

STATE OF CALIFORNIA
Budget Change Proposal - Cover Sheet
 DF-46 (REV 08/15)

Fiscal Year 16-17	Business Unit 1110 1111	Department Department of Consumer Affairs	Priority No. 1
Budget Request Name 1110-013-BCP-BR-2016-GB 1111		Program 1140 - DENTAL HYGIENE COMMITTEE	Subprogram

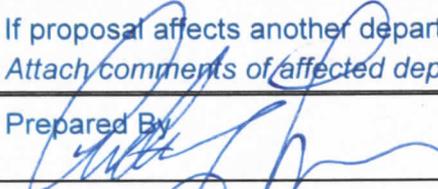
Budget Request Description
 Probation Monitoring Staff Augmentation

Budget Request Summary

The Dental Hygiene Committee of California (DHCC) is requesting a budget augmentation of \$90,000 in FY 2016-17 and \$82,000 in FY 2017-18 and ongoing to fund a 1.0 Staff Services Analyst position to address a mission critical need of consumer protection in the Enforcement Program to oversee its probation monitoring workload. Currently, the DHCC is utilizing one Enforcement Analyst to oversee all of its probationers; however, the number of probation cases has escalated exponentially over the past 2 years (from 11 to 28 cases) due to an emphasis on enforcement of the dental hygiene licenses for consumer protection. Given the increased workload from the large increase in probationers, it is impossible for a single analyst to oversee all of the probationers adequately and address other mission critical Enforcement Program responsibilities.

Requires Legislation <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed	
Does this BCP contain information technology (IT) components? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <i>If yes, departmental Chief Information Officer must sign.</i>	Department CIO	Date
For IT requests, specify the date a Special Project Report (SPR) or Feasibility Study Report (FSR) was approved by the Department of Technology, or previously by the Department of Finance. <input type="checkbox"/> FSR <input type="checkbox"/> SPR Project No. Date:		

If proposal affects another department, does other department concur with proposal? Yes No
Attach comments of affected department, signed and dated by the department director or designee.

Prepared By 	Date 8/28/15	Reviewed By 	Date 8.28.15
Department Director 	Date 8-31-15	Agency Secretary 	Date 9-1-15

Department of Finance Use Only

Additional Review: Capital Outlay ITCU FSCU OSAE CALSTARS Dept. of Technology

P Type: Policy Workload Budget per Government Code 13308.05

PPBA Original signed by Jeff Carosone	Date submitted to the Legislature 1-7-16
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BCP Fiscal Detail Sheet

BCP Title: Dental Hygiene - Probation Monitoring Staff Augmentation

DP Name: 1111-013-BCP-DP-2016-GB

Budget Request Summary

	FY16					
	CY	BY	BY+1	BY+2	BY+3	BY+4
Positions - Permanent	0.0	1.0	1.0	1.0	1.0	1.0
Total Positions	0.0	1.0	1.0	1.0	1.0	1.0
Salaries and Wages						
Earnings - Permanent	0	46	46	46	46	46
Total Salaries and Wages	\$0	\$46	\$46	\$46	\$46	\$46
Total Staff Benefits	0	29	29	29	29	29
Total Personal Services	\$0	\$75	\$75	\$75	\$75	\$75
Operating Expenses and Equipment						
5301 - General Expense	0	2	2	2	2	2
5302 - Printing	0	1	1	1	1	1
5304 - Communications	0	1	1	1	1	1
5306 - Postage	0	1	1	1	1	1
5322 - Training	0	1	1	1	1	1
5344 - Consolidated Data Centers	0	1	1	1	1	1
5368 - Non-Capital Asset Purchases - Equipment	0	8	0	0	0	0
Total Operating Expenses and Equipment	\$0	\$15	\$7	\$7	\$7	\$7
Total Budget Request	\$0	\$90	\$82	\$82	\$82	\$82

Fund Summary

Fund Source - State Operations						
3140 - State Dental Hygiene Fund	0	90	82	82	82	82
Total State Operations Expenditures	\$0	\$90	\$82	\$82	\$82	\$82
Total All Funds	\$0	\$90	\$82	\$82	\$82	\$82

Program Summary

Program Funding						
1140 - State Dental Hygiene Committee	0	90	82	82	82	82
Total All Programs	\$0	\$90	\$82	\$82	\$82	\$82

Personal Services Details

		Salary Information			CY	BY	BY+1	BY+2	BY+3	BY+4
		Min	Mid	Max						
Positions										
5157	Staff Svcs Analyst (Gen) (Eff. 07-01-2016)				0.0	1.0	1.0	1.0	1.0	1.0
Total Positions					0.0	1.0	1.0	1.0	1.0	1.0
Salaries and Wages										
5157	Staff Svcs Analyst (Gen) (Eff. 07-01-2016)				0	46	46	46	46	46
Total Salaries and Wages					\$0	\$46	\$46	\$46	\$46	\$46
Staff Benefits										
5150350	Health Insurance				0	12	12	12	12	12
5150500	OASDI				0	4	4	4	4	4
5150600	Retirement - General				0	12	12	12	12	12
5150800	Workers' Compensation				0	1	1	1	1	1
Total Staff Benefits					\$0	\$29	\$29	\$29	\$29	\$29
Total Personal Services					\$0	\$75	\$75	\$75	\$75	\$75

Analysis of Problem

A. Budget Request Summary

The Dental Hygiene Committee of California (DHCC) is requesting a budget augmentation of \$90,000 in FY 2016-17 and \$82,000 in FY 2017-18 and ongoing to fund a 1.0 Staff Services Analyst position to address a mission critical need of consumer protection in the Enforcement Program to oversee the Probation Monitoring Program workload. Currently, the DHCC is utilizing one Enforcement Analyst to oversee all of the probationers; however, the number of probation cases has escalated exponentially over the past 2 years (from 11 to 28 cases) due to an emphasis on enforcement by the DHCC for consumer protection. Given the increased workload from the large increase in probationers, it is impossible for a single analyst to oversee all of the probationers adequately and address other mission critical Enforcement Program responsibilities.

B. Background/History

In 2002, the Joint Legislative Sunset Review Committee (JLSRC) agreed that "dental hygienists had reached the point where their responsibilities warranted a regulatory body, separate from the Dental Board of California (DBC)." The Dental Hygiene Committee of California (DHCC) was created in FY 2009-10 as result of the passage of Senate Bill (SB) 853 (Ch. 31, Statutes of 2008).

As an independent committee, the DHCC represents the only self-regulating dental hygiene agency of its kind in the United States. The DHCC has the authority regarding all aspects of the licensing of dental hygienists, all enforcement and investigation authority regarding all dental hygienists, and the approval of educational programs that provide the prerequisite education to become a licensed dental hygienist. According to Business and Professions Code (BPC) Section 1900, the purpose for the DHCC is "to permit the full utilization of registered dental hygienists, registered dental hygienists in alternative practice, and registered dental hygienists in extended functions in order to meet the dental care needs of all of the state's citizens."

The DHCC is responsible for overseeing three categories of dental hygienists: registered dental hygienist (RDH), registered dental hygienist in alternative practice (RDHAP), and registered dental hygienist in extended functions (RDHEF). In all, there are over 25,000 dental hygiene licensees that the DHCC oversees. As a self-regulating agency, the DHCC develops and administers written and clinical licensing examinations, conducts occupational analyses of the various professional categories, evaluates educational courses, pursues legislation, establishes regulations, approves educational programs, and has licensing and enforcement responsibilities. The DHCC also participates in outreach and support of the dental and dental hygiene community with the goal of ensuring the highest quality of oral healthcare for all Californians. The DHCC regulates the dental hygiene profession by the guidance of its statutes contained in the BPC Sections 1900 – 1966.6.

When the DHCC was established in FY 2009-10, BPC section 1951 provided the authority to discipline a licensee by placing him or her on probation under various required terms and conditions to comply with the order. Licensees who are placed on probation are found to have some type of criminal activity (e.g., driving while intoxicated, petty theft, burglary, and spousal abuse) on their record, or unprofessional or unethical practice where they may have harmed a patient or performed a procedure outside their scope of practice. The oversight of these individuals is the DHCC's most critical job as it strives to provide protection, which is its' primary mission and the Department of Consumer Affairs (Department) vision to be the premier consumer protection agency.

Since the DHCC's inception, there has been an ongoing issue to employ an adequate number of staff to address all of its program functions. The departures of many staff and a concurrent hiring freeze through 2012 prohibited the DHCC from refilling vacant positions and deterred any efforts to request any new positions. Over the past three years since the hiring freeze was lifted, the DHCC has slowly

Analysis of Problem

hired more staff to refill vacancies and to address an ever-increasing programmatic workload, especially in the Enforcement program. The DHCC currently has one full-time analyst to run all of the enforcement program functions of probation, citation and fine, complaint intake, case investigation, writing investigative reports, case preparation for the Attorney General's (AG) Office, enforcement statistical tracking and reporting, and review of stipulated settlements and decisions as they are submitted.

As of 2014, the Enforcement analyst was able to handle the number of probationers on file in addition to the other enforcement duties, as there were only 11 licensees on probation. However, with an additional departmental and DHCC emphasis on enforcement the past few years and more complaints that warranted enforcement action being submitted, there has been a dramatic, exponential increase (from 11 to 28 cases = a 250% increase) in the number of enforcement cases that have progressed to disciplinary action taken and probationary terms ordered by the DHCC. The Enforcement analyst cannot manage the current enforcement duties and appropriately manage the current 28 probation cases. Additional help and resources to address the DHCC's probation workload are urgently needed. The DHCC determined that this is not a temporary increase and the number of probation cases will continue to rise at a high rate for the foreseeable future, as information sources such as subsequent arrest records, National Practitioner Databank reports, increased ethical boundary reporting by licensees, and the continual stream of complaints received from consumers has produced a significant number of probation cases.

Many of the licensees who are ordered on probation have more complex requirements to fulfill as a condition of their probation. Some must submit to bodily fluid testing, meet with enforcement staff face-to-face on a quarterly basis, and submit quarterly reports of compliance that DHCC staff must review and then communicate to the licensee whether any deficiencies are identified. Other probationers must complete remedial education; new or additional training, complete community service, a law and ethics examination, and some undergo a psychological evaluation and continued psychotherapy as a condition of probation. The circumstances that surround a particular licensee will determine their probationary conditions that must be met as ordered by the DHCC or ALJ through a Discipline Order. But no matter what the Discipline Orders detail as a part of the licensee's condition of probation, all of the probationers require a significant amount of staff time and resources to review their probation status, compliance (or non-compliance) with the orders, and a chance to rectify the situation if a deviation is found. If a licensee is out of compliance, it is the responsibility of the Probation Monitor to work with the licensee to try and bring the probationer back into compliance.

As such, the DHCC is requesting a budget augmentation of \$90,000 in FY 2016-17 and \$82,000 in FY 2017-18 and ongoing for 1.0 SSA position to oversee its Probation Monitoring Program workload.

Resource History
(Dollars in thousands)

Program Budget	PY - 4	PY - 3	PY - 2	PY - 1	PY
Authorized Expenditures	\$1,257	\$1,247	\$1,355	\$1,409	\$1,643
Actual Expenditures	\$1,238	\$1,033	\$944	\$1,243	\$1,320
Revenues	\$1,353	\$1,308	\$1,121	\$972	\$1,756
Authorized Positions	4.0	6.9	7.0	8.2	8.2
Filled Positions	4.0	3.0	6.0	6.0	6.0
Vacancies	0.0	3.9	1.0	2.2	2.2

Analysis of Problem

Workload History

Workload Measure	PY - 4	PY - 3	PY - 2	PY - 1	PY
Number of Probationers	1	1	2	11	28
Number of Accusations Filed	1	1	8	6	17
Number of Pending ENF Cases	26	26	28	31	44
Number of Complaints Received	18	10	23	66	77

C. State Level Considerations

This BCP will enhance the Department's emphasis and vision to be the premier consumer protection agency for all California citizens by enabling the DHCC to enforce the laws to help protect consumers against unqualified or fraudulent individuals, review consumer complaints and investigate them to identify any violations of the law, and to ensure that licensees are competent in their profession and have met minimal occupational qualifications and passed a criminal background check prior to the issuance of a license.

The DHCC is a specially funded agency. Revenue is derived from the various fees assessed to applicants and licensees. The DHCC will have sufficient revenue to support the needed augmentation to its operating allocations, and fulfill its legal obligation to regulate the dental hygiene profession. As a specially funded program, this Budget Change Proposal will not impact the State's General Fund

D. Justification

Over the past 2 years, the DHCC had several new members appointed who have focused more attention on Enforcement cases because of the increased number of complaints the DHCC received. It was found that with the increase in the number of substantiated complaints, there was also an increase in the number of investigations that were conducted where incriminating facts were uncovered for the DHCC to handle. The DHCC also decided to address licensees found to have a conviction or convictions on their record and pursue some form of disciplinary action against their license, including probation, as this could be detrimental to their professional conduct and possibly pose a risk to California consumers. Enforcement case topics such as unlicensed practice, conviction of a crime, scope of practice issues, using controlled substances, or caught while driving under the influence of alcohol are the primary issues the DHCC is addressing. With the increase in the number of enforcement cases for the DHCC, a number of those cases went to hearing by an ALJ or were presented for consideration by the DHCC to determine a disciplinary outcome for the licensee in order to maintain their license or risk revocation. As such, many of the ALJ and DHCC decisions based upon the facts presented, warranted a sentence for the licensee to be placed on probation with specific terms and conditions to be followed including, but not limited to, live interviews, bodily fluid testing, probation monitoring, psychiatric evaluations, written reports, etc. Any non-compliance to these terms and conditions and the licensee faced the revocation of their license to practice dental hygiene.

Within the past two years, the number of probationers has increased from 11 to 28 which is equal to an astounding 250% increase in the number of probationers DHCC staff currently monitor. This was a direct result of putting more resources and staff time to the Enforcement program to process and

Analysis of Problem

investigate complaints submitted by consumers and licensees. The DHCC anticipates that the number of probationers will only increase in the future as more complaints are filed and investigated.

The probation workload begins with a review of the Disciplinary Orders and file setup, an initial probation interview is conducted to review the terms and conditions of probation with the licensee, and, depending upon the terms of probation, there may be ongoing bodily fluid testing, psychiatric evaluations, quarterly reports, frequent communications with the probationer to ensure compliance or non-compliance with the terms and condition of probation. Frequently, a Subject Matter Expert will be called upon to determine whether a probationer has stayed compliant with the terms and conditions of their probation and to obtain an expert opinion for direction and options for a particular case. There is also travel involved to meet with many probationers, as they are required to meet with the Probation Monitor at least once every year. This, in addition to all of the administrative duties such as tracking, monitoring, and updating probation and investigation files, data entry into the probationer's computer file, and ensuring that the DHCC is collecting cost recovery monies to pay for restitution, probation monitoring fees, or other charges that may be a part of the probation terms and conditions, is what the Probation Monitor workload consists of.

The type of work duties and functions for probation monitoring has not changed and remains constant. However, what has changed is the amount of work a single person at this time must complete. The simple fact that the doubling of the number of probationers who need ongoing monitoring to ensure they comply with the terms and conditions of probation translates into a large increase in the workload that the current Enforcement analyst/Probation Monitor must assume. One person can only handle a certain amount of work before becoming overwhelmed, burnt out, and overworked and the specific breakout of the duties and amount of time required to perform them are provided in the Workload and Staffing Requirements Chart which is BCP Attachment 1 (Attached).

A sample of what is occurring in the dental realm and what the DHCC is trying to prevent in the interest of consumer protection are: licensed individuals practicing outside of their scope of practice or independently when they should be under the supervision of a dentist; licensees providing dental or other services they were not trained to provide (i.e., Botox injections); and unlicensed individuals and applicants who are practicing dental hygiene without a license and thus, putting the consumer at risk with their illegal practice. These individuals will continue to provide dental hygiene or other services until they are caught. Until then, consumer protection will be compromised if the DHCC does not have the adequate staff and resources to oversee the dental hygiene licensing population including probation monitoring.

E. Outcomes and Accountability

The addition of the requested analyst position to oversee the DHCC Probation Monitoring Program will solidify the DHCC's efforts to provide consumer protection for the people of California. The dental hygiene licensees who have been placed on probation as a part of their Discipline Orders will have more direct oversight by the Probation Monitor as to how they are complying with their specific conditions of probation. All aspects of a probationer's orders such as bodily fluid testing, remedial education, community service, cost recovery, quarterly reports and interviews, or other directives, can be more closely monitored by a DHCC staff person who is directly responsible for the oversight of probationers. The additional position will also correct the overloaded work situation for the Enforcement analyst, as the workload is greater than what should be reasonably expected for one person to handle. The new position will alleviate the Enforcement analyst of the full-time probation monitor workload which will enable her to focus on the other mission critical aspects of her position that are also vital for consumer protection.

Analysis of Problem

Probation monitoring requires a specific skillset/training that average analysts normally do not possess. The skillset/training involves interviewing skills, the ability to understand and interpret disciplinary orders and enforcement terminology, laws and regulations, the ability to interpret lab test results, correspond appropriately both by phone and in writing, and have the ability to summarize all of the above for reports of probation compliance and non-compliance as necessary for petitions requesting termination or modification of probation. These skills take time to learn and cannot be done on a part-time basis. The monitor will also report directly to the DHCC Executive Officer who is the primary individual responsible for all probationers.

The success and accountability of this proposal will be measured by:

- The enhancement of consumer protection by providing closer and more frequent oversight of the licensees on probation while they are practicing. This enhances the DHCC's mission and the department's vision of providing premier consumer protection;
- The ability to conduct probation interviews on a scheduled quarterly basis (or more/less frequently, as needed) to ensure that the probationer stays in compliance of the probation orders;
- Closer monitoring and tracking of the compliance of probation orders for those licensees on probation;
- Identify those licensees on probation who have violated their probation orders and to respond quickly to correct the situation or have the probationer face further action against his/her license;
- The DHCC's ability to have probation staff dedicated to the probation monitoring program so that enforcement staff are not overworked, overwhelmed, and threatened with burnout due to a lack of staff and a continually increasing workload.
- Probation will also act as a deterrent because when the dental hygiene profession knows that licensees will be held accountable for their professional and non-professional actions (i.e., criminal convictions) and some placed on probation or other enforcement action, licensees will be more wary of potential consequences when they are practicing and/or behaving unprofessionally knowing from past reported actions of the DHCC that their license is at risk. Licensees will also be more inclined to act ethically by reporting any unprofessional conduct in the workplace, school, or other site where this type of conduct has been observed.

Projected Outcomes

Workload Measure	CY	BY	BY+1	BY+2	BY+3	BY+4
Number of Probationers	28 in PY	35	40	43	46	50
Number of Accusations Filed	17 in PY	22	27	32	37	45
Number of Complaints Received	77 IN PY	85	90	95	100	105

Note: Some licensees will complete their probation, while new probationers are added.

F. Analysis of All Feasible Alternatives

BPC section 1951 provides the authority to the DHCC to place licensees on probation as a means of discipline under various terms and conditions. There are four feasible alternatives listed below to address the Probation Monitoring workload. Other alternatives were discussed, but with the amount of work associated with probation monitoring; only a full time position can address it appropriately.

Analysis of Problem

Alternative #1 – Approve a special fund budget augmentation of \$90,000 in FY 2016-17 and \$82,000 in FY 2017-18 and ongoing for a 1.0 SSA position to implement and maintain the DHCC Probation Monitor Program in the interest of consumer protection and to ensure oversight of the DHCC licensees on probation. The program has been growing exponentially over the past 2 years to where a single analyst cannot oversee the Probation Monitor Program and complete all of the other critical duties and responsibilities associated with the position. A redirection of existing DHCC staff to assist with the workload is not feasible, as other program functions would be directly impacted by creating work backlogs in those areas. The DHCC has been frugal in the past in the use of its annual budget appropriation; however, with more complaint cases submitted to the DHCC, additional staff and resources are needed to process them. Without any additional staff and resources to address this workload, there is no feasible way that the DHCC can address, monitor, and oversee all of its probationers plus complete the existing mission critical enforcement workload as well. Currently, the DHCC has only nine (9) authorized positions to address all of its programmatic workloads of licensing, examination, enforcement (including probation), and administration. Other comparable DCA boards with a similar or smaller licensee population and program functions have staff levels that are two to three times the size of DHCC to address their programmatic workloads.

Pros:

This alternative will provide the Dental Hygiene Committee of California (DHCC) the necessary additional permanent full time staff and resources needed to address the ever-growing probation monitoring workload to meet the DHCC's statutory mandates (Business and Professions Code sections 1902.1 and 1951) and primary responsibility of consumer protection.

Cons:

This alternative will cause a permanent augmentation to the DHCC's budget.

Alternative #2 – Approve a half-time position and corresponding funding to address the Probation Monitoring Program and address its workload. Although this alternative would greatly reduce the amount of funding necessary to pay for the position, the probation monitoring workload is too large for a half-time position to manage adequately and it is very difficult to fill a half-time position in today's work environment. The redirection of existing staff to assist the Probation Monitoring Program has also been suggested; however, it is not a feasible option, as this would create a workload backlog and affect program functions in those program areas where the staff was redirected from.

Pros:

This alternative will provide some permanent staff and resource relief for the DHCC to address probation monitoring on a part-time basis to address its mandate of consumer protection.

Cons:

This alternative will not provide the level of permanent staff and resources needed to address the current and future full time probation monitoring workload to fulfill the consumer protection mandates. As detailed in the Outcomes and Accountability section of the proposal, the current probation monitoring workload takes time to learn, requires a special skillset, and consists of multiple, time consuming tasks and travel that a part-time individual could not handle, as there would be too much work to be completed in the given time constraints of a part-time position without having to utilize additional resources. This would also cause a permanent augmentation to the DHCC's budget.

Analysis of Problem

Alternative #3 – Approve a limited-term (LT) position and appropriate funding to implement the Probation Monitoring Program. This also would substantially reduce the cost to the DHCC and provide a temporary position to address the probation monitoring workload. However, this is not a good alternative, as it is a Band-Aid approach to solving the workload issue. An LT position is not only difficult to fill, but normally, the individual begins to look for other more stable employment prior to the end of the term and thus, waste valuable DHCC resources in education and training before they leave. The Probation Monitoring program is an ongoing, full-time workload for staff to address and an LT position is not feasible.

Pros:

This alternative will provide full time staff and resource relief for the DHCC for a short time to address probation monitoring and its mandate of consumer protection until the LT ends.

Cons:

This alternative will not provide the level of permanent ongoing full time staff and resources needed to address the current and future full time probation monitoring workload to fulfill the DHCC's consumer protection mandates. As detailed in the Outcomes and Accountability section above, the current probation monitoring workload takes time to learn, requires a special skillset, and consists of multiple, time consuming tasks and travel that an LT position could grasp, but given that the LT position has an end date, it would be too much work to be completed in the given time constraints of an LT position without having to utilize additional resources. Also, the risk of hiring an LT is that the DHCC would use an immense amount of time and resources to train the individual, only to have them leave at the end of their term, thus, wasting the training and resources and having to start over and train a new person. LT positions are normally used to address one-time or temporary workloads due to their limitations; however, the probation monitoring functions are ongoing. This would also cause a temporary augmentation to the DHCC's budget until the LT ends.

Alternative #4 – Do not approve this request so that the DHCC continues to have insufficient staff to address the Probation Monitoring Program which has a negative impact on the DHCC and the Department's consumer protection efforts. By not approving this request, the Probation Monitoring Program will not have adequate staff to oversee and monitor its licensees on probation which allow them to practice without proper oversight, putting the consumer at risk. This poses a great consumer protection issue, as licensees on probation that should be watched and monitored closely, could be practicing under the influence of drugs or alcohol, using unprofessional and/or unethical techniques or methods, and not adhering to the probation requirements as stated in the Disciplinary Orders. Without approval of the proposal, it will expose current staff to potential burn-out, sense of being overwhelmed and overworked, and can lead to them looking for other job opportunities due to the huge workload. This will cause the DHCC to be in a predicament of losing trained staff with institutional memory of the enforcement and probation monitoring programs.

Pros:

The DHCC's allotted budgetary expenditure authority would not experience any fiscal impact.

Cons

The DHCC is already understaffed to address all of its program requirements as compared to other Department of Consumer Affairs (DCA) boards with similar licensee populations. By not approving this BCP, it will place the DHCC in a situation where programmatic triage may be necessary where consumer protection receives all of the DHCC's resources and attention as mandated at the expense of other program functions such as licensing and examination, where extended delays for individuals to

Analysis of Problem

obtain a license could occur. If this occurs, individuals may lose job opportunities to become tax-paying, contributing members of the State and a means to make a living. This could lead to issues not only for the DHCC, but for the Governor, legislators, and DCA if the licensing delays are reported to the media. It could also impact the consumer public who may not have access to the dental services they deserve.

G. Implementation Plan

If this request is approved, the DHCC would advertise, interview, and hire for the Probation Monitor position immediately in order to have the individual trained on the procedures as quickly as possible.

The individual selected would work alongside the current Enforcement Analyst to learn the Probation Monitor duties to be able to implement them on a semi-autonomous basis. They would participate in the quarterly interviews to obtain an understanding of the techniques and types of questions asked of probationers to respond to until they are confident to handle the workload independently.

H. Supplemental Information

For this request, the normal facility/capital costs for added space, modular furniture, and equipment (i.e., computer, chair, phone, etc.) are needed and included for one (1) position.

I. Recommendation

The DHCC recommends Alternative #1 for a full-time SSA position as the Probation Monitor and associated funding to oversee and address its ever-growing Probation Monitoring Program workload.

Workload & Staffing Requirements - Probation Monitor (PM)

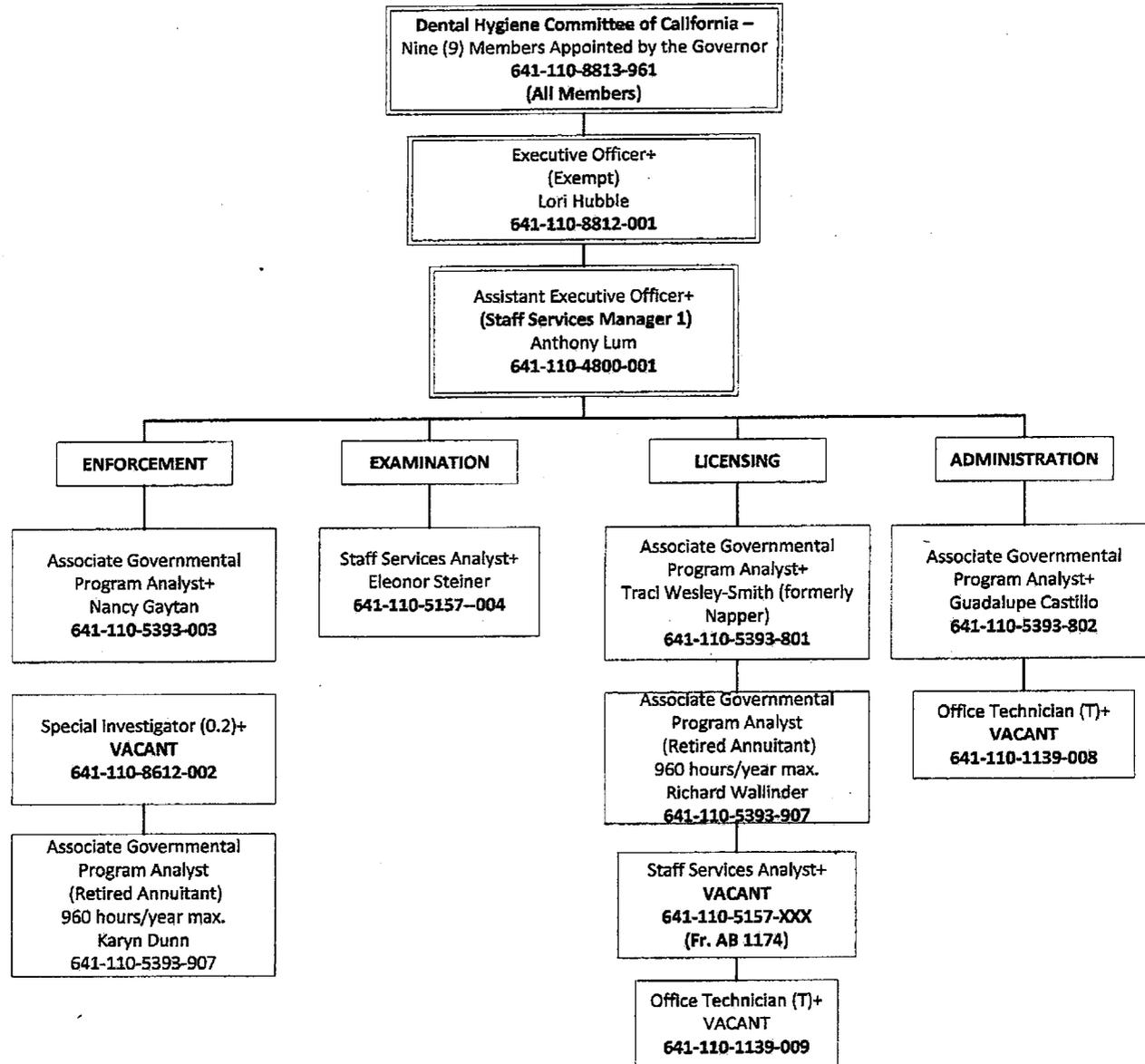
BCP ATTACHMENT 1

Dental Hygiene Committee of CA		1.0 SSA = PM		FY 2015-16		FY 2016-17*		FY 2017-18*	
Caseload for Probation Monitor				28		35		40	
Procedures		Work Performed By	Hours Per Task	Workload Volume	Total Hours	Workload Volume	Total Hours	Workload Volume	Total Hours
1 Disciplinary Order Review & File Setup									
Review Disciplinary Order.		SSA/PM	1.00	12	12.00	8	8.00	8	8.00
Prepare probation folder specific for each probationer including specific documents, forms, labeling, copying, etc.		SSA/PM	3.00	12	36.00	8	24.00	8	24.00
TOTALS		-	-	24	48.00	16	32.00	16	32.00
2 Initial Probation Interview, Report, and Terms and Conditions									
Conduct the initial probation interview to review the terms and conditions of the licensee's probation.		SSA/PM	2.00	12	24.00	8	16.00	8	16.00
Write up the initial probation report.		SSA/PM	1.00	12	12.00	8	8.00	8	8.00
Create initial probation correspondence providing details, terms, and conditions of probation.		SSA/PM	1.00	12	12.00	8	8.00	8	8.00
TOTALS		-	-	36	48.00	24	32.00	24	32.00
3 Monitoring of Bodily Fluids and Compliance									
Complete the forms and contact the testing company to arrange bodily fluid testing for licensee at the ordered frequency.		SSA/PM	0.50	17	8.50	23	11.50	23	11.50
Verify that probationer is calling into testing company and testing as required following probation orders.		SSA/PM	1.00	51	51.00	70	70.00	70	70.00
Communication with probationer about non-compliance of fluid testing.		SSA/PM	0.25	75	18.75	80	20.00	80	20.00
Monitor probationer's bodily fluid testing results and communicate as necessary with the testing company for clarification and information on the test results.		SSA/PM	1.00	51	51.00	69	69.00	69	69.00
TOTALS		-	-	194	8.50	23	170.50	23	170.50
4 Ongoing Probation Monitoring									
Review, approve, and monitor all continuing education, remedial education, and community service probation requirements as ordered.		SSA/PM	3.00	112	336.00	140	420.00	140	420.00
Review all quarterly reports of compliance as provided by all probationers and verify their accuracy and compliance.		SSA/PM	0.50	112	56.00	140	70.00	140	70.00
Travel to meet with probationers to comply with probation orders to meet at least once per year.		SSA/PM	12.00	18	216.00	22	264.00	22	264.00
Update the tracking database with any new, updated information about probationer such as documents, monies paid, correspondence, etc.		SSA/PM	2.00	112	224.00	140	280.00	140	280.00
Write quarterly status reports on all probationers.		SSA/PM	1.00	112	112.00	140	140.00	140	140.00
Arrange, monitor, and review documents related to psychiatric evaluations and quarterly reports as required by therapists.		SSA/PM	2.00	24	48.00	32	64.00	32	64.00
Send out annual tolling letter for probationers that live out of state and are on a tolling status.		SSA/PM	0.50	5	2.50	5	2.50	5	2.50
TOTALS		-	-	495	994.50	619	1,240.50	619	1,240.50
5 Compliance with Probation Terms and Conditions									
Verify the compliance of probation monitoring fees (cost recovery, restitution, and Probation Monitoring Fees).		SSA/PM	1.00	112	112.00	140	140.00	140	140.00
All non-compliance issues result in a letter to the probationer. Letter is uniquely created to address the individual non-compliance issue of the probationer.		SSA/PM	1.00	40	40.00	50	50.00	50	50.00
Process SME invoices, track and maintain data in database.		SSA/PM	0.50	30	15.00	35	17.50	35	17.50
Confer with Subject Matter Expert(s) (SME) to review probationary cases. The SME reviews patient charts, records, or any other documentation requiring their expertise.		SSA/PM	2.00	18	36.00	25	50.00	25	50.00
Conduct investigations for failure to comply with the terms and conditions of the ordered probation.		SSA/PM	6.00	15	90.00	18	108.00	18	108.00
Write up reports of compliance/non-compliance as necessary for petitions requesting termination or modification of probation. These are uniquely created for each individual case.		SSA/PM	2.00	20	40.00	22	44.00	22	44.00
TOTALS		-	-	235	333.00	290	409.50	290	409.50
6 Administrative (Monthly Hours)									
Collect, track and maintain cost recovery and probationary fees.		SSA/PM	0.50	112	56.00	140	70.00	140	70.00
Create and maintain Travel Claim files including the completion of the claim, copying, filing, and submission of Travel Expense Claims to management for approval.		SSA/PM	2.00	18	36.00	20	40.00	20	40.00
Track and maintain all case record retention schedules.		SSA/PM	0.50	28	14.00	35	17.50	35	17.50
TOTALS		-	-	158	106.00	195	127.50	195	127.50
7 Ongoing Probation Tasks									
Prepare and maintain original investigative files, tickle file for deadlines, and to store or purge closed investigation or probation files.		SSA/PM	1.50	28	42.00	35	52.50	35	52.50
Receive, review, and reply to telephone and email requests about and from probationers.		SSA/PM	0.50	350	175.00	400	200.00	400	200.00
Prepare probation statistics at least biannually to report out at Committee meetings.		SSA/PM	0.50	28	14.00	35	17.50	35	17.50
TOTALS		-	-	406	231.00	470	270.00	470	270.00
GRAND TOTAL of WORK TASKS and PROJECTED HOURS TO COMPLETE		-	-	1,548	1,769	1,637	2,282	1,637	2,282

Breakdown of Hours by Position :

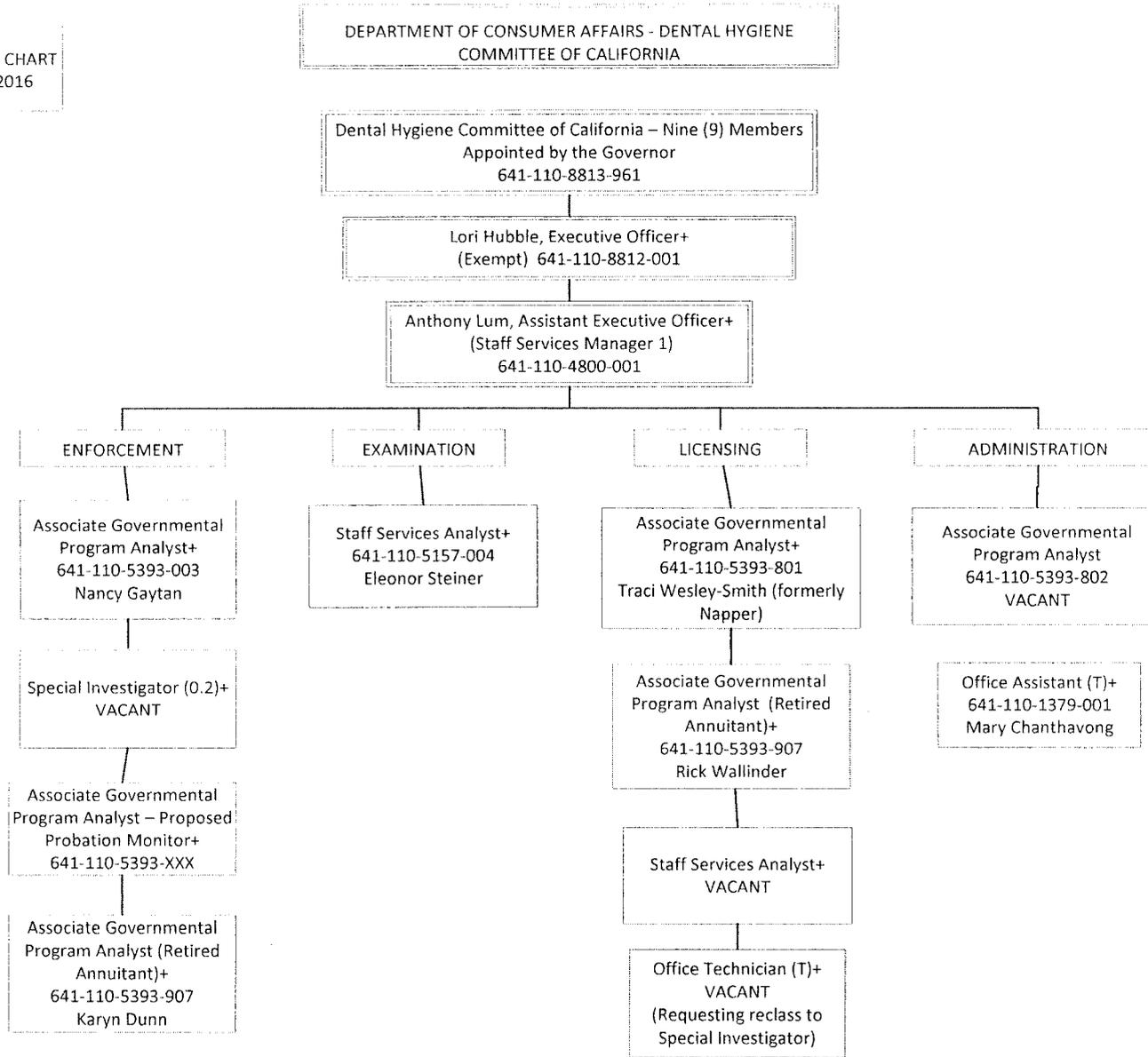
Requested Position Workload	FY 2016-17 Position		PY	HOURS	FY 2017-18*		PY	HOURS*
	SSA (PM)							
	1.0		1.0	1,769	1.0		1.0	2,282

DEPARTMENT OF CONSUMER AFFAIRS - DENTAL HYGIENE COMMITTEE OF CALIFORNIA



Lori Hubble, Executive Officer

Personnel Analyst



Lori Hubble, Executive Officer

Personnel Analyst

(+) CORI Positions (Fingerprint Clearances Required)

3140 - State Dental Hygiene Fund

Analysis of Fund Condition

8/28/2015

(Dollars in Thousands)

2015 Budget Act + BCP
w/ fee increase effective January 1, 2016

	ACTUAL 2014-15	CY 2015-16	BY 2016-17	BY+1 2017-18
BEGINNING BALANCE	\$ 827	\$ 1,279	\$ 1,107	\$ 860
Prior Year Adjustment	\$ 16	\$ -	\$ -	\$ -
Adjusted Beginning Balance	\$ 843	\$ 1,279	\$ 1,107	\$ 860
REVENUES AND TRANSFERS				
Revenues:				
114300 Other Motor Vehicle Fees	\$ -	\$ -	\$ -	\$ -
125600 Other regulatory fees	\$ 12	\$ 14	\$ 14	\$ 14
125700 Other regulatory licenses and permits	\$ 158	\$ 323	\$ 323	\$ 323
Application Fee Increase \$50 to \$100	\$ -	\$ 44	\$ 91	\$ 91
125800 Renewal fees	\$ 1,540	\$ 1,241	\$ 1,241	\$ 1,241
125900 Delinquent fees	\$ 21	\$ 21	\$ 21	\$ 21
141200 Sales of documents	\$ -	\$ -	\$ -	\$ -
142500 Miscellaneous services to the public	\$ -	\$ -	\$ -	\$ -
150300 Income from surplus money investments	\$ 3	\$ 2	\$ 3	\$ 2
160400 Sale of fixed assets	\$ -	\$ -	\$ -	\$ -
161000 Escheat of unclaimed checks and warrants	\$ -	\$ -	\$ -	\$ -
161400 Miscellaneous revenues	\$ 24	\$ 24	\$ 24	\$ 24
164300 Penalty Assessments	\$ -	\$ -	\$ -	\$ -
Totals, Revenues	\$ 1,758	\$ 1,670	\$ 1,718	\$ 1,717
Totals, Revenues and Transfers	\$ 1,758	\$ 1,670	\$ 1,718	\$ 1,717
Totals, Resources	\$ 2,601	\$ 2,949	\$ 2,825	\$ 2,577
EXPENDITURES				
Disbursements:				
0840 State Controller (State Operations)	\$ -	\$ -	\$ -	\$ -
8880 Financial Information System for CA (State Operations)	\$ 1	\$ 3	\$ -	\$ -
<u>Budget Act</u>				
1110 Program Expenditures (State Operations)	\$ 1,321	\$ 1,839	\$ 1,875	\$ 1,913
Probation Monitor BCP	\$ -	\$ -	\$ 90	\$ 82
Total Disbursements	\$ 1,322	\$ 1,842	\$ 1,965	\$ 1,995
FUND BALANCE				
Reserve for economic uncertainties	\$ 1,279	\$ 1,107	\$ 860	\$ 582
Months in Reserve	8.3	6.8	5.2	3.6

NOTES:

- A. ASSUMES WORKLOAD AND REVENUE PROJECTIONS ARE REALIZED IN BY+1 AND ON-GOING.
- B. ASSUMES APPROPRIATION GROWTH OF 2% PER YEAR BEGINNING IN BY+1.
- C. ASSUMES INTEREST RATE AT 0.3%.