

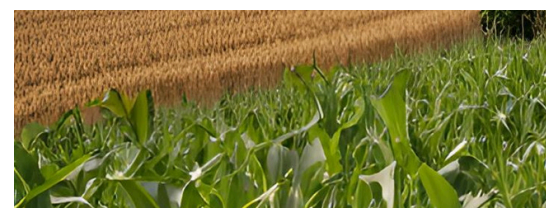
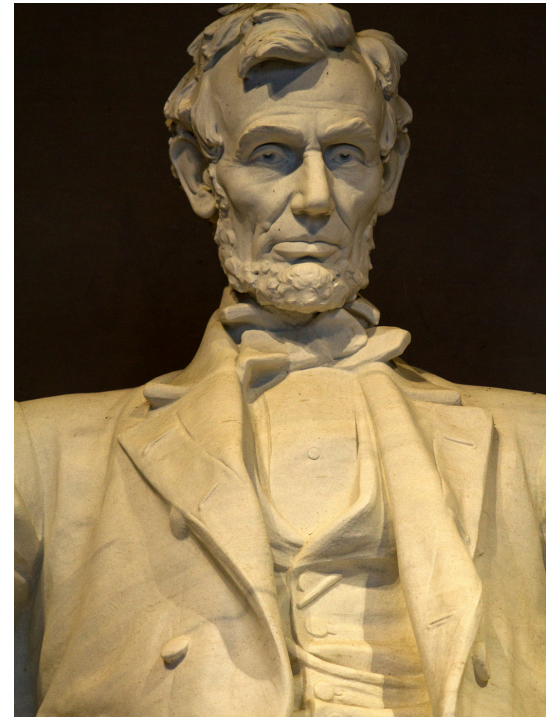


IDFPR

Illinois Department of
Financial and Professional Regulation

FORWARD TOGETHER

FY 2026-2027 Strategic Plan
Illinois Department of Financial and Professional Regulation



IDFPR SECRETARY



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Dear IDFPR Friends and Partners,

I am excited to introduce *Forward Together*, the Illinois Department of Financial and Professional Regulation's new strategic plan for fiscal years 2026 and 2027. While we have had internal frameworks in the past, this marks IDFPR's first agency-wide plan to set a defined course for the future. During my tenure at IDFPR, I have been committed to building a stronger, more innovative agency, and I am proud that we now have a clear roadmap that reflects that vision.

This plan is the result of over a year of listening - listening to staff at every level, as well as gathering input from stakeholders, legislators and the public as we carried out our day-to-day duties throughout the year. The insights we gained shaped a plan that strengthens our agency, improves efficiency, and reinforces our roles as a leader in consumer protection.

Forward Together is built on four core pillars that will guide our work:

Operational Excellence – Continuously improving operations to achieve public satisfaction.

Intentional and Effective Regulation – Upholding regulatory standards, ensuring compliance, and enforcing protections.

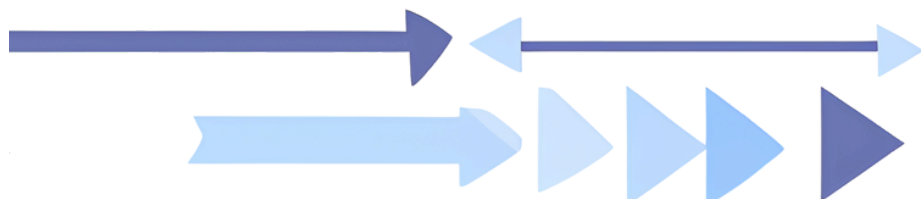
Workforce and Fiscal Strength – Empowering and building our workforce, and ensuring the sufficiency and stability of our revenues.

Future Ready – Advancing responsible innovation and how we serve the public.

With *Forward Together*, we are committed to building a regulatory system that is not only effective but also adaptable to the evolving needs of our state. We look forward to working together to strengthen Illinois and protect the people we serve.

Sincerely,

Mario Treto, Jr.
Secretary





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Strategic Plan

Table of Contents



02

Letter from the Secretary of IDFPR

04

Mission, Vision, and Values

07

IDFPR by the Numbers

10

Strategic Pillars and Priorities

12

Operational Excellence

16

Intentional and Effective Regulation

20

Workforce and Fiscal Strength

24

Future Ready

“ Protecting consumers and promoting trust and reliability in professional and financial services in Illinois through effective regulation and licensing. ”

The IDFPR Mission



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OUR VISION and NORTH STAR: A Clear Path Forward

VISION

A fair and thriving marketplace for professional and financial services where every consumer can rely on skilled service providers who help them achieve their goals, and where professionals face no unnecessary barriers to career growth in Illinois' regulated industries.

NORTH STAR: CONSUMERS

To achieve our mission and vision, IDFPR is always guided by what will protect and empower consumers.



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Grounded in: OUR VALUES

Service

Reliability

Collaboration

Transparency



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IDFPR BY THE NUMBERS



3,969 military service members and their spouses assisted in 2024.

IDFPR proudly supports a dynamic professional community, and our strategic plan **strengthens and celebrates** its impact.

We serve approximately **1.2 million** licensees across Illinois, which make up several different professions, across multiple license types.

120 professions

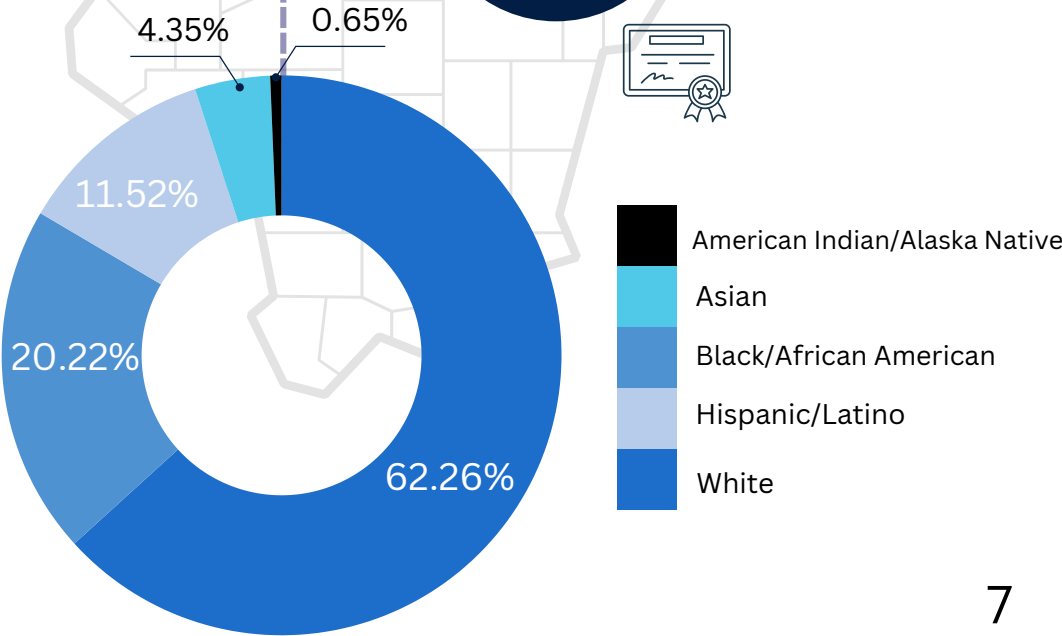


298 license types



IDFPR Staff

460
public servants





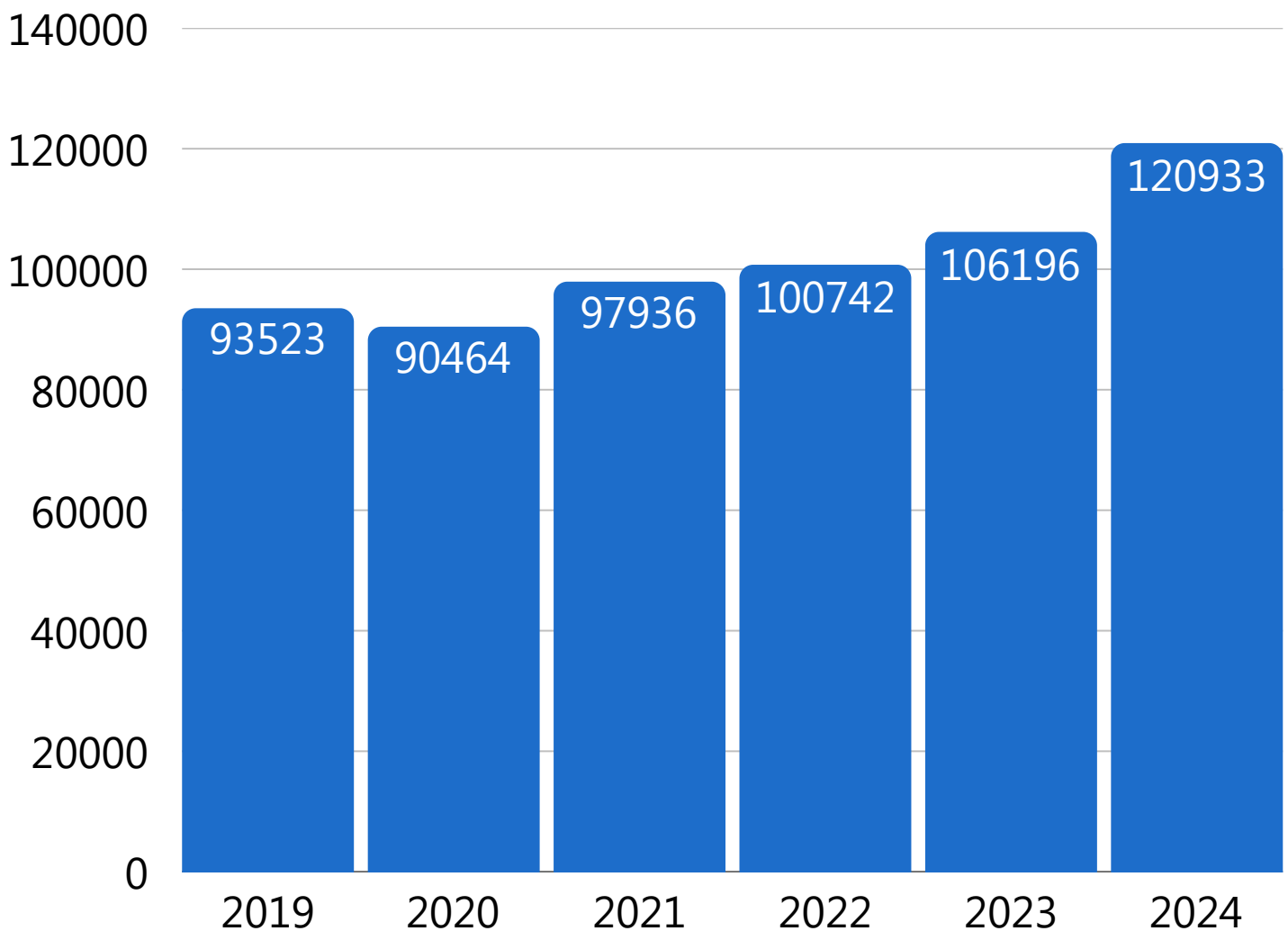
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WELCOMING MORE PROFESSIONALS TO ILLINOIS

Since the beginning of the **Pritzker Administration** in 2019, IDFPR has worked toward a **29.3% increase** in the number of licenses we issue annually. We look forward to welcoming even more professionals in the coming years.

IDFPR Licenses Issued Annually 2019 - 2024



WHAT WE HEARD



Several key themes emerged during the strategic planning process.

At IDFPR, we all want:

protect
stability
integrity
reliability
service
customer
protections
commitment
consumers
trust
collaboration
transparency
safeguard
licensing

IDFPR STRATEGIC PILLARS

Pillar I: Operational Excellence

Pillar II: Intentional and Effective Regulation

Pillar III: Workforce and Fiscal Strength

Pillar IV: Future Ready

“ Our mission is simple - trust and reliability. Our strategy is anchored on four pillars. **”**

Secretary Treto



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KEY PRIORITIES

Our approach builds on both new and proven strategies to best serve our stakeholders - licensees, industry professionals, and consumers - while strengthening the foundation of our work at IDFPR. Across the industries we regulate, we see countless examples of dedication, innovation, and collaboration that reflect the strength of Illinois' professional landscape. It is our goal to recognize and build upon these successes to drive continued progress.

The strategies outlined in this plan are designed to evolve over time, ensuring we uphold excellence in professional regulation, consumer protection, and industry engagement. Rather than existing in isolation, these priorities and strategies are interconnected, working together to create a regulatory framework that is efficient, transparent, and forward-thinking. Through this approach, we continue advancing our mission - moving Forward Together.

Pillar I: Operational Excellence

Streamlined Online
LicensingEnhanced Customer
ServiceTransparent
CommunicationsData Management
Excellence

Pillar II: Intentional and Effective Regulation

Improved Complaint
ResolutionEnhanced Risk-Based
ExaminationsConsumer
EducationRegulatory
Alignment

Pillar III: Workforce and Fiscal Strength

Supportive Onboarding
ProcessesEmployee Development
OpportunitiesClear Role
DefinitionResponsible Resource
Management

Pillar IV: Future Ready

Data-Driven
DecisionsModernized
Regulations



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EVERY
MOMENT
MATTERS

Realizing Lasting Impact

2024 MIDYEAR MEETING

MARCH 12-14, 2024 | ATLANTA

STRATEGIC PILLAR I: OPERATIONAL EXCELLENCE

*Continuously Improving
Operations to Achieve
Public Satisfaction*



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OPERATIONAL EXCELLENCE

OBJECTIVE: 1.1 STREAMLINED ONLINE LICENSING

- Implement the new Comprehensive Online Regulatory Environment (CORE), ensuring alignment with IDFPR goals and timelines.
- Simplify license applications to reduce the burden on applicants while also ensuring compliance with regulatory requirements.
- Ensure all professionals have access to convenient electronic payment options that enhance the online licensing experience.

OBJECTIVE: 1.2 ENHANCED CUSTOMER SERVICE

- Establish a Department-wide feedback system to gather insights from those who use our services.
- Coordinate with the call center regarding daily logs so that staff can address recurring issues and reduce applicant follow-up calls.
- Review all services outlined in the existing call center contract to ensure they align with goals for improving operational efficiency and delivering high-quality service.
- Determine root causes of training and communication discrepancies in the call center and revise procedures to increase retention.
- Review and evaluate multilingual services, focusing on quality, awareness, and access.
- Investigate the use of artificial intelligence-driven customer service capabilities to provide timely and consistent assistance to consumers.



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OPERATIONAL EXCELLENCE

OBJECTIVE: 1.3 TRANSPARENT COMMUNICATIONS

- Create a Department-wide, one-stop online resource hub, including an extensive FAQ section and a library of guides, tutorials, checklists, and periodic industry newsletters that cover common licensing questions and professions-related information.
- Provide clear and accessible tools for applicants to stay informed about the status of their applications and other processes in real time.
- Organize learning opportunities to guide industry and licensed professionals through the new licensing system, address questions, and provide resources for a smoother transition.

OBJECTIVE: 1.4 DATA MANAGEMENT EXCELLENCE

- Identify, organize, and streamline historic record inventories and holdings to simplify classification and staff accessibility to agency repositories.
- Implement processes to digitize and index records currently held on paper or microfilm to modernize the storage, identification, and retrievability of agency documents.
- Plan and execute the transition to DocuWare, ensuring staff are trained and prepared for changes in workflow and data management.
- Launch a training program on retention processes to ensure staff understand and comply with modern recordkeeping practices.



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STRATEGIC PILLAR II: INTENTIONAL AND EFFECTIVE REGULATION

*Upholding Regulatory
Standards, Ensuring
Compliance, and Enforcing
Protections*





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INTENTIONAL AND EFFECTIVE REGULATION

OBJECTIVE: 2.1 IMPROVED COMPLAINT RESOLUTION

- Review current complaint tracking and case management systems to diagnose and remediate backlogs and inefficiencies. Additionally, implement features that will allow staff to continually flag and visualize these backlogs and inefficiencies.
- Establish protocols for managing high-priority and complex cases to ensure timely resolution of those cases and overall efficient case management.
- Conduct an annual review of applicable enforcement guidelines with all enforcement attorneys, prosecutors, and investigators to ensure staff adheres to such guidelines at each stage of the complaints and investigations process.
- Develop and utilize a monthly tracking system to ensure performance benchmarks are met and conduct quarterly progress meetings between the division director and enforcement staff or attorneys.

OBJECTIVE: 2.2 ENHANCED RISK-BASED EXAMINATIONS

- Develop a risk assessment framework to identify high-risk industries and professions, entities, and individuals with a proactive focus on searching complaint records, previous examinations, and other available databases.
- Increase the frequency of targeted examinations for identified high-risk areas.
- Enhance the risk framework by integrating data from external partners and other regulatory bodies to capture trends and potential risk indicators.
- Amend statutory language as needed to provide flexibility in conducting risk-based examinations.



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INTENTIONAL AND EFFECTIVE REGULATION

OBJECTIVE: 2.3 CONSUMER EDUCATION

- Develop a consumer education campaign that includes social media outreach, online guides, and video tutorials, particularly focused on high-risk industries and professions.
- Partner with other agencies to co-host webinars and podcasts to provide educational content that can be shared across multiple platforms.
- Ensure that the availability of our multilingual resources is widely broadcast.
- Partner with IDFPR advisory boards, sister agencies, and industry associations to distribute consumer protection resources.
- Improve search engine optimization of the Department's complaint page based on what consumers might search if they have an issue with a regulated entity or individual.

OBJECTIVE: 2.4 REGULATORY ALIGNMENT

- Develop a centralized, easily accessible system to document potential regulatory gaps, needs, or issues to maintain a continuous record that could inform future proposals, ensuring all staff have a voice
- Implement a regular review cycle for regulations, including feedback from staff in enforcement, investigations, and legal affairs to identify gaps that may leave consumers vulnerable, limit essential services, or cause our regulatory authority to fall short of public expectations.



“ If everyone is moving forward together,
then success takes care of itself. ”
Henry Ford



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STRATEGIC PILLAR III: WORKFORCE AND FISCAL STRENGTH

*Empowering and Building our
Workforce, and Ensuring the
Sufficiency and Stability of Our
Revenues*





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WORKFORCE AND FISCAL STRENGTH

OBJECTIVE: 3.1 SUPPORTIVE ONBOARDING PROCESSES

- Identify all delays in the hiring process and address any bottlenecks that are within the agency's control.
- Establish “pre-post” hiring benchmarks to track and minimize delays by ensuring timely responses for position descriptions, interview questions, and interview panels.
- Review the current onboarding process by gathering input from recent hires and hiring managers.
- Update orientation materials and develop a checklist that clearly outlines responsibilities for onboarding.
- Include position-specific training as part of the onboarding process, ensuring that standard operating procedures (SOPs) and unit guidelines are fully integrated.

OBJECTIVE: 3.2 EMPLOYEE DEVELOPMENT OPPORTUNITIES

- Pair staff with senior employee mentors who can guide career development, skill-building, and navigation of the Department.
- Provide staff with access to certifications or external and internal training relevant to their roles to aid in skill development and increase their potential for advancement.
- Update offboarding processes for exiting employees to include the completion of an exit questionnaire and assign a neutral, unbiased role to analyze, and utilize the feedback to improve employee retention.



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WORKFORCE AND FISCAL STRENGTH

OBJECTIVE: 3.3 CLEAR ROLE DEFINITION

- Establish a centralized repository of SOPs for each position within the Department making sure that all critical tasks, workflows, and responsibilities are documented.
- Provide continuing education to division directors and executive staff on how to update job descriptions and, in coordination with the chief of staff and human resources, conduct as-needed reviews of the job descriptions for relevancy and Department needs.
- Provide supervisors and managers with support and training to ensure staff are developed under consistent standards across the Department.

OBJECTIVE: 3.4 RESPONSIBLE RESOURCE MANAGEMENT

- Continue to implement SOPs for fiscal operation and minimize unique processes for individual divisions wherever feasible.
- Improve monthly division accounting dashboards with meaningful data for managing program budgets and headcounts throughout the fiscal year.
- Review and amend as necessary each statute and administrative rule that provides agency authority for fiscal operations to ensure that each program is self-sustaining, with costs fully borne by the financial institutions and regulated professions the Department oversees.
- Empower division managers to develop and implement strategies to optimize the use of appropriated funds, ensuring they are allocated effectively across each unit so that all resources are fully utilized.



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STRATEGIC PILLAR IV: FUTURE READY

*Advancing Responsible
Innovation and How We
Serve the Public*





FUTURE READY



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OBJECTIVE: 4.1 DATA-DRIVEN DECISIONS

- With the implementation of CORE, use aggregated data on applicants and licensees to create up-to-date dashboards and reports for both internal use and public information.
- Identify key data points that consumers and the public want to know to highlight trends in regulatory compliance and relevant regulatory actions.
- Establish a Department data working group with representation from each division and DoIT to collect and catalog existing sources of internal, interagency, and publicly available regulatory data and develop a plan for incorporating data-based analysis into regulatory initiatives.
- Create a “support and collaboration” team of internal subject matter experts, with board liaisons at the helm, to serve as a primary reference point for cross-divisional inquiries related to regulatory interpretations, enforcement, industry best practices, and improving the use of document sharing and collaboration tools.

OBJECTIVE: 4.2 MODERNIZED REGULATIONS

- Establish the agency in leadership roles within regulatory associations, committees, and working groups to share intelligence on market developments and coordinate regulation and supervision.
- Develop and maintain a centralized catalog of the Department’s involvement in interagency associations and committees to track participation and contributions, and to identify opportunities for cross-divisional coordination.
- Establish a formal feedback loop where divisions regularly share insights gained from their participation in interagency associations.
- Conduct a benchmarking analysis of each division compared to peer financial and professional regulatory agencies and adopt best organizational practices focusing on staffing models, workflow efficiency, and consumer assistance.



Illinois Department of
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ARE YOU READY?



For the next two fiscal years, the Illinois Department of Financial and Professional Regulation will focus on our goal of moving **Forward Together**.

This strategic plan is not just a roadmap for our agency—it is a commitment to collaboration, efficiency, and continuous improvement in how we serve the people of Illinois.

Moving **Forward Together** means collaborating with stakeholders, industry professionals, legislators and the public to address emerging challenges and opportunities in financial and professional regulation. It means streamlining licensing and enforcement to reduce barriers for businesses and professionals while maintaining the highest standards of consumer protection. Through technology improvements, policy updates, and proactive engagement, we are building a regulatory environment that is responsive, accessible, and effective.

This plan is also a reflection of our commitment to continuous improvement. By identifying inefficiencies, strengthening oversight, and embracing innovation, we will enhance our ability to serve Illinois residents and businesses. Whether you are a consumer, a licensee, or a policymaker, **Forward Together** represents our promise to work collaboratively, adapt to changing needs, and uphold the integrity of the industries we regulate.

Forward Together is about uniting our efforts to enhance service, fairness, and transparency.

Together we will shape a future where IDFPR is not only a regulator but also a trusted partner - one that fosters economic growth, ensures public trust, and protects the well-being of Illinois communities.

***Are you ready to move,
Forward Together?***



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