



DEPARTMENT OF CONSUMER AFFAIRS
 CALIFORNIA BOARD OF ACCOUNTANCY
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**CALIFORNIA BOARD OF ACCOUNTANCY (CBA)
 PUBLIC MEETING NOTICE FOR THE CBA STRATEGIC PLANNING WORKSHOP,
 ENFORCEMENT PROGRAM OVERSIGHT COMMITTEE (EPOC), LEGISLATIVE
 COMMITTEE (LC), AND CBA MEETINGS**

DATE: Wednesday, July 25, 2012

**CBA STRATEGIC PLANNING
 WORKSHOP**

TIME: 10:00 a.m. to 4:00 p.m.

DATE: Thursday, July 26, 2012

COMMITTEE MEETING (EPOC)

TIME: 9:00 a.m.

COMMITTEE MEETING (LC)

TIME: 9:30 a.m., or upon adjournment
 of the EPOC meeting.

CBA MEETING

TIME: 10:00 a.m. to 5:00 p.m.

PLACE: Tsakopoulos Library Galleria
 828 I Street
 Sacramento, CA 95814
 Telephone: (916) 264-2800
 Fax: (916) 264-2809

Enclosed for your information is a copy of the agendas for the Strategic Planning Workshop, EPOC, LC and CBA meetings on July 25-26, 2012. For further information regarding these meetings, please contact:

Kari O'Connor, Board Relations Analyst
 (916) 561-1716, or koconnor@cba.ca.gov
 California Board of Accountancy
 2000 Evergreen Street, Suite 250
 Sacramento, CA 95815

An electronic copy of this notice can be found at <http://www.dca.ca.gov/cba/calendar.shtml>

The next CBA meeting is scheduled for September 20-21, 2012 in Southern CA.

The meeting is accessible to individuals who are physically disabled. A person who needs a disability-related accommodation or modification in order to participate in the meeting may make a request by contacting Kari O'Connor at (916) 561-1718, or email koconnor@cba.ca.gov, or send a written request to the CBA Office at 2000 Evergreen Street, Ste. 250, Sacramento, CA 95815. Providing your request is at least five (5) business days before the meeting will help to ensure availability of the requested accommodation.



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**DEPARTMENT OF CONSUMER AFFAIRS (DCA)
CALIFORNIA BOARD OF ACCOUNTANCY (CBA)
STRATEGIC PLANNING WORKSHOP
AGENDA**

Wednesday, July 25, 2012
10:00 a.m. – 4:00 p.m.

Tsakopoulos Library Galleria
828 I Street
Sacramento, CA 95814
Telephone: (916) 264-2800
Fax: (916) 264-2809

Roll Call and Call to Order **(Marshal Oldman, President)**.

- I. Welcome, Introductions and Agenda Overview **(DCA Strategic Planning Unit)**.
- II. Overview 2010-2012 CBA Strategic Plan Accomplishments **(DCA Strategic Planning Unit)**.
- III. Develop 2013-2015 CBA Strategic Plan **(DCA Strategic Planning Unit)**.
 1. Review Responses and Develop Environmental Scan.
 2. Review Current CBA Mission Statement, Vision, and Values.
 3. Review and Update Goals.
 4. Review and Update Objectives.
- IV. Public Comments.*

Adjournment.

Action may be taken on any item on the agenda. The time and order of agenda items are subject to change at the discretion of the CBA President and items may be taken out of order.

In accordance with the Bagley-Keene Open Meetings Act, all meetings of the CBA are open to the public. While the CBA intends to webcast this meeting, it may not be possible to webcast the entire open meeting due to limitations on resources.

*Government Code section 11125.7 provides the opportunity for the public to address each agenda item during discussion or consideration by the CBA prior to the CBA taking any action on said item. Members of the public will be provided appropriate opportunities to comment on any issue before the CBA, but the CBA President may, at his or her discretion, apportion available time among those who wish to speak. Individuals may appear before the CBA to

discuss items not on the agenda; however, the CBA can neither discuss nor take official action on these items at the time of the same meeting (Government Code Sections 11125, 11125.7(a)).

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 1: Pursue an active, effective, and efficient Enforcement Program to maximize consumer protection	
1.1 Recruit effective leadership for the Enforcement Program	Achieved.
1.2 Evaluate the outcome of the Enforcement study and implement recommendations as appropriate	Achieved. Due to passage of Executive Order S-09-09 issued in June 2009, which required that state agencies stop contract spending, it became necessary to limit the scope of the Enforcement Study that was initiated in April 2009. Still, strategies suggested in the study related to utilization of analytical staff for non-technical investigations, and utilization of part-time technical investigators have been incorporated into the Enforcement Program – the latter accomplished through use of outside consultants used on an “as needed” basis.
1.3 Achieve salary parity for Investigative CPA staff to ensure success in hiring and retention efforts	Achieved. Changes to the Investigative CPA examination and implementing a tele-work option for new technical investigators has led to a significant increase in the pool of interested candidates and recent successes in finding qualified candidates. Presently, all ICPA positions are filled.
1.4 Achieve an Investigative CPA staffing level to adequately address workload demands	Achieved. All ICPA positions are filled. Additionally, a shift of non-investigative workload to 5+ analysts was successfully implemented.
1.5 Continue to interface with other accounting regulatory agencies to assist CBA's enforcement responsibilities	Achieved. Attended NASBA Legal Conference in March 2011; networking with NASBA and other state boards; referring enforcement matters to local and District Attorney's; and working with the SEC and the US Attorney's Office.
1.6 Expand field work by Investigative CPAs	Achieved. “In-person” probation monitoring meetings, practice investigations and hiring of investigative staff remotely throughout California.
1.7 Increase licensees' awareness of the consequences of unprofessional conduct	Achieved. Initiated “At A Glance” series of articles in the UPDATE publication.
1.8 Educate CPAs about reportable events responsibilities	Achieved. Article published in Spring 2011 UPDATE, Issue 66. Two tasks on hold pending legislative passage of modified reporting requirements, to be effective January 1, 2012, are: (1) post the modified legislative change on CBA website that exempts reporting of restatements that are included in any report filed with the SEC and (2) discussion with Licensing Division regarding including reportable events information with licensure approval letter.
1.9 Seek to remove or extend the sunset date on the Practice Privilege Program	Achieved. Sunset date for the Practice Privilege article was repealed by SB 819 of 2009.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 2: Deliver the Highest Level of Customer Service	
2.1 Respond to all inquiries within a reasonable time frame	Achieved. Staff continues to strive to answer all telephone calls live, return voicemails on the same day, and respond to e-mails within a one-day turnaround time. Managers within the Licensing Division, which handles the most inquiries, have implemented unit calendars identifying various staff members assigned to telephone and e-mail responsibilities.
2.2 Maintain a secure and relevant website that provides enhanced and interactive features	Achieved. Staff continually verifies access to and usability of various website utility programs; created CBA Enews utility to allow greater access for stakeholders; added a link on the website to the CBA Facebook and Twitter pages; created and posted the Peer Review Database and Peer Review Reporting Form.
2.3 Explore the use of technology to enhance customer service	Achieved. Increased usage of Facebook and Twitter has enhanced external customer service. An intranet community wall post has enhanced internal customer service. Several more options for using technology are in process.
2.4 Continue enhancing customer service through use of survey tools	Achieved. A survey was developed and provided to staff seeking input regarding the working environment at the CBA. The survey was launched in 2011 for a period of 6 months. During the survey, results were reviewed by senior management and then provided to both management and staff. As a result of the survey, improvements were made in areas such as staff communication, timely performance appraisals, staff recognition and opportunities for staff training.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 3: Enhance examination, licensure, license renewal, and practice privilege processes.	
3.1 Achieve reasonable timeframes for processing license renewal applications	In process. Completed baseline evaluations in the Renewal and Continuing Competency Unit, and are monitoring quarterly the timeframes for license renewal processing. Staff will continue to review the timeframes and are developing processes and procedures to improve timeframes. It's anticipated that the credit card payment option tied to BreEZe should create positive impact in terms of reducing processing timeframe. In the interim, staff is using internal resources and has worked on two Saturdays in November and December 2011 to address the large volume of renewal applications that are pending review and additional Saturday overtime work is being scheduled in 2012.
3.2 Define "principle place of business" for practice privilege holders in the regulations	In process. This item is on hold pending the outcome of SB 1405. Should SB 1405 become law, this issue will be brought to CBA members for further discussion to determine how best to proceed.
3.3 Provide the option for online application for licensure and license renewal	In process. DCA to implement online application for licensure for all Consumer Affairs' boards and bureaus in conjunction with development and deployment of BreEZe. The CBA is targeted to transition to the BreEZe system in late 2013.
3.4 Accept credit card payments	In process. DCA to implement credit card processing for all Consumer Affairs' boards and bureaus in conjunction with development and deployment of BreEZe. The CBA is targeted to transition to the BreEZe system in late 2013.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 4: Provide and maintain effective and timely outreach to all CBA stakeholders.	
4.1 Ensure that all CBA communications are current	Achieved. Coordinated and updated the CBA website with new/edited content, providing consumers with the most accurate information. All CBA handbooks are updated; latest Update #67 is published; CBA calendar contains latest events and supportive materials; new web pages for new licensure requirements and CBA Regulations have been created; pending accusations and enforcement actions have been disclosed. E-News subscriptions have almost tripled, and E-News announcements have become a common method for Outreach.
4.2 Transition the CBA's Website to the standards of the State Portal architecture and functionality	In process. Attend Web Master User Group Meetings presented by the Office of Technology Services; maintain and update html and css programming code; revise all Acrobat PDFs on the CBA website to pass accessibility (400 completed to-date); and continue to look for solutions that may present a more usable interface with the consumer.
4.3 Increase the CBA's visibility and reputation with the Legislature	Achieved. Make regular contact, in accordance with legislative calendar, in order to stay apprised of issues impacting the CBA or the profession; conduct "Meet and Greet" meetings with Business and Professions Committee members at the start of every legislative session; meet with author or staff of CBA sponsored legislation to stay apprised of the status of bills; write letters communicating positions following CBA meetings at which positions are taken.
4.4 Develop a communication plan that increases and prioritizes outreach efforts and focuses on key messages	Achieved. Created 2010-2012 CBA Communications & Outreach Plan
4.5 Increase transparency of CBA's activities	Achieved. Began webcasting all CBA meetings in January 2010. Using social media to update followers regarding CBA activities and driving them to CBA website and webcast meetings makes CBA more accessible.
4.6 Evaluate options for delivering agenda materials	Achieved. Options have been assessed and plans are in place to affect electronic delivery of agenda materials to interested parties. Purchase of electronic readers for CBA member use is currently on hold, awaiting State & Consumer Services Agency approval to move forward with the concept of paperless meetings.
4.7 Develop and maintain brochures promoting consumer protection	Achieved. New Consumer Protection Booklet is in production, with creation of new materials planned.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 5: Maintain an active presence and leadership role that efficiently leverages the CBA's position of regulatory influence.	
5.1 Proactively work with the American Institute of Certified Public Accountants (AICPA), National Association of State Boards of Accountancy (NASBA), and Prometric on behalf of CPA Examination candidates to resolve issues in a fair and expeditious manner	Achieved. Reinstated the Uniform CPA Examination Site Visits program. Staff plan on having all site visits completed by April 2012. Respond to annual surveys received from NASBA and the AICPA regarding administration of the Uniform CPA Examination. Completed tri-party contract with NASBA and Prometric related to administration of the Uniform CPA Examination for 2010-2012.
5.2 Establish a policy for Board Member participation in national committees	Achieved. Adopted in the CBA Member Guidelines & Procedures Manual, a policy that the CBA encourages its members to participate in national committees, including those of the AICPA and NASBA.
5.3 Monitor national association activities and respond as appropriate	Achieved. Staff monitors all national associates for exposure drafts that are open for comment, and disseminates that information to CBA members via the Executive Officer Monthly report. Staff then responds as appropriate. Staff also routinely responds to NASBA focus questions, and the Executive Officer attends the NASBA annual meeting when possible.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 6: Enhance internal processes to deliver responsive, effective, and innovative services to maximize limited resources.	
6.1 Develop a process improvement plan for each program with target dates for implementation	<p>Enforcement Division: Implemented significant process improvements including creation of the Non-technical Investigations Unit; revising the recruitment examination for Investigative CPAs; hiring Investigative CPA to work remotely; and implementing the DCA's Consumer Protection Enforcement Initiatives.</p> <p>Licensing Division: Score posting process for examination applicants was automated, resulting in expedited score release for applicants and reduced staff time to finalize the scores. Payment intake process was streamlined, shortening the approval time for initial and repeat examination candidates. License approval process was revised resulting in a shorter turnaround time for license issuance. Licensing Division Managers were rotated for purposes of cross-training, succession planning and to expose staff and management to new program areas and management styles.</p>
6.2 Include appropriate representation from all divisions when developing new policies, rules, or regulations	Achieved. This issue was the topic of discussion at manager and senior manager meetings. Protocols are now followed to ensure that manager representation from all divisions is present during meetings underpinning development of new policies, rules and regulations. Further, the surname process utilized when developing new regulations and policies has been expanded to ensure managers from each division have opportunity to review and provide input.
6.3 Review and refine the CBA's organizational structure as necessary	Achieved. Created the Non-Technical Unit in the Enforcement Division; drafted a reorganization plan for Licensing Division, including movement of Peer Review, Practice Privilege and Continuing Education audit functions to the Enforcement Division.
6.4 Maintain a plan to ensure that the CBA has adequate staffing and skill levels in response to employee retirement and attrition	Achieved. Presented to the CBA a multi-phase Workforce and Succession plan for CBA Senior Staff and Supervisors. Complete Workforce and Succession plan distributed to all CBA members with January 2012 Executive Officer Monthly Report.
6.5 Redesign CBA's existing workspace to enhance organization cohesiveness and productivity	Achieved. Facility remodel completed with installation of donated modular furniture from DCA Division of Investigations.
6.6 Evaluate CBA internal document review process	Achieved. Created project management team to research and propose solutions to management.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Promote licensee competency.	
7.1 Implement mandatory peer review in California	Achieved. Passage of AB 138, Statutes of 2009.
7.2 Educate licensees about the peer review process	Achieved. Developed Peer Review Brochure and posted to the CBA website; published various articles in UPDATE regarding peer review legislation; posted news releases regarding peer review; ran radio spots regarding peer review; developed web page related to peer review for licensees; developed two sets of FAQs and posted to the CBA website; sent letter to all impacted licensees informing them of their peer review reporting requirement; drafted a reminder, final notice, and deficiency letter to all impacted licensees; updated licensee handbook with information on peer review; updating the renewal forms and initial licensing forms to include peer review information.
7.3 Explore the feasibility of conducting educational workshops in various regions of the state	Achieved. Contacted multiple colleges to perform outreach to students; contacted the Franchise Tax Board and Board of Equalization for outreach opportunities. Contacts led to educational presentations by staff at some colleges until travel by state employees was restricted. Educational outreach at that time shifted to holding open houses in conjunction with CBA meetings.
7.4 Review general accounting experience requirements for licensure and revise regulation as warranted	Achieved. The CBA reviewed the general experience requirements for CPA licensure at the September 2010 CBA meeting and made no recommendations for changes.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 8: Improve efficiency and information security through use of existing and emerging technology.	
8.1 Apply best practices to safeguard the confidentiality, integrity, and availability of CBA information assets	Achieved. Redundancies have been incorporated into the network architecture where more servers, traditionally a physical piece of equipment, have been virtualized. This enables servers having specific functionality to share drive space, memory, and processor time with other servers on common physical host machines. This solution facilitates the use of mirrored, hot-swap servers for failure contingencies. Physical server failure planning has normally required redundant equipment and results in comparatively longer down time that reduces availability of information services. This configuration also enables the creation of hidden networks that are accessible only by appointed connections, therefore avoiding hacking attacks and unauthorized data access.
8.2 Pursue integration of all internal CBA databases	In process. Working with DCA staff to migrate all relevant internal CBA databases into BreEZe. Presently defining database fields and documenting databases to facilitate incorporation into BreEZe. Certain other program-specific databases will be migrated to web-based applications but be maintained as stand-alone solutions.
8.3 Plan for consolidation with DCA's IT systems	Achieved. Subsequent to development of this objective, the State of CA embarked on a wide-spread integration program for information technology systems. Presently, staff is working with DCA and the Office of Technology Services to transition all mission critical CBA systems to secured locations, as mandated by AB 2408, Statutes of 2009. This bill requires a transition of mission-critical and public-facing applications to Tier III data centers, and closure of all other existing server rooms by June 2013. Transition to California Email Systems (CES) is presently underway, with the DCA being part of a pilot project to launch a single email system for all California state agencies. It is anticipated that the CBA will be fully transitioned to CES by the end of January 2012.
8.4 Transition to electronic data storage	In process. DCA to implement electronic data storage (EDS) system for all DCA boards and bureaus in conjunction with development and deployment of BreEZe. Activities and research into a CBA-specific solution have abated to benefit from cost effectiveness, efficiencies and uniformity gained from participating in the department-wide EDS system.

2010-2012 CBA Strategic Plan Accomplishments

Objectives	Status
Goal 9: Promote staff development and retention.	
9.1 Promote Staff Development & Retention	Achieved. Created CBA 2012-2014 Workforce & Succession Plan
9.2 Design a process for cross-training for operational and promotional opportunities	Achieved. Management's commitment to cross-training staff is reflected in the CBA 2012-2014 Workforce under the planning strategy "Knowledge Management". Cross-training has consistently been employed by CBA managers to affect efficiencies and continuity of work processes at this agency, and was recently evidenced in the rotation of three managers in the Licensing Division.
9.3 Hold an annual staff conference for individual development and team building	Achieved. Held a team building session (FISH Philosophy) facilitated by DCA. Efforts towards individual development and team building to continue.
9.4 Develop and implement a staff recognition program	Achieved. Created CBA Leadership Award of Excellence and CBA Manager Distinguished Service Award to be presented annually to two staff members; created an employee appreciation quarterly theme.



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CBA Item III.
July 25, 2012

2013-15 California Board of Accountancy (CBA) Strategic Plan

Presented by: Kari O'Connor, Board Relations Analyst

Date: July 5, 2012

Purpose of the Item

The purpose of this agenda item is to provide information to CBA members to assist in the development of the 2013-15 CBA Strategic Plan.

Action(s) Needed

CBA members will develop the 2013-15 CBA Strategic Plan at the Strategic Planning Workshop (Workshop) on July 25, 2012.

Background

The CBA Strategic Plan is developed on a triennial cycle. At its March meeting, the CBA adopted the Strategic Planning Committee's recommendation to develop the 2013-15 CBA Strategic Plan in collaborative effort between CBA staff and CBA members, facilitated by the Department of Consumer Affairs (DCA) Strategic Planning and Development Unit (SPD).

Comments

Staff from DCA's SPD Unit will be facilitating the Workshop to assist in the development of the 2013-15 CBA Strategic Plan. During the Workshop, DCA staff will review each component of the Strategic Plan with members, guide discussions, and document ideas and suggestions for inclusion in the new Strategic Plan.

To assist CBA members in discussions, management, drawing from the existing Strategic Plan, has developed an outline to serve as a starting point to initiate discussions and brainstorming for a new Strategic Plan (**Attachment 1**). The outline contains preliminary recommendations on the core values and guiding principles, changes to the organization description and restructured goals and objectives (an overview is provided below). Additionally, all completed objectives from the existing plan are referenced under Agenda Item II.

CBA Strategic Plan Cover Page, Introduction and Table of Contents

The graphics and design, introduction and table of contents for the 2013-15 CBA Strategic Plan will be completed by DCA SPD staff following the Strategic Plan Workshop.

2013-15 California Board of Accountancy (CBA) Strategic Plan

Page 2 of 3

CBA Mission and Vision Statements

Staff recommend no changes to the Mission and Vision statements and to retain the Mission and Vision statements from the 2010-2012 CBA Strategic Plan.

Core Values and Guiding Principles

CBA member input is needed to update the CBA Core Values and Guiding Principles. Guidance is requested regarding whether the existing Core Values and Guiding Principles should remain or be consolidated. Additionally, staff recommend CBA members consider including Consumer Protection and Professionalism as CBA Core Values.

Organization Description

This section is the standard background utilized in CBA publications. Staff have updated the information in the Organization Description and will modify information about the Practice Privilege Program pending the outcome of Senate Bill 1405

Goals and Objectives

Staff have updated the Goals and Objectives for clarity and to ensure consistency with the format of other DCA boards' strategic plans. For reference, samples of Strategic Plans from other DCA boards are attached (**Attachment 2**). Staff recommend that the following goals be eliminated and any outstanding objectives be included in either the remaining goals or new goal identified below.

Proposed eliminated goals

- Maintain an active presence and leadership role that efficiently leverages the CBA's position of regulatory influence.
- Promote licensee competency.
- Promote staff development and retention

Proposed new goal

- Laws and Regulations

Staff believe the revised goals adequately capture all areas presently identified in the 2010-12 CBA Strategic Plan, but provide better clarity in how they are organized.

Attachment 2 is provided to assist CBA members, in identifying all goals and objectives from the 2010-12 Strategic Plan, including the current status and a summary of the activities that occurred for each objective. Of the 45 objectives from the 2010-12 CBA Strategic Plan, only five remain outstanding and have been merged into the revised format as a starting point for discussion on the development of the 2013-15 CBA Strategic Plan

Fiscal/Economic Impact Considerations

Fiscal and/or economic impacts will be identified during the implementation of each goal.

Attachments

1. Sample Strategic Plan with Preliminary Suggestions.
2. Samples of other DCA boards' Strategic Plans.

California Board of Accountancy

Outline for
2013-2015
Strategic Plan

Mission and Vision Statement

Our Mission

To protect consumers by ensuring only qualified licensees practice public accountancy in accordance with established professional standards.

Our Vision

All consumers are well informed and receive quality accounting services from licensees they can trust.

Core Values and Guiding Principles

Core values support the mission of the CBA and are essential to the success of this organization. Guiding principles embody the core values, are practiced in performing daily functions, and are utilized to fulfill the CBA's mission and vision.

Integrity

The CBA will act in an honest, ethical, and professional manner in all endeavors, and fully disclose all pertinent information.

Quality

The CBA will deliver service, information, and products that reflect excellence.

Openness

The CBA will actively promote the sharing of ideas and information throughout the organization and with the public, and be receptive to new ideas.

Initiative

The CBA will encourage creatively looking at problems and processes and actively seek solutions and improvements.

Respect

The CBA will be responsive, considerate, and courteous to all, both within and outside the organization.

Accountability

The CBA will take ownership and responsibility for its actions and their results.

Teamwork

The CBA will promote cooperation and trust at all levels by working with and soliciting the ideas and opinions of others.

Suggested new core values:

Consumer Protection

Professionalism

Organization Description

From its inception in 1901, the CBA has, by statute, been charged with regulating the practice of accountants the public could rely upon as being competent.

The original law prohibited anyone from falsely claiming to be a certified public accountant, a mandate which exists today. By authority of the California Accountancy Act, the CBA:

- Ensures that only candidates who meet certain qualifications are allowed to take the national Uniform Certified Public Accountant (CPA) Examination.
- Certifies, licenses and renews licenses of individual CPAs and Public Accountants (PA).
- Registers accountancy partnerships and accountancy corporations.
- Takes disciplinary action against licensees for violation of CBA statutes and regulations.
- Monitors compliance with continuing education requirements; reviews work products of CPAs, PAs and accountancy firms to ensure adherence to professional standards.

In 1971, the Legislature located the CBA within the newly-created Department of Consumer Affairs. The CBA currently regulates 84,562 licensees and 5,118 firms, the largest group of accounting professionals in the nation.

The CBA establishes and maintains entry level standards of qualification and conduct within the accounting profession, primarily through its authority to license. Through its Examination and Initial Licensure Programs, the CBA qualifies California candidates for the national Uniform CPA Examination; certifies and licenses individual CPAs, registers accountancy partnerships and accountancy corporations.

The CBA's Renewal and Continuing Competency Program focuses on license renewal, ensuring that licensees maintain the current professional knowledge necessary for competent performance.

Through its Practice Privilege Program, the CBA registers out-of-state CPA's to practice public accountancy in California who possess a valid and active license, certificate, or permit from a substantially equivalent state as deemed by the CBA and defined by Section 5093 of the California Accountancy Act, or who possess individual education, examination, and experience qualifications that have been determined by the CBA to be substantially equivalent to the qualifications under Section 5093 of the California Accountancy Act.

The objective of the CBA's Enforcement Program is to protect consumers, minimize substandard practice, rehabilitate and discipline licensees, as warranted. The CBA has the authority to discipline not only individuals, but firms. Enforcement activities include investigating complaints against persons practicing public accountancy without a license and taking disciplinary actions against licensees for violations of statutes and regulations. In addition, this program monitors compliance with continuing education requirements, and it actively reviews the work products of CPAs, PAs and accountancy firms to ensure compliance with appropriate professional standards.

The CBA is self-funded, supported by fees paid by the professional community it regulates, and draws no monies from taxpayers nor the General Fund. Renewal fees fund the Enforcement and the Continuing Competency Programs.

Goals and Objectives

All goals and objectives support the mission and vision of the CBA.

The CBA uses performance measures, where applicable, to track progress in achieving its goals and objectives, and to identify areas for improvement. Performance measures reflect the consumer protection mission of the CBA and provide a common focus for achievement.

Goal 1 Enforcement

Maintain an active, effective, and efficient program to maximize consumer protection.

Objectives

- 1.1 Continue to interface with other accounting regulatory agencies to assist the CBA's enforcement responsibilities. *(Objective 1.5 in 2010-12 CBA Strategic Plan).*
- 1.2 Expand field work by Investigative CPAs. *(Objective 1.6 in 2010-12 CBA Strategic Plan).*
- 1.3 Increase licensees' awareness of the consequences of unprofessional conduct. *(Objective 1.7 in 2010-12 CBA Strategic Plan).*

Goal 2 Customer Service

Deliver the highest level.

Objectives

- 2.1 Respond to all inquiries within a reasonable time frame.

Goal 3 Licensing

Maintain an active, effective and efficient program that maximizes customer service to exam candidates, applicants for CPA licensure and licensees.

Objectives

- 3.1 Maintain reasonable timeframes for processing license renewal applications.
- 3.2 Define “principle place of business” for Practice Privilege holders in the regulations. (Will be addressed separately pending the outcome of SB 1405).

Goal 4 Outreach

Provide and maintain effective and timely outreach to all CBA stakeholders.

Objectives

- 4.1 Explore the feasibility of conducting educational workshops in various regions of the state. (*Objective 7.4 in 2010-12 CBA Strategic Plan*).
- 4.2 Develop a communication plan that increases and prioritizes outreach efforts and focuses on key messages. (*Objective 4.4 in 2010-12 CBA Strategic Plan*).

Goal 5 Laws and Regulations

Objectives

- 5.1 Increase the CBA’s visibility and reputation with the legislature.

Goal 6 Emerging Technologies

Improve efficiency and information security through use of existing and emerging technologies.

Objectives

- 6.1 Apply best practices to safeguard the confidentiality, integrity, and availability of CBA’s information assets.
- 6.2 Transition to document imaging.

- 6.3 Provide the option for online application for licensure and license renewal. *(Objective 3.3 in 2010-12 CBA Strategic Plan).*
- 6.4 Accept credit card payments. *(Objective 3.4 in 2010-12 CBA Strategic Plan).*
- 6.5 Transition the CBA's website to the standards of the State Portal architecture and functionality.
- 6.6 Maintain a secure and relevant Web site that provides enhanced interactive features. *(Objective 2.2 in 2010-12 CBA Strategic Plan).*
- 6.7 Explore the use of technology to enhance customer service.
- 6.8 Evaluate options for delivering agenda materials electronically.

California Department of Consumer Affairs

VETERINARY MEDICAL BOARD



2012-2014

Strategic Plan

Members of the Board

- **STEPHANIE FERGUSON, DVM, PRESIDENT**
- **TOM KENDALL, DVM, VICE-PRESIDENT**
- **PATTI AGUIAR**
- **RICHARD G. JOHNSON, DVM**
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- **KIM WILLIAMS, RVT**

EDMUND G. BROWN JR. – Governor

ANNA CABALLERO – Secretary, State and Consumer Services Agency

BRIAN J. STIGER – Acting Director, Department of Consumer Affairs

SUSAN GERANEN – Executive Officer



About the Board

THE VETERINARY MEDICAL BOARD (VMB) PROTECTS CONSUMERS AND ANIMALS THROUGH THE DEVELOPMENT AND MAINTENANCE OF PROFESSIONAL STANDARDS; THE LICENSING OF VETERINARIANS, REGISTERED VETERINARY TECHNICIANS, AND VETERINARY PREMISES; AND THROUGH DILIGENT ENFORCEMENT OF THE CALIFORNIA VETERINARY MEDICINE PRACTICE ACT.

Our Mission

TO PROTECT CONSUMERS AND ANIMALS BY REGULATING LICENSEES, PROMOTING PROFESSIONAL STANDARDS AND DILIGENT ENFORCEMENT OF THE PRACTICE OF VETERINARY MEDICINE.

Our Vision

ALL ANIMALS RECEIVE PROFESSIONAL AND HIGH QUALITY VETERINARY HEALTHCARE.

Our Values

Professionalism – We ensure that qualified, proficient and skilled staff provides services to the state of California.

Respect – We will be responsive, considerate, and courteous to all, both within and outside the organization.

Compassion - We sympathize with and care about all of our stakeholders, both human and animal, and harbor a strong desire to provide them with support through difficult times.

Integrity – We are honest, fair, and respectful in our treatment of everyone.

Collaboration – We foster the public’s trust through open communication and work in a cooperative, respectful, and courteous manner.

Accountability – We are accountable to the people of California and each other as stakeholders. We operate transparently and encourage public participation in our decision-making whenever possible.

Recent Accomplishments

- The Board developed and implemented new Disciplinary Guidelines
- New collaborative efforts have led to stronger relationships between the board and industry associations, professional groups, and the public
- The Board achieved limited term eligibility for the RVT license type
- The Board established the new Multidisciplinary Advisory Committee
- A Registered Veterinary Technician has been appointed to the Board for the first time
- The Board developed the Hospital Inspection Checklist for consumer and licensee awareness
- Updated and revamped the Board's Web site to be more user-friendly and effective
- Resumed the publication of "News and Views", the VMBC Newsletter.

Trends, Challenges, and Opportunities

The development of this strategic plan was preceded by an environmental scan of the industry. The scan identified the potential issues and challenges which might affect the Veterinary Medical Board's ability to carry out its mission.

Economics & Politics

- Trending reduction in state government and the current fiscal crisis, including the dissolution of many Boards
- Ongoing executive orders implementing travel and hiring freezes for the State
- Bureaucracy and red-tape is occurring at the Department and Agency level
- Negative influence of Special Interests
- Opportunity to better control unlicensed activity
- Opportunity to work with CPS towards streamlining business processes

Workforce

- Staff shortages are being offset by the high quality of current staff, but there is still a potential for them being overwhelmed
- Existing positions which cannot be filled due to the hiring freeze allows for staff to be cross-trained in other operational areas of the Board
- Slower processing times due to increased workload. Increasing numbers of licensees as well as complaints
- New requirements for retroactive fingerprinting (LiveScan) and the consequences of prior criminal findings

Trends, Challenges, and Opportunities (continued)

Industry & Profession

- Our profession, like so many others has been adversely affected by the recession
- Fewer new jobs exist for graduating students who are already impacted with sizable student debt
- Increases in tuition costs are coupled with increases in student populations and larger classroom sizes
- Reduction in new clients due to fees
- Growth in specialty medicine has also led to an increase in complaints
- The new and evolving practice of Telemedicine within the industry



GOAL 1 – ENFORCEMENT

The rights of consumers and the health and safety of their animals are protected from the illegal, negligent, incompetent and unprofessional practice of veterinary medicine.

Objectives

- 1.1 - Inspect existing hospitals every five years, and inspect new hospitals within one year of licensure.
- 1.2 - Enhance the quality and training of the Expert Reviewer/Witness Program.
- 1.3 - Work with DCA to reduce the amount of unlicensed activity occurring in the marketplace.
- 1.4 - Decrease current enforcement cycle times to achieve targets set by the Board.
- 1.5 - Enhance the quality and training of Hospital Inspectors.
- 1.6 - Update and implement Disciplinary Guidelines. **(High priority)**
- 1.7 - Upgrade Enforcement Manager position to Staff Services Manager 1 classification.
- 1.8 - Increase the extent of monitoring of probationers by holding on-site meetings.
- 1.9 - Physical therapy regulations need to be developed in conjunction with the Multidisciplinary Committee.
- 1.10 - Update the Cite and Fine program, in conjunction with Multidisciplinary Committee.
- 1.11 - Revisit “owned animal” exemptions and lay ownership of veterinary hospitals.

GOAL 2 – CUSTOMER SERVICE & ADMINISTRATION

Consumers, licensees, schools and all other stakeholders receive service in a prompt, courteous, accurate and cost-effective manner.

Objectives

- 2.1** - Develop newsletter articles recommending use of identification badges for all veterinary hospital staff.
- 2.2** - Complete and deliver the Sunset Review Packet. **(High priority)**
- 2.3** - Review 1st year licensure as a temporary license, working under the supervision of a currently licensed Veterinarian.
- 2.4** - Implement the BREEZE system for the Board. Estimated release schedule of February 2013.
- 2.5** - Develop a Succession Plan and desk manuals for Board staff. Propose collaboration with an outside vendor (CPS) to complete these projects. **(High priority)**



GOAL 3 – EDUCATION

Consumers and licensees are able to make informed decisions regarding the purchase and provision of veterinary medical services.

Objectives

- 3.1 - Continue to enhance and improve the Board's outreach methods.
- 3.2 - Investigate developing outreach for the diversion program.
- 3.3 - Continue to publish the Veterinary Medical Board newsletter 2 times per year.
- 3.4 - Post the Hospital Inspection Checklist to the Board's Web site.
- 3.5 - Review the feasibility of requiring written estimates for fees and implementation of Euthanasia forms in conjunction with the Multidisciplinary Committee.
- 3.6 - Continue to develop the PACE program.
- 3.7 - Notify registered veterinary technicians of mandatory Continuing Education requirements that are going into effect. **(High priority)**
- 3.8 - Develop and disseminate PowerPoint slides, an online brochure and other content for volunteer speakers to use when discussing record keeping requirements for licensees.

GOAL 4 – REGULATION AND LEGISLATION

Monitor and uphold the law and participate in the regulatory and legislative processes.

Objectives

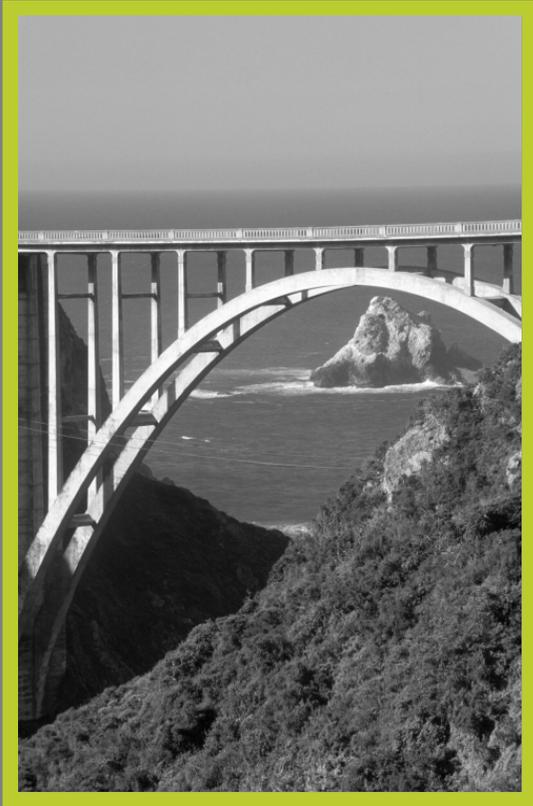
- 4.1** - Pursue legislation to strengthen the Board's authority over unlicensed activity, and monitor any related legislation. (Pursuant to SB 1111)
- 4.2** - Pursue the issue of telemedicine through regulation.
- 4.3** - Strengthen the Registered Veterinary Technician school approval process and reporting requirements.
- 4.4** - Pursue regulation regarding physical therapy, cite and fine and the Registered Veterinary Technician school approval process.
- 4.5**- Pursue regulations to define Registered Veterinary Technician student exemptions.
- 4.6** - Examine the feasibility of implementing an approval program for alternate routes for obtaining Registered Veterinary Technician licensure.
- 4.7** - Examine the current system of licensure exemptions for UC Davis and Western University and determine if legislative options are available to affect change.

GOAL 5 – LICENSING AND EXAMS

Only qualified individuals are licensed as veterinarians or Registered Veterinary Technicians.

Objectives

- 5.1 - Increase pool of Registered Veterinary Techs and Doctors of Veterinary Medicine involved in the examination process.
- 5.2 - Complete the occupational analysis for CSB.
- 5.3 - Write the *jurisprudence* test for the Registered Veterinary Technician exam and complete transition to national RVT exam.
- 5.4 - Discuss NAVMEC proposals and discuss the feasibility of the possibility of a single standard for licensure for all candidates.
- 5.5 - Add English language proficiency as a requirement for licensure.
- 5.6 - Continue investigating avenues of keeping exam costs low for licensees.
- 5.7 - Revisit the provisions for temporary licenses during disaster situations for out-of-state practitioners.
- 5.8 - Implement BREEZE online renewals and licensing in 2013. **(High priority)**
- 5.9 - Increase by 10% the amount of Continuing Education audits which are occurring per year.
- 5.10 - By April 2012, implement retroactive fingerprinting program for licensees who were licensed before 2000.
- 5.11 - Implement Continuing Education for Registered Veterinary Tech's by 2013.
- 5.12 - Discuss responsibility for electronic record keeping and confidentiality requirements for electronic records.
- 5.13 - Pursue "extended duty" for Veterinary Technicians.



BOARD FOR PROFESSIONAL ENGINEERS, LAND SURVEYORS, AND GEOLOGISTS

2011 – 2014 STRATEGIC PLAN

Adopted May 12, 2011



Members of the Board

- **Mike Modugno, P.E.**
- **William “Jerry” Silva**
- **James W. Foley, P.E., S.E., G.E.**
- **Carl Josephson, S.E.**
- **Philip Quartararo**
- **Hong Beom Rhee, Ph.D.**
- **Ray Satorre**
- **Patrick J. Tami, P.L.S.**
- **Michael Trujillo**
- **William Paul Wilburn, P.E.**
- **Erik Zinn, P.G., C.E.G.**



EDMUND G. BROWN JR. – Governor

ANNA CABALLERO – Secretary, State and Consumer Services Agency

BRIAN J. STIGER – Acting Director, Department of Consumer Affairs

JOANNE ARNOLD – Interim Executive Officer

Program Overview

About the Board:

The Board is charged with safeguarding the life, health, property, and public welfare by regulating the practices of professional engineering, professional land surveying, geology, and geophysics. The Board provides this public service by qualifying and licensing individuals, establishing regulations, enforcing laws and regulations, and providing information so that consumers can make informed decisions.

The regulation of engineers, land surveyors, geologists, and geophysicists protects the public from incompetent, negligent, and unscrupulous individuals who would offer such services without having met any qualifications.

The complexity of engineering, land surveying, geology, and geophysics projects necessitate a very high degree of technical skill and knowledge. The vast majority of licensed engineers hold a college degree in engineering. Calculus, physics, material science, and computer programming skills are required; these are knowledge and skills not typically possessed by members of the general public.

Land surveyors make decisions based upon interpretation of legal documents and the use of high-tech locating instrumentation, including satellites and computer programming. Geologists perform fault evaluations, ground water investigations, and slope stability analyses. Again, laypersons rarely possess these skills.

The Board provides essential oversight for each of these professions, allowing Californians to enjoy a safe and well designed infrastructure.



Mission Statement

The Mission of Board for Professional Engineers, Land Surveyors, and Geologists is to diligently protect the life, health, property, and welfare of the public. The Board ensures standards for licensure and actively enforces laws and regulations while educating licensees and consumers.

Vision Statement

The Board will lead the nation in ensuring that consumers can make informed decisions and have a high degree of confidence in, and access to, competent and ethical professional services provided by our licensees.

Our Values:

Accountability

We are accountable to the people of California. We operate transparently and encourage public participation in our decision making. We are honest, fair, and respectful in our treatment of everyone.

Consumer Protection

We make effective and informed decisions in the best interest and for the safety of Californians.

Innovation

We value new ideas and concepts which are fundamental to our successful delivery of services to consumers.

Collaboration

We foster the public's trust through open communication and work in a cooperative, respectful, and courteous manner.

Customer Service

We acknowledge all stake holders as our clients, listen to them, and take their needs into account.

Effectiveness

Our actions make a difference and have a positive, measureable impact.

Goal 1: Protect consumers by effectively discouraging violations of the law before they happen and by aggressively investigating and adjudicating violations.

Objective 1.1 – Reduce the aging of enforcement cases to align with DCA’s standards.

Objective 1.2 – Develop and implement a proactive plan to expand the enforcement outreach program.

Objective 1.3 – Discourage unlicensed and incompetent activity through efficient enforcement actions.

Objective 1.4 – Improve consumer friendliness of the Board’s website.

Objective 1.5 – Establish web accessible information, including linking businesses with licensees.

Objective 1.6 – Significantly reduce the number of backlogged enforcement cases.

Objective 1.7 – Encourage DCA to improve their license lookup functionality on the Web site.

Objective 1.8 – Participate in preparations towards the BreEZe conversion.

Objective 1.9 – Publish enforcement actions on the Board’s Web site.



Goal 2: Promote laws and regulations that are clear, relevant, unambiguous, and functional.

Objective 2.1 – Evaluate current laws and regulations and pursue changes where appropriate, with due consideration for economic impact.

Objective 2.2 – Seek fingerprinting and criminal history authority through legislation.

Objective 2.3 – Implement restructuring of examination and application fees.

Objective 2.4 – Review delinquent reinstatement requirements and act on the findings if appropriate.

Objective 2.5 – Conduct a review of the penalty structure for unlicensed activity.

Objective 2.6 – Seek statutory authority to require Certificates of Authorization for businesses.



Objective 2.7 – Eliminate Business and Professions Code section 6760 (temporary authorization to practice engineering).

Objective 2.8 – Amend regulations that allow appeals of national examinations.

Objective 2.9 – Review statutes and regulations regarding Geologists in Training certification.

Objective 2.10 – Review statutes and regulations to provide consistency among all of the Board’s regulated professions.



Goal 3: Increase licensure of Professional Engineers, Land Surveyors, Geologists and Geophysicists.

Objective 3.1 – Participate in development, grading, and standard-setting of national examinations.

Objective 3.2 – Convert all State-specific examinations to computer based testing and provide flexible testing dates.

Objective 3.3 – Review applications and respond to applicants in a timely manner.

Objective 3.4 – Maintain and expand the pool of licensees to help develop State-specific examinations.

Objective 3.5 – Protect the validity of the content and security of examinations.

Objective 3.6 – Accept credit card and PayPal payments for application and examination fees.

Objective 3.7 – Participate in ABET visits.

Objective 3.8 – Pursue the National Council of Examiners for Engineering and Surveying (NCEES) and the Association of State Boards of Geology (ASBOG) administration of national examinations.

Objective 3.9 – Actively participate and attend NCEES and ASBOG meetings to vote on new policies and procedures relating to examinations.



Goal 4: Pursue and obtain adequate resources to meet the Board's mission and vision.

Objective 4.1 – Develop incentives and restructure compensation to retain a quality Executive Officer.

Objective 4.2 – Pursue authorization and funding, if needed, to increase attendance at NCEES meetings and ASBOG meetings.

Objective 4.3 – Develop and implement career and succession planning for Board Staff.

Objective 4.4 – Pursue funding and hiring freeze exemptions for additional staff in all units and programs as needed.

Objective 4.5 – Pursue limited-term positions for specific projects.

Objective 4.6 – Pursue authority and funding to hire a staff geologist.

Goal 5: Provide information about the practices of engineering, land surveying, geology, and geophysics and the relevance of those professions to consumers and licensees.

Objective 5.1 – Expand Enforcement Outreach Program to local and state agencies, professional associations and consumer groups.

Objective 5.2 – Obtain resources, including staff, funding, and out-of-state travel approval, to fully support outreach.

Objective 5.3 – Expand the licensure outreach program to associations, college career fairs, and schools (e.g. *Math Counts, Trigstar*).

Objective 5.4 – Develop and revise the Board’s publications, as needed.

Objective 5.5 – Regularly attend NCEES, ASBOG, and ABET meetings.

Objective 5.6 – Regularly develop and distribute an electronic newsletter.

Objective 5.4 – Keep abreast of emergent technologies and apply them appropriately.

