



Illinois Department of Financial and Professional Regulation

2017 Roadmap

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IDFPR Overview

The **Illinois Department of Financial and Professional Regulation (IDFPR)** is the state agency responsible for the chartering and supervision of state-chartered banks and credit unions – more than any other state in the nation – and non-depository financial institutions, as well the licensing and regulation of over 1.1 million professionals and firms. Its responsibilities are administered by its four divisions:

The **Division of Banking** regulates, charters, and supervises state-chartered banks, trust companies, savings institutions, mortgage banks, mortgage loan originators, pawnbrokers, check printers, and registered non-bank ATMs.

The **Division of Financial Institutions** regulates and supervises non-banking financial institutions including credit unions, currency exchanges, title insurance underwriters, and consumer credit services as well as a variety of other financial institutions.

The **Division of Professional Regulation** licenses and regulates over 1 million professionals and firms in consultation with nearly 60 advisory boards. Licensees include a variety of healthcare-related professions such as doctors and nurses, as well as a variety of occupational professions including CPAs, barbers, engineers, and detectives.

The **Division of Real Estate** licenses and regulates professionals involved in the buying and selling of real property, including real estate brokers, appraisers, auctioneers, community association managers, home inspectors, and timeshare/land sale developers and agents.

IDFPR's Mission and Vision

Mission:

The Illinois Department of Financial and Professional Regulation's mission is to utilize Responsive, Innovative, Transparent, and Efficient (R.I.T.E.) governance to create an ideal regulatory environment that (1) allows economic growth to flourish in Illinois, and (2) effectively optimizes consumer choice.

Vision:

To be an agency that unites effective regulatory policies to deliver exceptional service.

Background

In January of 2016, the Department of Financial and Professional Regulation (IDFPR) began undertaking the implementation of its inaugural Road Map. Having spent the first several months of 2015 focusing on achieving quick wins to immediately improve interactions with stakeholders, the agency's new management team soon realized that it was largely consumed by mitigating problems with short-term solutions. Consequently, we realized and acted upon the need to outline a long-term strategic vision and established an agency mission, as presented on the preceding slides. We subsequently adopted four key criteria by which to gauge the merits of every ongoing or new initiative undertaken within the Department.

Background (Cont'd)

The ultimate goal of the 2016 IDFPR Roadmap was to articulate IDFPR's vision and enable the implementation of actionable, strategic projects, resulting in a R.I.T.E.-sized agency – one that is Responsive, Innovative, Transparent, and Efficient. The resulting list of strategic and tactical projects, in conjunction with the governance framework established throughout the roadmapping process proved effective in driving the Department towards a realization of its long-term vision.

The 2016 IDFPR Roadmap was the product of months of collaborative preparation and planning across all Department operation and support units and served as a clear articulation of the Department's long-term vision through four strategic initiatives. Based on our previous process, and using feedback gathered throughout the course of the year, IDFPR's management team replicated the steps it had taken in the past to create its 2017 Road Map.

2017 Roadmap Planning

Utilizing its 2016 Roadmap and established governance structure the Department's management team was able to effectively track the progress of individual projects in addition to managing operational functions. Several of these projects, notably our long-term, flagship initiatives, continue to be accomplished in 2017 and are reflected in our 2017 Road Map. We will continue utilizing the established governance structure to track our progress. While our mission and vision remain immutable, we have slightly altered the definitions of our strategic initiatives to reflect a broader scope in line with the Department's current needs. As our 2016 demonstrated, by setting a clear strategic vision, the IDFPR will be better equipped to continuously track progress, and engage both its employees and stakeholders in building a more safe, accessible, and prosperous Illinois.

2017 Strategic Initiatives

The IDFPR has established four strategic initiatives in order to realize its vision:

1. **Efficient Business Management (EBM)**
2. **Stakeholder Experience Improvement (SEI)**
3. **Performance Management (PM)**
4. **Reduce Agency Costs (RAC)**

The IDFPR will execute these initiatives through a series of strategic projects. The Department collected, scored and ranked business proposals identified by the leadership team. The result is a set of 2017 projects prioritized by their alignment to these four strategic initiatives and their benefit to the agency and its stakeholders.

Strategic Initiatives & Key Projects

Efficient Business Management (EBM):

Many of the IDFPR business processes have not been examined or updated in many years. EBM projects are designed identify inefficiencies and redundancies in our workflow processes and to streamline those processes to gain maximum efficiency from available resources.

The following are key 2017 projects in alignment with the Efficient Business Management initiative:

- ❖ Eliminate the 45 sponsoring broker card
- ❖ Transition to electronic payments for various licenses under DFI
- ❖ Redesign of financial institution examination process
- ❖ TLEP (Transformational Licensing and Enforcement Project)
 - ❖ Utilize modern self-service web channels to improve the way the Department provides services to its stakeholders.

Strategic Initiatives & Key Projects

Stakeholder Experience Improvement (SEI):

The IDFPR is an outward-facing agency that interacts with hundreds of thousands of professionals and businesses each year. These stakeholders are responsible for millions of dollars of economic activity. In order to create a more prosperous Illinois, it is important the IDFPR be responsive to stakeholder feedback so the Department does not hinder professionals from practicing their profession within the bounds of statute. SEI initiatives aim to enhance positive interactions between the IDFPR and its stakeholders.

The following are key 2017 projects in alignment with the Stakeholder Experience Improvement initiative:

- ❖ Conduct reoccurring 'Know Before You Owe' panels
- ❖ Provide credit unions with evaluation tool for Cyber Security Questionnaire
- ❖ Implement continuing education ticketing program for DRE
- ❖ Conduct further industry-centric Turnaround Town Halls

Strategic Initiatives & Key Projects

Performance Management (PM):

The IDFPR has limited mechanisms to track output and measure progress. Basic benchmark information is currently paper-based and obtaining such information is time consuming. PM projects will establish Key Performance Indicators and create tools to track agency performance. With such tools the Department will be better able to identify inefficiencies, develop solutions, and measure results.

The following are key 2017 projects in alignment with the Performance Management initiative:

- ❖ Create transparent Gainsharing program intranet tracker
- ❖ Conduct various enforcement improvement trainings
- ❖ Create enforcement metrics and case prioritization for DPR

Strategic Initiatives & Key Projects

Reduce Agency Costs (RAC):

Many of the IDFPR business processes are heavily reliant on paper, postage, outdated technology, and other expendable resources. The fiscal and operational costs of the IDFPR's material dependency are considerable. The Reduce Agency Costs initiative is focused on significantly reducing the use of paper in the IDFPR's interaction with external stakeholders.

The following are key 2017 projects in alignment with the Reduce Agency Costs initiative:

- ❖ Continue with transition of online applications for professional licenses
- ❖ Implement e-certified mail system
- ❖ Procure third party supplementary resources to assist with DOB exams

Portfolio Governance

Executive Steering Committee

Secretary & Chief of Staff

The role of the Secretary and Chief of Staff is to review the status of the current strategic portfolio and assess new project proposals by scoring them in line with the established criteria. The Executive Steering Committee is responsible for the delivery of top-down reports on the Department's holistic progress in achieving its strategic goals.



Leadership Team

Division Directors

The role of the Leadership Team is to provide sponsorship and direction in authorizing Project Managers to execute strategic projects. The Division Directors and Chief of Staff will work in concert with Project Managers to regularly review projects' status and be responsible for reporting to the Executive Steering Committee.



Project Managers

The role of the Project Manager is to establish the scope and milestones of the strategic project with the team responsible for its execution. The Project Manager is responsible for monitoring and reporting on a bi-monthly basis the status of each strategic project to the Leadership Team.

2017 Strategic and Tactical Projects

The following is the comprehensive list of 2017 projects mapped to the four strategic initiatives.

2017 Strategic and Tactical Projects

Rank	Division	Project Name	Strategic /Tactical	Project Description
1	EXEC	Bank Exam RFPs	S	The Department is in the process of procuring third-party supplementary resources to assist in the completion of all facets of its statutory duty to examine state-chartered banks.
2	DRE	Eliminate 45-Day Sponsoring Broker Card	S	Once all DRE licenses are online as a result of the Online Applications Portal (OAP) implementation, the need to re-apply will be eliminated and we will hold L&T accountable for the timely issuance of licenses.
3	EXEC	Online Application Portal (OAP)	S	The Department is in the process of transferring the application process for 95% of all professional licenses administered by DPR and DRE to an entirely digital, web-based interaction.
4	EXEC	TLEP	S	A group of project proposals has been submitted by a third-party vendor following several months of data collection and behavioral observation. The Department is in process of reviewing this portfolio of proposals in order to determine which ones it will proceed to implement. It will then determine project owners for individual proposals and implement them in order to improve IDFPR's operational efficiencies and stakeholder experience.
5	DOB	Utilize ComplianceEase for Residential Finance Exam (RFEC Project A)	S	We are waiting on ComplianceEase to update software
6	DRE	Continuing Education Ticketing Program (Enforcement Reforms D)	S	The DRE will pilot a ticketing program with their Appraisal licensees. The intent is to tier the fee structure based on severity of the deficiency; ie - a higher number of missing CE credit hours will result in a higher fine. This will in some cases enable licensees to avoid marks on a public disciplinary record. The program will eventually be expanded across all seven Real Estate license types.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
7	DFI	TOMA Exam Process Implementation	S	We will draft and finalize a risk-based examination for Transmitter of Money Act (TOMA) licensees, and will determine what (if any) multi-state exam considerations exist. A new exam will be modeled after: our own Currency Exchange exam; border/sister states' exam processes; and the Money Transmitters' Regulatory Association. In the process of creating our new exam we will consult with FinCen, the IRS, and FBI, and we will document the outcomes of these conversations.
8	DPR	Create Enforcement Metrics and Case Prioritization (Enforcement Reforms C)	S	We will establish a process for classifying severity of complaints (creation of matrix/rubric and resulting policy memo) in order to ensure that high-priority cases are moved more quickly relative to lower-priority cases. We will then establish a set of metrics to allow us to accurately gauge the efficiency with which we move cases identified as high-priority.
9	DFI	Transition to Electronic Payments: Credit Union	S	We will identify the current sources of cash payments accepted by the credit union section and will work with fiscal and IT to move towards a wholly automated payment system.
10	DFI	Transition to Electronic Payments: TOMA	S	We will complete the conversion of payments from Authorized Sellers via CLEAR (currently finalizing conversion of Annual Fees). We are developing a we interface with CLEAR in order to accept the Annual Renewal fee online. This will be completed by the end of 2017.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
11	DFI	Transition to Electronic Payments: Consumer Credit	S	We will identify the current sources of cash payments accepted by the consumer credit section and will work with fiscal and IT to move towards a wholly automated payment system.
12	DFI	Transition to Electronic Payments: Currency Exchange	S	We will identify the current sources of cash payments accepted by the currency exchange section and will work with fiscal and IT to move towards a wholly automated payment system.
13	DFI	Transition to Electronic Payments: Title Insurance	S	We will identify the current sources of cash payments accepted by the title insurance section and will work with fiscal and IT to move towards a wholly automated payment system.
14	EXEC	Records Retention Project	S	We will codify our records retention procedures by Division while maintaining day-to-day workflow to avoid backlog, we will examine all 7,000 files within our offsite warehouse to determine a plan of action for reducing them, and develop standards for electronic submission of documents to Records from each Division.
15	DPR	Cemetery Ticketing Program	T	We will replicate the Pharmacy Ticketing Program for Cemetery. The current language of the Cemetery Practice Act allows for this.
16	DPR	Update Enforcement Handbook (Enforcement Reforms A)	T	We will streamline and update the Enforcement Handbook (Petition for Restoration Form); begin e-mailing Administrative Warning Letters
17	DFI	Exam Process Improvement: Consumer Credit (Payday, CILA, and Sales Finance Acts)	S	The results of 2016's exam process improvement will be documented. An exam manual and training guide have been produced. A training will be held in 2017.
18	EXEC	Electronic Conversion of Paper Forms: DPR/DRE	S	DPR and DRE will work in conjunction with DoIT to make the aforementioned forms available exclusively in electronic form.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
19	DFI	Evaluate Cybersecurity Questionnaire	S	We will research third party services, capable of evaluating the results of the currently administered Cyber security Questionnaire.
20	DRE	Criminal History Review Matrix (Enforcement Reforms C)	S	We will request that our Advisory Boards review their respective industry's professional standards, and produce recommendations to determine what types of offenses revealed in a criminal history report require further examination (informal interviews, outright denial, etc.) and which applicants require fingerprinting. The Department will then use these recommendations to compile a "Criminal History Review Matrix" to guide Division staff through the appropriate steps to approval or denial based on the severity of the discovered offense. This risk-based approach to granting licensure will cut down on staff processing time of licenses and allow licensees to be granted licensure more expeditiously. Potential applicants will be able to determine their eligibility based on criminal history without contacting Department. We will communicate all policy changes resulting from this project to the public online and via various outreach events.
21	DRE	Automated Complaint Tracking (Enforcement Reforms A)	S	We will work with DoIT to develop an online complaint portal which will require the creation of a login ID. The portal will display basic information about the complaint, and will provide a "tracker" which will be updated with the status of the complaint. The portal will display the Department's confidentiality policy regarding complaints to deter complainants from calling to seek information we are unable to disclose.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
22	DRE	Automated Notification of Discipline (Enforcement Reforms B) (This should have a dependency on the Elimination of 45-Day Sponsor Card project)	S	We will cross-reference DPR's practices in dealing with complaints against (for example) pharmacists and the extent of their communications with the managing licensee, as well as examining the best practices of border/sister states. We will also examine any confidentiality provisions limiting what information may be shared and with what parties during various stages of an investigation. We will then decide whether to proceed with an automatic notification system alerting M/S brokers to complaints against licensees.
23	EXEC	Twice-Yearly "Know Before You Owe" Panels	S	The TRID rules were implemented in October 2015 and are undergoing constant revision and their interpretations/applications within the mortgage industry are still evolving. As these constant updates impact professionals licensed by our DOB, DFI, and DRE, the Department as a whole will offer a quarterly or biannual panel (alternating between a Chicago-area and Springfield-area location) as a service to our regulated entities/professionals. As in the past, an industry moderator and set of panelists will lead the discussion and take questions; Continuing Legal Education ("CLE") credits will be offered to participants who attend the event.
24	DOB	Commercial Banking Exam Process Improvement	S	We will work with HR to revise job descriptions and enable to cross-training of examiners; eliminate silos, and improve Safety/Soundness
25	EXEC	Laserfiche Software & Hardware Upgrade	T	Software upgrade will enable us to secure continued maintenance e from the vendor. Hardware upgrade will provide newer, more reliable machines that can handle larger quantities of files to be Laserfiched (100,000 pages per day), assisting in the reduction of backlog of records sent to Records.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
26	EXEC	Gainsharing Intranet Tracker	S	We will post a Gainsharing page comprising three main three pieces to our intranet site: the Gainsharing pilot program "New Program Initiative Memo," along with the metrics our team has developed internally, and a monthly Department-wide spending tracker comparing FY16 to FY17.
27	DFI	Application and Examination Imaging: Consumer Credit	S	The pace of this project will pick up with the completion of our Laserfiche hardware and software upgrades, and should be completed in mid-2017. We will draft communications to release upon completion.
28	DRE	Electronic License History Certification Display	S	We will automate the license history certification so that licensees can login to their "license account," pay a fee to create the certification, and view it immediately online.
29	DOB	NMLS for Pawnbrokers	S	We will clarify with trade groups what we need to do with the Pawnbroker Manager Licenses as far as retaining them at a cost of \$50 per year; we will move forward with conversion of Pawnshop licenses in check to NMLS; we will determine the approach for rollout and pro-rate/waiver of licensing fee (everything renews in December/Pawnbroker license out in June (same as when Mortgage transferred to NMLS)); large staff time commitment. Changing how (when) Pawnshops file will involve a Rule change.
30	DFI	Application Imaging: Title Insurance	S	We will scan hard copy documents to Laserfiche for retention and subsequently destroy what remains in hard copy.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
31	DFI	Policy Determination: CE Licensing on NMLS	T	We will make a policy determination regarding whether to transition Renewals for Currency Exchanges to NMLS, and if necessary, proceed with a rollout plan (NMLS includes an additional \$100 fee per Renewal). The Division will work with NMLS to assess their ability/interest in moving CE to NMLS.
32	DPR	Email Complaint Closure Letters	T	We will (require complainants to submit an e-mail address or be notified that we will not follow up with a Closure Letter, and then) e-mail Complaint Closure Letters to the complainant with discipline issued (from Prosecutions) or without discipline issued (from Investigations) and draft a set of FAQs detailing the nature of investigative process (timeline, communication with complainant, etc.).
33	DPR	Administrative Hearing Rules Review (Enforcement Reforms E)	T	We will update our AH Rules and make them easier to adhere to.
34	EXEC	Establish Fintech Activity Advisory Working Group	S	The Department/FinTech working group will produce a white paper on responsible FinTech Regulation.
35	DOB	Day with the Secretary	S	One in each region; Secretary and other Division leadership will deliver remarks to industry representatives on current affairs/state of DOB.
36	EXEC	Enhance Communication Strategy	T	We will review all current outgoing stakeholder communication and seek out uniform ways to distribute updates to regulated entities electronically.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
37	DFI	Exam Process Improvement: Currency Exchange	T	The results of 2016's exam process improvement will be documented. We are in the process of training a "pilot trainee," who will then conduct a handful of pilot exams and provide feedback on the new module. We will communicate exam process changes to the industry while concurrently training the remainder of our examiners. We will complete a full rollout of the new exam process by the end of 2017.
38	DFI	Exam Process Improvement: Title Insurance	T	The results of 2016's exam process improvement will be documented. Due to statutory requirement, we have historically relied on 30 items; we will determine whether to move our exam towards the NAIC's exam model, which occurs once every 5 years. Once this determination is made, we will produce a training guide and conduct examiner training.
39	DPR	Standardize Enforcement Template Language - Prosecutions (Enforcement Reforms B)	S	Apply uniform language to consent orders, etc.
40	DRE	Formalize Board Member Onboarding	T	We will draft a formalized "Board Member Onboarding" manual which will assist Board Members/liasons/and Department staff in ensuring that all new members have all necessary materials prior to their first meeting. We will also look into the availability of a "judge school"-type curriculum or training for Board members to review or attend. If one exists, we will ask Board members to attend, if not, we will draft a proprietary curriculum.
41	EXEC	BidBuy Training	S	Our Director of Procurement and Operations, utilizing a curriculum developed by the Chief Procurement Office for distribution across state agencies, will conduct a training on BidBuy.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic/Tactical	Project Description
42	DPR	Turnaround Town Hall Q3: Cemetery and Funeral Director	S	We will hold a Town Hall for the Cemetery and Funeral Director Professions. Topics to include: rules updates, ticketing program, etc.
43	DPR	Turnaround Town Hall Q2: TBA between Pharmacy/Massage Therapy/Accounting/CPAs	T	We will hold a Town Hall for the Pharmacy Professions.
44	DPR	Turnaround Town Hall Q1: Medical Cannabis	T	We will look into holding a Town Hall for the Medical Cannabis Profession.
45	DPR	Turnaround Town Hall Q4: Nursing	T	We will look into holding a Town Hall for the Nursing Profession.
46	DPR	Electronic Board Meetings	S	We will review which Boards would be good candidates for this program (ie, most membership is in one location).
47	EXEC	Enterprise Transition - Business Requirements Documentation	S	We will document an itemized list of business requirements for Licensing and Enforcement (Complaints, Investigations, and Prosecutions) for Enterprise Licensing.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
48	DPR	Enforcement Trainings (Enforcement Reforms D)	T	We will hold a training to review the updates to the Enforcement Handbook (Q3 or Q4 2017) and general best practices. We will look into providing CLE to attorneys who attend Quarterly Investigative Trainings
49	DRE	"DBA" Trade Name Audit	T	We will collaborate with the Secretary of State's office to procure (on a rolling and continuous basis) a list of all Real Estate firm licensees and have IT cross-check these data against our list of licensees in ILES every 24 hours-every 1 month in order to identify discrepancies. We will send an initial mass e-mail to licensees informing of our policy, and will then notify any licensee with a discrepancy that we have designated a period of time in which they must rectify the name situation or face discipline.
50	DOB	NMLS Integration (RFEC Project B)	S	electronic surety bonds (will consolidate subsidiaries currently submitting individual bonds to one submission), misc. fees collected outside of system that can be moved into NMLS
51	EXEC	eCertified Mail	S	We will secure the services of Midwest Mailing to utilize a system of electronic certified mail return receipts. A USPS employee will hand-deliver the mail, but instead of using the paper "green card" receipt, an electronic copy of the receipt will be sent to the Department once mail is delivered to intended recipient. This will lower cost to an avg. of \$6 per piece of mail.
52	DRE	Indirect Payment of Compensation Lookup	S	We will create (by adding a field in ILES) the ability for L&T to look up use of indirect compensation entity by licensee.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
53	DOB	New "IFLI"	S	We will define a mission statement for our Financial Literacy program and assemble an Advisory Board consisting of Dept staff, bankers, AG/Student Assistance Council staff, and CFPB/the Fed in collaboration with ISBE. We will remodel our current IFLI program to more closely reflect the financial literacy programs of our border/sister states. Subsequently, we will overhaul the appearance of web pages devoted to this content such that their appearance is consistent with the Department's current website design; webpage may include a calendar of events (America Saves Week, Money Smart Week, etc.).
54	DOB	Electronic Data Share and Online Application Filing	S	We will determine whether there is value in utilizing DoIT's secure file transfer website. If we find that there is, we will implement this as our method of intaking online applications and all related documents. We will create a web-based solution that implements off-site examination procedures for an easier and more valuable exam process. (We currently e-mail Corp applications - this could be
55	DFI	Lawsuit Lending Position Paper	S	We will produce a "white paper"/position statement which will: summarize the types of lawsuit lending practices which currently exist in the state; detail how we currently regulate lawsuit lending, or alternatively offer an explanation of why we do not regulate it in whole or in part; compare the regulatory practices of border/sister states in regard to lawsuit lending; and conclude with a reasoned recommendation to the Department on how to proceed with licensing lawsuit lending in Illinois and why.
56	DFI	Lawsuit Lending Policy Implementation	T	We will proceed with white paper recommendation to the Department on how to proceed with licensing lawsuit lending in Illinois.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
57	DFI	DFI Call Volume Tracker	T	We will explore the potential for centralizing incoming calls to DFI; centralizing complaint intake, business case for inclusion in DOB's call center contract scope
58	DPR	Order Vacating a Default Process Improvement	T	We will add a hearing date to the Order when it is mailed to a licensee.
59	DPR	RFP for Medical and Health Related Prosecutions	T	We will explore ways in which to supplement the existing medical and health related prosecution resources.
60	EXEC	Budget Impasse Contingency Plan	T	We will have confirmed that we have enough office supplies on hand to sustain daily operations for three months, we will have confirmed that Vendor Support Initiative (VSI) is in place and ready to be utilized by vendors in the case we are unable to issue payments; we will have a communication plan in place to alert vendors to budget situation.
61	DFI	Credit Union Lending Systems (CULS) Implementation	S	We will implement a pilot program and monitor/track activity 1/1/17 and 12/31/17. Determine impact of full implementation/examine legislative avenues/addition to Act.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
62	DRE	General Enforcement Reforms	T	We will itemize and standardize procedures, trainings, and workflows across enforcement units.
63	EXEC	Streamline Fiscal Approvals	T	We will evaluate the policies regarding approvals for subscriptions, requisitions (supplies, travel), membership dues, trainings and either: consolidate different forms, or standardize approvals needed for different fiscal requests at the same dollar levels/thresholds (or a combination of the two). We will establish a Division-by-Division expenditure threshold for subscriptions, specialized office supplies, etc. and develop a mechanism by which to track spending.
64	DPR	Continuing Education Audit Improvements	S	We will procure a third-party provider of Continuing Education audit tracking for professions across DPR. In the process of providing CE information to a selected vendor, we will conduct an internal profession-by-profession review of our CE requirements
65	DPR	Eliminate Notarization Requirements	S	We will identify where notarization is required on any forms by our Rules and either waive or assign a variance to those forms, relieving us from processing back-end paper processing.
66	DOB	Hotspot Consolidation	T	As many as ten devices can connect to one mobile hot spot. We will develop a plan to reduce the number of mobile hot spots used by the bank examiners and implement it, reducing the Department's monthly expenditures on hot spots.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
67	DRE	Training Sessions	T	We will confer with Legal (Labor) regarding what types of professional development trainings may be mandated. We will then compile a list of available trainings offered by the state (through CMS/CMS Office of Rapid Results), we will find a Microsoft Office Suite training which provides Certification and mandate completion, we will mandate that all Real Estate investigators take the broker exam, and that all Investigators are ARELLO certified.
68	EXEC	Update Travel Voucher Form	S	Fiscal will re-work the Comptroller's travel voucher forms (AFSCME and non-AFSCME) to make them more user-friendly, ie: automatically calculate per diems/breakfast and dinner reimbursement based on in-state or out-of-state travel and hours worked; wrap text in boxes used for comments, reworking of instructions, etc.
69	DFI	Achieve NAIC Regulator Membership	S	1. We will draft a one-pager outlining our "business case" for formal involvement in NAIC, which will: enumerate the benefits to the Department of formal Membership in NAIC (ie, ability to utilize standard NAIC agent application forms; examiner training in line with national standards?); detail the necessary steps the Department will take to achieve Membership; detail the costs (if any) associated with Membership and, if necessary, a proposal for sharing these with DOI. We will then follow the prescriptions of the one-pager and obtain Membership (or "Interested Regulator") status in NAIC.
70	DRE	Searchable Online Appraisal Course Listing	S	We will build an "Overall Approved CE" Search Engine, searchable by course title, instructor, school, etc.
71	DRE	Photo Identification on Electronic Licenses	S	We will determine feasibility of obtaining State ID photos from Secretary of State's office or AMP; if so, we will work with IT to create a new field on the electronic license certificate and inlay photos.

2017 Strategic and Tactical Projects (cont'd.)

Rank	Division	Project Name	Strategic /Tactical	Project Description
72	EXEC	Business Case for Springfield Office Consolidation	T	We will put together a new, more efficient floorplan with attached projected cost savings accounting for CMS labor, etc.
73	DPR	Study Utilization of Cemetery Grants	T	We will look into opportunities for taking advantage of existing cemetery grant programs.
74	DOB	Publish Revised Corporate Activities Manual Online	T	We will make stylistic and substantive changes to the current version of our Corporate Activities Manual: in addition to applying uniform language to the document, we will make updates to reflect current policy, forms, fees, and prior interpretations for each application required to be submitted to the Department. We will then upload this document to our website in searchable form.
75	DOB	Continuing Education for Examiners	S	Conduct an annual review of qualifications that each examiner has formally attained and assign a supervisor/program manager/"mentor" to work with each examiner and ensure merit-based qualifications are met to the fullest extent possible.
76	DPR	Study Expansion of Vocational Licensing for Inmates	T	We will study opportunities to expand vocational licensing for the incarcerated population using the current Barber model.