

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

DATE OF IMPLEMENTATION/ADOPTION: NOVEMBER, 2019

CHECK HERE IF THIS PROJECT IS BEING SUBMITTED FOR THE **COVID-19 IMPACT AWARD ONLY**. (Projects must be implemented on or before December 31, 2020. **Note:** Projects implemented less than one year ago will not be eligible for any other PQA awards. In addition, once a project is submitted, you cannot submit the same project for awards consideration in subsequent years).

PROJECT STATUS: _____ Ongoing One-time only

HAS YOUR DEPARTMENT PREVIOUSLY SUBMITTED THIS PROJECT? _____ Yes No

EXECUTIVE SUMMARY:

1 The Department of Human Resources (DHR) in partnership with the Board of
 2 Supervisors, Executive Office (BOS) successfully developed and implemented an
 3 automated online Investigations Case Management System (ICMS). This first ever
 4 online central system provides numerous benefits and efficiencies not only for DHR and
 5 BOS, but for all County departments.

6
 7 This system fully maximizes investigator time to successfully complete the investigation
 8 and reduces the amount of labor in collecting, organizing and processing information.
 9 ICMS also allows departments, BOS and DHR to increase productivity, streamline
 10 business processes and improve services through automation of workflows and
 11 integration of our enterprise HR systems. Altogether, the ICMS system creates a central
 12 platform for collaboration and equips departments and other stakeholders with the tools
 13 needed to process and complete an investigation in a timely, thorough and efficient
 14 manner. This helps ensure that the standard for fairness is maintained during
 15 investigation process, while reducing time and hurdles for completing the process.

BENEFITS TO THE COUNTY

(1) ACTUAL/ESTIMATED ANNUAL COST AVOIDANCE	(2) ACTUAL/ESTIMATED ANNUAL COST SAVINGS	(3) ACTUAL/ESTIMATED ANNUAL REVENUE	(1) + (2) + (3) = TOTAL ANNUAL ACTUAL/ESTIMATED BENEFIT	SERVICE ENHANCEMENT PROJECT
\$ 1 M	\$ 500,000	\$	\$ 1.5 M	<input checked="" type="checkbox"/>

ANNUAL = 12 MONTHS ONLY

SUBMITTING DEPARTMENT NAME AND COMPLETE ADDRESS Department of Human Resources 500 W. Temple Street, Los Angeles, CA 90012		TELEPHONE NUMBER 213-974-2406
PROGRAM MANAGER'S NAME Roozan Zarifian RZarifian@hr.lacounty.gov		TELEPHONE NUMBER EMAIL
PRODUCTIVITY MANAGER'S NAME AND SIGNATURE <small>(PLEASE CALL (213) 893-0322 YOU DO NOT KNOW YOUR PRODUCTIVITY MANAGER'S NAME)</small> Leslie Foxvog "SIGNATURE ON FILE"		TELEPHONE NUMBER (213) 974-2515; (213) 074-1528 EMAIL LFoxvog@hr.lacounty.gov ; mgonzalez@hr.lacounty.gov
DEPARTMENT HEAD'S NAME AND SIGNATURE Lisa Garrett – "SIGNATURE ON FILE"		TELEPHONE NUMBER (213) 974-2406

ELECTRONIC, WET, OR SCANNED SIGNATURES ARE ACCEPTABLE

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

Challenge:

For complaints alleging a violation of the County Policy of Equity, a complaint must be filed with the County Intake Specialist Unit (CISU) of the BOS before an investigation can take place. CISU is responsible for conducting an initial intake investigation of the complaint to determine a case designation. Depending on the case designation, CISU sends notifications to appropriate DHR units and other County departments to begin their investigations.

Although CISU, CEIU and Mediation work jointly in their investigation/mediation function, they did not previously share the same system. The County relied on disparate, disconnected, and, in some cases, outdated software applications to manage different pieces of the same investigation.

In addition to this challenge, CEIU spent a tremendous amount of time compiling their investigative reports in order to provide them to the County Equity Oversight Panel (CEOP) for review. This report can range from 50 to 650+ pages depending on the complexity of the case. When information was needed for a case, it was scattered across various sources, from departments to individual employees or individual members of the public. In addition, prior systems had no integration with other key human resource enterprise systems. Staff spent a lot time searching for and requesting information. Formerly, letters or notices had to be created manually outside of the legacy systems. Furthermore, there was no ability to electronically track the productivity of investigations staff and there was no audit trail to determine who accessed the case information. There were limited controls to manage user access and confidential cases. These issues created a challenge in sharing information, created serious security issues, and came at a great cost to the County.

Solution:

The key objectives of the creation of the ICMS system were to: replace disparate, disconnected, and outdated software applications with an automated central end-to-end online solution; eliminate paper-based processes; prevent data loss and inconsistency throughout the investigation process, provide all parties with real-time and secure electronic access to case information, automate the manual process of collecting and managing case information; protect the sensitive and confidential employee information; and enable electronic exchange of information.

With the new ICMS system, for the first time, the County has an end-to-end investigations platform that allowed individual departments to increase productivity, streamline business processes, and improve services to all business functions.

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

The ICMS system is built using OpenText Documentum Content Management technology with an established file structure and searchable index keys. A secure electronic intake form was built in HTML5 for filing complaints and a secure single-sign-on access to system is provided to departmental users and Panel members for easy access and management of cases. The user interface is intuitive and easy to navigate which means it requires less learning curve. Furthermore, there is now a single source of truth using one unified system while ensuring that we maintain and continue to meet the standards.

The system is integrated with five enterprise HR systems, providing real time document access and updates as records are being finalized.

Benefits (Worthiness of Award):

- Instant online access to Panel members to review and approve case records virtually from their home office, saving Panel members time from coming to the CEOP office to review case information, documents and to prepare for CEOP briefings;
- Instant online access to departments to review case information and upload documents;
- Mitigate risk of maintaining incomplete or inaccurate records by managing and maintaining all case-related documents, videos and audio within a central system;
- Secure electronic access to case information by eliminating dependencies on paper files;
- Locate and retrieve digital records instantly when required with a robust search capability;
- Ability to link and unlink various cases that have the same involved and/or complaining parties where they can be investigated together to eliminate redundant investigation processes;
- Real-time access and exchange of information through integrations with Countywide HR systems to increase user productivity;
- Automated case triage based on pre-determined criteria saving staff time from manually triaging and assigning cases;
- Electronic stacking of case information into comprehensive reports eliminating manual stacking of case documents and reducing time to process cases;
- Automatic routing of completed reports to the Panel for recommendations directly within the system to eliminate manual processes;

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

- Avoid unnecessary delays through electronic Re-Designation and Party Amendments to CISU/CEOP;
- Real-time access to operational reports and dashboards to empower decision making and improve visibility into trends that may be forming;
- Real-time auditing to help identify potential issues before they become problems; and
- Automated mail merge capability for generating invitation, closure, and compliance letters all from within the system to increase user productivity.

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

Linkage to the County Strategic Plan – 1 page only. Which County Strategic Plan goal(s) does this project address? Explain how. Use Arial 12-point font.

Goal III. Realize Tomorrow’s Government Today

Strategy III.2.3 Prioritize and Implement Technology Initiatives That Enhance Service Delivery and increase Efficiency

The ICMS system fully embodies the County of Los Angeles’ goal to Realize Tomorrow’s Government Today. Specifically, ICMS supports Strategy III.2.3 - Prioritize and Implement Technology Initiatives That Enhance Service Delivery and increase Efficiency. With ICMS, the County has redesigned its investigations process to take advantage of electronic data. As a result, the County has created a more efficient, transparent and reliable way of filing, processing and completing investigations.

Strategy III.3.2 Manage and Maximize County Assets

The system has also proven rewarding from a personnel perspective. ICMS maximizes analyst time and resources involved in organizing and processing an investigation. Since staff are no longer needed to triage and stack case documents manually, the system has increased efficiencies and allowed DHR and BOS to repurpose personnel for more meaningful work.

Strategy III.4 Engage and Share Information with Our Customers, Communities and Partners

ICMS also allows departments, BOS and DHR to increase productivity, streamline business processes and improve human resource services through automation of workflows and integration of our enterprise human resources systems.

Strategy III.2.1 Enhance Information Technology Platforms to Securely Share and Exchange Data

The ICMS system provides instant access to case information through a secure online portal for each department, featuring the ability to transmit information to CPOE Program partners, to respond to mediation invitations, to track scheduled sessions and monitor cases through a dashboard, all in real-time.

The creation and integrated use of the ICMS system has transformed the manner in which the County conducted its investigations.

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

COST AVOIDANCE, COST SAVINGS, AND REVENUE GENERATED (ESTIMATED BENEFITS TO THE COUNTY): If you are claiming cost benefits, include a calculation on this page. Please indicate whether these benefits apply in total or on a per unit basis, e.g., per capita, per transaction, per case, etc. You must include an explanation of the County cost savings, cost avoidance or new revenue that matches the numbers in the box. Remember to keep your supporting documentation. Use Arial 12-point font

(1) ACTUAL/ESTIMATED ANNUAL COST AVOIDANCE	(2) ACTUAL/ESTIMATED ANNUAL COST SAVINGS	(3) ACTUAL/ESTIMATED ANNUAL REVENUE	(1) + (2) + (3) TOTAL ANNUAL ACTUAL/ESTIMATED BENEFIT	SERVICE ENHANCEMENT PROJECT
\$ 1M	\$ 500,000	\$	\$ 1.5M	<input checked="" type="checkbox"/>

ANNUAL= 12 MONTHS ONLY

Transitioning to ICMS has led to tangible cost benefits in the following key areas:

- Area of collecting and compiling case information. The information was scattered across various sources, from departments to individual employees or individual members of the public. Staff spent a lot time searching for and requesting information. Having an automated central digital platform has allowed DHR and BOS to collect and maintain case information efficiently. This has amounted to **\$500,000** in Cost Avoidance.
- Area of investigation and reporting. This involves the time spent by investigators compiling their investigative reports in order to provide to CEOP for review. This report can range from 50 to 650+ pages depending on the complexity of the case. Electronic stacking of case information into comprehensive reports eliminating manual stacking of case documents and reducing time to process cases. Reducing resources required to manage and maintain multiple systems (BOS CRM, DHR ITMS, Cognos Reporting, Access database) amounted to **\$200,000** in Cost Avoidance.
- Area of misplaced document recovery which accounts for time spent by staff to find a file that was misplaced. This amounted to **\$300,000** in Cost Avoidance.
- The fourth is area is that of time spent by panel members traveling to remote locations to review case documents.
- In addition, we have realized cost saving of **\$500,000** from reducing software/hardware by replacing multiple systems with a single unified platform.

Quality and Productivity Commission
34th Annual Productivity and Quality Awards Program
“Leading with Excellence”

2021 APPLICATION

Title of Project (Limited to 50 characters, including spaces, using Arial 12-point font):

NAME OF PROJECT: INVESTIGATIONS CASE MANAGEMENT SYSTEM

FOR COLLABORATING DEPARTMENTS ONLY

(For single department submissions, do not include this page)

DEPARTMENT NO. 2 NAME AND COMPLETE ADDRESS Internal Services Department, 1100 N. Eastern Avenue, Los Angeles, CA 90063	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE Sonia Fernandez - "SIGNATURE ON FILE" EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE Selwyn Hollins - "SIGNATURE ON FILE" EMAIL: _____
DEPARTMENT NO. 3 NAME AND COMPLETE ADDRESS	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE EMAIL: _____
DEPARTMENT NO. 4 NAME AND COMPLETE ADDRESS	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE EMAIL: _____
DEPARTMENT NO. 5 NAME AND COMPLETE ADDRESS	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE EMAIL: _____
DEPARTMENT NO. 6 NAME AND COMPLETE ADDRESS	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE EMAIL: _____
DEPARTMENT NO. 7 NAME AND COMPLETE ADDRESS	
PRODUCTIVITY MANAGER’S NAME AND SIGNATURE EMAIL: _____	DEPARTMENT HEAD’S NAME AND SIGNATURE EMAIL: _____