

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

Fiscal Year 16-17	Business Unit 4440	Department State Hospitals	Priority No.
Budget Request Name 4440-001-BCP-BR-2016-GB		Program In-Patient Services	Subprogram 4380019

**Budget Request Description**  
 DSH Hospital Injury and Illness Prevention Plan Implementation: Extension of Limited Term Resources to Perm

**Budget Request Summary**  
 The Department of State Hospitals (DSH) requests authority to transition 5.0 existing two-year limited term Associate Governmental Program Analysts (AGPA) positions into 5.0 permanent positions and an ongoing General Fund augmentation of \$522,000 to implement new Hospital Injury and Illness Prevention Plans (IIPP) required under a settlement agreement with the Department of Industrial Relation's Division of Occupational Safety and Health (Cal/OSHA). One AGPA is dedicated to the implementation of new Injury and Illness Prevention Plans (IIPPs) at each of the five State Hospitals.

Requires Legislation <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Code Section(s) to be Added/Amended/Repealed
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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
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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.

FSR       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 Sean Tracy, Chief – Enterprise Risk Management <i>ST</i>	Date 8-7-2015	Reviewed By Lupe Alonzo-Diaz, Deputy Director – Administrative Services <i>ALD</i>	Date 08-07-2015
Department Director Pam Ahlin <i>Pam Ahlin</i>	Date 8-7-2015	Agency Secretary Kris Kent <i>Kris Kent</i>	Date 8-7-15

**Department of Finance Use Only**

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

BCP Type:       Policy       Workload Budget per Government Code 13308.05

PPBA <i>Celia Castañeda</i>	Date submitted to the Legislature 1-7-16
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## Analysis of Problem

### A. Budget Request Summary

The Department of State Hospitals (DSH) requests authority to transition 5.0 existing two-year limited term Associate Governmental Program Analysts (AGPA) positions into 5.0 permanent positions and an ongoing General Fund augmentation of \$522,000 to implement new Hospital Injury and Illness Prevention Plans (IIPP) required under a settlement agreement with the Department of Industrial Relation's Division of Occupational Safety and Health (Cal/OSHA). One AGPA is dedicated to the implementation of new Injury and Illness Prevention Plans (IIPPs) at each of the five State Hospitals.

### B. Background/History

The Department of State Hospitals (DSH) manages the nation's largest inpatient forensic mental health hospital system. Its mission is to provide evaluation and treatment in a safe and responsible manner, seeking innovation and excellence in state hospital operations, across a continuum of care and settings. The DSH is responsible for the daily care and provision of mental health treatment of its patients. In 2014-15, the DSH served almost 13,000 patients and the inpatient census was approximately 6,700 in a 24/7 hospital system and approximately 600 outpatient census in its conditional release program. The DSH oversees five state hospitals and three psychiatric programs located in state prisons, employing approximately 12,000 staff. Additionally, the DSH provides services in jail-based competency treatment programs and conditional release programs throughout the 58 counties. The DSH's five state hospitals are Atascadero, Coalinga, Metropolitan – Los Angeles, Napa and Patton. The three psychiatric programs are through an interagency agreement with the California Department of Corrections and Rehabilitation (CDCR), treating inmates at prisons in Vacaville, Salinas Valley and Stockton.

Since 1991, IIPPs have been a requirement for every California employer with more than 10 employees. The legal and regulatory purpose of Injury and Illness Prevention Plans are established in California Code of Regulations (Title 8, Section 3203), Welfare and Institutions Code (4141), and the Labor Code Section (6401.7).

Each State Hospital has an Injury and Illness Prevention Plan (IIPP) specific to their site infrastructure, patient populations, management structure, and employee roles and responsibilities. The five hospital IIPPs are tailored to address program safety issues or previous enforcement actions taken by regulatory authorities such as Cal/OSHA, California Department of Public Health (CDPH) Licensing Program, and/or the Joint Commission (JC). These plans are the responsibility of Hospital Executive Management, and the IIPP administrator is the site Hospital Health and Safety Officer. The IIPPs are updated at least annually, training is provided year-round, instruction/consultation is available on site, and plans are made available to all DSH employees through technology services and hard copy/binders.

Between 2009 and 2012, Cal/OSHA conducted 11 separate inspections of DSH hospitals and cited the Department 46 times. Of the 46 citations, 29 were related to workplace violence (per Title 8, Sections 3203, 3220, and 6184) with accompanying penalties of \$289,215. The DSH and Cal/OSHA developed a global settlement combining all the workplace violence citations into a Special Order.

In January 2014, the Cal/OSHA Occupational Safety and Health Appeals Board (Appeals Board) approved a Special Order that created a legal global "Safety Framework" agreement with the DSH. This "Safety Framework" required that new Injury and Illness Prevention Plans (IIPP) be developed and implemented by the DSH.

The Special Order is being monitored by the Cal/OSHA Occupational Safety and Health Appeals Board and the presiding administrative law judge. The DSH consults with Cal/OSHA as well provides Quarterly Reports on its progress. If the DSH successfully fulfills the development of new Injury and Illness Prevention Plans as described in the Special Order, the Occupational Safety and Health Appeals Board may dismiss the 29 citations and the associated penalties of \$289,215 currently held in abeyance against the DSH.

To address the on-going workload associated with the review and implementation of the DSH IIPPs at each hospital, the Administration was authorized in Fiscal Year (FY) 2014-15 one two-year limited term Associate Governmental Program Analyst for each of the five hospitals.

## Analysis of Problem

As an outcome of the global safety framework legal settlement, the DSH revised the IIPPs at each hospital in consultation with Cal/OSHA to meet the standards of the Special Order. These IIPP analyst positions have been essential for the development of DSH's IIPPs and are now necessary for the required implementation, monitoring, data collection/reporting, employee training, staff education, organizational communication, and overall enforcement of the new IIPP.

In addition to the new IIPPs, a statewide standard DSH employee Code of Safe Practices was developed, presented to Cal/OSHA and added into the new IIPPs. The IIPP analysts are responsible for monitoring, reporting, and tracking mitigation measures to create a safer hospital work environment, addressing compliance deficiencies, and improving safety program performance through the new IIPPs, Code of Safe Practices, and other tools.

The new IIPPs were introduced to hospital employees in July 2015, and the tasks for implementing these plans are a priority at each hospital site which necessitates the permanency of these 5.0 full-time positions.

The following table identifies the resources utilized by the two year limited term positions which were authorized in Fiscal Year (FY) 2014. These limited term positions will expire in July 2016 unless position authority is provided, and the State General Fund resources are allocated.

**Resource History**  
(Dollars in thousands)

Program Budget	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Authorized Expenditures	N/A	N/A	N/A	N/A	522	522
Actual Expenditures	N/A	N/A	N/A	N/A	522	522
Revenues	N/A	N/A	N/A	N/A	N/A	N/A
Authorized Positions	N/A	N/A	N/A	N/A	5 (LT)	5 (LT)
Filled Positions	N/A	N/A	N/A	N/A	N/A	N/A
Vacancies	N/A	N/A	N/A	N/A	N/A	N/A

**Table Two Workload History of Each IIPP PY (In Hours)**

Workload Measure	2010-11	2011-12	2012-13	2013-14	2014-15	2015-16
Drafting/Revising/Monitoring 20 new IIPP site specific chapters	N/A	N/A	N/A	N/A	5,200	6,000
Develop revised IIPP with Cal/OSHA consultation	N/A	N/A	N/A	N/A	750	200
Develop and deliver IIPP Training and Education courses and materials for each site	N/A	N/A	N/A	N/A	1,000	1,250
Evaluate IIPP compliance systems and corrective action performance	N/A	N/A	N/A	N/A	1,300	1,850
Contribute and develop proposals for the new DSH Code of Safe Practices	N/A	N/A	N/A	N/A	750	750

### C. State Level Considerations

The highest priority for the DSH mission is safety – employee safety, patient safety, and environment of care safety. The IIPPs are a core foundational document which supports DSH's strategic values, vision, mission and goals, and the State's workforce and financial interests.

The DSH is committed to creating a safe workplace for employees and protecting its employees from preventable assaults and injuries. This commitment requires full-time dedicated and experience personnel to ensure the infrastructure and systems designed in the IIPPs are implemented, monitored, assessed, and improved upon.

## Analysis of Problem

Now that the planning and production of the new IPPs is complete, it is necessary to implement the plans to improve employee safety, prevent workplace violence, prevent injuries and illnesses, and reduce worker's compensation claims and costs.

In addition to Cal/OSHA's direct involvement with the monitoring and site inspections of the new Injury and Illness Prevention Plans, other safety and financial regulators will also monitor implementation of the IPPs. The California Department of Public Health (CDPH) has authority over the DSH Hospital License and can issue citations for non-compliance of health and safety requirements. The Joint Commission currently provides accreditation to four of our hospitals, and environment of care, illness and injury prevention are key components of their surveys and inspections. The Centers for Medicare and Medicaid (CMS) provides federal funding for patient health care services at two hospitals, and also checks for compliance with standards and practices associated with patient treatment, care, and safety expectations.

### D. Justification

The DSH utilized the five Limited-Term Associate Governmental Program Analysts to develop and draft the new Injury and Illness Prevention Plans (IIPP) at each hospital. This analytical work was significant in that it provided Health and Safety Officers with a focused resource to carry each site through the planning, drafting and authorization by DSH Executive Management for the new IPPs. On July 1, 2015 the new IPPs were released to all employees in the five hospitals.

Complying with the global Safety Framework and Special Order requires the successful development and implementation of IPPs. Successful IIPP implementation requires continued authority for each of the 5.0 full-time analysts at each hospital to execute the essential duties specified in the revised site-specific IPPs. The DSH has been informed by Cal/OSHA that future inspections will focus on the implementation of the 2015 IPPs. These IIPP analysts will lead the required implementation, monitoring, data collection/reporting, employee training, staff education, organizational communication, evaluation and overall enforcement of the newly-developed IPPs.

Specifically, the IIPP Analysts will be responsible for implementation and evaluation of the 2015 IPPs. The new DSH IPPs have 20 standardized chapters that contain the hospital's environment of care/safety directives, training, and employee responsibilities and expectations accompanied by a new standardized DSH Code of Safe Practices. The new IIPP standardized chapters include intensive operational components for violence prevention; hazards and risk assessments; reporting unsafe work practices; accident/incident reporting and investigations; post incident response practices and documentation; risk mitigation and hazard correction; hazardous materials management; infection control practices; respiratory program and other personal protective equipment services procurement and instruction; and Cal/OSHA 300/301 injury illness log record keeping reporting.

The analysts are responsible for developing and implementing safety related policies and procedures and serve as subject matter experts for the implementation of the new IIPP. The IIPP analysts will also maintain and update hospital site plans to include necessary safeguards to prevent workplace safety hazards and other work-related injuries/illnesses.

The IIPP analysts will represent the DSH hospitals in interactions with federal, state, and county licensing agencies and external regulatory agencies including, county departments of health services, the CDPH, Cal/OSHA, and JC in accordance with federal, state, and local laws, policies and procedures.

The IIPP analysts will provide training and instruction services to improve safety. The analysts will engage with program staff to provide hands-on training to address gaps identified in such areas as: accident and incident investigations, ServSafe/food handling, Personal Protective Equipment (PPE) use, ladder safety, containing blood borne pathogens and preventing needle sticks, fork lift driver training inspections/certification, follow up on California Department of Public Health hazard identifications (labeling of hazardous materials, storage, inspection for cleanliness/safety), and Cal/OSHA Record Keeping analysis-validation, etc.

## Analysis of Problem

The IIPP analysts are also responsible for organizing environmental and occupational health and injury prevention programs. The analysts will gather and analyze injury data to identify trends and assess potential safety risks that will lead to corrective action plans and policy changes for each site.

### E. Outcomes and Accountability

The Hospital Injury Illness and Prevention analysts are responsible for developing and implementing safety-related policies and procedures and serve as subject matter experts for the implementation of the hospitals' respective IIPPs. The following table identifies the projected outcomes of the work produced by the authorized Injury and Illness Prevention Plan (IIPP) Associate Governmental Program Analysts (AGPA) through 2021.

**Projected Outcomes**

Workload Measure	2015-16	2016-17	2017-18	2018-19	2019-20	2020-21
Reduction in reportable incidents and injuries to Cal/OSHA from each hospital site (300 Logs)	146	136	130	120	110	100
Increase in hours of new IIPP employee training, education and skill development	40 hours per employee (.02%)	60 hours per employee (.033%)	80 hours per employee (.044%)	90 hours per employee (.05%)	100 hours per employee (.055%)	120 hours per employee (.066%)
Reduced worker's compensation costs	\$47M	\$47M	\$46M	\$45M	\$44M	\$43M
Reduction in reportable incidents and injuries to Cal/OSHA from each hospital site (300 Logs)	146	136	130	120	110	100

### F. Analysis of All Feasible Alternative

Alternative 1: Authorize transition of existing 5.0 limited term AGPA IIPP staff into permanently established positions at each of the five state hospitals.

Pros:

- Provides long-term staffing resources to comply with the global Safety Framework and Special Order
- Addresses areas for correction of the IIPP relative to health and safety protocols, employee training, education, and program plans of correction.
- Provides the resources necessary to ensure compliance with newly revised IIPPs.

Cons:

- Requires permanent position authority for 5.0 positions
- Requires \$522,000 in ongoing General Fund support

Alternative 2: Extend the limited term two-year positions for another two years.

Pros:

- Addresses areas for correction of the IIPP relative to health and safety protocols, employee training, education, and program plans of correction over the short-term
- Provides short-term resources necessary to ensure compliance with newly revised IIPPs.

Cons:

- Requires temporary position authority for 5.0 positions
- Require \$522,000 in short-term General Fund support

Alternative 3: Reject the proposal and allow the limited term positions expire.

Pros:

- Eliminates authority for 5.0 positions

## Analysis of Problem

- Reduces General Fund support

### Cons:

- Limits ability to address areas for correction of the IIPP relative to health and safety protocols, employee training, education, and program plans of correction.
- Limits ability to prevent staff injuries, and reduce worker's compensation costs and Cal-OSHA fines.
- Limits ability to meet CDPH licensing and JC accreditation standards.

### **G. Implementation Plan**

As of July 2015, the revised Injury and Illness Prevention Plans and a new Statewide Code of Safe Practices have been released to all employees at our five hospital sites. Communication plans, employee and supervisor training, and compliance monitoring of the IIPP continue at each site.

Currently, all limited-term IIPP analyst positions at each hospital are filled and monitoring continued compliance of the IIPPs. Under the guidance of Hospital Health and Safety Officers, the IIPP analysts will continue to evaluate and analyze statewide policies governing safety; continue to survey gaps and identify best practices related to safety performance improvements; continue the implementation of the DSH Statewide Code of Safe Practices and be responsible for the development of corrective action plans to address gaps identified by employees or regulatory agencies in the new IIPPs.

### **H. Supplemental Information**

No special resources are needed to support this proposal.

### **I. Recommendation**

The Department of State Hospitals recommends the approval of Alternative 1 to authorize the transition of the existing 5.0-limited-term Associate Governmental Program Analysts to permanent positions. These permanent analyst positions will be dedicated to the implementation of the new Injury and Illness Prevention Plans at each of the five state hospitals to address the Cal/OSHA and the DSH Special Order.

**ATTACHMENT I  
WORKLOAD MEASURE – IIPP ANALYSTS – AGPA – 5.0 POSITIONS**

IIPP Analysts -- AGPA Tasks		One Time Hours	Ongoing Hours
1	IIP Goals/Effectiveness Monitoring for management and regulators	400	400
2	Employee and Management Roles & Responsibilities education, training, information, materials development and presentations	450	450
3	Safety Compliance – Code of Safe Practices implementation and DSH Hospital Safety Committee analytical services	500	500
4	Communications – hospital safety notices, employee instructional briefings and "safety tailgate" meetings with program, responses to safety inquiries from employees and incorporate into committee issues, management decisions, IIPP updates	550	550
5	On site risk assessment documentation and hazard inspections	400	400
6	Safety hazard reporting – violence, accident, injury, supervisor support and documentation of responses	600	600
7	Emergency response – team recruitment, training and development, Personal Duress Alarm System instruction/training/awareness/data monitoring for injury hot-spots; Fire/Smoke/Water hazard alarm monitoring; Medical emergency response preparation and exercises	700	700
8	Investigations – Criminal (Investigators and Hospital Police Officers), and Administrative/management	600	600
9	Post incident response review, debriefings and hot-wash meetings with supervisors and employees	600	600
10	Risk Mitigation and Hazard Correction monitoring, correction, notification of deficiencies, Heat plans, Tuberculosis, and other specialized prevention and response situations	600	600
11	Safety Education and Training – New Employee Education, Therapeutic Strategies Intervention with Clinical Staff, program meetings for identified risks (e.g. workplace violence prevention, ladder safety, hazardous materials labeling, vector control, blood borne pathogens, food safety, kitchen safe practices, slips-trips-fall prevention)	1000	1000
12	Hazardous materials communications programs – Safety Data Sheets, Materials labeling corrections, notifications, training with program and plant operations	300	300
13	Ergonomics – musculoskeletal disorders relative to patient handling, warehouse and plant operations lifting/back injury prevention, office space posture and injury prevention	150	150
14	Return-to-work coordinators and support for injured workers, worker's compensation education and referrals	150	150
15	Infection and Vector Control Plan monitoring and corrective actions	200	200
16	Respiratory Protection program and personal protective equipment instruction, procurement, training and monitoring	350	350
17	Hearing conservation program with emphasis on trade classifications, plant operations management, and contractors	350	350

**ATTACHMENT I  
WORKLOAD MEASURE – IIPP ANALYSTS – AGPA – 5.0 POSITIONS**

IIPP Analysts -- AGPA Tasks		One Time Hours	Ongoing Hours
18	Vehicle safety – enforcement of state policy, defensive driving program, instruction pre and post incidents	200	200
19	Record Keeping – Cal/OSHA 300 and 301 validation, verification and administration for management approval and posting for employees to meet compliance requirements. Work with DSH management, DSH Legal Services, Cal-Osha, Public Health, Joint Commission, and other regulators in response to inquiries, research and formal responses	450	450
20	IIPP Forms development, Intranet postings and hard copy distributions, gap identification for plan awareness and annual plan administration and performance improvement	450	450
IIPP Analysts - AGPA – 5 PYs TOTAL HOURS: 1800 One Time/1800 Ongoing		9000	9000

# BCP Fiscal Detail Sheet

BCP Title: Injury and Illness Prevention Program Extension

DP Name: 4440-050-BCP-DP-2016-GB

## Budget Request Summary

	FY16					
	CY	BY	BY+1	BY+2	BY+3	BY+4
Positions - Permanent	0.0	5.0	5.0	5.0	5.0	5.0
<b>Total Positions</b>	<b>0.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>
Salaries and Wages						
Earnings - Permanent	0	311	311	311	311	311
<b>Total Salaries and Wages</b>	<b>\$0</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>
Total Staff Benefits	0	131	131	131	131	131
<b>Total Personal Services</b>	<b>\$0</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>
Operating Expenses and Equipment						
5301 - General Expense	0	40	40	40	40	40
5304 - Communications	0	5	5	5	5	5
5320 - Travel: In-State	0	5	5	5	5	5
5346 - Information Technology	0	5	5	5	5	5
539X - Other	0	25	25	25	25	25
<b>Total Operating Expenses and Equipment</b>	<b>\$0</b>	<b>\$80</b>	<b>\$80</b>	<b>\$80</b>	<b>\$80</b>	<b>\$80</b>
<b>Total Budget Request</b>	<b>\$0</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>

## Fund Summary

Fund Source - State Operations						
0001 - General Fund	0	522	522	522	522	522
<b>Total State Operations Expenditures</b>	<b>\$0</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>
<b>Total All Funds</b>	<b>\$0</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>

## Program Summary

Program Funding						
4380010 - Program Administration	0	522	522	522	522	522
<b>Total All Programs</b>	<b>\$0</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>	<b>\$522</b>

**Personal Services Details**

		<b>Salary Information</b>								
		<u>Min</u>	<u>Mid</u>	<u>Max</u>	<u>CY</u>	<u>BY</u>	<u>BY+1</u>	<u>BY+2</u>	<u>BY+3</u>	<u>BY+4</u>
Positions										
5393	- Assoc Govtl Program Analyst (Eff. 07-01-2016)				0.0	5.0	5.0	5.0	5.0	5.0
<b>Total Positions</b>					<b>0.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>	<b>5.0</b>
<b>Salaries and Wages</b>										
		<b>CY</b>	<b>BY</b>	<b>BY+1</b>	<b>BY+2</b>	<b>BY+3</b>	<b>BY+4</b>			
5393	- Assoc Govtl Program Analyst (Eff. 07-01-2016)	0	311	311	311	311	311			311
<b>Total Salaries and Wages</b>		<b>\$0</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>	<b>\$311</b>			<b>\$311</b>
<b>Staff Benefits</b>										
5150210	- Disability Leave - Nonindustrial	0	1	1	1	1	1			1
5150350	- Health Insurance	0	23	23	23	23	23			23
5150450	- Medicare Taxation	0	4	4	4	4	4			4
5150500	- OASDI	0	19	19	19	19	19			19
5150630	- Retirement - Public Employees - Miscellaneous	0	64	64	64	64	64			64
5150800	- Workers' Compensation	0	5	5	5	5	5			5
5150900	- Staff Benefits - Other	0	15	15	15	15	15			15
<b>Total Staff Benefits</b>		<b>\$0</b>	<b>\$131</b>	<b>\$131</b>	<b>\$131</b>	<b>\$131</b>	<b>\$131</b>			<b>\$131</b>
<b>Total Personal Services</b>		<b>\$0</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>	<b>\$442</b>			<b>\$442</b>