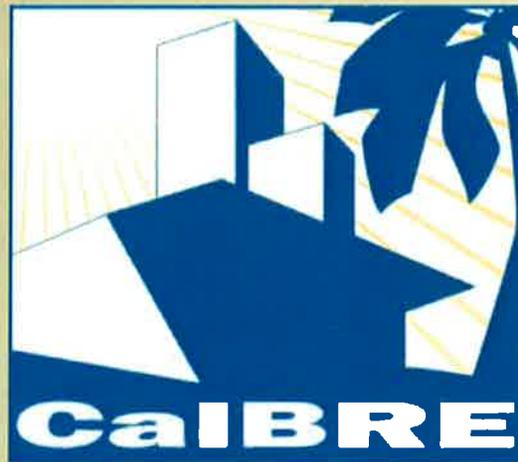


California Bureau of Real Estate

Strategic Plan



July 1, 2016 - June 30, 2019

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Message from the Real Estate Commissioner



I am pleased to present the July 1, 2016- June 30, 2019 (2016-2019) Strategic Plan for the California Bureau of Real Estate (CalBRE). The key goals, objectives, and priorities expressed and set out in this plan are designed to help CalBRE meet its statutory mandates, and its mission and vision to safeguard and promote the public interests in real estate matters and to be the champion for public protection in real estate. To meet those mandates, and to fulfill our mission and vision, we must employ sound decision-making and resource allocation, and follow a realistic and achievable plan which focuses on accountability, transparency, beneficial change, and attainable goals and objectives.

The new CalBRE Strategic Plan is the result of much planning, gathering of information, contemplation, creative thinking, and lively discussion. The assembly of information involved and assimilated input from a diverse array of stakeholders, including that from CalBRE employees.

The 2016-2019 Plan presents strategic and focused goals and aims for CalBRE, its constituent sections and units, and its employees statewide. Many of the goals and objectives are new. Yet the Plan also builds on the foundations of, and reinforces, updates and modifies parts of, our last Strategic Plan, which was developed before the Governor's Reorganization, when we were the California Department of Real Estate. Importantly, the new Plan incorporates all of the prior Plan's "values", which were conceived and adopted after much and careful collaborative communication, and the mission and vision of that earlier guidepost.

The 2016-2019 Plan will help us address current challenges, keep a steady focus on what needs to be accomplished, and communicate who we are as public servants. In addition, it is also designed to well position CalBRE for its path toward the future. It is my fervent hope, and that of the CalBRE Executive Committee, that the Plan will serve as a blueprint, guide and road map as we move forward.

I ask that you join me – and CalBRE's Executive Committee – in embracing, and making measurable progress toward fulfilling the commitments set forth in, the Plan.

Respectfully,



Wayne S. Bell
California Real Estate Commissioner; and
Chief Officer, California Bureau of Real Estate

About the California Bureau of Real Estate

The California Legislature enacted the nation's first real estate license law in 1917. California's Real Estate Law, which provides for the education, licensure, and regulation of real estate licensees, serves as a model for similar legislation in many other states. The California Bureau of Real Estate (CalBRE or Bureau) continues to enjoy a nationwide reputation as a leader in real estate licensing and regulation.

The revenue necessary to operate CalBRE is derived from fees charged for real estate licenses, subdivision public reports, and various other permits issued by the Bureau. Employees operating from District Offices in five cities (Sacramento, Fresno, Los Angeles, Oakland, and San Diego) carry out the Bureau's responsibilities as mandated by the Real Estate Law and the Subdivided Lands Act.

The primary objective of CalBRE is the protection of the public interests in regard to the offering of subdivided lands, and through the licensure, oversight and appropriate enforcement/discipline of licensees. To accomplish this, a standard of knowledge, measured by written examination, is established for licensing real estate agents and a minimum criterion of affirmative disclosure is set for qualifying subdivided lands offerings.

At the same time CalBRE is protecting the public interests and increasing consumer awareness, it collaterally assists the real estate industry in expanding its standards and level of professional ethics and responsibility.

Mission

To safeguard and promote the public interests in REAL ESTATE MATTERS through licensure, regulation, education, and enforcement.

Vision

The Champion for Public Protection in Real Estate

Values

EXCELLENCE

Delivering superior results, work and services	Providing outstanding public protection	Pursuing individual knowledge and development
Becoming the model of exceptional government	Leading law enforcement and other regulators	Achieving continuous improvement

PROFESSIONALISM

Delivering quality work products	Being accountable	Taking responsibility
Expressing responsiveness	Proving trustworthiness	Showing dependability
Exemplifying respect	Illustrating courtesy	Being conscientious
Exhibiting competence	Demonstrating integrity	Taking pride in outcomes

KNOWLEDGE

Expanding employee training	Encouraging personal growth	Incorporating cross training
Mentoring staff	Helping staff achieve goals	Providing feedback and support
Building employee confidence	Collaborating with colleagues	Supplying necessary tools

COMMUNICATION

Interacting up, down and sideways with CalBRE	Advancing respectful connections and exchanges	Asking for feedback
Delivering transparency	Incorporating openness, honesty, frankness, clarity, frequency, accuracy, timeliness, and brevity	Promoting teamwork
Embracing creativity	Consumer outreach and education	Being responsive to stakeholders and advocating public interests

CARING

Promoting workplace harmony	Delivering consideration	Showing appreciation
Acknowledging employee contributions	Being truthful and forthcoming	Keeping one's word
Standing up for the public and each other	Listening to all points of view	Taking an extra step to help
Affording reasonable flexibility	Admonishing gossip	Enhancing cooperation

Strategic Goals

1	LICENSING <i>The CalBRE Licensing Section manages the issuance and renewal of licenses for Real Estate Brokers and Salespersons after ensuring applicants have satisfied the qualifications for licensure, and issues endorsements to licensees who have satisfied the qualifications as Mortgage Loan Originators.</i>
2	ENFORCEMENT <i>The Enforcement Section supports CalBRE's consumer protection effort by conducting investigations, fostering complaint resolution, and educating consumers and real estate stakeholders.</i>
3	LEGAL <i>The CalBRE Legal Section administratively prosecutes violations of the Real Estate Law, the Subdivided Lands Act (SLA), and the Vacation Ownership and Time-share Act (VOTA); prepares relevant legal documents; advises other CalBRE sections and managers; and provides legal interpretations of relevant laws, statutes, and regulations to CalBRE staff and appropriate outside entities.</i>
4	SUBDIVISIONS <i>The CalBRE Subdivisions Section is responsible for enforcing the Subdivided Lands Act (SLA) for the protection of purchasers of residential units in subdivisions through verification of standards and appropriate disclosures of information to prospective subdivision homebuyers. In addition, the Section is responsible for enforcing the Vacation Ownership and Timeshare Act (VOTA).</i>
5	MORTGAGE LOAN ACTIVITIES <i>The Mortgage Loan Activities (MLA) Section primarily:</i> <ul style="list-style-type: none"><i>(i) Conducts investigations of mortgage loan activities and background investigations of license endorsement applicants.</i><i>(ii) Reviews, tracks, and seeks appropriate remedies for failure to submit, threshold, multi-lender, and Nationwide Multistate Lending System and Registry reports.</i>
6	AUDITS <i>The Audits Section protects consumers through financial compliance audits of real estate licensees (and when necessary, persons who are unlicensed, but who are performing licensed activities), and subdivision and timeshare developments.</i>

7 INFORMATION TECHNOLOGY SERVICES

Information Technology Services (ITS) primarily provides hardware and software solutions to:

- (i) Facilitate CalBRE's operations.*
- (ii) Access, process, track, and secure data.*
- (iii) Maintain and enhance CalBRE's Enterprise Information System (EIS).*
- (iv) Maintain CalBRE's Web presence.*

8 EDUCATION & RESEARCH

The Education & Research Section reviews and approves pre-licensure and continuing education courses offered by private schools. The Education & Section also oversees the Education and Research Fund for the advancement of education and research in the field of real estate, and to be used for the validation of examinations for licensure.

9 CONSUMER RECOVERY ACCOUNT

The Consumer Recovery Account (CRA) Unit is responsible for providing victims of intentional fraud, intentional misrepresentation, and/or conversion of trust funds perpetrated by a CalBRE licensee while engaged in performing licensed acts, with compensation (up to statutory limits) for losses and damages when the legal requirements are met to qualify for payment.

10 ORGANIZATIONAL EFFECTIVENESS

CalBRE's Organizational Effectiveness refers to:

- (i) Meeting mandates and core functions in a manner which maximizes consumer protection;*
- (ii) Innovatively enhancing the quality and timeliness of the work that is performed and delivery of assistance, services, information to CalBRE staff, programs, and stakeholders;*
- (iii) Seeking to continually become a more effective organization. CalBRE will endeavor to be guided by its mission and vision, and to be driven by the Bureau's core values of excellence, professionalism, knowledge, communication, and caring.*

Goal 1: Licensing

The CalBRE Licensing Section manages the issuance and renewal of licenses for Real Estate Brokers and Salespersons after ensuring applicants have satisfied the qualifications for licensure, and issues endorsements to licensees who have satisfied the qualifications as Mortgage Loan Originators.

1.1 Enhance the current eLicensing/Enterprise Information System (EIS) to reduce call volume and wait times, reduce processing times, and provide more efficient service

1. On-line submittal of Officer Renewal, Exam, License Applications, and online tracking of the status of all applications
2. Review, evaluate, and map as-is processes
3. Work with Licensing and ITS staff to implement new processes
4. Train Licensing staff on new processes and enhancements
5. Educate applicants and licensees about new online licensing services

1.2 Enhance the current EIS to provide email notifications to applicants when a license has been issued or renewed or when an examinee can self schedule an exam.

1. Review, evaluate, and map as-is processes
2. Streamline existing process by mapping forecasted to-be processes as a result of email notification enhancements
3. Train Licensing staff on new processes and enhancements
4. Educate applicants and licensees about new online licensing services

1.3 Revise and/or develop (if needed) licensing and examination web pages so that information is easier and more accessible for applicants and licensees to locate in order to reduce call volume.

1. Review and assess current licensing and examination web pages
2. Identify and gather the information that is currently missing on web pages
3. Develop content that is not already available
4. Work with IT team to update and publish web pages
5. Train Licensing staff to direct applicants and licensees to website
6. Educate applicants and licensees about online licensing services

1.4 Secure budgetary authority to increase necessary staffing and resources to meet workload demands.

1. Refer to the steps in Objective 10.1 in order to increase and/or support Licensing staff

1.5 Clarify existing forms to reduce errors caused by inaccurate completion by licensees.

1. Identify problems licensees encounter with current forms
2. Identify if regulatory changes are needed
3. Review, revise, and finalize forms as needed
4. Post new forms to website and prepare for dissemination

1.6 Develop a flexible, cross-trained workforce that efficiently meets Licensing Section workload demands.

1. Standardize duty statements to be consistent to all types of applications and processes
2. Review, revise, and develop standardized training materials for all headquarters and district office staff
3. Implement new training (if needed) and cross training of all staff
4. Encourage staff to volunteer to process other application types

1.7 Evaluate examination facilities over a five-year horizon to determine if the facilities meet forecasted CalBRE needs.

1. Determine who will conduct evaluation
2. Establish criteria to evaluate facilities
3. Apply criteria to all existing sites
4. Determine facility expansion needs (if necessary)
5. Implement findings

Goal 2: Enforcement

The Enforcement Section supports CalBRE's consumer protection effort by conducting investigations, fostering complaint resolution, and educating consumers and real estate stakeholders.

2.1 Promote and improve internal communications and transparency (regarding the status, work, and results of the Enforcement, Complaint Resolution, Complaint Intake Sections, and Cite and Fine Programs) throughout CalBRE offices to foster greater consistency, trust, morale, and teamwork to enable all offices to achieve the same goals.

1. Schedule and hold monthly staff meetings that include enforcement managers to discuss current issues

2.2 Enhance collaboration between the Enforcement, Legal, and Audits Sections to maximize CalBRE's enforcement efforts.

1. Enforcement staff to attend regular staff meetings of the Audits and Legal Sections
2. Periodic communication between Section managers and district office managers
3. Encourage Enforcement and Audit staff to collaborate with lawyers regarding cases
4. Formalize a vertical prosecution model which encompasses teams of an auditor, attorney, and special investigator to obtain legal assistance and auditing involved at the earliest possible point in investigation

2.3 Encourage Enforcement managers to work with Audits and Legal managers to establish and document best practices for decisions that impact evidence gathering, clearance of certain cases, and/or administrative prosecutions.

1. Form a Best Practices Committee to identify and document best practices
2. Identify key individuals responsible for practices to be established and documented
3. Identify and document best practices
4. Obtain approval of newly established and documented best practices
5. Update desk procedure manuals
6. Implement new practices and train staff
7. Review and refine within six months of introduction
8. Review and update annually or as needed

2.4 Formalize the existing complaint and investigation case prioritization/triage methods in order to consistently apply limited enforcement resources and achieve maximum consumer protection.

1. Identify and document criteria to prioritize complaints and investigations
2. Incorporate triage methodology into desk procedure manuals
3. Implement and train staff
4. Review and update annually or as needed

2.5 Conduct a needs assessment among staff and implement training that enhances staff knowledge of real estate, relevant laws, and investigative techniques.

1. Survey staff and management about existing and desired knowledge
2. Determine training needs by identifying a baseline of needed knowledge for investigators, supervisors, managers, and support staff
3. Identify sources of training expertise to develop and provide training content
4. Develop training modules for Legal, Audits, Enforcement knowledge areas
5. Incorporate training module information into desk manuals and other materials (such as the Informal Administrative Interpretations, Legal Opinions, Attorney General Opinions, etc.)
6. Incorporate training modules into existing new employee onboarding program
7. Identify appropriate audience for each module
8. Create a calendar of training sessions
9. Provide trainings and post training materials on the CalBRE Intranet
10. Require staff to reference training materials to ensure consistent application of real estate knowledge, relevant laws, and investigative techniques
11. Periodically review and update the training modules to ensure accuracy

2.6 Expand the frequency, effectiveness, and efficiency of field investigations by 1) increasing staff presence in the field and 2) by identifying tools to better capture field investigation data.

1. Define the components (such as in person, email, phone, etc.) of an effective field investigation and identify the ideal frequency.
2. Identify investigator challenges and hesitations of going out into the field.
3. Address each challenge by identifying a solution with a tool or resource to overcome each investigator objection to going out into the field.
4. Explore tools the investigators can use to capture information electronically while on site/in real time (rather than by memory recall in the office).
5. Identify and provide (if possible) additional tools for field activities and investigations.

2.7 Identify solutions needed to more effectively address compliance issues in order to enhance consumer protection.

- | |
|---|
| 1. Restricted/revoked licensees monitoring |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 2. Unlicensed activities cases |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 3. Broker-controlled escrows |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 4. Matters pertaining to team names |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 5. Independent brokerage practice by salespersons and/or broker associates |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 6. Desist and refrain orders |
| a. Identify and prioritize importance of case types |
| b. Identify solutions and/or tools needed to address compliance issues |
| c. Implement solutions |
| 7. Continue to develop relationships and share information with public service partners (including prosecutorial agencies) to promote the CalBRE mission and prosecute violators of the laws enforced by CalBRE |

Goal 3: Legal

The CalBRE Legal Section administratively prosecutes violations of the Real Estate Law, the Subdivided Lands Act, and the Vacation Ownership and Time-share Act; prepares relevant legal documents; advises other CalBRE sections and managers; and provides legal interpretations of relevant laws, statutes, and regulations to CalBRE staff and appropriate outside entities.

3.1 Develop and implement trainings for Legal, Enforcement, and Audit staffs to enhance case development and achieve greater public protection.

1. Determine training needs – identify baseline for attorneys, auditors and enforcement
2. Identify sources of training expertise
3. Develop training modules for Legal, Audits, and Enforcement
4. Identify audience for each module
5. Create a calendar of training sessions
6. Provide trainings
7. Establish ongoing training needs for existing and new employees
8. Incorporate standards and practices from trainings into Legal, Special Investigator and Audits manuals

3.2 Enhance collaboration between the Legal, Enforcement, and Audits Sections to integrate CalBRE's enforcement efforts.

1. Legal staff to attend regular staff meetings of the Audits and Enforcement Sections
2. Periodic communication between Section managers and district office managers
3. Encourage Enforcement and Audit staff to speak with lawyers regarding case
4. Formalize a vertical prosecution model which encompasses teams consisting of an auditor, attorney, and special investigator to obtain legal assistance and auditing involved at the earliest possible point in investigation

3.3 Determine best practices for evidence gathering, clearance of certain cases, and/or administrative prosecution.

1. Form a Best Practices Committee (consisting of Legal, Audits, and Enforcement Managers)
2. Identify key individuals responsible for practices to be established and documented
3. Identify and document best practices
4. Obtain consensus by attorneys of newly established and documented best practices
5. Update desk procedure manuals
6. Develop framework for Legal Management to work with Audits and Enforcement Managers

3.4 Create a greater support structure between Legal and the Subdivisions Section to improve the subdivision review process.

1. Identify the Subject Matter Experts for subdivisions and timeshares
2. Train lawyers regarding subdivisions and timeshare issues
3. Require lawyers attend meetings with the Subdivisions Section
4. Work with Subdivisions regarding purchase contract issues, including the development of checklists, the proper scope of contract review and authority, and problematic contract provisions
5. Identify training needs for Subdivisions Section from Legal
6. Develop legal training for Subdivisions
7. Seek authority to create staff counsel position devoted to subdivisions section

3.5 Establish greater communication and collaboration between the Sacramento and Los Angeles Legal Sections for consistency in processes and information sharing.

1. Identify inconsistencies between locations
2. Determine and implement best practices for processes and procedures
3. Require compliance with the Legal Support and Counsel Manuals
4. Train new staff from the Legal Support or Counsel Manual
5. Review, discuss, and update the Legal Support Manual and Counsel Manual as needed

3.6 Increase the sharing of subject matter knowledge among lawyers and legal staff to broaden the scope of knowledge and promote diversity of cases among lawyers (where possible) in order to improve efficiency, enhance cross training, and prepare for succession planning.

1. Identify case types in need of multiple Subject Matter Experts (SMEs)
2. Identify SMEs within each case type
3. Identify, collect, and document existing knowledge for past and current cases to better assist with future cases
4. Encourage collaboration among lawyers to enhance knowledge transfer
5. Schedule periodic meetings for lawyers to discuss cases

3.7 Implement prioritization/triage methodology to coordinate with Enforcement Section to develop and implement prioritization/triage in order to reduce case timelines and protect the public.

1. Identify and document criteria to prioritize complaints and investigations
2. Incorporate triage methodology into desk procedure manuals
3. Implement and train staff
4. Review and update annually or as needed

Goal 4: Subdivisions

The CalBRE Subdivisions Section is responsible for enforcing the Subdivided Lands Act (SLA) for the protection of purchasers of residential units in subdivisions through verification of standards and appropriate disclosures of information to prospective subdivision homebuyers. In addition, the Section is responsible for enforcing the Vacation Ownership and Timeshare Act (VOTA).

4.1 Refine and enhance the review process of the Subdivisions Section by discussing, developing, and conducting trainings for Subdivisions staff to improve consumer protection.

1. Determine training needs – identify baseline for Subdivision Section staff
2. Identify sources of training expertise
3. Develop training modules – timeshares, common interest developments, standards, budget review, etc.
4. Develop new resources that include internal FAQs/Duty Call guide
5. Identify audience and training method (i.e., Webinar, one-on-one, etc.) for each module
6. Create a calendar of training sessions
7. Provide trainings
8. Establish ongoing training needs for existing and new employees (on-boarding training)
9. Incorporate standards and practices from trainings into the Subdivisions resources (guides and manuals)

4.2 Enhance collaboration between Legal, Enforcement, Audits and Subdivisions sections to integrate CalBRE's regulatory efforts with the work performed by the Subdivisions Section.

1. Initiate periodic communications and meetings (based on need) between the Subdivisions, Audits, Enforcement, and Legal sections including collaboration on specific case enforcement
2. Designate a Subdivisions employee to provide training to the Legal, Audits, and Enforcement Sections
3. Subdivisions staff to attend regular staff meetings of the Enforcement, Audits, and Legal Sections
4. Encourage periodic communication between Section managers and district office managers

4.3 Establish greater communication and collaboration between Sacramento and Los Angeles Subdivisions Sections for consistency in processes and information sharing.

1. Identify inconsistencies between locations
2. Identify and implement best practices
3. Train all Subdivisions staff on the revised best practices
4. Review, discuss, and update the Subdivisions resources, as needed.
5. Implement video conferencing on a quarterly basis to share information and reduce inconsistencies

4.4 Conduct process mapping in order to manage review and issuance timelines and create more efficiencies.

1. Identify all the processes that need to be mapped
2. Identify the key people who will be able to describe each Subdivisions process
3. Identify the process mapping provider
4. Map the processes
5. Identify the process improvements
6. Test the process maps to verify their accuracy
7. Approve final process maps
8. Institute a periodic review of the process map

4.5 Complete the development and implementation of electronic submission capabilities for Public Report applications to eliminate paper filings and improve overall operational efficiencies.

1. Continue testing and modify, as needed
2. Continue bi-weekly meetings
3. Develop business rules
4. Identify beta testers
5. Approve the final version of the system
6. Train staff on new system
7. Develop a roll-out plan to inform stakeholders

4.6 Review the Public Report to identify areas of improvement to increase ease of review and consumer understanding.

1. Add a consumer-friendly summary of the offering in the Public Report
2. Reformat the Public Report to include bullet points (as opposed to paragraphs), a table of contents, and other consumer-friendly features to improve readability
3. Develop a mock-up of revised Public Report
4. Consult with staff and industry members (i.e., developers, attorneys, representatives, title companies, etc.) for feedback about formatting and layout
5. Make changes based on feedback and finalize report
6. Implement new public report

4.7 Update the Subdivisions' website page to educate consumers about relevant subdivision and timeshare information.

1. Add audio, visual, and printed information on the CalBRE website that walks the consumer through the various disclosure items
2. Include website information that describes the public protection elements achieved by the qualification of the offering under Public Report as it relates to the consumer's transaction
3. Review and update FAQs

4.8 Identify appropriate new employee classifications and staffing levels necessary to meet the future Subdivisions section work load demands.

1. Explore supervisory class possibilities
2. Explore Staff Services Analyst (SSA) class possibilities
3. Conduct a workload analysis
4. Submit Budget Change Proposal(s), as needed

Goal 5: Mortgage Loan Activities

The Mortgage Loan Activities (MLA) Unit primarily:

- Conducts investigations of mortgage loan activities and background investigations of license endorsement applicants.
- Reviews and tracks, and seeks appropriate remedies for failure to submit, threshold, multi-lender, and Nationwide Multistate Lending System and Registry reports.

5.1 Define and document MLA's role within Enforcement.

1. Identify areas of MLA and Enforcement resource/operational overlap
2. Reduce duplicative efforts by identifying, consolidating, and reallocating resources
3. Update enforcement processes to include MLA
4. Educate staff on integration of MLA and Enforcement

5.2 Educate consumers and licensees about mortgage loan endorsement, origination, servicing, and related requirements to reduce common violations.

1. Update website FAQs
2. Identify and document for reporting use the most common violations investigated by MLA Section
3. Explore methods to enable licensees and consumers to more easily find MLA information on the CalBRE website
4. Develop glossary of terms and acronyms
5. Work with DCA Office of Public Affairs and CalBRE licensing to develop a simple, step-by-step video which shows how corporate brokers and individual licensees can obtain mortgage loan endorsements to their underlying licenses
6. Explore methods to educate consumers about who can do mortgage loan activities
7. Review and update existing publications for consumers and licensees
8. Expand outreach efforts to include information about mortgage loan activities

Goal 6: Audits

The Audits Section protects consumers through financial compliance audits of real estate licensees (and when necessary persons who are unlicensed, but who are performing licensed activities), and subdivision and timeshare developments.

6.1 Map the Audits Section processes as deemed necessary in order to better manage audit cases.

1. Identify all the processes that need to be mapped
2. Identify the key people who will be able to describe each Audit process
3. Map the processes
4. Identify the process improvements
5. Test the process maps to verify their accuracy
6. Approve final process maps
7. Institute a periodic review of the process maps

6.2 Regularly enhance and refine risk management assessment metrics in order to help prioritize and prudently apply limited Audits resources.

1. Through discussions with Audit staff, identify new and ongoing financial risks to consumers.
2. Periodically review risk values assigned for these identified financial risks
3. Regular communication with ITS staff to track priority and progress of risk-related service requests
4. Determine focus of Audit activities as part of the Annual Work Plan processes for Northern California and Southern California Audit regions

6.3 Establish greater communication and collaboration between the Audits, Enforcement, and Legal Sections for greater coordination in carrying out CalBRE's enforcement efforts.

1. Audits staff to attend regular staff meetings of the Legal and Enforcement Sections
2. Periodic communication between Section managers and district office managers
3. Encourage Audit staff to speak with lawyers and Enforcement Section regarding cases
4. Formalize a vertical prosecution model which encompasses teams consisting of an auditor, attorney, and special investigator to obtain legal assistance and auditing involved at the earliest possible point in investigation

6.4 Continue to promote the changing of the current auditor classification to improve recruitment efforts and increase staff retention.

1. Explore classification possibilities to retain and attract the most capable auditors
2. Conduct a workload analysis
3. Submit Budget Change Proposal(s) and/or other documentation, as needed

6.5 Develop tools and materials for public and licensee education to reduce common violations.

1. Identify most common violations
2. Create a list of the most common Audit violations for dissemination
3. Annual review of the audit-related tools, and the most common audit violations, to verify that they are up-to-date
4. Explore and implement other means by which to communicate with and educate licensees

6.6 Obtain additional Audits staff in order to increase CalBRE's capacity to perform more audits.

1. Refer to steps in Objective 10.1 in order to increase and/or support Audit staff

6.7 Expand Audits program to include restricted licensee monitoring to gain greater licensee compliance with the law and enhance consumer protection.

1. Request that IT build a report to assist in identifying restricted licensees
2. Identify restricted real estate brokers who engage in trust fund handling
3. Identify restricted sales people who were previously brokers who engaged or engage in trust fund handling
4. Collaborate with Enforcement to identify unlicensed persons who are engaged in real estate licensed activities which require trust fund accounts
5. Establish auditing procedures to monitor restricted licensees compliance

Goal 7: Information Technology Services

Information Technology Services (ITS) primarily provides hardware and software solutions to:

- (i) Facilitate CalBRE's operations.
- (ii) Access, process, track, and secure data.
- (iii) Maintain and enhance CalBRE's Enterprise Information System (EIS).
- (iv) Maintain CalBRE's Web presence.

7.1 Review and revise (where necessary) the ITS service request/Help Desk approval process.

1. Annually review and examine pending service requests by program area to prioritize and determine whether the service requests are still necessary and/or should be modified or cancelled
2. Identify the improvements to streamline process
3. Implement streamlined service request process
4. Educate CalBRE staff on new ITS service request and approval process

7.2 Prioritize information technology projects to maximize efficient use of resources.

1. Develop a list of current and upcoming projects and provide periodic reports to Executive Team
2. Schedule periodic collaborative meetings with Executive Team, program leads, and/or appropriate ITS staff to discuss and prioritize ITS tasks as needed.

7.3 Evaluate additional staffing needs for ITS to improve ITS service request implementations and processing timelines.

1. Refer to the steps in Objective 10.1 in order to increase and/or support ITS staff

Goal 8: Education & Research

The Education & Research Section reviews and approves pre-licensure and continuing education courses offered by private schools. The Education & Research Section also oversees the Education and Research Fund for the advancement of education and research in the field of real estate, and to be used for the validation of examinations for licensure.

8.1 Develop an online system for course providers to 1) inform CalBRE of licensees' completed Continuing Education 2) to enable licensees to know what courses have been completed and 3) to facilitate increased validation of Continuing Education by CalBRE.

1. Review existing regulations to determine if a regulatory change is necessary prior to implementing this objective
 - a. If necessary, complete regulatory changes to require course providers to report licensee completion of CE courses to CalBRE
2. Collaborate with ITS to identify online and EIS enhancements

8.2 Increase the frequency of CalBRE auditing of education compliance by applicants, licensees, and approved course providers to protect consumers.

1. Review and update the process of monitoring Continuing Education course providers
2. Review and update the process of monitoring CalBRE approved statutory education course providers
3. Collaborate with ITS to identify necessary enhancements

8.3 Enhance collaboration between the Education, Enforcement, and Legal Sections in order to have better outcomes on education cases.

1. Develop a training program in conjunction with Enforcement, Legal, and Education staff on how to investigate/adjudicate education cases
2. Encourage regular communication between the Education, Enforcement, and Legal Sections
3. Encourage Education staff to collaborate with lawyers regarding education cases

8.4 Develop a training program in conjunction with Enforcement, Legal, and Education staff on how to investigate/adjudicate education cases.

1. Determine training needs – identify baseline for attorneys, enforcement, and education staff
2. Identify sources of training expertise
3. Develop training modules for Enforcement, Legal, and Education Sections
4. Identify audience for each module
5. Create a calendar of training sessions
6. Provide trainings
7. Establish ongoing training needs for existing and new employees
8. Incorporate standards and practices from trainings into Legal, Enforcement, and Education manuals

8.5 Evaluate and document the impact on Education Section staffing for upcoming research projects through 2019.

1. Refer to steps in Objective 10.1 in order to increase and/or support Education and Research staff

Goal 9: Consumer Recovery Account

The Consumer Recovery Account (CRA) Unit is responsible for providing victims of intentional fraud, intentional misrepresentation, and/or conversion of trust funds perpetrated by a CalBRE licensee while engaged in performing licensed acts, with compensation (up to statutory limits) for losses and damages when the legal requirements are met to qualify for payment.

9.1 Continue to promote awareness of the Consumer Recovery Account (CRA) fund, the reasons why it is a fund of last resort, and educate the public about the statutory requirements for successful payment from the fund.

1. Identify the most common types of real estate activities for which claims are paid
2. Identify methods and audiences to communicate about the fund (increase visibility on website)
3. Determine frequency of information distribution
4. Develop talking points for the communication regarding the consumer recovery account
5. Continue to inform CalBRE staff and the public about the consumer recovery account
6. Develop CRA FAQs and a fact sheet on the most common types of CRA violations

Goal 10: Organizational Effectiveness

CalBRE's Organizational Effectiveness refers to:

- (i) Meeting mandates and core functions in a manner which maximizes consumer protection;
- (ii) Innovatively enhancing the quality and timeliness of the work that is performed and delivery of assistance, services, and information to CalBRE staff, programs, and stakeholders;
- (iii) Seeking to continually become a more effective organization. CalBRE will endeavor to be guided by its mission and vision, and to be driven by the Bureau's core values of excellence, professionalism, knowledge, communication, and caring.

10.1 Annually monitor CalBRE staffing levels to determine if they are sufficient to manage the existing and forecasted workload.

1. Identify trends and conduct an assessment/workload analysis to determine necessary staffing levels to achieve mandates and proactive consumer protection
2. Prioritize the results of the assessment/workload analysis
3. Develop a plan(s) to supplement current staffing based on prioritization (cross-training, overtime, BCP, redirecting resources)

10.2 Develop procedures and process to help ensure successful succession planning.

1. Identify Subject Matter Experts (SMEs)
2. Direct SME staff to update and/or draft desk procedures for their individual job responsibilities.
3. Develop methods for transferring SME knowledge to staff.

10.3 Educate staff about CalBRE functions and provide regular communication regarding CalBRE operations.

1. Determine the frequency of disseminating information relevant to CalBRE staff
2. Identify methods to provide education and information that helps staff understand each Section's function and contributions to CalBRE
3. Disseminate to all CalBRE staff the relevant informational slides from CalBRE's periodic public forums
4. Develop periodic statewide Executive Team Brown Bag meetings to be attended by CalBRE staff
5. Encourage Section managers to provide education that helps staff in other Sections to understand each Section's contribution to CalBRE

10.4 Provide learning opportunities to understand the scope of the Real Estate Law, Subdivided Lands Act, and the Timeshare Act so that relevant employees will have consistent baseline knowledge.

1. Identify internal training providers
2. Consider industry experts to provide trainings on actual practice in the field
3. Discussion with industry experts regarding applicable ethics codes and real estate practices in the field
4. Inform appropriate employees on what resources are available to consumers with regards to non-jurisdictional complaints
5. Inform appropriate employees on how to develop a case file that can be utilized by the Legal Section to better prosecute a case
6. Explore other avenues to disseminate information
7. Provide education and information that helps staff understand each Section's function and contributions to CalBRE

10.5 Inventory, revise, and update procedure manuals, as needed.

1. Inventory existing manuals and identify areas that need a manual
2. Identify all the manuals that need to be developed and/or revised
3. Identify the key people with the appropriate sections who will be able to describe each manual
4. Identify the procedures manual revision provider
5. Identify the revisions needed
6. Test the manuals to verify their accuracy
7. Approve final manuals
8. Institute a periodic review of the manuals

10.6 Promote CalBRE values, mission, and vision to develop a culture that encourages those principles.

10.7 Continue public outreach to inform stakeholders about pertinent information as well as CalBRE's roles, functions, and responsibilities.

10.8 Identify and initiate (where appropriate) the mapping of CalBRE processes to identify opportunities to improve operational effectiveness and efficiencies.

1. Identify all the processes that have been and/or need to be mapped.
2. Identify the key people with the appropriate unit(s) who will be able to describe each process.
3. Identify the process improvements.
4. Review the process maps to verify their accuracy.
5. Approve final process maps.
6. Institute a periodic review of the process maps.



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This strategic plan is based on stakeholder information and discussions facilitated by SOLID for the California Bureau of Real Estate.