimize external components originally included in the bid from NICUSA.



Appendix D

Reclassifications during the 2013-2015 Biennium

The following positions were reclassified during the **2013-2015** biennium.

- Position #0000144, reclassified June 24, 2014, from an *Office Specialist 2* to an *Administrative Specialist 2*. No salary changes.
- Position #0000141, reclassified September 11, 2013, from an *Information Systems Specialist 2* to an *Information Systems Specialist 5*. The monthly salary was changed from \$3,859 to \$4,322, an increase of \$463.00 per month.