

COMPLIANCE REVIEW AD HOC COMMITTEE REPORT

September 13, 2019

STATUS UPDATE AND FINAL RECOMMENDATION

BACKGROUND

The Board of Social Work created the Compliance Review Ad Hoc Committee in January 2015 to review the complaint resolution process and make recommendations for improvement. The Board charged the committee to consider transparency, accountability, cost savings, and efficiencies in its review of the complaint resolution process. The committee worked over a nearly two-year period and created over 40 recommendations. The committee issued a final report entitled *Destination: Public Protection; Final Report: 2015-2016 Compliance Review Ad Hoc Committee* which detailed its work and described its recommendations. The full Board adopted the final report and its recommendations on March 17, 2017.

In 2019, the Compliance Review Ad Hoc Committee met to review the status of their recommendations and make a final recommendation to the Board regarding the continuation of the committee.

CRC STRATEGIC GOALS & PRIORITIES RECOMMENDATIONS

In May and August 2019, the Compliance Review Ad Hoc Committee met to review the current status of the recommendations from the 2017 report. The committee determined that all the recommendations are either complete, being handled by another committee, or no longer recommended. A table of each recommendation, the actions completed, and current status follows.

CRC STRATEGIC GOALS & PRIORITIES RECOMMENDATIONS

STATUS UPDATE AUGUST 2019

Ongoing Priorities	Action(s)	Owner(s)	Status
Document post-Panel meeting decisions and follow-up	Fully implemented and integrated into procedures	Staff	100%
Provide regular reports and progress updates to Panel	Fully implemented and integrated into procedures	Staff	100%
Develop and implement enhanced reporting tools in new licensing system	Utilizing technology available and maximizing use of technology	Staff	100%

Policy Priorities Assigned to CRC in 2016	Action(s)	Owner(s)	Status
<ul style="list-style-type: none"> • Ensure regular review of compliance process and recommendations in conjunction with board strategic planning <ul style="list-style-type: none"> ○ Ensure consistency by evaluating the decision-making process and tracking outcomes ○ Determine goals for timely review and resolution of complaints which meet and exceed statutory requirements ○ Re-evaluate the compliance panel review process and staff complement 	Complete 2016 CRC review; consider including in next Strategic Plan	Future Strategic Plan	N/A

Short Term Priorities	Action(s)	Owner(s)	Status
Conduct compliance panel cost analysis	Estimate for FY 2019 completed	CRC & Staff	100%
Review and update complainant and respondent letters to ensure plain language	New brochure; templates consistently improved	Staff	65-70%
Enhance license data on website to include license history data	Included with ALIMIS online services	IT & Staff	100%
Survey other Minnesota and other HLBs to gather data on how they achieve transparency	Recommendation not to gather additional data; no longer needed; GovDelivery is in place; website updated	N/A	100%
Develop and schedule regular training on complaint resolution process, and implicit bias at board meetings	Board training on Hearing process	L&D	50%

Long Term Priorities	Action(s)	Owner(s)	Status
Educate licensees about Board and regulations	MSSA Presentation; St. Louis County Presentation; NASW Presentation; updated brochures; Compliance Toolkit in quarterly newsletter	CEOC	100%
Ensure complaint resolution process information is easily accessible and includes plain language	New brochure; templates consistently improved; updated complaint registration form	Staff	80%
Educate licensees and applicants on common ethical dilemmas utilizing the Board website	Jurisprudence exam 2020; Compliance Toolkit in quarterly newsletter	CEOC & Staff	75%
Create enhanced data reporting capacity with ALIMIS	Ongoing in ALIMIS 3.0 development	MNIT; ALIMIS Steering Committee	50%
Create and implement online customer satisfaction survey	Deploy October 2019	CEOC	95%
Engage in outreach to Governor and Legislature	GovDelivery implemented; Meetings with legislators regarding 214; many meetings regarding fee increase and budget	Executive Director	70%
Media readiness; responding to media inquiries	No longer recommended to initiate media contact but be prepared to respond	Executive Director	As Needed

Long Term Priorities	Action(s)	Owner(s)	Status
Conduct continuous process improvement Kaizen or LEAN event	Formal event no longer recommended; several internal process improvements made; nearly paperless in new database; continuous improvement integrated into culture	Staff Leadership	Ongoing
Further study cost and options for formal audit	No longer recommended; BOSW has strong internal controls recently updated by ED and reviewed by Board Chair; excellent feedback from MMB	Staff Leadership & Executive Committee	N/A
Study option to end printed license cards	Reviewed in the L&R statutory deep dive	L&R	100%

Priorities Incorporated into the 2015-2018 Board Strategic Plan	Owner(s)	Status
Create Compliance Panel term limits	Executive Committee	100%
Implement License Late Fee	Staff	100%
Implement ALIMIS	Staff	100%
Develop and implement a jurisprudence exam	CEOC	75%
Invest in new hardware for interactive meetings	Staff	100%
Produce education modules for website	CEOC	25%
Present education sessions at conferences	CEOC	100%
Develop public service announcements (GovDelivery)	Staff	100%
Collaborate with HLBs at MN State Fair	CEOC	N/A
Collaborate with DHS regarding definitions of mental health professionals	Staff Leadership	100%

FINAL RECOMMENDATION AND REQUEST FOR BOARD ACTION

The committee determined that it has successfully completed its charge as assigned in January 2015. At this time, the 2017 recommendations of the committee are substantially complete, and the committee determined there is no longer a need for the ad hoc committee to continue.

The Board created the Compliance Review Ad Hoc Committee with the intent that it would be temporary. Future reviews of the complaint resolution process or compliance related policy tasks could be referred to a new ad hoc committee, or the standing Compliance Committee, that may or may not be similar to the current committee.

The Compliance Review Ad Hoc Committee recommends that the work of the committee is completed and that the committee be disbanded. The Compliance Review Ad Hoc Committee moves the following:

- The Board approve the recommendation to disband the Compliance Review Ad Hoc Committee.