Kaizen Event Report Out

State of Ohio Pharmacy Board

Enforcement and Intake Process

March 7-11, 2016

How Did We Get Here?

- The Pharmacy Board gets complaints against licensees either by phone, email, mail, fax, internal complaints. These complaints vary in complexity and type.

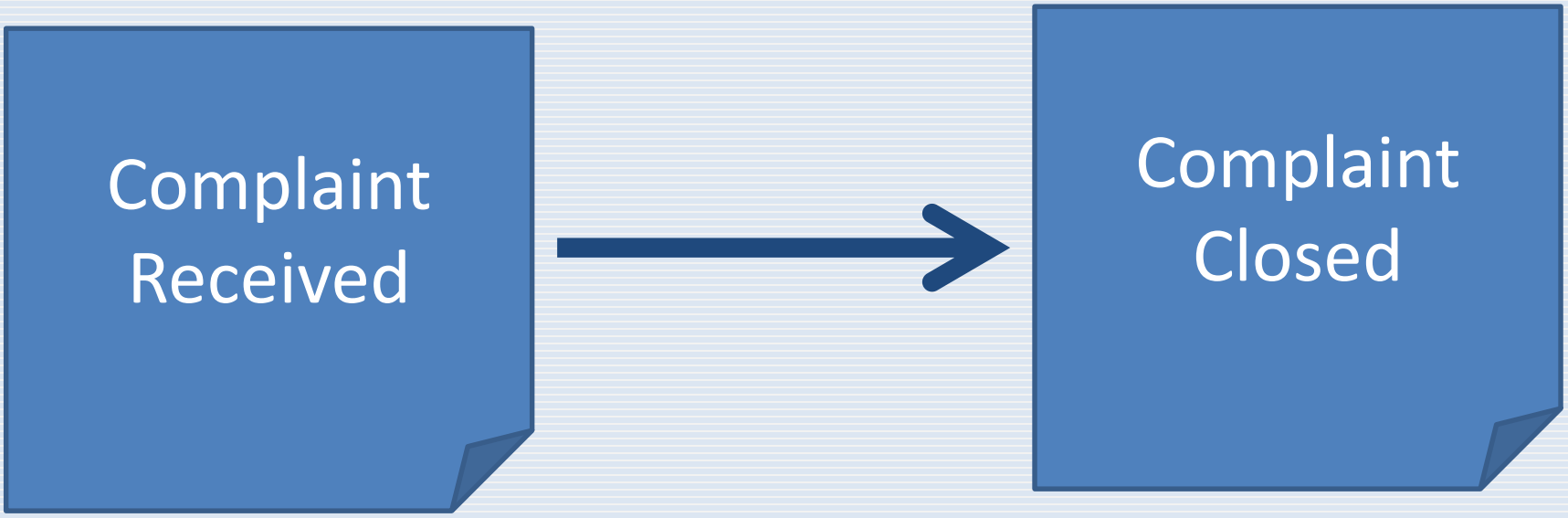
High level description of process

Pharmacy Board receives complaints about potential violations. These complaints can cover pharmacists, technicians, etc. The Enforcement staff reviews these complaints. This review can lead to a formal investigation, closing the complaint or referral to another agency/entity (local law enforcement).

Summary Suspenders

Jesse Wimberly; Michael Poe; Lisa Dietsche; Don Newton; Chandra Galante; Trey Edwards; Cameron McNamee; Nicole Dehner; Kevin Flaharty; Jim Ringer; Paul Schad; David Gallagher; Sheri Zapadka; Andrea Wagner; Betty Jones; Eric Griffin: Not Pictured: Yolanda Freeman; Susan King; Matt Lampke; David Ingram

Scope of the Event



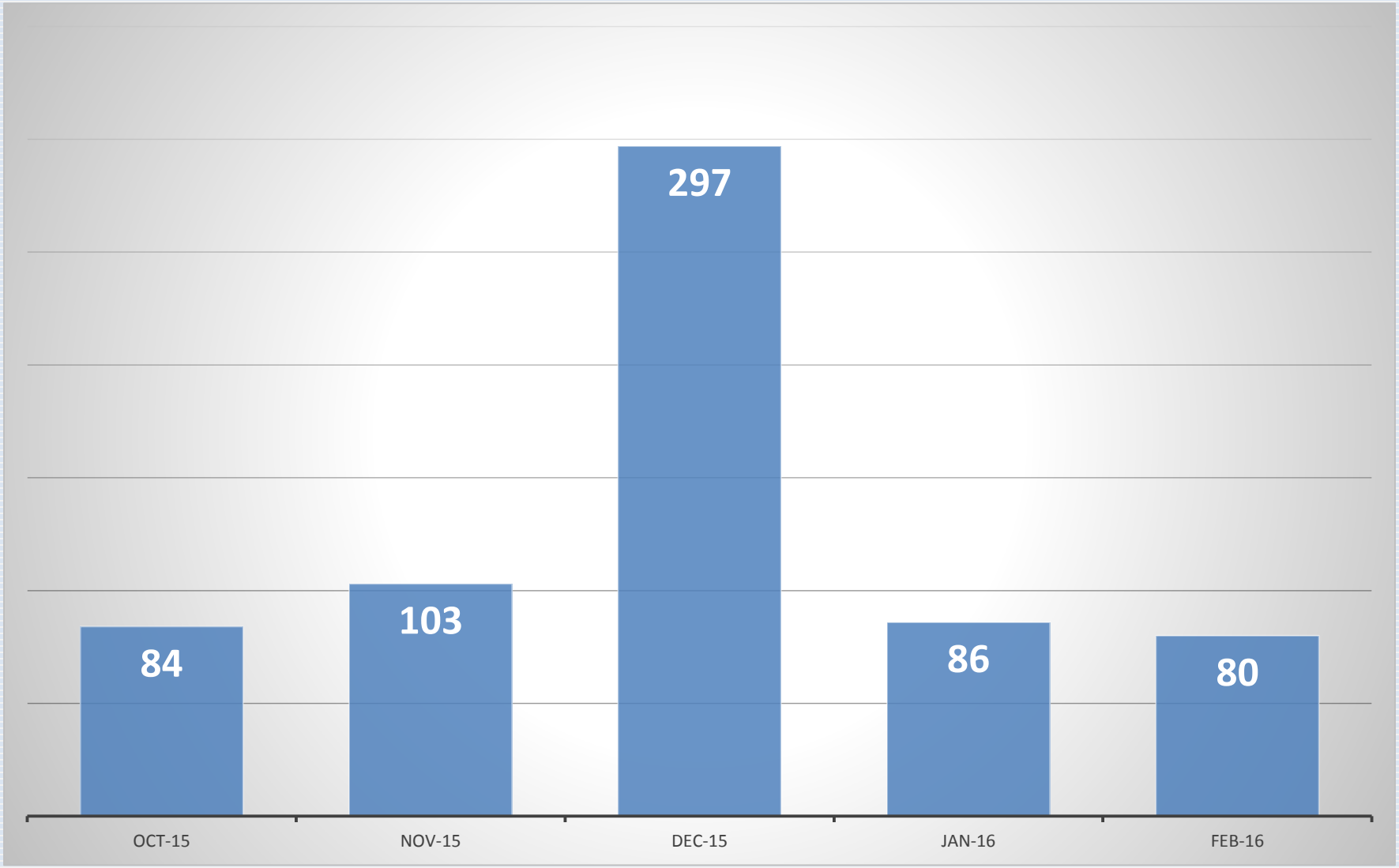
Process Improvement Goals

Reduce time from complaint receipt to case closure (complete audits and report writing)

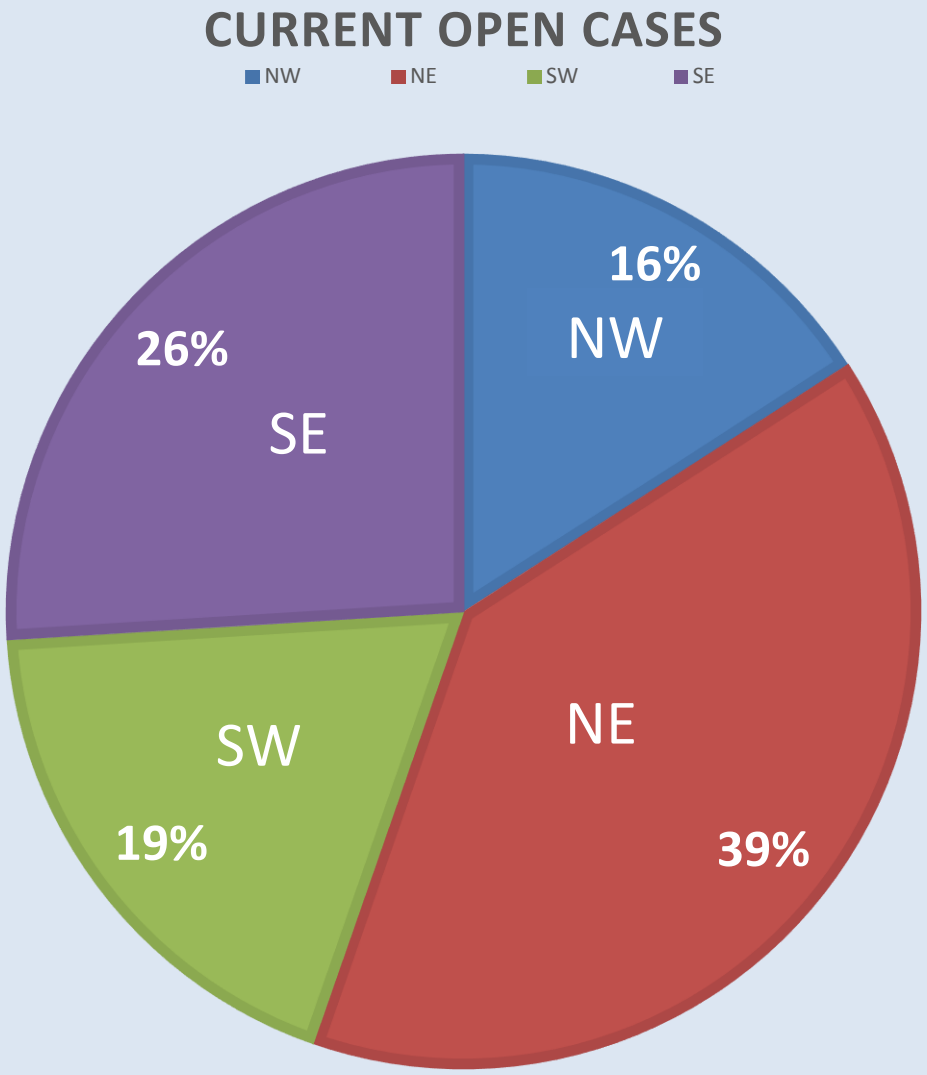
Standardized process and keep stakeholders informed

Create data collection system that is easy to use

New Cases (Monthly)



Volume by Region



Time to Process

- Approximately 10-18 months on complex prescriber cases
- Approximately 1-6 months on basic, straight forward cases

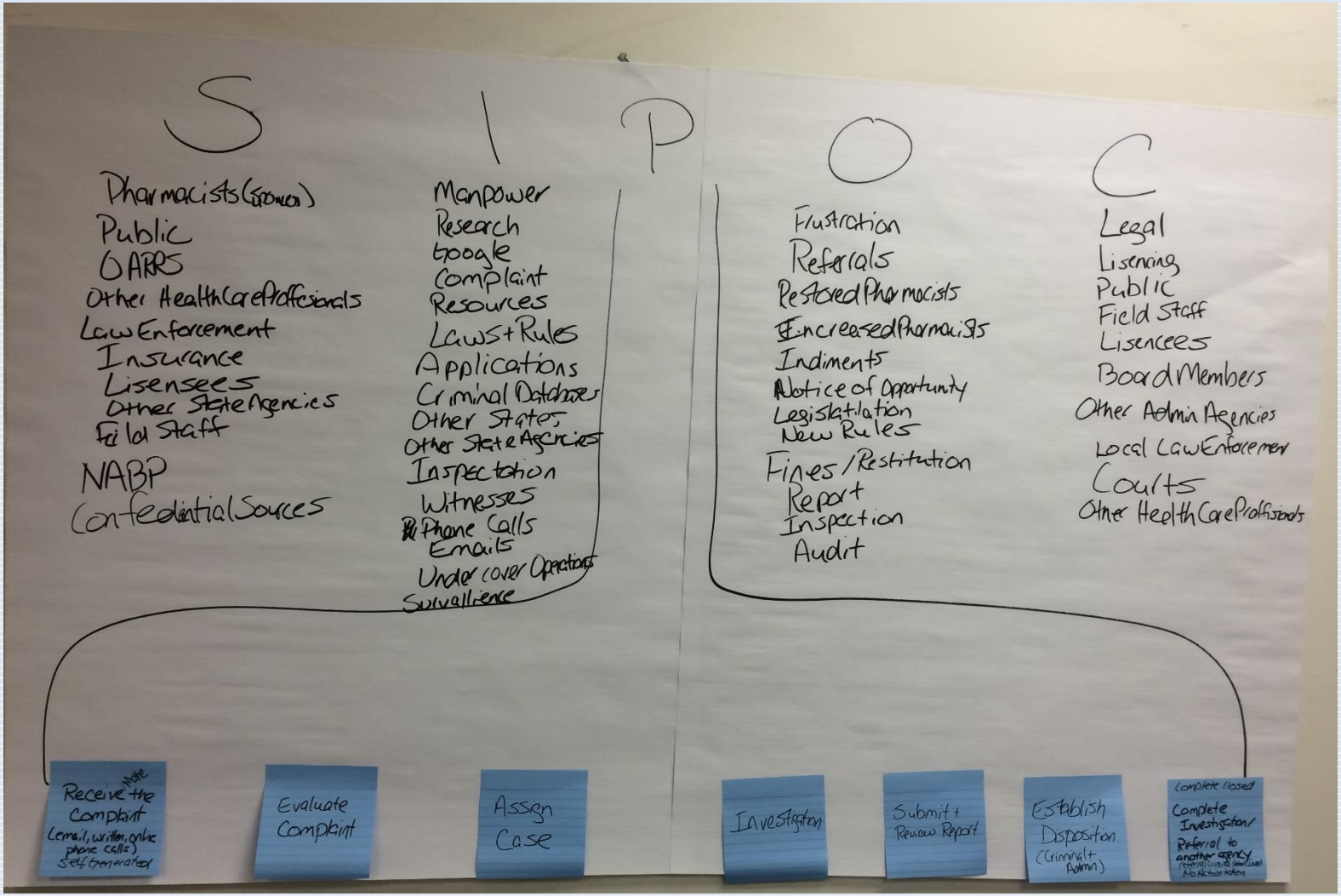
To Break for the Better

- Customer focused
- Right people changing the process
- One week-quick and action oriented
- Necessary resources available immediately
- New process implementation begins next Monday

Day One

-Level Setting
-Scope of Event
-Stakeholder Identification
-Current State Mapping

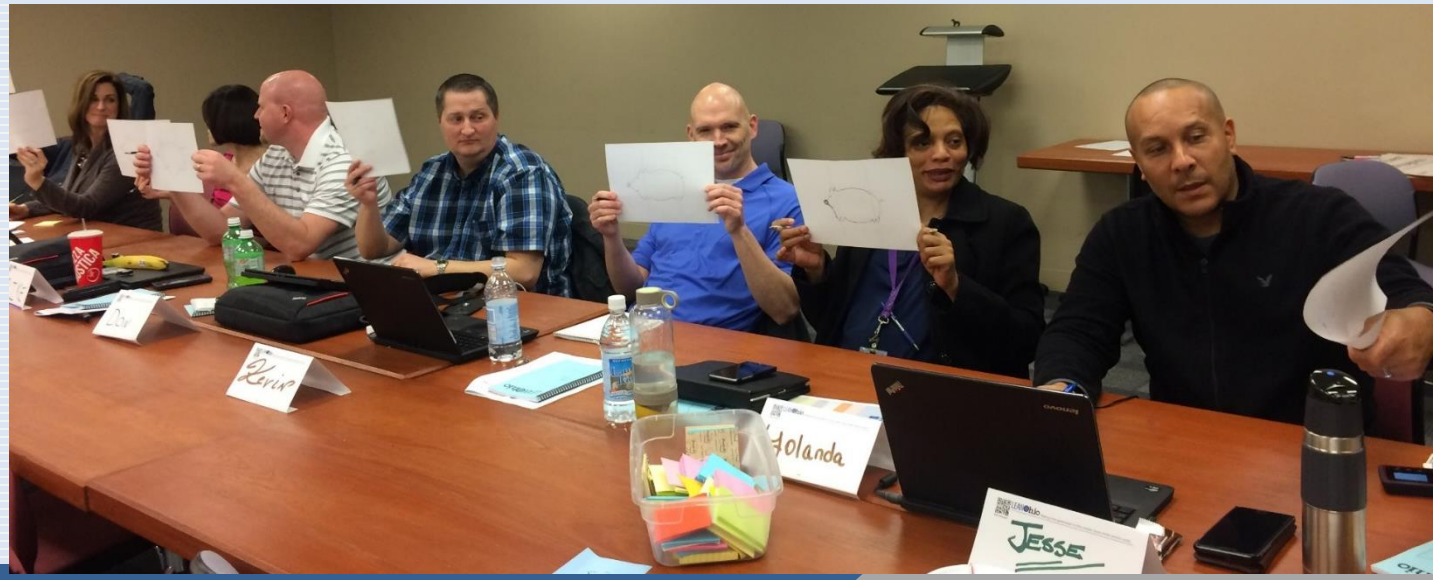
SIPOC


S
Pharmacists (Growth)
Public
OARRS
Other HealthCareProfessionals
Law Enforcement
Insurance
Licensees
Other State Agencies
Field Staff
NABP
Confedential Sources
I
Manpower
Research
Google
Complaint
Resources
Laws + Rules
Applications
Criminal Databases
Other States
Other State Agencies
Inspection
Witnesses
Phone Calls
Emails
Under cover Operations
Surveillance
P
O
Frustration
Referrals
Restored Pharmacists
Increased Pharmacists
Indiments
Notice of Opportunity
Legislation
New Rules
Fines / Restitution
Report
Inspection
Audit
C
Legal
Lisencing
Public
Field Staff
Licencees
Board Members
Other Admin Agencies
Local Law Enforcement
Courts
Other HealthCare Professionals
Receive the Complaint
Evaluate Complaint
Assign Case
Investigation
Submit + Review Report
Establish Disposition (Criminal + Admin)
Complete Investigation / Referral to another agency
Complete Closed

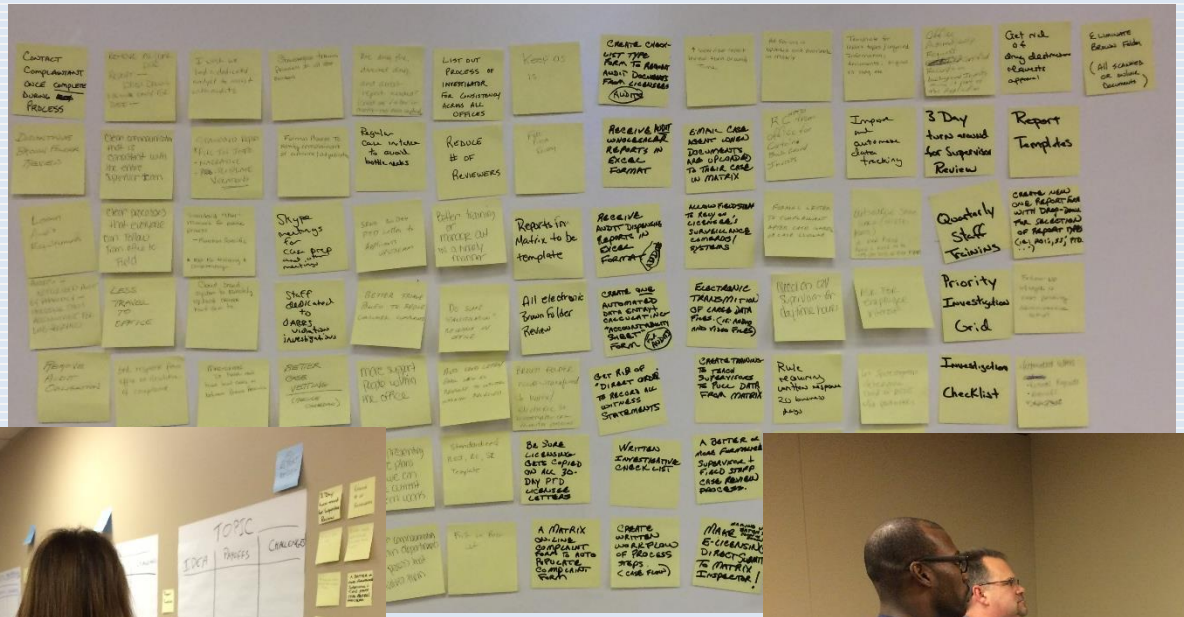
-Finish Current State Mapping
-Waste Identification
-Value Added Discussion
-Lean Six Sigma Training

Day Two

Quest for Standardization



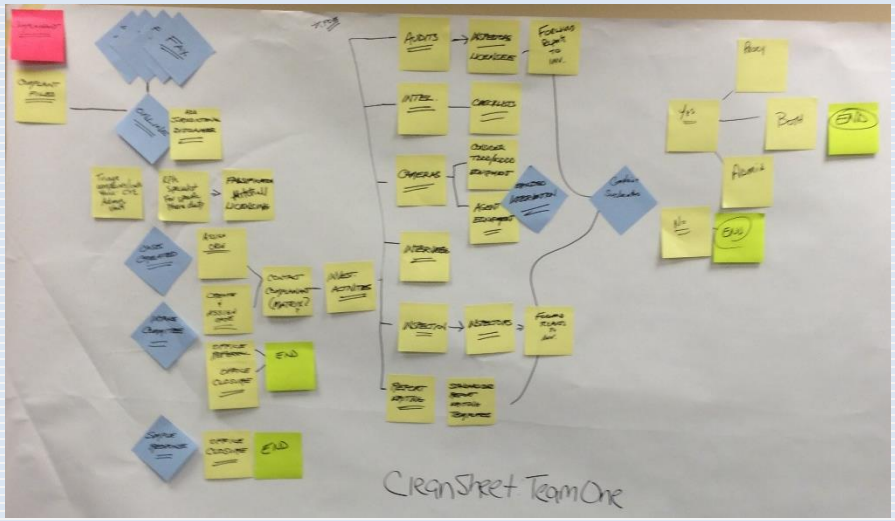
The team brainstormed and evaluated over 90 improvement ideas

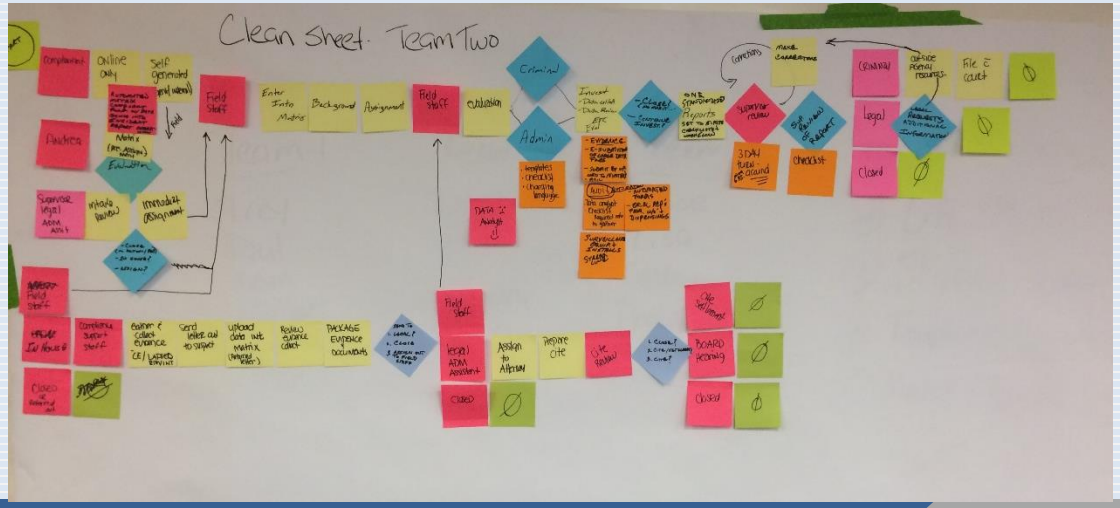


Day Three

-Clean Sheet Redesign
-Analysis
-Problem Solving
-Process Redesign

Clean Sheet Redesign





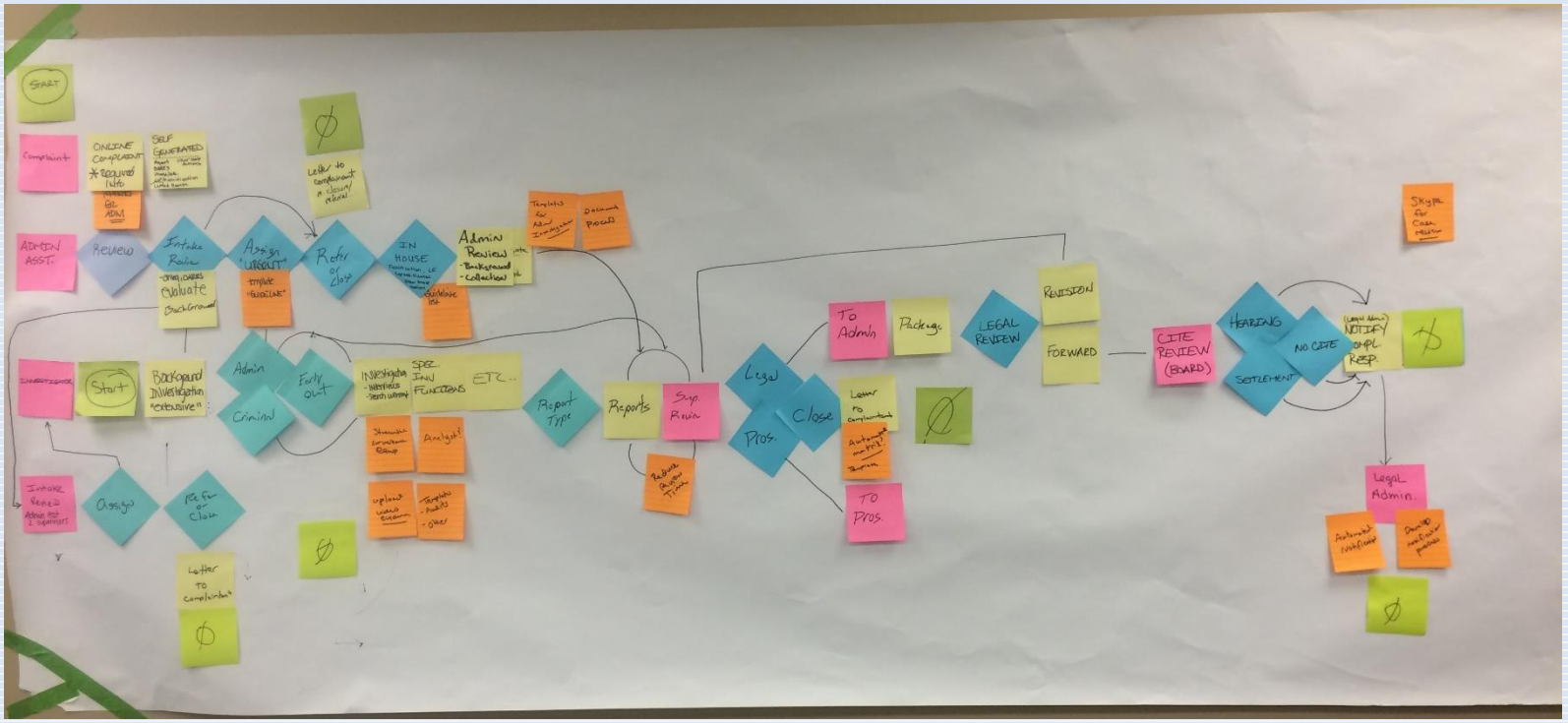
-Future State Process Development
-Discussion and Consensus
-Implementation Planning
-Details

Day Four

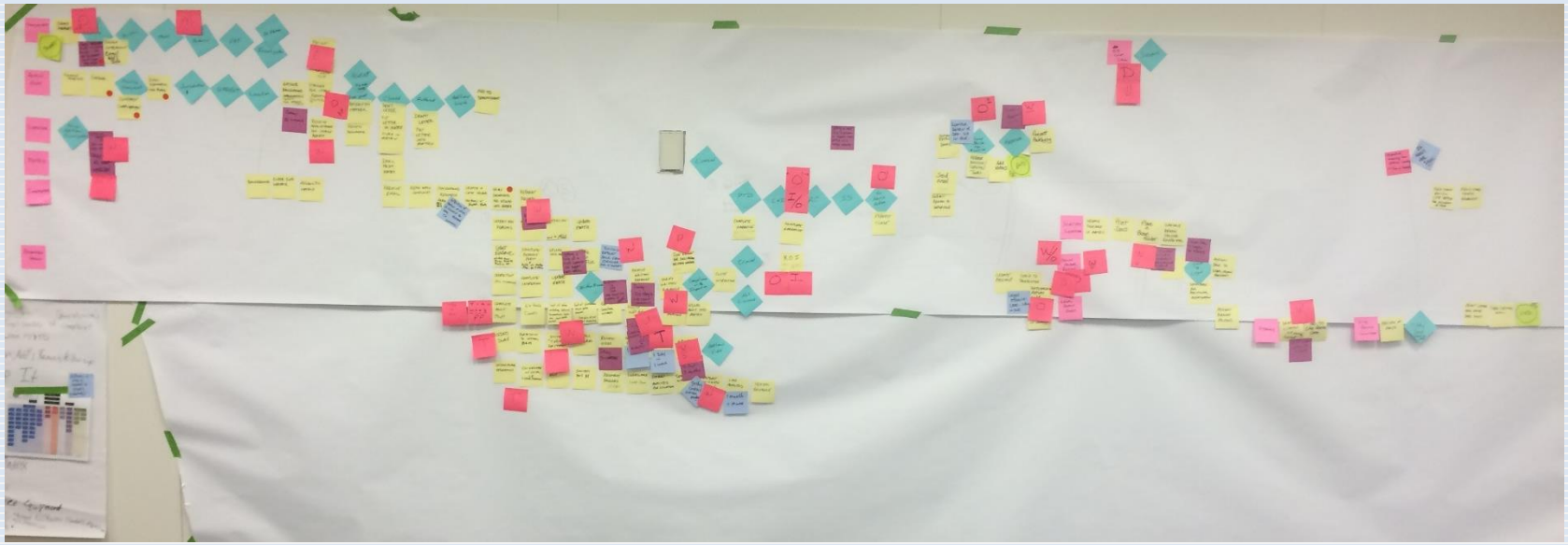
Today

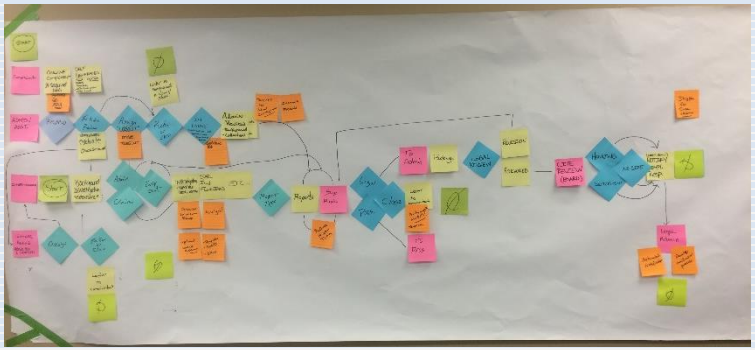
-More Implementation Planning
-Celebration
-Sharing the Results

Future State



Comparison of Process Maps





Summary Scorecard

Measure	Current Level	NEW	Change
Process Steps	133	69	**48%**
Decision Points	33	18	**45%**
Process Lead Time (basic investigations)	1 - 6 months	2 weeks – 6 months	**Potential time savings of over 5 months**

Simpler

- Guidelines to Assign Complaint
- Simplify Legal Review Process
- Creation of Investigation Guidance
- Policy and Procedure Consolidation
- Improved Audit Process
- Templates for In-House Review by Admin and Supervisor
- Improved Communication to Field
- Wholesale Records Request Process

Better

- Online Submission Form
- “Early Out” for Cases
- More Integration and Training on Matrix
- Conduct Proactive Audits
- Remote upload of Audio/Video Files from Field
- Easier Data Gathering
- Standardized Close/Referral Letters
- Creation Phone Triage
- Notification of Case Disposition

Faster

- Remove Brown Folder review
- Shift case types to administrative assistant for routine/non-intensive complaints
- Increase usage of online submission and less data entry
- Complaint form auto-loaded into Matrix

Less Costly

- Potential Cost Savings include mileage paper and travel (lodging, food, gas, etc.)

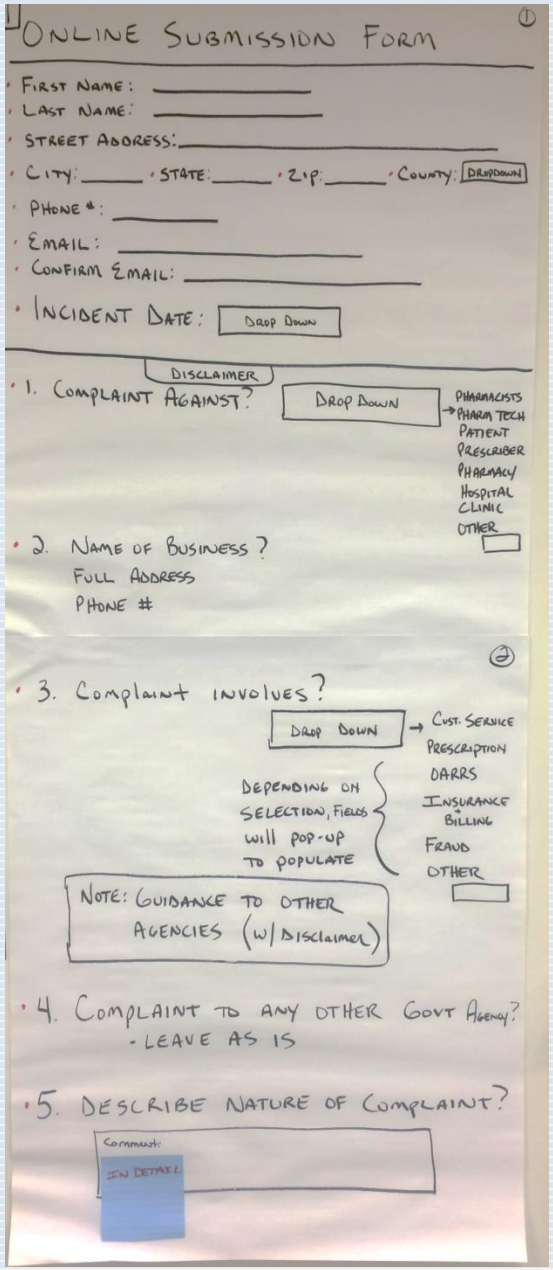
Projected Redirected Hours: 3784

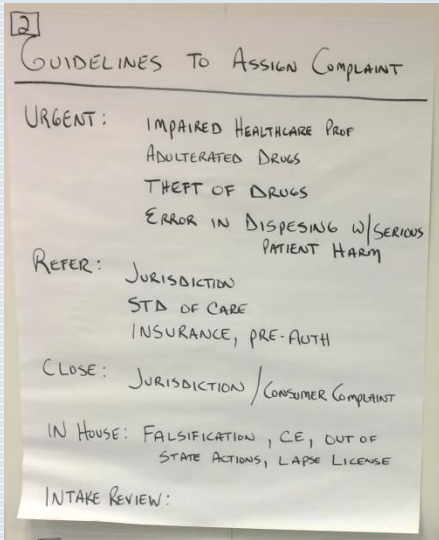
- Brown Folder
- Skype Meetings
- Technical Audits
- Pharmacy Surveillance
- On-line Submission

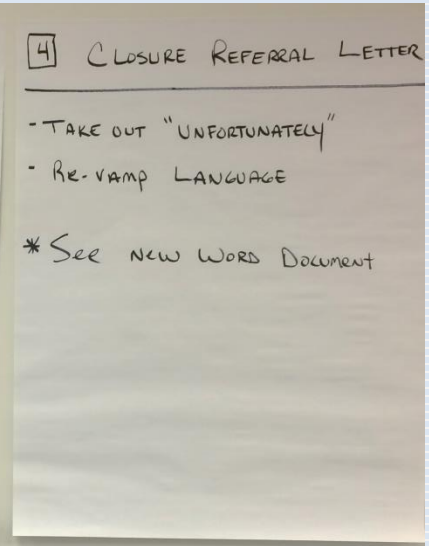
Implementation Plans

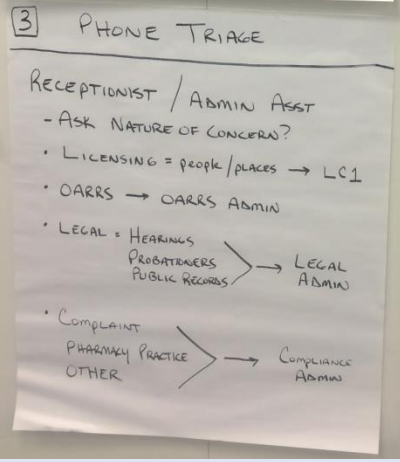
- Templates
- Investigative Checklist (Guidance Document)
- Audit
- Skype/Cloud/Communication
- Training
- Reports
- Matrix/Data
- Policy Procedures

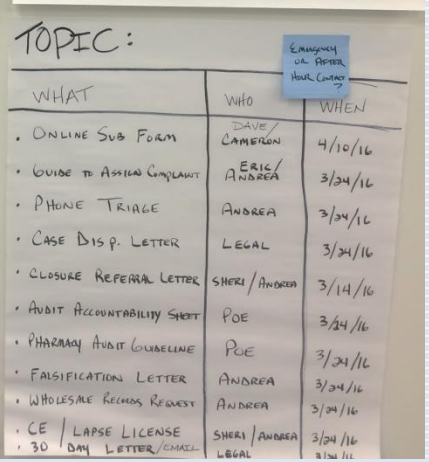
Templates


1
ONLINE SUBMISSION FORM
FIRST NAME:
LAST NAME:
STREET ADDRESS:
CITY: STATE: ZIP: COUNTY: DROPDOWN
PHONE #:
EMAIL:
CONFIRM EMAIL:
INCIDENT DATE: DROP DOWN
DISCLAIMER
1. COMPLAINT AGAINST? DROP DOWN
PHARMACISTS
PHARM TECH
PATIENT
PRESCRIBER
PHARMACY
HOSPITAL
CLINIC
OTHER
2. NAME OF BUSINESS?
FULL ADDRESS
PHONE #
3. COMPLAINT INVOLVES?
DROP DOWN
CUST. SERVICE
PRESCRIPTION
DARRS
INSURANCE
BILLING
FRAUD
OTHER
DEPENDING ON SELECTION, FIELDS will POP-UP TO POPULATE
NOTE: GUIDANCE TO OTHER AGENCIES (W/ DISCLAIMER)
4. COMPLAINT TO ANY OTHER GOVT AGENCY?
- LEAVE AS IS
5. DESCRIBE NATURE OF COMPLAINT?
COMMENT:
IN DETAIL

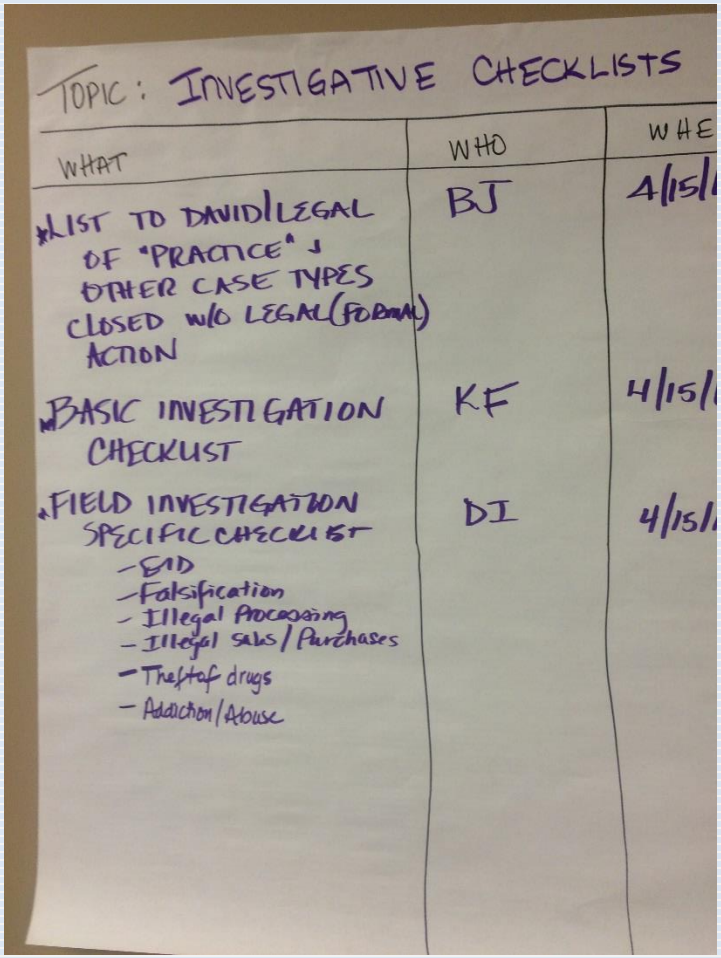

2
GUIDELINES TO ASSIGN COMPLAINT
URGENT:
IMPAIRED HEALTHCARE PROF
ADULTERATED DRUGS
THEFT OF DRUGS
ERROR IN DISPESING W/SERIOUS PATIENT HARM
REFER:
JURISDICTION
STD OF CARE
INSURANCE, PRE-AUTH
CLOSE: JURISDICTION / CONSUMER COMPLAINT
IN HOUSE: FALSIFICATION, CE, OUT OF STATE ACTIONS, LAPSE LICENSE
INTAKE REVIEW:


4
CLOSURE REFERRAL LETTER
- TAKE OUT "UNFORTUNATELY"
- RE-VAMP LANGUAGE
* SEE NEW WORD DOCUMENT


3
PHONE TRIAGE
RECEPTIONIST / ADMIN ASST
- ASK NATURE OF CONCERN?
• LICENSING = PEOPLE/PLACES → LC1
• OARRS → OARRS ADMIN
• LEGAL = HEARINGS, PROBATIONERS, PUBLIC RECORDS → LEGAL ADMIN
• COMPLAINT: PHARMACY PRACTICE, OTHER → COMPLIANCE ADMIN

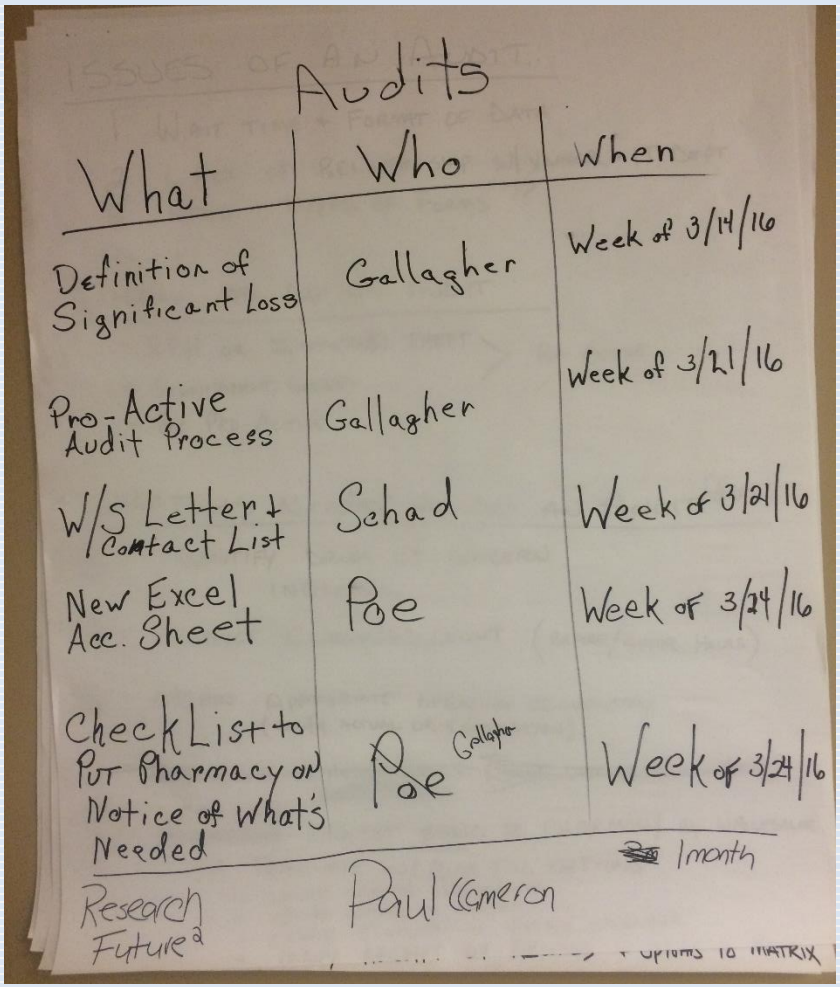

TOPIC:
EMERGENCY OR AFTER HOUR CONTACT?
WHAT
WHO
WHEN
ONLINE SUB FORM
DAVE/CAMERON
4/10/16
GUIDE TO ASSIGN COMPLAINT
ERIC/ANDREA
3/24/16
PHONE TRIAGE
ANDREA
3/24/16
CASE DISP. LETTER
LEGAL
3/24/16
CLOSURE REFERRAL LETTER
SHERI/ANDREA
3/14/16
AUDIT ACCOUNTABILITY SHEET
POE
3/24/16
PHARMACY AUDIT GUIDELINE
POE
3/24/16
FALSIFICATION LETTER
ANDREA
3/24/16
WHOLESALE RECORDS REQUEST
ANDREA
3/24/16
CE / LAPSE LICENSE
30 DAY LETTER/EMAIL
SHERI/ANDREA
LEGAL
3/24/16

Investigative Guidance/Audits



TOPIC: INVESTIGATIVE CHECKLISTS

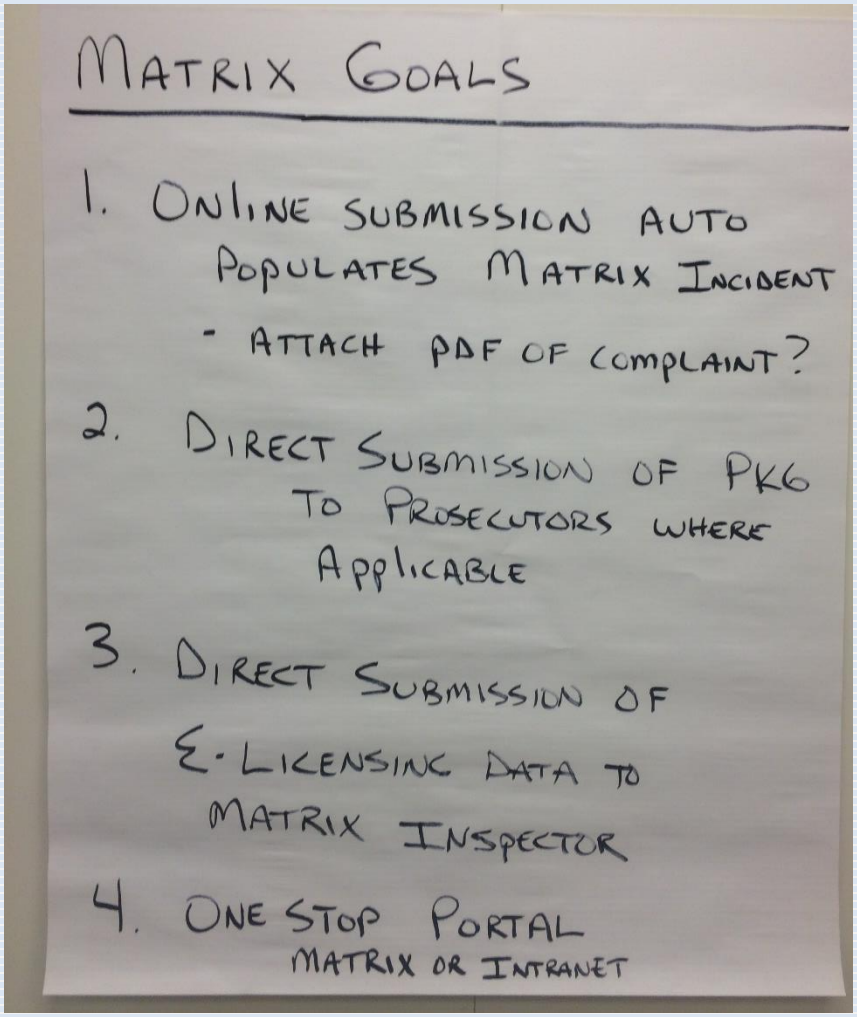
WHAT	WHO	WHE
*LIST TO DAVID/LEGAL OF "PRACTICE" J OTHER CASE TYPES CLOSED W/O LEGAL(FORMAL) ACTION	BJ	4/15/
*BASIC INVESTIGATION CHECKLIST	KF	4/15/
*FIELD INVESTIGATION SPECIFIC CHECKLIST - EID - Falsification - Illegal Processing - Illegal Sales/Purchases - Theft of drugs - Addiction/Abuse	DI	4/15/

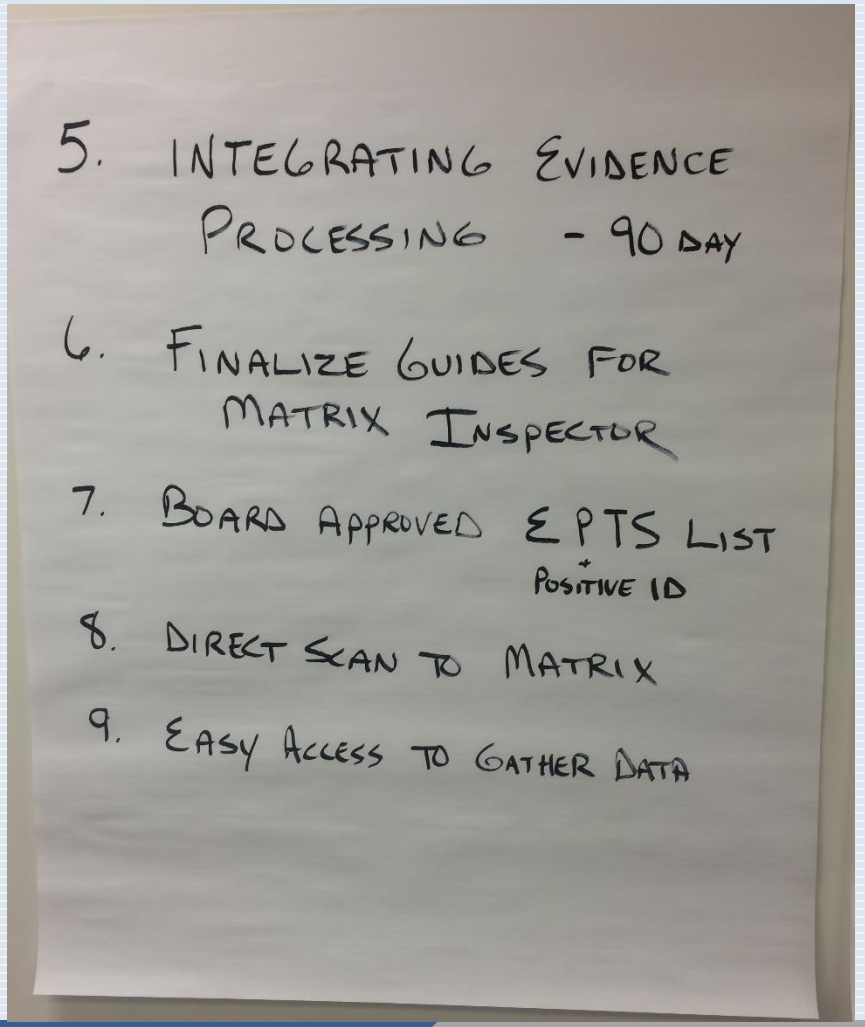


Audits

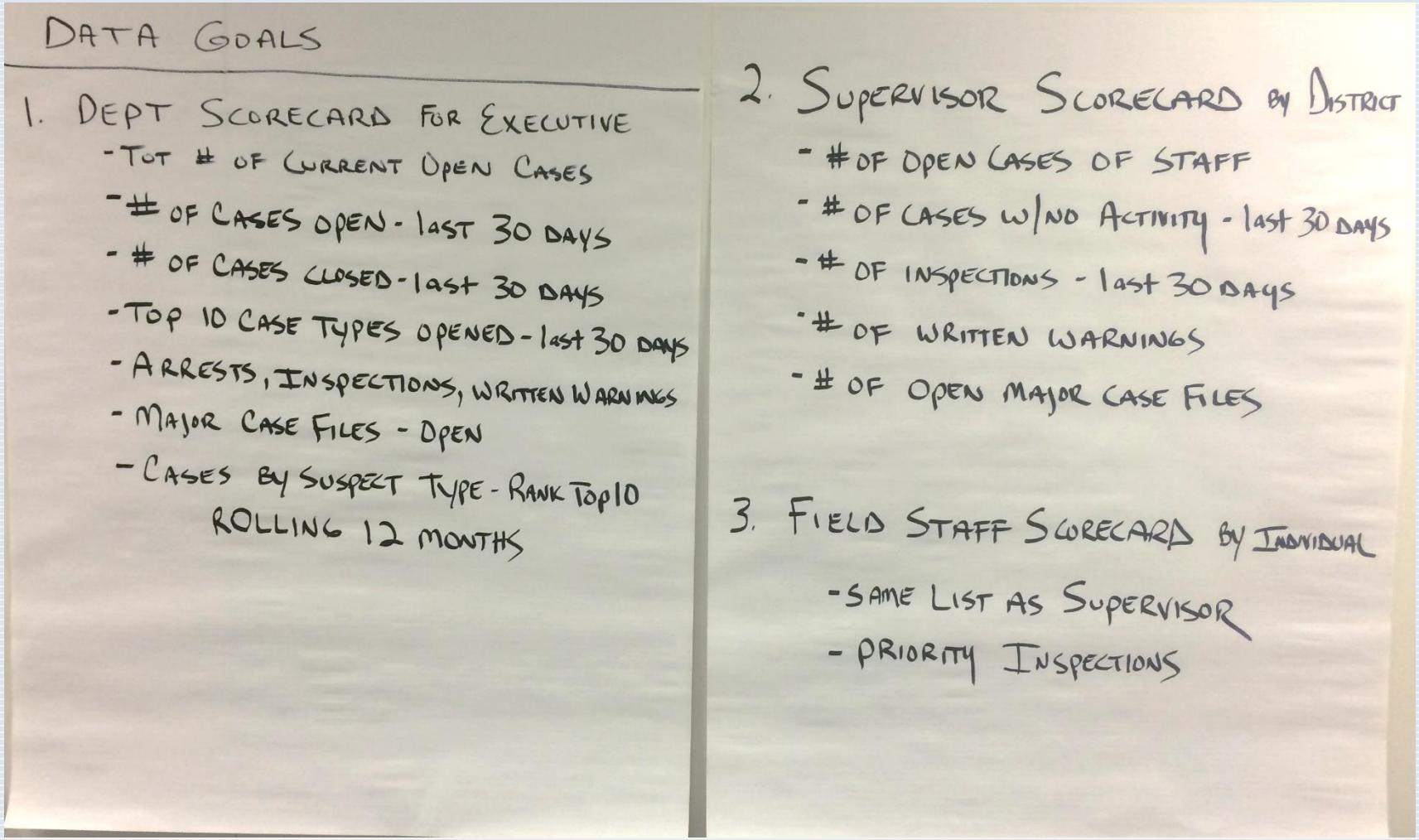
What	Who	When
Definition of Significant Loss	Gallagher	Week of 3/14/16
Pro-Active Audit Process	Gallagher	Week of 3/21/16
W/S Letter + Contact List	Schad	Week of 3/21/16
New Excel Acc. Sheet	Poe	Week of 3/24/16
Check List to Put Pharmacy on Notice of What's Needed	Poe Gallagher	Week of 3/24/16
Research Future?	Paul Cameron	~~3mo~~ 1month

Matrix


Matrix Goals
1. Online submission auto populates Matrix Incident
- Attach PDF of complaint?
2. Direct Submission of PKG to Prosecutors where Applicable
3. Direct Submission of E-Licensing Data to Matrix Inspector
4. One Stop Portal
Matrix or Intranet


5. Integrating Evidence Processing - 90 day
6. Finalize Guides for Matrix Inspector
7. Board Approved EPTS List
+ Positive ID
8. Direct Scan to Matrix
9. Easy Access to Gather Data

Data



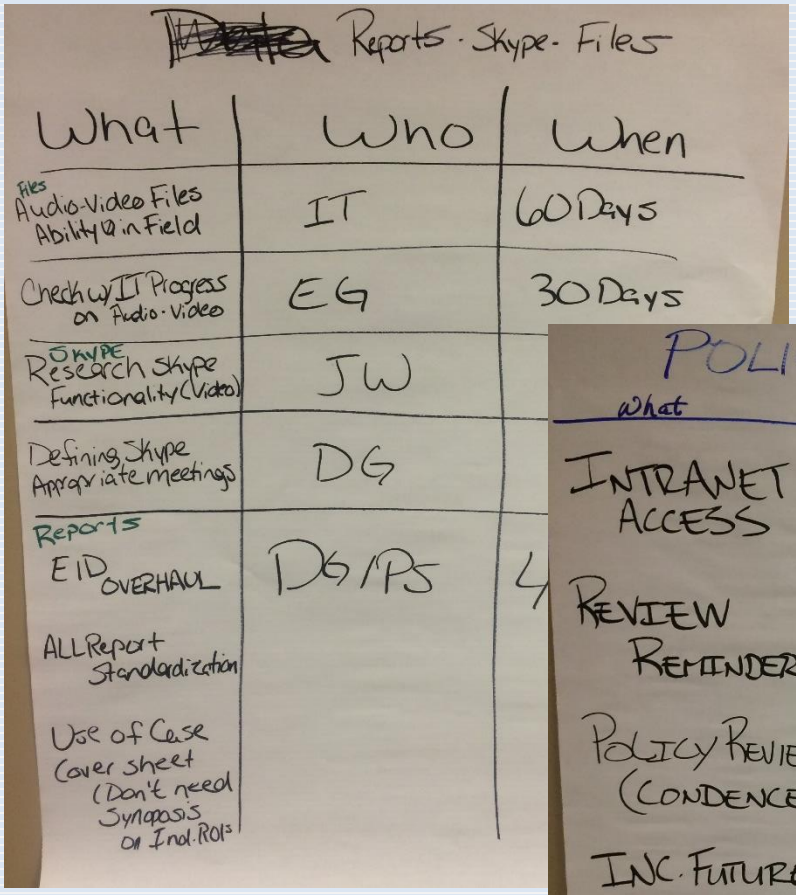
DATA GOALS

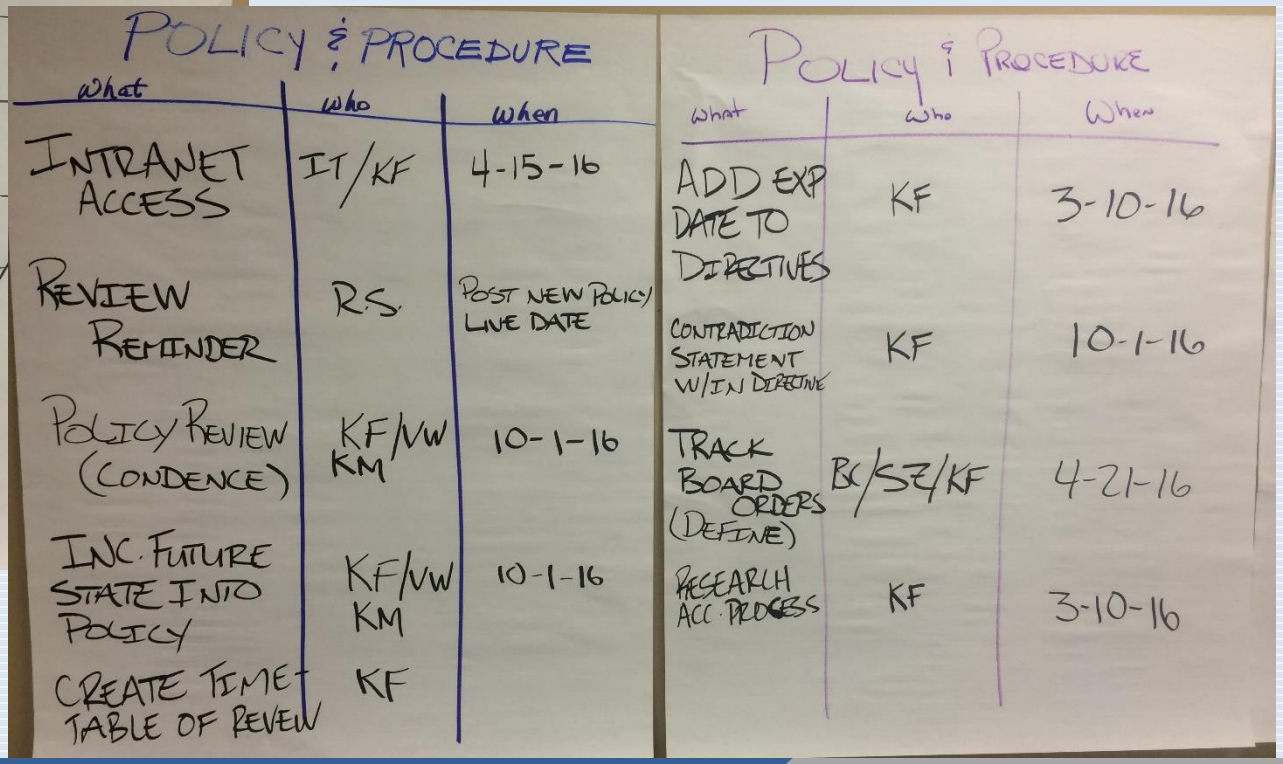
1. DEPT SCORECARD FOR EXECUTIVE
   - TOT # OF CURRENT OPEN CASES
   - # OF CASES OPEN - last 30 DAYS
   - # OF CASES CLOSED - last 30 DAYS
   - TOP 10 CASE TYPES OPENED - last 30 DAYS
   - ARRESTS, INSPECTIONS, WRITTEN WARNINGS
   - MAJOR CASE FILES - OPEN
   - CASES BY SUSPECT TYPE - RANK Top10 ROLLING 12 MONTHS

2. SUPERVISOR SCORECARD BY DISTRICT
   - # OF OPEN CASES OF STAFF
   - # OF CASES W/NO ACTIVITY - last 30 DAYS
   - # OF INSPECTIONS - last 30 DAYS
   - # OF WRITTEN WARNINGS
   - # OF OPEN MAJOR CASE FILES

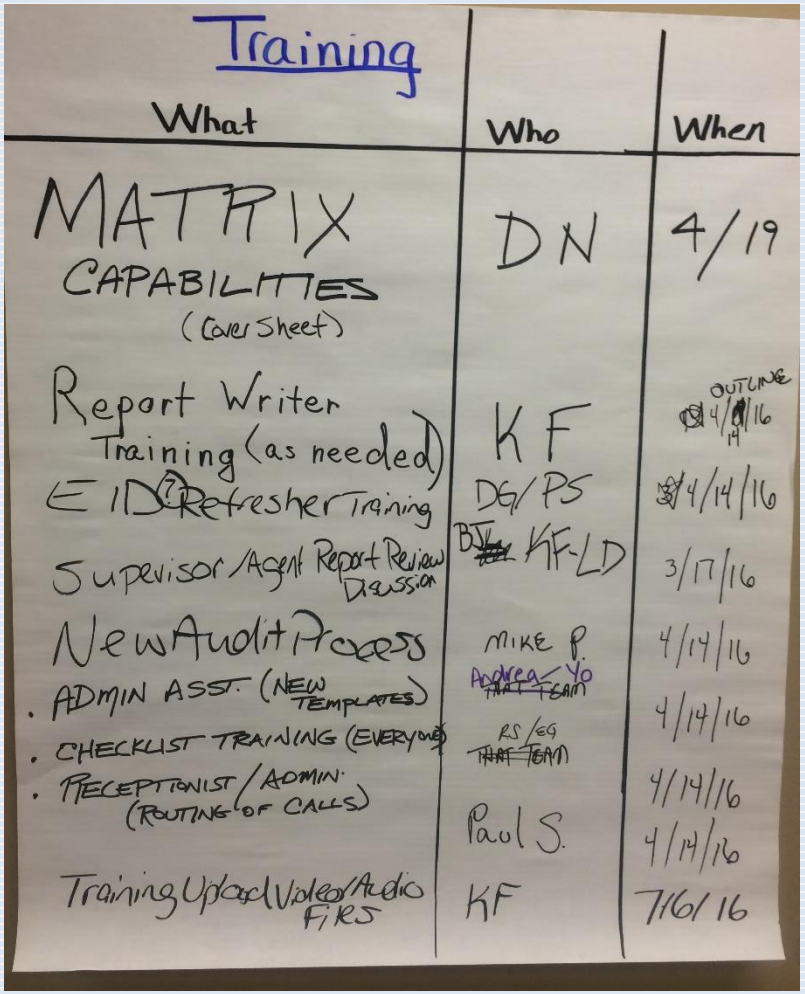
3. FIELD STAFF SCORECARD BY INDIVIDUAL
   - SAME LIST AS SUPERVISOR
   - PRIORITY INSPECTIONS

Policy/Procedure and Reports/Skype



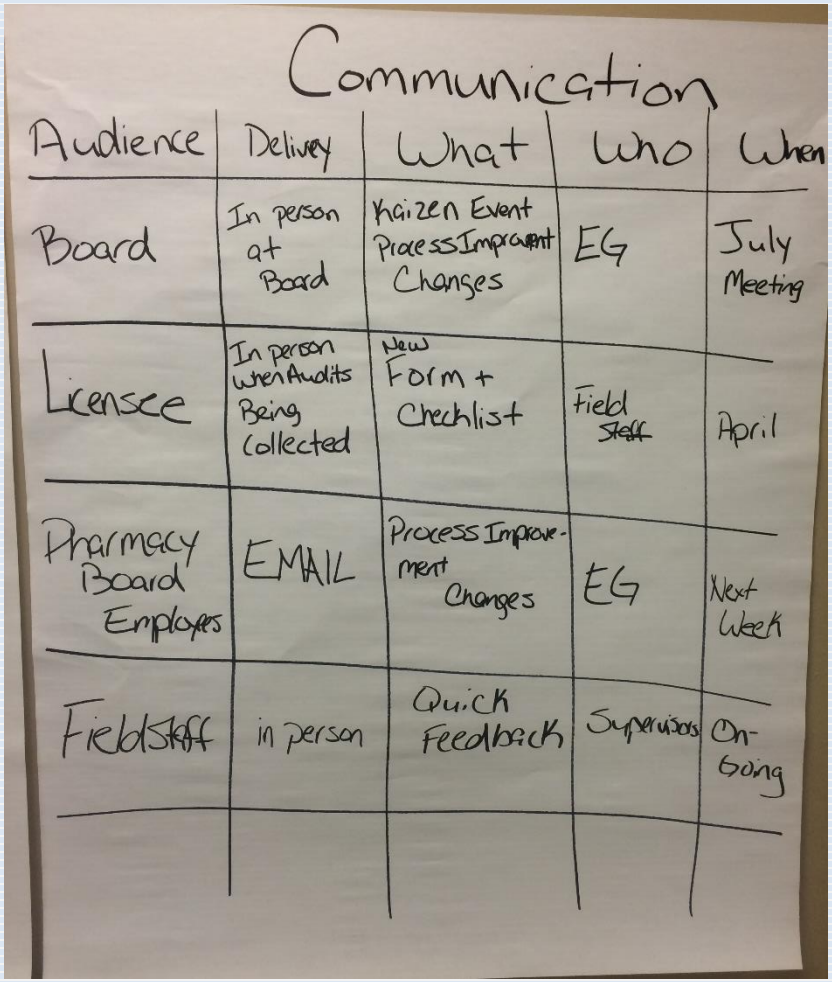


Training/Communication



Training

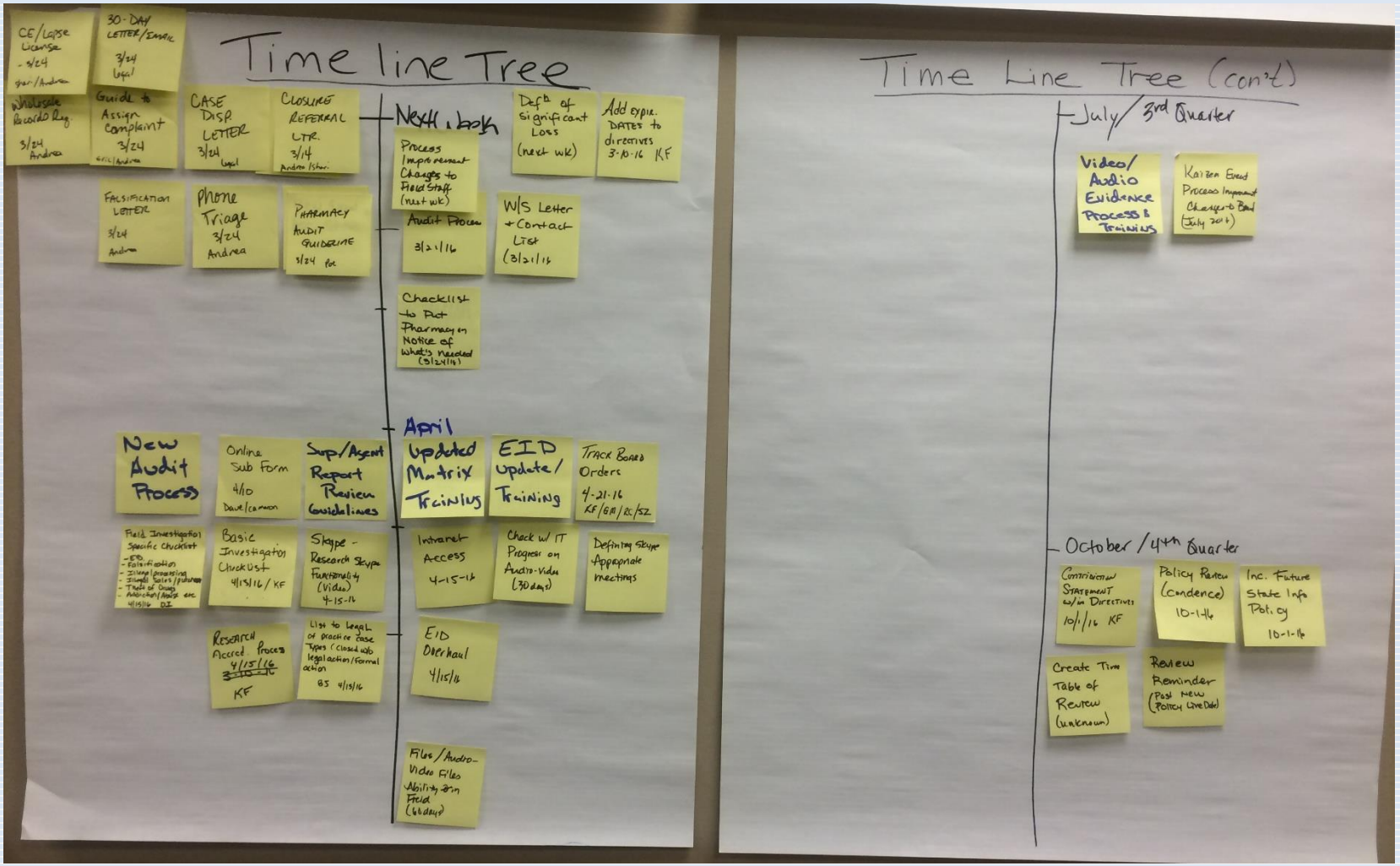
What	Who	When
MATRIX CAPABILITIES (Cover Sheet)	DN	4/19
Report Writer Training (as needed)	KF	OUTLINE 4/6/16
EID Refresher Training	DG/PS	4/14/16
Supervisor/Agent Report Review Discussion	~~BJ~~ KF-LD	3/17/16
New Audit Process	MIKE P.	4/14/16
. ADMIN ASST. (NEW TEMPLATES)	~~ANDREA~~ YO ~~THAT TEAM~~	4/14/16
. CHECKLIST TRAINING (EVERYONE)	~~RS/EG THAT TEAM~~	4/14/16
. RECEPTIONIST/ADMIN. (ROUTING OF CALLS)	Paul S.	4/14/16
Training Upload Video/Audio Files	KF	7/16/16



Communication

Audience	Delivery	What	Who	When
Board	In person at Board	Kaizen Event Process Improvement Changes	EG	July Meeting
Licensee	In person when Audits Being Collected	New Form + Checklist	Field Staff	April
Pharmacy Board Employes	EMAIL	Process Improvement Changes	EG	Next Week
Field Staff	in person	Quick Feedback	Supervisors	On-Going

Timeline Tree



Special *thanks* to…

Senior Leadership:

- Steven Schierholt, ESQ. Executive Director
- The Ohio State Board of Pharmacy
- Nicole Dehner, ESQ. Chief Legal Council

Sponsor:

- Eric Griffin, Director of Compliance and Enforcement

Team Leader:

- Yolanda Freeman, Administrative Supervisor
- Jesse Wimberly, Regional Supervisor