

Iowa Division of Banking: Professional Licensing and Regulation Bureau Strategic Plan



2014-2018

Professional Licensing and Regulation Bureau

Table of Contents

Core

Executive Summary & Organization Overview	3
Guiding Statements	4
Top Strategic Goals (summary)	5

Strategic Goals

Strategic Goal 1	6
Strategic Goal 2	8
Strategic Goal 3	10
Strategic Goal 4	11
Communicating Our Guiding Statements	13

Summary of Retreat Information

SWOT Analysis.....	14
Critical Success Factors	15
Finalize/Roll-Out Strategic Plan	16

Professional Licensing and Regulation Bureau

Executive Summary and Bureau Overview

Executive summary

In summer 2014, Professional Licensing and Regulation (PLB) engaged board members and staff to create a strategic and operation plan. A committee comprised of a representative from each of the bureau's seven boards, bureau executive officers, and bureau leadership was charged to develop a draft strategic plan, utilizing the preliminary input of all board members and staff. Bureau staff then met to complete the operational plan. The goals and strategies address the critical success factors that support the health, safety, and welfare of Iowans through effective regulation.

Iowa Department of Commerce, Division of Banking, Professional Licensing and Regulation Bureau Overview

The Professional Licensing and Regulation Bureau (PLB) provides administrative support to seven examining boards, which collectively license and regulate approximately 32,000 professionals: the engineering and land surveying examining board; the Iowa accountancy examining board, the real estate commission; the architectural examining board; the landscape architectural examining board, the real estate appraiser examining board, and the interior design examining board.

The Professional Licensing & Regulation Division became part of the Department of Commerce in 1986 during the reorganization of state government. On July 1, 2006 the Professional Licensing Division merged into and became one of three bureaus of the Iowa Banking Division. PLB consists of 11 employees and 50 board members and has two assigned assistant attorneys general who provide legal advice to the boards.

PLB is dedicated to the protection of the public through its regulatory activities. Each board adopts rules and establishes standards for the regulated professions; examines, licenses, certifies, or issues permits or licenses to practitioners; sets standards for license renewals and continuing education; investigates complaints and alleged violations of applicable laws and regulations; and conducts disciplinary hearings and monitors the disciplined licensee's compliance with orders issued by the board.

Professional Licensing and Regulation Bureau

Guiding Statements

Our Mission

Protect the public through licensing and regulation of defined professionals in the State of Iowa.

Defined Professionals: Certified Public Accountants, Licensed Public Accountants, Architects, Professional Engineers, Professional Land Surveyors, Registered Interior Designers, Landscape Architects, Real Estate Brokers, Real Estate Salespersons, Certified Residential Real Estate Appraisers, Certified General Real Estate Appraisers, and Registered Associate Real Estate Appraisers

Our Vision

Best practices are provided by highly qualified, licensed professionals.

Our Guiding Principles

We are committed to

- Integrity and trust;
- Customer focus with fairness and due process;
- Knowledge based decision making using reliable data and information; and
- Continued improvement and collaborative development of our people and processes.

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Top Strategic Goals

1. Increased operational efficiency through technology.
2. A strategically aligned organization that is flexible, well-trained, and accountable.
3. Defined professionals engaged in quality continued education.
4. Improved recognition of the need for licensing and regulation.

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Goal 1 - Increased operational efficiency through technology.

Lead: Toni Bright

Team: Bob Lampe, Sandy Malek, Lori SchraderBachar, and Jill Simbro

Measures:

- Number of website users
- Staff time saved
- Saved resources
- Database downtime/malfunctions

Strategies	Actions	Person(s) Responsible	Due By
A. Implement a reliable integrated database that is flexible, accessible and user friendly, which includes: -Online applications -Data records -Shared information between processes -Ledger/Audit system -Integration w/outside organizations -Auto generated letters and notifications	1. Project Charter	Toni	8/1
	2. Follow time line as approved in Project Charter	All	Ongoing until October 31, 2015
B. Develop and implement a comprehensive website for the public, licensees and boards	1. Assure accuracy of provided information	Bob	August 1, 2014
	2. Develop secure page/portal for board member access	Bob	March 1, 2015
	3. Office wi-fi	Lori	March 1, 2015
	4. Research for purchase of necessary hardware for Board	OCIO & Communications Workgroup	March 1, 2015

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member use (onsite & offsite)

5. Develop user friendly phone app for renewals and website

Communications Workgroup

April 2016

C. Improved records retention through electronic storage such as: -Scan -Paperless -Legal complaint process -Easily accessible apps -CE papers -Board materials	1. Identify each Board's required complaint process internal recordkeeping	EOs	October 2015
	2. Create internal best practices for standardization for all professions	EOs and Lori	October 2015
	3. Implement best practices with the new database and electronic system	EOs and Lori	November 2015
	4. Ensure adequate cloud storage	OCIO, Toni & Lori	Ongoing until database complete

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Goal 2 – A strategically aligned organization that is flexible, well trained and accountable.

Lead: Jeff Evans

Team: Mary Chase, Sandy Malek, Jill Simbro, and Mary Kay Zaver

Measures:

Number of board meetings attended by members

Number of members attending annual training

Number of staff receiving training

Number of training hours

Strategies	Actions	Person(s) Responsible	Due By
A. Improve staff flexibility through cross functional training	1. Complete all the desk manuals and save on the team drive	EOs and Lori	July 2016
	2. EOs knowledgeable of the licensing system through involvement in mapping and testing	EOs	March 2015
	3. Develop and implement training processes	EOs and Lori	December 2016
	-Determine areas for cross functional training		
	-Implement Job shadow/cross training		
	-Measure training results		
B. Develop a culture that encourages involvement and accountability	1. Hold monthly team events	Jill	September 2014 and ongoing
	2. Continue to include staff with providing input in decisions that impact the bureau including hiring, database development and rule	Lori and Staff	Ongoing

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changes

3. Implement appreciation recognition activities

Jill

November 2014

4. Employees accountability to improve processes and implement strategic plan activities. Specifics are addressed in Individual Development Plans

Lori

January 2015

C. Board member responsibilities/expectations are aligned to the strategic plan

1. Establish annual expectations for each board:

EOs and Lori

April 2015

-New board orientation

-Annual orientation training by AG

2. Establish a consistent understanding of board and staff roles through enhanced communication:

EOs and Lori

April 2015

-Annual staff reports at board meetings

-Staff is educated on board responsibilities

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Goal 3 – Defined professionals engaged in quality continued education.

Lead: Lori SchraderBachar

Team: Toni Bright, Jeff Evans, Bob Lampe, Jill Simbro and

Board Representatives: Erica Anderson, Bruce Bassler, Gene Nelsen, Julie Quebe, Jerry Shellberg, Mike Telford, and Tom Thompson

Measures:

- The number of boards that need continuing education changes will each develop and fulfill a plan
- Percentage of rules regarding education that address the quality of education

Strategies	Actions	Person(s) Responsible	Due By
A. In collaboration with professional associations, develop and implement curriculum that provides quality on-going education	1. Determine which boards need better quality continuing education which includes both breadth and depth of topics	Board Rep and/or Board	May 2015
	2. Boards that determine action is needed will proceed with Strategy B	Board & EO	May 2015
B. Rules and policy that support quality, professionally related course approval	1. Determine changes desired in continuing education per profession	Board Rep	Sept. 2016
	2. Create a taskforce of association & board members to determine process to implement the CE changes	Board Rep	Sept. 2016
	3. Re-write administrative rules to provide stronger, more professional educational opportunities	Board & EO	Dec. 2016
C. Disciplinary actions include required continuing education courses that address violations	1. Review of current course offerings, rules and feasibility for each Board	Disciplinary Chair	March 2015
	2. Work with associations to develop new courses as needed	Board	May 2015

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Goal 4 – Improved recognition of the need for licensing and regulation.

Lead: Bob Lampe

Team: Colleen Goddard, Renee Paulsen, Rod, Reed, Lori SchraderBachar

Measures:

- Number of legislative breakfast attendees
- Number of presentations to board members
- Number of national associations contacted
- Number of newsletter articles published
- Number of presentations by board members

Strategies	Actions	Person(s) Responsible	Due By
A. Determine and articulate how licensing impacts Iowa's health, safety & welfare	1. Create message through collaboration with EOs , boards and national associations	EOs	December 2015
	2. Communicating with the legislature through advocacy	Colleen and EOs	January 2016
	-Legislative breakfast		January 2016
	-Work with Legislative Liaison for feedback and ideas to educate Administration		June 2015
	3. Communicate with Board Members through board meeting agendas	EOs	Ongoing
B. Public facing interaction addresses value of professional licensing	1. Add FAQs to Website. Developed by EOs and boards	EOs	February 2016
	2. Prepare op-eds. Topic selection through staff surveys	EOs	February 2016 and ongoing

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C. Industries and license holders have improved understanding of PLB's function and value	1. Quarterly newsletter -board member and EO articles	EOs and board members	September 2014 and ongoing
	2. Reach out to local chapters of national organizations	EOs	January 2015 and ongoing
	-board members present at chapter meetings	Board members	May 2015 and ongoing
	3. Board members present to students	Board members	September 2015 and ongoing

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Communicating Our Guiding Statements

1. Email signature blocks
2. Back of business card
3. Web page
4. Brochures & marketing pieces; facilitation hand-outs; title pages, etc.
5. New employee & board member orientation

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SWOT Analysis

Strengths

Capable staff.

Established processes
Board competency and structure.

Legal expertise

Relationships with professional organizations.

Commitment to continued education

Captive audience – fee structure

Weaknesses

Workload distribution/Industry workload imbalance.

Staff consistency
Knowledge transfer

Subject matter knowledge/industry updates
Marketing and Public Awareness of value and what you do:
- Licensees
- Public users of licensees
Relationship w/State Associations

Technology
- Licensing Database System
-Website
Need for better engagement with board members – review appointment process, orientation, and expectations.
Code review.

Opportunities

Relationships with national organizations.

Board/Staff collaboration.
Cross train and orientation w/board and staff.

Educating administration and legislature on PLB
Public awareness:
- Increase licensees
- Increase registration
- Public sees value
Better use of technology

Simplify/Clarify rules and regulations.

Strategic approach to managing the business.
-pro-active vision

Educating staff, board and licensees.

Threats

Budget Lack of control over licensing fees
-Transfer risk
- Do more with less.
Restrictions on how to spend the budget.
Relationship w/ State Associations
Public negative public perception of government regulation.
-uninformed public
Stretching board resources.

Legislative rules review.

Current technology

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Critical Success Factors

1. Technology:

- Knowledge
- Licensing
- Performance Measure – ability to retrieve reports both internal and externally
- Staff workload
- Communication w/public and board members
- Renewal Reliability
- Paperless

2. Appreciation/Recognition/Understanding by policy makers who fund the organization.

- From Commissioners
- From Members and Organizations

3. Appreciation from general public. More understanding of how our organization supports the general public.

4. Retention/Consistency of staff.

- Experienced, knowledgeable staff
- Efficiencies and create the need

5. Educated and more Licensees

- Obtain more qualified licensees
- Desire to stay educated