

| PRINCIPAL RECOMMENDATIONS - OCTC |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Questions                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Issues to be |
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| 1.                               | RECOMMENDATION: Eliminate separate Intake and Enforcement Units. Create Intake and Enforcement teams to which staff are assigned on a rotational basis and with the expectation that team coverage will reduce the number of hand-offs, reduce the time between case receipt and case assignment, and engender accountability and ownership over the caseload.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <ol style="list-style-type: none"> <li>do teams handle both intake and enforcement functions?</li> <li>will all intake teams remain in LA?</li> <li>how often will staff rotate?</li> <li>will rotation occur within intake and enforcement teams or between?</li> <li>will staff be able to choose initial team assignments? will cases move with attorneys/investigators when they rotate?</li> <li>how many teams will there be?</li> </ol>                                                                                                                                                                                                                         |              |
| 2.                               | RECOMMENDATION: Each team should be Supervised by a Supervising Attorney. Teams should consist of seven to nine staff comprised of a combination of Attorneys, Investigators, Paralegals, and at least one clerical support assistant.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <ol style="list-style-type: none"> <li>how will the intake and enforcement teams be composed specifically given different types of work to be performed?</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |              |
| 3.                               | RECOMMENDATION: Supervising Attorneys should be empowered to exercise significant discretion and decision-making as related to cases and teams. Supervising Attorneys should be responsible for general oversight of team functions and individual team member performance related to workload progress. They should have the authority to determine case and trial preparation priorities and how the team addresses those priorities. Approval steps of routine issues related to daily case management including case disposition decisions should go no higher than the Supervising Attorneys, except for highly complex or high-profile cases. Written policies related to team time and production measures should be issued by OCTC Leadership. These policies should include the definition of those limited matters requiring approval beyond the Supervising Attorney. Policy and procedural development should involve representatives from individual teams. Individual teams should also be allowed to make group based decisions related to team assignments and process implementation. | <ol style="list-style-type: none"> <li>will Supervising Attorneys carry any caseload?</li> <li>will they need confidential administrative staff?</li> <li>how will consistency and high quality be achieved with each Supervising Attorney having so much discretion over handling of cases?</li> <li>do written policies need to be developed/refined re settlement and charging standards?</li> </ol>                                                                                                                                                                                                                                                                |              |
| 4.                               | RECOMMENDATION: To obtain necessary clerical support staff for the prosecution teams, personnel from Central Administration should be reassigned to support teams.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <ol style="list-style-type: none"> <li>how many and what type of support staff for each team?</li> <li>how will you get enough legal secretaries and paralegals for the teams?</li> <li>how will coverage needs be addressed?</li> <li>how will big administrative projects be completed?</li> </ol>                                                                                                                                                                                                                                                                                                                                                                   |              |
| 5.                               | RECOMMENDATION: Case set-up and some other narrow functions should remain centralized. However, changes in the case set-up process should include elimination of reported duplication of information entered in the initial file creation and face sheet preparation process. In addition, a limited number of other functions should remain centralized, including records management and the subpoena process.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <ol style="list-style-type: none"> <li>how will bank records spreadsheets be completed?</li> <li>how will pay invoices?</li> <li>who will handle department time sheets?</li> <li>who will monitor PCN rosters?</li> <li>who will order and distribute supplies?</li> <li>who will submit staff requests to HR?</li> <li>who will track IT requests?</li> <li>who will create files?</li> <li>who will track leave time?</li> <li>who will track ergo requests?</li> <li>what other administrative functions should remain centralized? <ol style="list-style-type: none"> <li>criminal conviction monitoring?</li> <li>assumption of practice?</li> </ol> </li> </ol> |              |

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| 6.  | RECOMMENDATION: Central data staff should assign cases to intake teams on a rotational basis. The practice of supervisors and staff returning files to baskets for pick-up should be eliminated and files should be delivered directly to intake teams by central data staff.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                             |
| 7.  | RECOMMENDATION: Intake teams should identify those cases that will be forwarded for investigation and should make initial complex determinations. Cases should then be assigned to enforcement teams on a rotational basis. Equality of assignment of complex cases will assist in "sharing the load" of protracted cases requiring substantial staff time.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <ol style="list-style-type: none"> <li>1. Limited circumstances where complex designation can occur in Intake. How will the designation process work?</li> <li>2. What is the specific role and function of the intake team and what amount of "work" should occur in intake?</li> </ol>                                                                                                                                                                                                                                                                                                                     |                             |
| 8.  | RECOMMENDATION: Specialized grouping of complaint types should be replaced with a general enforcement team model accepting complaint case assignments of all types. For purposes of cost modeling, the teams should consist of 2-3 Attorneys, 3 investigators, 1 paralegal, and 1-2 clerical staff.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <ol style="list-style-type: none"> <li>1. what is appropriate ratio of attorneys to investigators?</li> <li>2. How many paralegals and legal secretaries are needed per team?</li> <li>3. How will Investigator I's, II's and III's be allocated?</li> </ol>                                                                                                                                                                                                                                                                                                                                                 |                             |
| 9.  | RECOMMENDATION: Some case types should continue to be handled by specialized team(s), including complaints related to conviction of an attorney, Section 6180 (death, disbarment, suspension) or Section 6190 (illness, substance abuse), practice of law by non-attorneys, and reportable actions from financial institutions involving misappropriation or mismanagement of client associated funds. These case types generally share common features of requiring extensive monitoring and being long-lived. They should continue to be handled by a dedicated team(s). In addition, the process for monitoring criminal complaints against attorneys should be re-assessed, ensuring that staff is taking advantage of news services and computer readable files that allow for a more comprehensive, on-going search for criminal cases involving attorneys. | <ol style="list-style-type: none"> <li>1. should UPL team should be completely vertical, including intake functions</li> <li>2. is specialized 6180/6190 team needed only on the admin/logistics side, not attorney side?</li> <li>3. does appeals also need to be specialized team? <ol style="list-style-type: none"> <li>a. what about the training unit?</li> <li>b. what about the worker team?</li> </ol> </li> <li>4. do reportable action cases need to be handled by specialized teams? <ol style="list-style-type: none"> <li>a. or specialized admin staff in intake only?</li> </ol> </li> </ol> |                             |
| 10. | RECOMMENDATION: Establish point-of-action data entry wherever feasible. Point-of-action data entry eliminates unnecessary and inefficient hand-offs of tasks by requiring those who take an action (e.g. assignment, approval, correspondence, or contact update) to log the action into the AS400 CMS and directly transfer the file to the next assigned action participant with verbal or written comments, as needed. Training should be provided on point-of-action entry to all staff.                                                                                                                                                                                                                                                                                                                                                                      | will this be applicable to attorneys and investigators or just team support staff?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                             |
| 11. | RECOMMENDATION: To improve access the Call Center should handle calls until 5:00 p.m.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <ol style="list-style-type: none"> <li>1. who will provide back up on the phones given transition of CA II's to Investigator I's?</li> <li>2. who will perform CA I work that falls outside of customer service representative job description?</li> </ol>                                                                                                                                                                                                                                                                                                                                                   |                             |
| 12. | RECOMMENDATION: The use of contract investigators should be discontinued. Current contract investigator positions should be converted to standard FTE positions.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |                             |
| 13. | RECOMMENDATION: The Bar should employ one or more certified Spanish translators.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <ol style="list-style-type: none"> <li>1. should language line be more widely used?</li> <li>2. is another staff translator/interpreter needed?</li> </ol>                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                             |
| 14. | RECOMMENDATION: A single file number should be utilized on all complaint case actions to minimize confusion and simplify file references.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | should this be explored pre-CMS deployment?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                             |
| 15. | RECOMMENDATION: A secure complaint electronic portal should be developed to enable complaints and supporting documents to be filed electronically and to provide secure e-communications between OCTC staff and involved complaint case participants.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | hold pending CMS deployment |

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| <b>16.</b> | RECOMMENDATION: The use of approved electronic signatures should be authorized within the secure case file information exchange portal. |                                                                                                  | hold pending CMS deployment |
| <b>17.</b> | RECOMMENDATION: OCTC should assume responsibility for monitoring Agreements in Lieu of Discipline from the Office of Probation.         | should these be monitored by enforcement teams that entered into agreements or by central admin? |                             |