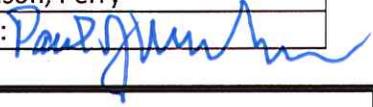




Title: AH Compliance Action Management

Latest Draft: Final	Author(s): Chris, Jason, Perry
Approval Date: 3/10/16	Manager Approval: 

BACKGROUND

The Division of Animal Health utilizes a licensing and case management database named Microsoft Dynamics CRM (Customer Relationship Management), referred to in the division as 'CRM'. CRM is utilized by License, Program, and Permit Associates (LPPA) to manage licensing, and by Field and Administrative staff to manage inspections and investigations regarding activities of license holders. These activities are referred to within CRM as 'Compliance Actions' (CA). One major benefit of CRM is automatic creation and population of future CA's based on different time frames and purposes of the action to be taken based on the previous inspections disposition.

The drawback to this functionality is when a license associated with associate compliance action expires, or is manually designated as 'not licensed' by the LPPA the CRM system does not deactivate associated compliance action. This creates a situation in which the field staff assigned to complete compliance actions may be contacting, or are physically visiting the premises of individuals that no longer hold a license through the Division. This flaw in functionality happens with the following licenses: Official Brands, Fish Farms (Type2&3), Animal Markets, Animal Dealers, Animal Truckers and Animal Feedlots. There are an estimated 2646 licensee this could affect across these 6 programs.

The reverse situation can occur if a "not licensed" individual or company asks to be re-licensed within a 12 month timeframe. CRM will not automatically re-activate future Compliance Actions

This creates a poor impression of the Agency to the public and creates additional internal issues and staff dissatisfaction through non-communication concerning the licensing statuses. Field staff stress this places them in a bad position with licensee and does not allow them to making good use of their time.



CURRENT CONDITIONS

- No current process in place that details accountability for deactivating future compliance actions when a facility ceases to be licensed.
- No current process in place that details accountability for re-activating future compliance actions when a facility renews their inactive license within a 12 month period.
- Current field staff may be assigned to complete a CA action through phone contact or by physically visiting the premises of individuals that no longer hold a license through the Division.
- High internal staff frustration with lack of communications regarding de-activating or reactivating CA when a change in license status occurs.
- External customer with inactive licenses form a flawed opinion of the Animal Health Division when contacted about conducting an un-necessary CA.





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GOAL(s)

- Reduce by 75% the number of instances where an inspectors contacts either in person or by phone a licensee that is no longer operating. (The 2014 -15 error rate is approximately 1.5% over 2645+ licensees)
- Improve internal customer satisfaction to 90% satisfied or very satisfied. 60+ percent of the staff are neutral or dissatisfied with the current process.
- Improve external customer satisfaction by eliminating un-necessary CA contacts. Staff currently reports 60% of non-licensed contacts show a lack of regard for staff when an unnecessary contact is made.



ANALYSIS

Identify the root cause of the problem:

- CRM is not designed to automatically deactivate related CA's when a client is placed in non-license status.
- CRM is not designed to automatically activate related future CA's when a client is returned to licensed status.
- No specific Animal Health staff person assigned to deactivate or active CA's related to a license status change.



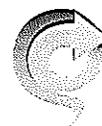
PROPOSAL

Proposed Changes

1. LPPA to run a report/advanced find weekly to find licenses that have a status of not licensed and that have associated Compliance Actions that are either Routine inspections or Initial inspections and deactivate them.
 - a. Create an SOP for running this report/advanced find and how to de-activate these Compliance Actions. (This will be also be used for those that notify us they are no longer operating.
2. Run a quarterly report to audit the process.
3. For Fish Farm license renewals 90% (Type 1) do not have Compliance Actions on them as they do not require it. We will sort the other 10 % (Type 2 & 3) and expedite them thru the renewal process to aid in notification and changes to those that have not re-applied.
4. If the licensee chooses to re-activate their license. The LPPA will need to re-create the correct inspection as needed (Routine or Initial)
 - a. Update SOP to reflect this change

Long Term Proposed Changes

5. Service Request to BITS—Redesign CRM to look for licenses that have a status of non-licensed and perform a related search associated Compliance Actions that are either Routine inspections or Initial inspections and de-activate them.
6. Service Request to BITS – Have a column added to the inspector dashboard that shows the status of the license to which the compliance action is associated.



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PLAN

Timeline with what, when, where and how:

- Distribute an initial survey to Animal Health Field Staff to document non-licensee contact frequency, importance of this issue to them and their satisfaction/dissatisfaction with the current process. 2nd survey to field staff 4 months after implementation.
- LPPA to run an advanced report weekly to find licenses that have a status of not licensed and have associated Compliance Actions that are either Routine Inspections or Initial Inspections and de-activate them.
 - Create an SOP for running this advanced report and how to de-activate these CA's. (This will be also be used for those that notify us they are no longer operating.) Create and implement by 3-22-2016.
- Run a quarterly report to audit the process.
- Fish Farm license renewals that are Type 1 (90% of database) do not have required Compliance Actions on them. We will sort by Type 2 & 3 (10% of database) and expedite them thru the renewal process to aid in notification and manage CA changes to those that have not re-applied. Implement next renewal cycle in 2017.
- If the licensee chooses to re-activate their license. The LPPA will need to re-create the correct inspection as needed (Routine or Initial)
 - Update SOP to reflect this change. Create and implement by 3-22-2016
- Service Request to BITS—Redesign CRM to look for licenses that have a status of non-licensed and perform a related search associated Compliance Actions that are either Routine inspections or Initial inspections and de-activate them. Create and submit by 3-22-2016
- Service Request to BITS – Have a column added to the inspector dashboard that shows the status of the license to which the compliance action is associated. Create and submit by 3-22-2016



EXPECTED IMPROVEMENT / ACTUAL IMPROVEMENTS

- Decrease the number of instances where an inspector contacts, either in person or by phone, a licensee that is no longer operating. Reduce 2014-15 error rate of 1.5% by 75% on an annual basis
- Improve internal customer satisfaction from 60% neutral or dissatisfied to 90% satisfied or very satisfied based on new SOP implementations
- We are making an un-documented assumption of improved external customer satisfaction by eliminating un-necessary field staff contacts when clients no longer have an active license