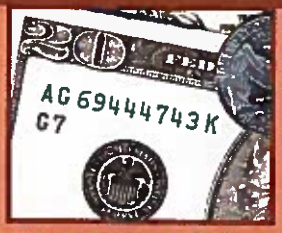
PUBLIC PROTECTION CABINET
Strategic Plan Progress Report
Aug. 31, 2014



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Acting Secretary

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Cabinet Goal #1: Enhance the integrity, operation, and administration of regulatory programs and policies that are in the best interest of the general public.

Objective 1.1: Ensure the safety, soundness, and compliance of our regulated communities.

Tactic 1.1.1: Develop a plan to implement legislation to effectively regulate the businesses, industries, and licensees under our Cabinet's jurisdiction.

- The Public Protection Cabinet sets our legislative priorities and efforts to effectively regulate the businesses, industries, and licensees under our Cabinet's jurisdiction and support statutes and regulations that ensure consumer protection and safety. For example:
    - On January 10, 2013, The Governor's Task Force on the Study of Kentucky's Alcoholic Beverage Control Laws issued their final report. As a result of their findings, in the 2013 legislative session, the Department sponsored and passed SB 13 resulting in the first major overhaul in alcohol legislation in 37 years. The trend continued with the 2014 legislative session. The Department sponsored and passed SB 83 along with five (5) additional legislative items. The Department has also been successful in the passing, promulgation and approval of numerous administrative regulations during the 2014 legislative session.

Tactic 1.1.2: Improve the effectiveness of service delivery through increased use of electronic functions.

- The Cabinet continuously evaluates the effectiveness of service delivery through increased use of electronic functions Cabinet Wide. For example, the Department of Alcoholic Beverage Control has implemented online license renewals, expanded license lookups and introduced electronic fillable forms. On August 8, 2014, the Department will go live with electronic brand registration. Although the online brand registration product has been developed in collaboration with industry, a training session with industry representatives will be conducted on August 7, 2014 to ensure the transition to the online system is as seamless as possible.

Tactic 1.1.3: Develop and maintain positive professional relationships with individuals within our regulated communities to ensure that we are receiving the necessary feedback to implement responsible policy.

- The Cabinet, and our agencies, develop and maintain positive professional relationships with individuals within our regulated communities to ensure that we are receiving the necessary feedback to implement responsible policy. For example:

- In February 2014, the DOI hosted 8 training sessions with insurers (one session per insurer) offering ACA compliant policies to discuss filing requirements and deadlines for 2015 plans.

- From October 2013 through May 2014, DOI staff with the Medicaid Prompt Payment Compliance Branch attended 24 training sessions with providers to discuss the Medicaid complaint process within DOI.

- In 2013, the Department of Alcoholic Beverage Control conducted training seminars with Industry, Kentucky League of Cities ("KLC") and Kentucky Association of Counties ("KACo") regarding SB 13 implementation. Informational fact sheets were prepared and distributed to local ABC administrators and industry representatives. The Department has conducted over 20 forums with industry groups regarding legislative measures and initiatives. The forums also provided a platform for these entities to seek clarification or ask questions specific to the ABC.

- DFI has provided outreach to the banking industry through three Town Hall forums in Bardstown, Morehead and Pennyrile for community bankers. In addition, DFI has participated in two teacher conferences with over 1,000 in attendance, and a Senior Scam Jam Event in Maysville. Additional Senior Scam Jams will be held during 2014.

- Department of Housing, Buildings and Construction (DHBC) hosts monthly and quarterly meetings for the Department's nine (9) Committees and Boards, which designated Department staff attend. The DHBC staff also attends and participates in their respective trade associations to gain feedback and build ongoing partnerships.

- The Department of Housing, Buildings and Construction's Administration team and Division staff continue to collaborate with the Kentucky Community and Technical College Systems (KCTCS) Campuses located across the state to ensure that industry related courses are being offered throughout the year as continuing education courses. Division Staff works with KCTCS and other education entities to provide a more thorough understanding of the five divisions' current regulations and code.

- The Department of Housing, Buildings and Construction's Administration team and Division of HVAC collaborate with the Office of Career and Technical Education in the development of High School Area Technology Centers as well as programs such as "Skills USA" and "K4C" which promote the trades with students.

- Occupations and Professions: Each board meets anywhere from twice per year to monthly. In preparation for, during, and following up to the meetings our Board Administrators and team of additional staff continue to strive to build professional relationships. Overall Board Administrators and Fiscal have great working relationships with Board Members, as well as licensees, and the public.

- The Department of Charitable Gaming serves not only as the regulator of charitable gaming, but also as a resource of information for charities and the charitable gaming industry. The department solicits input from charities and from the Charitable Gaming Advisory Commission, who meets quarterly to review matters affecting charitable gaming in Kentucky.

Objective 1.2: Enhance Paperwork Reduction Efforts Cabinet Wide

Tactic 1.2.1: Implementation of technology systems to decrease paperwork to improve efficiency and better accountability.

- Research and implementation of technology systems to streamline the paperwork process to improve efficiency and better accountability has begun within the Cabinet. For example:

  - The DOI's scanning project is approximately 70% complete. Additionally, all incoming mail is being scanned. Completed projects include: Individuals and Business Entities Files, Agent Licensing, Certificate of Authorities, Annual Statements, Charters and Directory Files, Orders, Advisories, Bulletins, Notices and Subpoenas, Mine Subsidence Quarterly Reports, & the Beverly Hills Supper Club files.

  - The Department of Alcoholic Beverage Control has implemented online license renewals, electronic fillable forms and online brand registration in an effort to become more efficient. 100% of all active licensing files have been scanned into STAR.

  - DFI scans 95% of the department's reports, responses and correspondence into our internal database, Financial Institutions Data Online (FIDO). FIDO is now being used by three of the Department's divisions. Legal files are currently maintained in paper form.

  - DHBC's five divisions have implemented the Jurisdiction Online Program to scan and store documents related to license renewals, code enforcement cases, and plan review approval/disapproval letters for the dual purpose of division wide access and reduction of paperwork storage. DHBC's five divisions licensed 38,376 people, completed 54,600 permits, and issued 19,734 certifications for FY13.

Tactic1.2.2: Continue to develop and expand the Department of Alcohol Beverage Control STAR System and the Department of Housing, Building, & Construction's Jurisdiction Online System.

- The Department of Alcoholic Beverage Control implemented online license renewals in October 2013. Since that time over 40% of licensees utilize the online renewal option.

Tactic 1.2.3: Enhancements to Occupations and Profession information technologies to ensure efficiency and accountability.

- The Office of Occupations and Professions (O&P) implemented a new On-Line License Renewal & Verification and Back Office System on August 1, 2014. The Back Office system provides O&P staff with a more productive interface to enter and retrieve licensee information and payments. This system provides the public and license verification entities with the ability to search all boards administered by the Office of Occupations and Professions to determine whether a person's license is active, under which board the license was entered, the date the license was issued, the expiration date, and whether there is any disciplinary action on file for the license. The On-Line License Renewal System will be implemented for all boards administered by the Office of Occupations and Professions by the end of August 2014, but it is too early to see quantitative results.

Objective 1.3: Enhance and ensure appropriate information sharing opportunities between governmental entities.

- The Cabinet continually assesses appropriate information sharing opportunities between governmental entities. For example:
    - Through a Memorandum of Understanding with CHFS, the DOI is approving rates, form, provider networks and binder templates (spreadsheets that populate kynect's shop and compare tool) through an automated system called SERFF. Additionally, information regarding licensed health insurance agents is sent to CHFS nightly in order to populate the agent search feature on kynect's website.
    - On every application processed and every enforcement citation issued at ABC, a Secretary of State check and Department of Revenue status check is performed to ensure compliance via back end services.
    - The Department of Housing, Buildings and Construction partners with various state agencies and local governments. DHBC works with the Economic Development Cabinet to streamline requirements for new businesses and renovations of commercial properties in Kentucky. DHBC's Building Code Enforcement Division and HVAC division coordinate with local governments to update and renew formal agreements with local jurisdictions concerning permitting and inspections. DHBC also coordinates certified electrical inspectors and assists in developing local permitting programs. The Division of Water partners with DHBC's Division of Plumbing to complete backflow inspections.

Objective 1.4: Identify and aggressively seek grant opportunities from all possible sources that are in alignment with agency strategic plans.

- PPC Agencies aggressively seek grant opportunities from

all possible sources that are in alignment with agency strategic plans. For example:

- The DOI has applied for a Cycle III Rate Review Grant. The agency is currently waiting for the award notice.

- The Kentucky Department of Alcoholic Beverage Control was first awarded a FDA contract to enforce the provisions of the Tobacco Control Act in 2011. The initial contract began in June 2011 and ended in June 2014 and the total contract value was $1,292,705.37. This is a cost reimbursement contract. The new contract began June 30, 2014. There will be a base year and two option years. This is also a cost reimbursement contract. The total contract value is $2,124,059.47.

- The Department Alcoholic Beverage Control receives a $25,000.00 grant from EUDL (Enforcing Underage Drinking Law) to be used in the prevention of underage drinking and also receives $50,000 for the Synar Survey.

- DHBC's Fire Prevention Division was awarded an Interoperable Emergency Communications Grant to purchase radios for vehicles.

Objective 1.5: Maximize Efficiencies by the Cross Training of employees in appropriate areas and workgroups.

- Cabinet Wide, our agencies strive to maximize efficiencies by the Cross Training of employees in appropriate areas and workgroups. For example:

  - All ABC staff members within the Licensing Division of the Department of Alcoholic Beverage Control have been cross trained. Newly employed executive staff members are given an internal orientation to provide a working knowledge of each division/branch function and responsibility.

  - Plumbing compliance inspectors worked electrical compliance cases until the new Electrical Division could hire staff. DHBC estimates that 90 percent of support staff are cross trained.

Cabinet Goal # 2: Develop the highest quality service to our regulatory community and the public at large.

Objective 2.1: Improve Customers' access to information about the responsibilities and services of our Cabinet.

- The program/project has begun. For example, the DOI and DFI have ongoing updates through Bulletins, Advisory Opinions and through Internet as well as with daily communications. Current building codes are on the DHBC Internet site as well as notices about pending amendments and/or new regulations. Agency provides quarterly updates on regulatory and statutory changes to the Board of Housing, Buildings and Construction, which meets four (4) times a year. The board consists of twenty-one (21) members who represent members of

professional associations, respective Trade representatives and citizens and partners. Agency continues to provide regular legislative and administrative regulation updates to the other eight (8) Committees and Boards of Jurisdiction.

Tactic 2.1.1: Update web sites and utilize email to notify stakeholders of changes to statutes, regulations, procedures and policies.

- The Office of Communications and Public Outreach on an ongoing basis works with each agency to update and streamline the Public Protection Cabinet website. Originally launched in October 2011, the website delivers a consistent style throughout and provides the public with ease of accessibility to information that is relevant and timely.

- Agencies, such as the Department of Alcoholic Beverage Control, in 2014 have made great strides in making their website a beneficial resource to the public through implementation of the FAQ's, electronic fillable forms and other online enhancements. Many departments also utilize social media as a means to notify the public of issues and topics pertinent to them. The DHBC has established a position in the IT Section to update and maintain its Internet and Intranet pages.

Tactic 2.1.2: Enhance public protection and consumer education by developing public relation programs to inform the general public, our regulated industries/entities and other governmental agencies to increase awareness of our responsibilities and services.

- PPC efforts to enhance public protection and consumer education by developing public relation programs has begun and is ongoing. For example:

    - DOI has issued or made available three new publications based on commonly asked questions and emerging issues:
        - A consumer alert on ride-sharing (for example, Uber and Lyft);
        - A publication for providers on the Medicaid prompt payment complaint process; and
        - A publication providing information for those newly insured under ACA.

    - The DOI has also launched a Facebook page to provide helpful information on hot topics such as insurance coverage for sinkholes.

    - DFI has provided outreach to the public in a total of 58 events, reaching over 2,500 individuals. There have been 36 presentations in schools, reaching 1,094 students and 17 events hosted for senior citizens reaching 665 senior citizens in Kentucky. Outreach efforts will continue through the remainder of 2014.

    - The Department of Charitable Gaming has focused on providing the necessary training to its licensed charitable organizations in order to assist them in maximizing their fundraising efforts as well as improving their oversight and management of their gaming sessions. Since January

2013, the department has conducted 66 training sessions and had approximately 840 individuals attend those training sessions.

- The BCCV has begun periodic review, and revision as necessary, to the Board of Claims and Crime Victims Compensation Board public relations materials and agency web site.

Objective 2.2: Provide timely, consistent and accurate responses to customers.

Tactic 2.2.1: Provide IT Services that allows agencies employees access to centralized agency information.

- The program/project has begun and is ongoing. For example:
  - In an effort to increase accountability and ensure consistency in response, enhancements to ABC's open records request policy have been implemented in which, open records request and constituency service replies are recorded and tracked on a shared drive. Frequently asked questions have been gathered from each division and branch. The information collected has been centralized, thereby, providing a knowledge based system for employees to access as needed.
  - The Department of Alcoholic Beverage Control also implemented a digital complaint tracking system allowing investigators real time access to complaints in their area while in the field.
  - The implementation of the Jurisdiction Online Program in all five divisions of the Department of Housing, Buildings, and Construction creates an alignment of all field and support staff to share files, applications, reviews, and inspections of projects. IT staff has provided 30 different trainings in the area of technology to field and support staff for FY 13.

Tactic 2.2.2: Institute any necessary changes to allow the timely reporting of quantitative data and reports.

- Tactic has been accomplished to date. For example:
  - DOI issues several statutorily required reports, within the statutory timeframe, including:
  - Early Warning Analyst Report
  - External Review Report
  - Mental Health Parity Report
  - Prompt Payment of Claims Report
  - Report on Workers' Compensation Self-Insured Funds
  - Long-Term Care Partnership Report
- The Jurisdiction Online Program that DHBC utilizes allows instant reporting.

- The Department of Alcoholic Beverage Control has publicly available reports of licensing activity available online.

Tactic 2.2.3: Enhance procedures for accepting, processing, and resolving complaints.

- The program/project has begun and is ongoing. Cabinet-wide, agencies have developed and maintained procedures for handling complaints. For example:
    - The Department of Alcoholic Beverage Control's internal open records policy has been updated to now require an acknowledgement within 24 hours to complainants and constituents.
    - DFI receives approximately 100 or more customer complaints or inquiries per year. We process each compliant as timely as possible. The performance plan for all employees that have contact with the public establishes a twenty-four hour call back requirement. While the agency cannot resolve the consumer's concerns in twenty-four hours, there is acknowledgement of the complaint and begin working to resolve the situation.
    - The DHBC has twenty-four hour turnaround time for completion of inquiries. There have been 323 constituent inquiries for FY 13.

Tactic 2.2.4: Establish a standard response time on licensure applications and agency processes.

- The program/project has begun and is ongoing. Cabinet-wide, agencies have developed and maintained procedures for accepting, processing applications, complaints, and other agency processes. For example:
    - The Department of Alcoholic Beverage Control licensing division has updated the policy and procedure manual. An average timeframe in which an application can be expected to be fully processed is 45-60 days providing the application contains no errors outside of the Department's control.
    - The Division of Plumbing currently has a turn around on processing license renewal at two days, applications for examination at three days, and plumbing plan reviews are at 14 days. Division Management actively reviews the backlog and brings staff in from the field when available to assist with plan reviews. The Division of HVAC has a turnaround time on processing new applications within five days and license renewals in one day. The newly established Electrical Division has implemented a tracking system for managing complaints. The agency also established a portal for public to access plan review status. The agency also established a portal for public to access plan review status.

Cabinet Goal #3: Hire, train, and retain a knowledgeable, diverse, and effective workforce.

Objective 3.1: Provide programs to routinely update employees on agency issues.

Tactic 3.1.1: Increase informational sessions to educate/train employees.

- General Administration and Program Support for Shared Services (GAPS) provide quarterly Human Resource Liaisons Meetings in which each HR contact from the various agencies are required to attend. HR Contacts are informed of pertinent issues that affect cabinet employees (e.g. retirement updates, evaluations) and are asked to disseminate the information to their management and employees within their agencies.

- Departments are also providing programs to routinely update employees on agency issues on a frequent basis. For example, the Department of Alcoholic Beverage Control holds agency wide on a quarterly basis. As circumstance dictates, agency wide meetings are held to inform employees of issues pertinent to them. Over the last fifteen (15) months, the Department of Alcoholic Beverage Control has conducted three (3) agency wide meetings.

Objective 3.2: Establish hiring and retention strategies to encourage and produce a more diverse work force.

- The program/project has begun and is ongoing. For example, GAPS review all turnovers in quarterly turnover reports looking for trends among agencies.

Tactic 3.2.1: Measure employee turnover and solicit feedback from employees regarding hiring and retention practices.

- The program/project has begun and is ongoing. GAPS reviews exit interviews to identify any potential trends or concerns warranting further examination.

Objective 3.3: Empower a skilled, healthy and diverse work force.

Tactic 3.3.1: Actively promote and encourage employees to apply for The Governor's Minority Management Trainee Program.

- One cabinet employee graduated from the Governor's Minority Management Trainee Program this year. All cabinet employees have historically received notification regarding the nomination process and application deadline once the enrollment period is announced. In addition, PPC will be requesting the GMMTP Program Coordinator to speak about the program to upper management at a cabinet executive staff meeting.

Tactic 3.3.2: Encourage employees to participate in personal development programs and training opportunities.

- In 2014, cabinet employees have attended 407 professional development program or training events. The following number of employees completed the identified training:

- 53 Workplace Violence Prevention;
- 45 Diversity, Anti-Discrimination and Anti-Harassment;
- 10 Performance Matters;
- 8 Managing Millenials in the Workplace;
- 47 Executive Branch Ethics Training;
- 36 Computer Training;
- 13 Evaluation Consistency Training;
- 10 Employee Discipline and Documentation;
- 15 eMARS;
- 16 Cabinet Supervisor Training;
- 7 EEO and Title VI Training;
- 79 Governmental Service Center Training (Professional Development);
- 66 Various training opportunities.

Objective 3.4: Identify and provide opportunities for continuous learning that strengthens the quality of the workforce.

Tactic 3.4.1: Expand and enhance the formal, required and structured education and training programs developed and delivered by GAPS.

- GAPS continues to provide Cabinet Supervisor Training, Evaluation Consistency Training, Workplace Violence Prevention, Anti-Harassment, Anti-Discrimination and Diversity Training, New Employee Orientation, Title VI Training, Equal Employment Opportunity Training on a regular basis. Upon request, the following trainings are also provided: Performance Improvement Plan, Complaints, Grievance and Appeals, Family Medical Leave and Customer Service.

Tactic 3.4.2: Cabinet-wide training on active violence plans.

- The program/project has begun and is ongoing. For example:
  - 118 DOI employees have completed training on active violence plans. DOI uses the booklet and the video that was provided by the cabinet and it is on our intranet; as is all other training/policies. The initial dates for this training were 8/23 and 8/27. Training is now included in our DOI New employee orientation.
  - The Department of Alcoholic Beverage Control has updated their emergency preparedness manual. New equipment to ensure compliance with protocol set forth in the emergency preparedness manual has been acquired. The Department has planned routine drills as required by the emergency preparedness plan

- All DFI employees were asked to sign a policy from our Employee Policies and Procedures Manual during May 2014 evaluation time. DFI senior managers completed a FEMA online training course regarding violence in the workplace in late summer 2013, and developed a plan for mitigating the possibility of workplace violence. Employees are encouraged (but not required) to also complete this course. In the last two years (2013 and 2014), 21 employees have taken the GSC course Workplace Violence Prevention. One employee took the GSC course Workplace Violence Prevention for Supervisors in 2013.

Tactic 3.4.3: Continue management and supervisory training program.

- The program/project has begun and is ongoing. Currently, the cabinet has 19 employees participating in the Certificate of Supervisory Essentials (CSE) program administered by the Governmental Services Center (GSC). Employees have two years to complete the program which consists of 11 classes and a written assessment.

Tactic 3.4.4: Work with Cabinet agencies to identify specific job skills and training that can further improve the work force.

- GAPS meet quarterly with Agency Training Liaisons to discuss upcoming training opportunities and needs. Based upon agency needs and current trends, training initiatives are implemented, along with coordinating shared resources. This at time includes individual customization of training plans for particular employees or situations.

Tactic 3.4.5: Encourage external training and educational opportunities for professional and technical staff.

- In 2014, six (6) employees have received educational assistance, along with seven (7) employees in 2013. Information regarding the educational assistance program is provided to all new employees during New Employee Orientation, along with the policy and all forms being posted on the intranet.

- Numerous training opportunities in and outside of KY State Government have been completed by cabinet employees. Specific utilized training opportunities are listed in tactic 3.2.2.

Tactic 3.4.6: Require accurate and thorough employee evaluations.

- All new evaluators in the PPC are required to attend Evaluation Consistency Training (provided by GAPS) and Performance Matters (provided by the Personnel Cabinet). All evaluators were required in 2013 to complete "Performance Management Supervisor Evaluation Training On-line," provided by the Personnel Cabinet. In addition, all evaluators and merit employees were required in 2013 to complete "Employee Performance Evaluation Orientation," provided by the Personnel Cabinet. GAPS continues to monitor cabinet employee's compliance with all evaluation training requirements.

Objective 3.5: Research and implement innovative ways to supplement the workforce.

Tactic 3.5.1: Encourage Employee sharing.

- The program/project has begun, but it is too early to see quantitative results Cabinet-wide. PPC agencies have utilized and produced efficiencies by employee sharing. For example, a Department of Alcoholic Beverage Control Administrator has conducted hearing officer work for the Department of Charitable Gaming. ABC also shares their Information Systems manager with the Kentucky Horse Racing Commission to oversee and architect their developer's activity.

Tactic 3.5.2: Employee cross-training in areas where appropriate for efficiency and mobility.

- The program/project has begun and is ongoing. For example, All divisions within DOI have a cross-training program in place to ensure that, at a minimum, two employees (a lead employee and a back-up) are capable of completing any job responsibility within DOI.

Tactic 3.5.3: Use of interim employees, retirees, and resource pooling.

- The program/project has begun. For example, the Department of Alcoholic Beverage Control has utilized three (3) temporary employees in 2013-2014.

Objective 3.6: Retain quality employees.

Tactic 3.6.1: Allow flexible starting times, core business hours and flexible ending times.

- Tactic has been accomplished to date. Flex schedules are approved at the agency level. For example, DFI allows staff to work flexible hours and flexible schedules. For instance, the field examiners work compressed (4-10 hour day) schedules to reduce the number of nights they are away from home.

Tactic 3.6.2: Provide opportunities for employees to cross-training within the Cabinet and for career development and training outside of the Cabinet.

- The project/program has begun and is ongoing. Employees are forwarded a list of state government professional development opportunities on a regular basis.

- A DFI Examiner III, for example, has served as a state representative member of the Federal Financial Institutions Examination Council (FFIEC) Cyber security & Critical Infrastructure working group in Washington, D.C. This collaboration between state and federal examiners involves the creation of cyber security and resilience guidance, examination processes, and examiner training protocol to be used nationwide by all financial institution regulators (state and federal).

Tactic 3.6.3: Track turn-over rates by agency and analyze information to further develop retention strategies.

- Absent internal financial incentives, there will be a certain level of turnover from employees seeking advance in salary. The cabinet encourages promoting internal candidates where possible and appropriate.

Tactic 3.6.4: Develop exit interviews and train HR staff to conduct the interview with all employees who resign or transfer. Utilize information obtained to develop strategies to improve retention rates.

- Currently management conducts exit interviews using form developed by the Personnel Cabinet. Completed forms are placed in employee's personnel file in GAPS.

Tactic 3.6.5: Value employee knowledge by developing new employee mentoring programs.

Tactic 3.6.6: Encourage employees to further their formal education through Employee Educational Assistance.

- As detailed in tactic 3.4.5, educational assistance was provided to thirteen (13) cabinet employees during 2013-2014. Information regarding the educational assistance program is provided to all new employees during New Employee Orientation, along with the policy and all forms being posted on the intranet.

- Efforts occur at the agency level as well. For example, DFI has hired a Training Coordinator to track and coordinate employee training. The Training Coordinator has created a new "Training @ DFI" page on the staff Intranet for all employees, and the two program forms and details are highlighted on the page. The Training Coordinator plans to email soon a reminder notice to all employees about the availability of these programs.

Tactic 3.6.7: Develop ways to recognize employees who contribute to increased productivity.

Objective 3.7: Provide Harassment Free Workplace.

Tactic 3.7.1: Train management and agency Human Resource Liaisons to recognize potential issues and contact GAPS immediately.

- GAPS, specifically the Division of Human Resources Management (DHRM), received a total of five (5) harassment complaints during fiscal year 2014, with one of the complaints also being filed with the Equal Employment Opportunity Commission (EEOC). In addition, DHRM is aware of two (2) complaints being filed directly with the EEOC.

- All agency Equal Employment Opportunity (EEO) contacts (which are also generally our agency HR contacts) are required to attend an annual EEO training provided by GAPS. Various forms of harassment and related reporting are discussed.

- Management receives anti-harassment training during GAPS provided Cabinet Supervisor Training and Anti-Harassment, Anti-Discrimination and Diversity Training.

Tactic 3.7.1: Review all harassment related policies and update if appropriate.

- The cabinet Sexual Harassment Policy was updated in 2013 and sent to all cabinet employees. Employees were required to sign and submit a policy acknowledgement form to GAPS. Signed acknowledgements were filed in employee's files. The revised policy was posted on the intranet.

Cabinet Goal #4: Support Kentucky's economic growth and development through responsive, responsible, and reasonable enforcement and administration of regulatory laws.

Objective 4.1: Elevate Kentucky's national presence by nurturing dynamic regulatory programs which are innovative and efficient.

Tactic 4.1.1: Through the Department of Alcoholic Beverage Control, focus on reducing youth access and use of alcohol and tobacco products.

- The Enforcement Division of the Department of Alcoholic Beverage Control utilizes programs such as Operation Zero Tolerance (OZT), Cops in Shops and Targeted Enforcement Details (TEDs) to combat youth access and use of alcohol and tobacco products in Kentucky. Since January 1, 2014, ABC investigators have completed Cops in Shops details at seven (7) locations resulting in thirty (30) citations issued. The division has conducted twenty-seven (27) TED events resulting in 464 citations. Of those citations issued, 245 were for minor in possession of alcoholic beverage. For the calendar year 2014, the Enforcement Division has conducted 760 OZT checks resulting in 56 alcohol purchases for a compliance rate of 93%.

- To further combat youth access and use of tobacco, Kentucky is one of several states across the country that has been awarded a FDA contract to enforce the provisions of the Tobacco Control Act. Since 2011, ABC investigators have conducted undercover buys, as well as tobacco advertising and labeling inspections each month in accordance with the FDA Tobacco Compliance Check contract. To-date, ABC investigators have conducted over 7,400 inspections and issued 113 Warning Letters. Three non-compliant retailers have been issued civil monetary penalties. Kentucky has a 98% compliance rate on FDA inspections.

- Another part of the tobacco prevention initiative is the Federal Synar Survey. This survey assesses retailer compliance regarding the sale of tobacco products. The goal of the survey is to maintain a high rate of compliance through education

and prevention efforts and the data collected during the survey shows the success of those ongoing efforts. The Synar survey is part of the Substance Abuse Prevention and Treatment Block Grant. If compliance rates fall below 80%, the funds can be decreased by up to 40%. The grant gives support to public health initiatives, prevention measures and educational programs for substance abuse. The Synar compliance checks are conducted during the summer when youth are not in school. Investigators are assigned to perform inspections at randomly selected retail outlets through the research firm, REACH of Louisville, Inc.

Tactic 4.1.2: Through the Department of Alcoholic Beverage Control, focus on maintaining the integrity of the three-tier system of alcoholic beverage control.

- The Department of Alcoholic Beverage Control aggressively and successfully defended Kentucky law in Maxwell's Pic-Pac, Inc. v. Dehner, 739 F.3d 936 (6th Cir. 2014), litigation of national interest, which impacted Kentucky's three-tier distribution system. The Department's enforcement division increased activity and investigations regarding Kentucky's licensed production and distribution tiers, as requested, which resulted in administrative cases against wholesalers/distributors. The Department defended a Board's Final Order penalizing a retailer for a three-tier violation which was appealed to Franklin Circuit Court. The Department administratively cited and fined retailers for three-tier purchase violations. The Department's licensing division denied applications which would result in statutory three-tier system violations. The Department assisted in drafting legislation that accomplished legislative goals without weakening Kentucky's three-tier system. The Department vigorously opposed legislation that weakened Kentucky's three-tier system. At several educational forums and opportunities across the state, the Department educated local governmental officials and the public on the importance of Kentucky's three-tier system and laws protecting same.

Tactic 4.1.3: Through the Department of Financial Institutions, identify future trends in the financial industries market that will enhance regulatory oversight and relevance by providing protection to the consumer or the public.

- DFI has nineteen employees, including the Commissioner, that serve on twenty-nine national boards and committees that assist in identifying future trends in the financial industries market that will enhance regulatory oversight and relevance by providing protection to the consumer or the public.

Tactic 4.1.4: Continue Department of Insurance uniformity and reciprocity agreements, compacts with sister state/territories and expand as recommended by marketplace and new initiatives.

- The DOI has entered into two agreements with other agencies within the past year:
    - An agreement with the federal Office of Personnel Management to review forms and rates for health benefit plans that qualify as Multi-State Plans under the Affordable Care Act; and

- An information sharing agreement with the National Association of Insurance Commissioners to share information with other states related to enterprise risks within holding company systems.

Tactic 4.1.5: Participation by Commissioners and Agency Staff on national boards and committees affecting their respective industries to ensure that Kentucky's presence is felt at the national level.

- DOI Commissioner Clark was elected as Secretary-Treasurer of the National Association of Insurance Commissioners for 2014.

- The ABC Administrative Branch Manager serves as President-elect for the Southern region of the IPMA-HR organization. The ABC General Counsel also serves on the NABCA (National Alcoholic Beverage Control Association) planning committee for 2015 national legal symposium.

- DFI has nineteen employees, including the Commissioner, that serve on twenty-nine national boards and committees.

- KHRC Executive Director currently serves as the Chairman of Association of Racing Commissioners International (RCI).

Objective 4.2: Through innovation and responsible regulation, facilitate interest by industries, companies, and individuals to invest in Kentucky.

Tactic 4.2.1: Develop user friendly E-Forms for licensing.

- The project/program has begun and is ongoing. For example:

  - The program/project has begun at ABC but it is too early to see quantitative results.

  - The DFI currently utilizes the Nationwide Mortgage Licensing System (NMLS) to license mortgage companies, mortgage originators, mortgage brokers and money transmitters. The NMLS streamlines the licensing and renewal process and allows licensees to perform the task electronically. Broker-dealer, agents of broker-dealers, investment advisers, and investment adviser representative applications are electronically submitted through the Central Registration Depository and the Investment Adviser Registration Depository.

  - The On-Line License Renewal System will be implemented for all boards administered by the Office of Occupations and Professions by the end of August 2014, but it is too early to see quantitative results.

Tactic 4.2.2: Continue timely turnaround of plan reviews by the Department of Housing, Buildings, and Construction to support growth in the construction industry.

- The DHBC's Division of Building Code Enforcement has review of processing licenses and plan review presently at a 32 day turnaround time. Four plan reviewers, who have been in the process of completing 12 months of training with a certified plan reviewer to become certified, have been hired to support more timely review of projects. The Division of Plumbing currently has a turn around on processing license renewal at 2 days, applications for examination at three days and plumbing plan review is 14 days. The Division Management is actively reviewing the backlog and bringing staff in from the field when available to assist with plan review. The Division of HVAC has a turnaround time on processing new applications within 5 days and license renewals in one day.

Tactic 4.2.3: Promote the Breeders' Incentive Fund.

- The Kentucky Breeders' Incentive Funds are promoted throughout the year in local newspapers, industry publications and on multiple websites.
    - KTBIF: The KTBIF co-markets the benefits of a KY Bred with the KY Thoroughbred Owners & Breeders (KTOB). This allows us to reach a broader audience and stretch our marketing dollars. The marketing plan includes print in industry trade publications, radio as well as email and web. This year 285 more mares nominated to the fund. In fact, the total nominations were more this year than the last three years.
    - KSBIF: The KSBIF regulation was changed to include foals born out of mares residing in the Commonwealth of Kentucky and although the nomination deadline is not until 12/31, the KSBIF has experienced an increase in interest in the program. The program changes were promoted on our website, through email and letters to boarding farms & in industry publications.

Tactic 4.2.4: Expand ABC's web site to include licensing, regulatory, policy, and educational presentations and interactive tutorials to reduce the number of daily requests.

- The Department of Alcoholic Beverage Control continues to make enhancements to the agency website in an effort to provide a valuable resource to the public. Expanded license look up, links to Kentucky Revised Statues and Kentucky Administrative Regulations specific to ABC and updated FAQ's are now available on the website.

Objective 4.5: To better ensure the safety and integrity of the horse racing industry, the Cabinet will actively participate with the KHRC in the implementation of policies and procedures to improve efficiency and effectiveness of agency operations both overall, and by division.

Tactic 4.5.1: KHRC will continue to take a leadership role in creating a level playing field for all participants (owners, trainers, players, etc.) in the Commonwealth's horse racing industry by supporting laws related to the safety and welfare of the participants; the licensing of Advance Deposit Wagering (ADW) and tote companies and other agency policy initiatives.

- The program/project has begun and is ongoing.

Tactic 4.5.2: KHRC will continue to pursue the creation of an integrated agency database and information system.

- Division of Licensing successfully implemented RCI Licensing system Nov 2013. Work continues on integrated agency data base system.

Objective 4.6: Support Kentucky's economic growth and development through Cabinet's participation in the Kentucky One Stop Business Portal.

Tactic 4.6.1: Through the Kentucky Business One Stop Portal, provide user-friendly and streamlined access to Cabinet Agencies and resources.

- The process/project has begun and is ongoing. For example:
    - There is currently a link on the Kentucky Business One Stop Portal to all of the Department of Alcoholic Beverage Control's licensing applications. Additionally, we are working with the one stop's Governance Counsel to integrate our renewal process to the "maintain my business" tab.
    - Licensees of boards within the Office of Occupations and Professions using the On-line licensing option are required to register through the One Stop Business Portal. In the first 12 days of operation of the new On-line license renewal, 129 accounts have been activated; however, it is too early to see quantitative results.

Department of Housing, Buildings and Construction

Public Protection Cabinet

Strategic Plan 2014-2018

COMMONWEALTH OF KENTUCKY
HOUSING ★ BUILDINGS CONSTRUCTION

Commissioner
Ambrose Wilson IV

Department of Housing, Buildings and Construction

I. Mission Statement

Protect lives and property through educational, licensing and inspection programs in the administration and enforcement of building, electrical, fire prevention, plumbing, and heating, ventilation, and air conditioning (HVAC) codes and standards.

II. Vision Statement

DHBC envisions a Kentucky in which everyone can be assured of the safety of their homes, buildings, and other structures.

III. Organizational Core Values

Commitment – The Department of Housing, Buildings and Construction (DHBC) is committed to enhancing the quality of life in the Commonwealth through the professional administration of its programs in the most efficient, economical manner while maintaining respect for all clients and co-workers.

Fiscal Responsibility – We will be transparent in all fiscal matters and align our decision making with the responsibility of improving the enforcement codes and standards for all Kentuckians.

Integrity – We believe in adhering to the highest standards of conduct and the conviction to do what is legally, morally, and ethically correct.

Innovation – We are committed to finding new and creative ways to serve our clients by applying progressive innovation to our systems, processes, and services.

Teamwork – We believe in leveraging the abilities of our Department and employees through a collaborative approach to problem-solving and project development and implementation.

IV. Statement of Alignment with the Governor's Strategic Themes/Goals

A. Attracting and Growing Jobs

The DHBC, in partnership with the Cabinet for Economic Development, has created a technical team who meets with designers of future businesses attracted to locating in Kentucky. These meetings provide the designers the ability to ask the technical team specific questions prior to putting together their final construction drawing package for submittal to the DHBC. The DHBC technical staff gains insight into the project so that potential issues may be identified prior to formal plan submittal. The preliminary meetings provide the design teams a timely and efficient plan review that will allow construction to begin without undue delay. Our partnership with the Cabinet for Economic Development has helped to secure job growth in Kentucky.

B. Ensure Safe Communities

The DHBC's purpose is to provide oversight of building construction and systems through the enforcement of building, electrical, fire, HVAC, and plumbing codes and regulations.

C. Quality Education for All Students

The DHBC recognizes the importance of quality education for children and the future of Kentucky. The DHBC is planning an "Education Summit" which will provide outreach to the Career and Technical Colleges, Kentucky Community and Technical College System, Kentucky Education and Workforce Development Cabinet, Kentucky Labor Cabinet, and trade associations to develop and maintain a career path in electrical, plumbing, fire, heating,

ventilation, air conditioning and building construction. This summit will provide an opportunity to establish ongoing programs for young students to begin a career path in the trades.

D. Affordable and Accessible Health Care

The Governor announced that the Lt. Governor will serve as chair of the kyhealthnow working group. The group will meet quarterly and report progress on the initiative to the Governor every six months. The working group will be composed of leaders from every state Cabinet and will invite input and partnerships from various nonprofit and private sector agencies.

The DHBC is participating through the Cabinet's team and has provided a list of conferences and meetings of trade associations where health care information could be provided to participants.

The Human Resource Representative provides continual communications to staff regarding health care information and resources available to state employees.

E. Honoring Our Veterans

For every state job posted, state government is required to offer an interview to a minimum of five veterans. The DHBC has employed several veterans, who have proven to be valuable employees and an asset to our Department.

During the 2014 Legislative Session, the Division of HVAC revised their statute to allow military experience to count as experience when applying to be certified as an HVAC Journeyman and/or Master.

V. Statement of Alignment with the Agency's Budget Request & 6-Year Capital Plan

The Executive Managers, Division Directors, and Section Supervisors have direct input in the budgeting process. Through an on-going, proactive strategic planning process, initiatives and goals are clearly identified by program unit. The strategic plan includes metrics, milestones, and timelines. Major projects are prioritized. The strategic plan is a working document which is formally updated on a quarterly basis. This plan is tied to the biennial branch budget request for our agency. To the fullest extent possible, the annual operating budgets make provision so that the defined initiatives and goals can be accomplished.

The Department of Housing, Buildings and Construction does not have a 6-Year Capital Plan.

VI. Situation Analysis/Environmental Analysis

The Department of Housing, Buildings and Construction (DHBC) enforces statewide standards for building construction. The Department ensures fire and life safety in existing buildings; licenses/certifies plumbers, electricians, boiler contractors, sprinkler and/or fire alarm contractors and building inspectors.

Within the Department of Housing, Buildings and Construction there are two branches:
1) Information Technology and
2) Administrative Services.

Department of Housing, Buildings and Construction

There are five divisions within the Department of Housing, Buildings and Construction which include:

The Division of Building Codes Enforcement is responsible for plan review and inspection of buildings, including electrical for state-owned buildings, elevator equipment, manufactured housing, Kentucky Industrialized Buildings and all associated licenses, continuing education and contractor requirements for elevator contractors, electrical contractors, building inspectors, Kentucky Industrialized Building System manufacturers and manufactured home installers.

The Division of Heating, Ventilation and Air Conditioning (HVAC) is responsible for on-line permitting, field inspections, complaints regarding installation and unlicensed contractors, verification of licensure, continuing education for HVAC contractors, and license renewals.

The Division of Plumbing is responsible for the review and inspection of plumbing for residential and commercial buildings, boiler inspection and all licensing, testing and continuing education for plumbers and boiler installers.

The Division of Fire Prevention (Office of the State Fire Marshal) is responsible for inspections of existing buildings, hazardous materials review and approval including certification of underground tank installers, registration to sell fireworks, and the safe cigarette program.

The Electrical Division was created December 2013. This division provides oversight for all electrical inspections. The division administers licensure and renewals of electricians (Journeyman/Master) and electrical contractors.

VII. Measurable Goals, Objectives & Key Performance Indicators

COMMISSIONER'S OFFICE

Goal 1: Ensure high quality, customer-focused services by having sufficient staff to perform executive management and administrative support duties competently and in a timely manner for the plan review, permitting, inspection, licensing, and enforcement functions of the Department.

Objective 1.1: Elevate the Department of Housing, Buildings and Construction to an employer of choice.

Strategy 1.1.1: Promote job openings utilizing different media to hire highly qualified staff.

Performance Indicators

Output: Utilize different avenues of media to promote job opportunities in order to attract highly qualified staff.

Outcome: 35% increase in the use of alternative media to promote openings.

Objective 1.2: Create a learning culture among DHBC employees.

Department of Housing, Buildings and Construction

Strategy 1.2.1: Encourage employees to use innovative learning strategies.

Strategy 1.2.2: Provide continuing education training for staff to increase efficiency of job performance.

Strategy 1.2.3: Establish career development and training paths.

Strategy 1.2.4: When supervisors meet with employees to conduct interim and annual evaluations, include a plan to encourage learning and attending professional development classes.

Strategy 1.2.5: Continually encourage improvement in employee performance to meet the changing needs and expectations of the public.

Action Plan:

Task/Activity	By When	Person Responsible
1. Determine positions open.	Ongoing	Human Resources Supervisors
2. Discuss areas and venues to advertise openings.	Ongoing	Human Resources Supervisors Executive Management Cabinet Human Resources

Performance Indicators

Output: Increase the number of employees participating in learning activities and classes by 2016.

Outcome 1: 20% employees use alternate learning strategies (computer-based learning, distance learning, etc.)

Outcome 2: 20% of employees participating in learning activities.

Outcome 3: 25% of job classes with defined career paths.

Outcome 4: 25% of employees with formal learning and development plans.

Outcome 5: 95% of employees completed their annual evaluation plan review and agreed with the plan to increase their professional development.

Action Plan:

Task/Activity	By When	Person Responsible
1. Send out calendars of available, scheduled classes.	Ongoing	Human Resources
2. Work with all Divisions to increase defined career paths.	Ongoing	Human Resources
3. Supervisors attend yearly classes regarding best practices for employee evaluations.	Ongoing	Human Resources

Department of Housing, Buildings and Construction

Goal 2: Executive Management and Directors clearly understand finances/budget.

Objective 2.1: Provide monthly financial management reports to executive management and directors.

Performance Indicators

Output: Transparency of budget.

Outcome: Executive Management and Directors have a clear understanding of budget/finance reports.

Strategy 2.1.1: Increase the knowledge of Executive Management and Directors about budget and budget preparation.

Action Plan:

Task/Activity	By When	Person Responsible
1. Use management meetings to provide division financial reports.	Ongoing	Budget Officer
2. Provide question and answer sessions about financial reports.	Ongoing	Budget Officer
3. Provide monthly COT, Praeses and Phone bills for Directors to review and edit.	Ongoing	Budget Officer

Goal 3: Develop and maintain inter-agency relationships.

Objective 3.1: Partner with Midwest Energy Efficiency Alliance (MEEA) and Kentucky Department for Energy Development and Independence (DEDI) to implement a three-phase program designed to raise the statewide energy code compliance rate. A $925,300 grant has been awarded for this program from the U.S. Department of Energy.

Performance Indicators:

Output: Raise the statewide energy code compliance rate.

Outcome 1: Increase code compliance by giving stakeholders focused information in multiple formats which will allow the information to be better retained and utilized.

Outcome 2: Providing individualized service in a timely, professional manner will establish the relationships and level of trust needed to encourage builders to comply with the code, and building officials will have the confidence that their efforts are supported by the state.

Outcome 3: A culture of compliance can be created by providing a forum where issues can be raised, stakeholder concerns are addressed, and compliance experiences are shared.

Strategy 3.1.1: Measure the pre-program compliance rate for Kentucky's residential energy code.

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Action Plan:

Task/Activity	By When	Person Responsible
1. Issue Pre-Program Compliance Study RFP.	March 2015	MEEA Team Members
2. Report Pre-Program Compliance Study results.	March 2015	MEEA Team Members

Strategy 3.1.2: Establish and facilitate Energy Code Compliance Collaborative.

Action Plan:

Task/Activity	By When	Person Responsible
1. Establish Energy Code Compliance Collaborative forming group.	June 2015	MEEA Team Members
2. Have a minimum (project cumulative) of 4 full collaborative meetings.	June 2015	MEEA Team Members

Strategy 3.1.3: Establish and operate Circuit Rider Program.

Action Plan:

Task/Activity	By When	Person Responsible
1. Have a minimum (program cumulative) of 30 circuit rider contacts.	December 2015	MEEA Team Members
2. Have a minimum (program cumulative) of 85 circuit rider contacts.	December 2015	MEEA Team Members
3. Have a minimum (program cumulative) of 200 circuit rider contacts.	December 2015	MEEA Team Members

Goal 4: Quickly respond to all open records requests or inquiries to ensure customer confidence across all divisions.

Strategy 4.1.1: Modify existing processes and protocols pertaining to records retention and adjust accordingly.

Action Plan:

Task/Activity	By When	Person Responsible
1. Assign staff to oversee records storage.	July 2014	Division Director Records Custodian
2. Record records on official State Library and Archives form.	End of year	Records Custodian Specific Division Staff
3. Label each box accordingly.	End of year	Specific Division Staff
4. Box up records and place in storage file room.	End of year	Records Custodian Division Director Specific Division Staff

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Strategy 4.1.2: Provide record retention schedules to Directors and assigned staff.

Action Plan:

Task/Activity	By When	Person Responsible
1. Provide record schedules to division directors during monthly management meetings	Ongoing	Records Custodian

Administrative Services

Goal 1: Place all field staff in agency owned vehicles to provide reliable transportation for safety while on the road.

Objective 1.1: Develop a systematic plan to replace high mileage and/or aging vehicles with new, fuel efficient vehicles.

Performance Indicators:

Output: New vehicles purchased when available, and good, reliable used vehicles purchased when new are unavailable.

Outcome: Field staff will be safer in newer vehicles, fuel and maintenance costs will be reduced, and the public will be better served due to field staff having reliable transportation to make it to job sites.

Strategy 1.1.1: Remove field personnel from privately owned vehicles thereby relieving the budget of costly travel reimbursement.

Strategy 1.1.2: Create a centralized vehicle tracking system that will report all expenses incurred on vehicles, giving an overall view of each vehicle's worth, to serve as a basis for recommendations to lower vehicle operating cost.

Strategy 1.1.3: Develop a systemic plan to replace high mileage and high maintenance vehicles with new, fuel efficient vehicles.

Action Plan:

Task/Activity	By When	Person Responsible
1. Assign a staff member to oversee vehicle program.	Immediately	Administrative Specialist II
2. Regularly update vehicle tracking system to ensure accuracy.	End of Fiscal Year	Administrative Specialist II
3. Procure new vehicles as needed.	End of Fiscal Year	Administrative Specialist II Internal Policy Analyst Branch Manager

Goal 2: Streamline processes to provide quality service in an efficient and timely manner.

Objective 2.1: Develop a systematic plan to provide support to Department staff by processing purchases and reimbursements in a timely manner.

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Performance Indicators:

Output: Process document payouts, purchases, deposits and reimbursements within one week of receipt.

Outcome: This section's timely and efficient processing of documents will allow procurement, deposits and reimbursements to be provided to Department divisions thus allowing them to execute their respective tasks.

This will make each division more efficient by not having to work without proper funds and tools to accomplish servicing the public.

Strategy 2.1.1: Assign specific job duties to staff members allowing them to focus on the tasks at hand.

Strategy 2.1.2: Cross train staff to improve work efficiency in the event of vacation or illness.

Action Plan:

Task/Activity	By When	Person Responsible
1. Limit processing time for all documents to no longer than one week from receipt.	End of Year	Administrative Specialist II Internal Policy Analyst Branch Manager
2. Cross-train staff on all job duties and responsibilities.	End of Fiscal Year	Administrative Specialist II Internal Policy Analyst Branch Manager

INFORMATION TECHNOLOGY

Goal 1: The Commonwealth's IT infrastructure services, computing equipment and associated support staff in the Commonwealth Office of Technology (COT) have centralized their services. This centralization will reduce the cost of IT operations across the enterprise, increase information sharing among agencies and, most importantly, will provide the ability for agencies to focus on their programmatic missions rather than operational IT issues.

Objective 1.1: DHBC will place all IT services under the centralized Commonwealth's IT Office (COT) and develop a replacement strategy to upgrade technology.

Performance Indicators:

Output: Employees have technology available that is no older than three (3) years old by December 2015.

Outcome: 100% of employees have technology available that is no older than three (3) years old.

Strategy 1.1.1: Define, budget and implement a three-year program to replace computers in the Department in partnership with COT.

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Action Plan:

Task/Activity	By When	Person Responsible
1. Schedule quarterly meetings with assigned COT staff to provide updates regarding equipment.	Ongoing	Resource Management Analyst III Policy Advisor
2. Provide quarterly reports to Executive Leadership regarding equipment.	Ongoing	Policy Advisor

Goal 2: Develop and Implement "Paperless Processing" to support the Governor's Green Initiative education awareness.

Objective 2.1: Full implementation of Jurisdiction On-Line throughout the Department will allow inspectors to greatly reduce the amount of paperwork and human processing inputs.

Performance Indicators:

Output: Create a culture of paperless processing.

Outcome: 50% of Employees will have a better understanding of paperless processing.

Strategy 2.1.1: Obtain mobile-type computer devices (notebooks and/or tablets) for field personnel. With this equipment, field personnel will be able to file reports directly into Jurisdiction Online as inspections are being conducted/concluded. The mobile devices will enhance efficiency of operations while saving paper – meeting the Governor's Green Initiative.

Strategy 2.1.2: Establish a wireless port that will allow inspectors to access the network regardless of location, thereby reducing travel time back to home office to use the computer, saving money and mileage.

Strategy 2.1.3: Provide customers enhanced access to information including, but not limited to, licensing, permitting, inspections and plan reviews.

Action Plan:

Task/Activity	By When	Person Responsible
1. Finalize procurement and deployment of tablets	December 2014	Policy Advisor DHBC IT Staff
2. Evaluate current processes and workflow for improvements	September 2015	Policy Advisor DHBC IT Staff
3. Explore how to incorporate the Business One Stop and JO system for online services	March 2015	Policy Advisor DHBC IT Staff Praeses
4. Review online renewal opportunities	March 2015	Policy Advisor DHBC IT Staff
5. Review business value and legality of online inspection data	June 2015	Policy Advisor DHBC IT Staff

Department of Housing, Buildings and Construction

Division of Building Code Enforcement

Goal 1: Ensure services are provided in an efficient and timely manner.

Objective 1.1: Provide plan review in a timely manner.

Performance Indicators

Output: Review plans within 20 days of log-in date.

Outcome: All clients (owners, designers and contractors) will receive timely and efficient plan review services that allows construction to begin without undue delay.

Strategy 1.1.1: Maintain allotted plan review staffing level through prompt replacement resulting from retirements, resignations or project demands to ensure established service levels are maintained. As the economy grows and/or as needs change, additional staffing will be immediately necessary.

Action Plan:

Task/Activity	By When	Person Responsible
1. Assess personnel needs.	May 2015	Director, Assistant Director, Technical Advisor Manager
2. Expand cap if needed.	August 2016	Director, Assistant Director, Technical Advisor Manager, Human Resources, Commissioner's Office
3. Create register	September 2016	Human Resources
4. Review applications	within 5 days	Assistant Director, Technical Advisor Manager, Human Resources
5. Interviews	within 10 days	Assistant Director, Technical Advisor Manager, Human Resources
6. Approve candidates	within 14 days	Human Resources
7. Offer/Hire-4 plan reviewers upon approval.	October 2016	Director, Assistant Director, Technical Advisor Manager
8. Reallocation of resources/personnel to reduce any delay of processes or services as needed.	Ongoing	Director, Assistant Director, Technical Advisor Manager

Objective 1.2: Perform onsite inspections in a timely manner.

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Performance Indicators:

Output: Inspect all projects on a maximum 45 calendar day cycle (30 calendar day cycle recommended).

Outcome: All clients (owners, designers and contractors) will receive timely, safe and efficient inspection service which allows construction to proceed without undue delay. All projects will result in structures being safe for use and occupancy.

Strategy 1.2.1: Maintain allotted inspection staff through prompt replacement resulting from retirements, resignations or project demands to ensure established service levels are maintained. As the economy grows and/or as needs change, additional staffing will be immediately necessary.

Action Plan:

Task/Activity	By When	Person Responsible
1. Assess personnel needs.	May 2015	Director, Assistant Director, Field Operation Manager, Field Supervisor
2. Expand cap if needed.	August 2016	Director, Assistant Director, Field Operation Manager, Human Resources
3. Create register.	September 2016	Human Resources
4. Review applications.	within 5 days	Assistant Director, Field Operation Manager, Field Supervisor
5. Interviews.	within 10 days	Assistant Director, Field Operation Manager, Field Supervisor, Human Resources
6. Approve candidates.	within 14 days	Human Resources
7. Offer/Hire-2 inspection staff.	Upon approval	Director, Assistant Director, Field Operations Manager
8. Reallocation of resources and/or personnel to reduce any delay of processes or services as needed.	Ongoing	Director, Assistant Director, Technical Advisor Manager

Objective 1.3: Log-in plans in a timely manner.

Performance Indicators:

Output: Log-in plans within 24 hours of receipt.

Outcome: All clients submitting plans (owners, designers and contractors) will receive timely and efficient log-in service which allows plan review to begin without undue delay.

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Strategy 1.3.1: Develop an online application processing to accelerate the log-in process to include the ability for online payment (with the ability to recoup transaction fees).

Action Plan:

Task/Activity	By When	Person Responsible
1. Assess personnel needs	May 2015	Director, Assistant Director, Administrative Supervisor
2. Expand cap	August 2016	Director, Assistant Director, Human Resources, Commissioner's Office, Administrative Supervisor
3. Create register	September 2016	Human Resources
4. Review applications	within 5 days	Assistant Director, Administrative Supervisor
5. Interviews	within 10 days	Assistant Director, Administrative Supervisor, Human Resources
6. Approve candidates	within 14 days	Human Resources
7. Offer/Hire Staff 2 Administrative Staff	upon approval	Director, Assistant Director, Administrative Supervisor
8. Develop process with Praeses	August 2016	Director, Assistant Director, Technical Advisor, Administrative Supervisor IT Staff
9. Reallocation of resources and or personnel to reduce any delay of processes or services as needed.	Ongoing	Director, Assistant Director, Administrative Supervisor

Goal 2: Provide a safe and cost efficient vehicle fleet.

Objective 2.1: Place all field staff that regularly travel 8,000 miles or more in agency owned vehicles.

Performance Indicators:

Output: Replace all vehicles currently exceeding 150,000 miles and all leased vehicles by 2016.

Outcome: All vehicles will operate safe and efficient reducing overall recurring operating/repair costs.

Strategy 2.1.1: Develop a systemic plan to replace leased vehicles with agency owned vehicles by presenting management with recommendations of cost savings as opposed to higher travel reimbursements.

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Strategy 2.1.2: Replace vehicles as they reach 150,000 miles or five years of service, whichever occurs first.

Action Plan:

Task/Activity	By When	Person Responsible
1. Identify all leased vehicles	May 2014	Director, Assistant Director, Field Operation Manager
2. Identify all exceeding 150K	May 2014	Director, Assistant Director, Field Operation Manager
3. Lease/Operating Cost analysis	June 2015	Director, Assistant Director, Field Operation Manager
4. Budget	July 2015	Director, Assistant Director, Field Operation Manager

Goal 3: Fully implement Jurisdiction Online technology to enhance productivity and communications between staff and consumers.

Objective 3.1: Acquire equipment/technology whereby field inspectors can electronically access and/or submit information with DHBC in real time as needed.

Performance Indicators:

Output: Inspectors will be able to access/input JO as needed

Outcome: Field staff, office staff and clients will be able to have current project information thereby improving productivity and customer service.

Strategy 3.1.1: Determine hardware, software and connectivity needs to remotely access JO.

Action Plan:

Task/Activity	By When	Person Responsible
1. Phones for remote connection	May 2014	Director, Assistant Director, Field Operation Manager, Field Supervisor, Technical Advisor Manager, Field Inspector, IT Technology Staff
2. New computers/software	November 2014	Director, Assistant Director, Field Operation Manager
3. Training for new hardware/software	December 2014	Information Technology Developmental Staff, Praeses

Department of Housing, Buildings and Construction

Goal 4: Cross-train staff in all areas of division processes and procedures.

Objective 4.1: Train staff to understand/perform other duties within the Division.

Performance Indicators:

Output: All staff within each job category will be able to perform duties of other positions.

Outcome: Provides continuation of all services during absences/temporary vacancies. Provides career opportunities in other areas within the Department.

Strategy 4.1.1: Provide staff training across-the-board to maintain all services and to protect against staffing imbalances dictated by budgetary constraints.

Action Plan:

Task/Activity	By When	Person Responsible
1. Define/identify duties	July 2014	Director, Assistant Director, Field Operation Manager, Human Resources, Commissioner's Office
2. Standardize tasks/procedures	October 2014	Supervisors
3. Develop training	February 2015	Supervisors
4. Implement	March 2015	Supervisors

Goal 5: Continue to develop and implement an electronic means of retaining/accessing project data resulting in a near paperless workplace through new computer technology.

Objective 5.1: Provide electronic storage/retrieval of project data including plans, permits, inspections, corrective actions, letters and other project related information while implementing the Governor's Green Initiative.

Performance Indicators:

Output: Provide electronic storage and retrieval for project data by 2018.

Outcome: Achieve the Governor's Green Initiative (less storage space, reduced costs).

Strategy 5.1.1: Update existing computer technology and utilize Jurisdiction Online to enhance services and efficiency by providing electronic storage/access to plans, permits, inspections, corrective actions, and other project related information.

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Action Plan:

Task/Activity	By When	Person Responsible
1. Determine technology needs	July 2017	Director, Assistant Directors, Information Technology Developmental Staff, Technical Advisor Manager Field Operations Supervisor
2. Budgeting	July 2017	Director, Assistant Director
3. Implement/train	January 2018	Information Technology Developmental Staff, Praeses

Goal 6: Continue to promote greater understanding of energy systems and related efficiency to architects, builders, regulators/inspectors and homeowners.

Objective 6.1: Provide training to promote knowledge and understanding of applicable energy code(s) and achieve compliance.

Performance Indicators:

Output: Compliance with all energy codes adopted by the Commonwealth.

Outcome: Energy efficiency for all projects constructed using the KBC.

Strategy 6.1.1: Maintain continuing education for plan review and inspection staff (Department and local jurisdictions) of energy conservation code compliance and enforcement.

Action Plan:

Task/Activity	By When	Person Responsible
1. Provide Classes	Ongoing	Department approved Providers and/or Internal Staff

Strategy 6.1.2: Continue to provide outreach/information to the general public, design community and builders regarding energy code compliance.

Action Plan:

Task/Activity	By When	Person Responsible
1. Public service announcements	Ongoing	Director, Assistant Director, Field Operation Manager, Administrative Supervisor, Cabinet Office of Communication and Public Outreach Executive Director
2. Training	Ongoing	Internal Staff and/or Approved Provider

Department of Housing, Buildings and Construction

Goal 7: Expand public relations and public outreach.

Objective 7.1: Expand/increase the awareness of building codes and Department services with the general public, local officials and design/construction industries.

Performance Indicators:

Output: Provide multiple diverse points of contact to the general public, local officials and design/construction industries regarding the application of building codes and access to services.

Outcome: Provide information and efficient service to all consumers to provide safe structures throughout the Commonwealth.

Strategy 7.1.1: Increase awareness and provide information about services to the general public.

Action Plan:

Task/Activity	By When	Person Responsible
1. Co-op opportunities with schools	Ongoing	Director, Assistant Director, Field Operation Manager, Technical Advisor Manager, Administrative Supervisor
2. Update/promote website	Ongoing	Director, Assistant Director, Technical Advisor Manager, Administrative Supervisor
3. Career opportunities within BCE	Ongoing	Director, Assistant Director, Field Operation Manager, Administrative Supervisor Technical Advisor Manager, Human Resources
4. Attending trade shows, conventions State Fair	August 2018	Field Operation Manager

Strategy 7.1.2: Provide information and efficient service to all clients in the construction and design industries.

Action Plan:

Task/Activity	By When	Person Responsible
1. Establish newsletter	July 2017	Director, Assistant Director, Field Operation Manager, Administrative Supervisor Technical Advisor Manager, Human Resources
2. Update/promote website	Ongoing	Administrative Supervisor, Commissioner's Office, Information Technology Developmental Staff

Department of Housing, Buildings and Construction

Strategy 7.1.3: Provide information, assistance and efficient service to all local jurisdictions.

Action Plan:

Task/Activity	By When	Person Responsible
1. Establish email contacts	April 2014	Field Operation Manager
2. Establish Newsletter	July 2017	Director, Assistant Director, Field Operation Manager, Administrative Supervisor Technical Advisor Manager, Human Resources
3. Update/program	Ongoing	Administrative Supervisor

Goal 8: Establish and maintain funding to achieve a balanced operating budget while meeting staffing and equipment needs in order to assure a high level of service to all clients.

Objective 8.1: Obtain additional funding via an increase in fees.

Performance Indicators:

Output: Fund the deficit for retirement contributions while meeting and maintaining staffing needs (current and future).

Outcome: Provide funding to maintain/increase staffing and equipment as needed.

Strategy 8.1.1: Pursue fee increase.

Action Plan:

Task/Activity	By When	Person Responsible
1. Determine budget shortfall	April 2014	Director, Assistant Director, Technical Advisor Manager, Field Operation Manager, Budget Officer, Administrative Supervisor
2. Determine required fee increase	April 2014	Director, Assistant Director, Technical Advisor Manager, Field Operation Manager, Administrative Supervisor, Board of Housing, Buildings and Construction, Budget Officer
3. Implement fee increase	August 2015	Budget Officer, General Counsel, Board of Housing, Buildings and Construction, Legislation, Staff

Strategy 8.1.2: Seek other funding resources such as grants to maintain/increase staffing and equipment as needed.

Department of Housing, Buildings and Construction

Action Plan:

Task/Activity	By When	Person Responsible
1. Seek funding sources	Ongoing basis	Policy Advisor, Director, Assistant Director, Technical Advisor Manager, Commissioner's Office

(BCE) Manufacturing Housing Section

Goal 1: Provide timely and efficient plan review, field inspections, and administrative functions to perform the required duties of the section.

Objective 1.1: Provide timely plan review of modular and temporary structures and perform on-site inspections.

Performance Indicators:

Output: Perform plan reviews within two weeks of receiving plan submittals, and perform on-site inspections within 30 days of request for inspections.

Outcome: Plans submitted receive timely and thorough plan review; and homeowners receive timely and thorough site inspection, which will allow for safe use and/or occupancy.

Strategy 1.1.1: Hire one plan reviewer to perform in-office plan review of modular and temporary structures and assist in performing the administrative duties of the office. Expand number of field inspectors to reduce drive time, due to large territories, allowing for faster response time to inspection requests and a greater number of inspections that can be reasonably accomplished.

Action Plan:

Task/Activity	By When	Person Responsible
1. Assess personnel needs	May 2015	Director, Assistant Director, Technical Advisor Manager
2. Expand cap by two new staff.	August 2016	Director, Assistant Director, Technical Advisor Manager, Human Resources, Commissioner's Office
3. Create register	September 2016	Human Resources
4. Review applications	within 5 days	Assistant Director, Technical Advisor Manager, Human Resources
5. Interviews	within 10 days	Assistant Director, Technical Advisor Manager, Human Resources

6. Approve candidates	within 14 days	Human Resources
7. Offer/Hire-1 plan reviewer and two field inspectors.	October 2016	Director, Assistant Director, Technical Advisor Manager
8. Reallocation of resources/personnel to reduce any delay of processes or services as needed.	Ongoing	Director, Assistant Director, Technical Advisor Manager

Goal 2: Ensure new manufactured housing meets federal standards.

Objective 2.1: Maintain licensing programs.

Performance Indicators:

Output: Maintain current files on approved manufacturers.

Outcome: Homeowner confidence in home being manufactured to federal standards by certified manufacturers.

Strategy 2.1.1: Utilize JO for recordkeeping.

Objective 2.2: Maintain and expand inspections of new homes.

Performance Indicators:

Output: Inspection of homes to federal and state regulations.

Outcome: Homeowner confidence in home being designed and manufactured as approved.

Strategy 2.2.1: Enhanced number of inspections of manufactured homes.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Maintain Electronic Files in JO.	Ongoing	Director, Assistant Director, Technical Advisor Manager, Information Technology Developmental Staff, Praeses
2. Expand number of Inspections.	Ongoing	Technical Advisor Manager, Field Supervisor

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Goal 3: Consumer protection.

Objective 3.1: Ensure retailers are knowledgeable and licensed.

Performance Indicators:

Output: Maintain proper licensure of retailers in compliance with applicable regulations.

Outcome: Consumer protection from unscrupulous retailers.

Strategy 3.1.1: Maintain administrative staff to process applications and complaints.

Objective 3.2: Expand number of homes inspected for proper installation.

Performance Indicators:

Output: Inspect an increased number of homes for proper installation.

Outcome: Consumer protection from improper and unsafe installations.

Strategy 3.2.1: Expand number of field inspectors to inspect increased number of home installations.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Maintain retailer files	Ongoing	Director, Assistant Director, Technical Advisor Manager, Information Technology Developmental Staff, Praeses
2. Expand number of inspections	Ongoing	Technical Advisor Manager, Field Supervisor

Goal 4: Educated Public.

Objective 4.1: Ensure manufacturers, retailers, and installers are aware of state and federal regulations.

Performance Indicators:

Output: Increase access to state and federal regulations.

Outcome: Manufacturers, retailers, and installers have access to pertinent information.

Strategy 4.1.1: Re-development of Manufactured Housing's Internet home page to include links to applicable state and federal regulations.

Department of Housing, Buildings and Construction

Objective 4.2: Ensure consumers are aware of state and federal regulations.

Performance Indicators:

Output: Increase ready access to state and federal regulations.

Outcome: Consumer access to pertinent information.

Strategy 4.2.1: Re-development of Manufactured Housing's Internet home page to include links to applicable state and federal regulations, including pending legislation.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Re-develop Web Page	Immediately	Information Technology Developmental Staff

Goal 5: Provide for safe and cost efficient vehicle fleet:

Objective 5.1: Provide agency owned vehicles for all field inspectors.

Performance Indicators:

Output: Place all field inspectors in safe agency owned vehicles.

Outcome: Safe and efficient means of travel for field staff. Reduced operating and repair costs associated with high mileage vehicles. Visibility and identification for field staff on site.

Strategy 5.1.1: Identify and replace older, high mileage vehicles with newer, more efficient vehicles.

Action Plan:

Task/Activity	By When	Person Responsible
1. Identify all leased vehicles	May 2014	Director, Assistant Director, Technical Advisor / Manager
2. Identify all exceeding 150K	May 2014	Director, Assistant Director, Technical Advisor / Manager
3. Lease/Operating Cost analysis	June 2015	Director, Assistant Director, Technical Advisor / Manager
4. Budget	July 2015	Director, Assistant Director, Technical Advisor / Manager

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Goal 6: Utilize technology for enhanced productivity:

Objective 6.1: Utilize JO to enter and track inspections.

Performance Indicators:

Output: Inspectors will have access to and the ability to track and update inspections in JO.

Outcome: Information will be accessible to field and office staff.

Strategy 6.1.1: Provide training and support for JO to field staff.

Objective 6.2: Utilize technology to connect to JO from remote locations.

Performance Indicators:

Output: Inspectors will be able to access JO from site locations and input data as needed.

Outcome: Real time data entry and reduced risk of incomplete or inaccurate recordkeeping.

Strategy 6.2.1: Obtain new technology to enable remote access to JO.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Provide Computer Training Support	Immediately	IT Developmental Staff, Praeses
2. Provide for Remote Access	Ongoing	IT Developmental Staff

Goal 7: Provide a career path for employees.

Objective 7.1: Attract and retain most qualified and experienced employees.

Performance Indicators:

Output: Employees will have the ability to grow in their career.

Outcome: Educated and experienced employees.

Strategy 7.1.1: Develop an employee career path.

Task/Activity	By When	Person (s) Responsible
1. Develop Employee Career Path	Immediately	Director, Assistant Director, Technical Advisor Manager, Supervisors, Human Resources, Commissioner's Office

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Goal 8: Increase revenue to provide adequate staffing and delivery of services to the public.

Objective 8.1: Increase revenue by increasing fees and hiring additional field staff.

Performance Indicators:

Output: Fund deficit and maintain and expand current level of service.

Outcome: Maintaining and increasing level of service.

Strategy 8.1.1: Pursue fee increase. Increase number of field inspectors by one (1).

Task/Activity	By When	Person (s) Responsible
1. Determine Budget Shortfall	April 2014	Director, Assistant Director, Technical Advisor Manager, Budget Officer
2. Determine Required Fee Increase	April 2014	Director, Assistant Director, Technical Advisor Manager, Budget Officer
3. Implement Fee Increase	August 2015	Director, Assistant Director, Technical Advisor Manager, General Counsel, Board of Housing Committee, Commissioner's Office

(BCE) Elevators

Goal 1: Ensure the safety of the public who use elevators, escalators, moving walks, and lifts.

Objective 1.1: Through timely inspections, promote safe operation of all new and existing elevators, escalators, moving walks, and lifts.

Performance Indicators:

Output: Provide for public safety through periodic inspection of all applicable systems per statute/code.

Outcome: All applicable systems receive repairs/maintenance throughout the life of the system to provide a high safety level.

Strategy 1.1.1: Maintain staffing levels to ensure that regular inspections continue to be made on elevators, escalators, moving walks, and lifts.

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Action Plan:

Task/Activity	By When	Person(s) Responsible
1. Assess personnel needs	May 2015	Director, Assistant Director, Elevator Supervisor
2. Expand cap if needed	August 2016	Director, Assistant Director, Elevator Supervisor, Budget Office, Human Resources
3. Create register	September 2016	Human Resources
4. Review applications	within 5 days	Assistant Director, Elevator Supervisor
5. Interviews	within 10 days	Assistant Director, Elevator Supervisor, Human Resources
6. Approve candidates	within 14 days	Human Resources
7. Offer/Hire two additional Inspectors.	upon approval	Director, Assistant Director, Elevator Supervisor, Human Resources
8. Reallocation of resources/personnel to reduce any delay of processes or services as needed	Ongoing	Director, Assistant Director, Technical Advisor Manager

Goal 2: Submit reports directly from the field electronically thereby reducing paperwork and complying with the Governor's Green Initiatives.

Objective 2.1: Devise and implement methods to prepare/submit/store system inspections and other relevant data electronically.

Performance indicators:

Output: Provide electronic submittal, storage and retrieval for project data by 2018.

Outcome: Achieve the Governor's Green Initiative, use less storage space, and reduce costs.

Strategy 2.1.1: Update existing computer technology and utilize Jurisdiction Online to enhance services/efficiency by providing electronic storage/access to applications, plans, permits, inspections, corrective actions, and other project related information.

Action Plan:

Task/Activity	By When	Person(s) Responsible
1. Determine technology needs	July 2017	Director, Assistant Director, Elevator Supervisor, IT Staff, Praeses
2. Budgeting	July 2017	Director, Assistant Director
3. Implement/train	Jan. 2018	IT Staff, Praeses

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Goal 3: Provide continuing education training for field inspectors emphasizing new technology/new codes in the elevator industry.

Objective 3.1: Elevator inspectors receive relevant training to assure knowledge of advancing elevator technology and codes.

Performance Indicators:

Output: Inspectors receive annual training in current system technology and elevator codes and standards.

Outcome: Elevator inspectors help to assure safe system operation by keeping current with industry practices.

Strategy 3.1.1: Maintain QEI training to keep inspectors abreast of new technology in the elevator industry.

Action Plan:

Task/Activity	By When	Person(s) Responsible
1. Attend annual training	Annual	Director, Elevator Staff, Commissioner's Office

Goal 4: Equip all field inspectors with current elevator code books/standards.

Objective 4.1: Provide all inspectors with current code books/standards by the end of 2014.

Performance Indicators:

Output: All elevator inspectors have current codes/standards to utilize during inspections.

Outcome: Safety levels are increased through inspections utilizing current information.

Strategy 4.1.1: Budget funding to purchase current codes/standards.

Action Plan:

Task/Activity	By When	Person(s) Responsible
1. Request funding	ongoing	Director, Assistant Director, Elevator Supervisor

Goal 5: Provide a safe and cost efficient vehicle fleet.

Objective 5.1: Place all field staff who regularly travel 8,000 miles or more in an agency owned vehicle.

Performance Indicators:

Output: Replace all vehicles currently exceeding 150,000 miles and all leased vehicles by 2016.

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Outcome: All vehicles will operate safer and more efficient reducing overall recurring operating/repair costs.

Strategy 5.1.1: Develop a systemic plan to replace use of leased vehicles with agency vehicles by presenting management with recommendations of cost savings as opposed to higher travel reimbursements.

Strategy 5.1.2: Replace vehicles as they reach 150,000 miles or five years of service.

Action Plan:

Task/Activity	By When	Person(s) Responsible
1. Identify all leased vehicles	May 2014	Director, Assistant Director, Elevator Supervisor
2. Identify all vehicles exceeding 150,000 miles	May 2014	Director, Assistant Director, Elevator Supervisor
3. Lease/operating cost analysis	June 2015	Director, Assistant Director, Elevator Supervisor
4. Budget	July 2015	Director, Assistant Director, Elevator Supervisor , Budget Officer

Electrical Division

Goal 1: Provide the highest quality services to our regulatory communities and the public in an efficient, timely and courteous manner.

Objective 1.1: Maintain service capabilities through full staffing of each Section.

Performance Indicators:

Output: Fill all positions as needed.

Outcome: Staff replacements are completed within 90/120 days of vacancy.

Strategy 1.1.1: Hire staff replacements as vacancies occur due to retirement or departure.

Strategy 1.1.2: Create a team to develop standard operating procedures for the Division.

Action Plan:

Task/Activity	By When	Party Responsible
1. Name Team	June 2014	Acting Director, Supervisors
2. Establish regular meeting dates	July 2014	Team, Policy Advisor
3. Complete a needs assessment on current procedures	September 2014	Team, Policy Advisor
4. Review and prioritize results of assessment on developing procedures	September 2014	Team, Policy Advisor
5. Draft of Electrical Division Standard Operating Procedures	July 2015	Team, Policy Advisor, Commissioner

6. Finalize Electrical Division Standard Operating Procedures	August 2015	Team, Policy Advisor, Commissioner
7. Establish regular reviews of Electrical Division Standard Operating Procedures	Quarterly	Team, Policy Advisor

Goal 2: Work with Information Technology Developmental Staff to develop a plan to provide education and training to all staff in capabilities and use of JO.

Objective 2.1: Enhance the administration and operational capabilities of the Division through use of evolving technologies and proper equipment.

Performance Indicators:

Output: Work with IT Developmental Staff to develop a plan to provide education and training to all staff in capabilities and use of JO.

Outcome: Training complete by October 2014 and supplemental training provided as needed through Information Technology Developmental Staff.

Strategy 2.1.1: Fully implement and utilize Jurisdiction Online (JO) software and other software to increase the efficiency and accuracy of office and field operations, enhance record production and maintenance and greatly reduce the reliance on paper, striving to achieve a virtually paperless workplace.

Action Plan:

Task/Activity	By When	Party Responsible
1. Identify capabilities available in J.O. and other software relevant to tasks of various positions in Division.	May 2014	Team, IT Staff, Praeses
2. Conduct a survey of all employees for applications desired and suggested training priorities.	May 2014	Team, IT Staff, Praeses
3. Identify and request development of additional J.O. custom applications useful to the Division.	May 2014	Team, IT Staff, Praeses
4. Determine appropriate training from available resources.	May 2014	Team, Information Technology Developmental Staff, Praeses
5. Create and recommend training plan.	June2014	Team, IT Staff, Praeses
6. Review plan	June 2014	Commissioner's Office
7. Revise plan if necessary	June 2014	Team
8. Implement training plan.	July 2014	Director, IT Staff, Supervisors
9. Monitor utilization.	Ongoing	Director, IT Staff, Supervisors

10. Revise plan as changes in needs are identified	Ongoing	Team

Goal 3: Provide a career path for employees.

Objective 3.1: Attract and retain most qualified and experienced employees.

Performance Indicators:

Output: Employees will have the ability to grow in their career.

Outcome: Educated and experienced employees.

Strategy 3.1.1: Develop an employee career path.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Develop Employee Career Path	August 2015	Director, Supervisors, Human Resources, Commissioner's Office
2. Create staff awareness to understand the career path available	Ongoing	Director, Supervisors, Human Resources, Commissioner's Office

Strategy 3.1.2: Establish a Field Operations Manager Position

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Assess personnel needs	May 2015	Director
2. Expand cap	August 2016	Director, Human Resources, Commissioner's Office
3. Create register	September 2016	Human Resources
4. Review applications	within 5 days	Director, Human Resources
5. Interviews	within 10 days	Director, Human Resources
6. Approve candidates	within 14 days	Human Resources, Commissioner's Office
7. Offer/Hire Staff	upon approval	Director, Human Resources

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Objective 3.2: Assist with participation of inspectors at state and national professional meetings.

Strategy 3.2.1: Change 815 KAR 35:015 to require 18 continued education hours for Electrical Inspectors.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Make the necessary changes to 815 KAR 35:015 through Legislative process.	August 2016	Director, General Counsel, Commissioner's Office

Strategy 3.2.2: Strengthen partnership between Electrical Division, Department's and IAEI Leadership.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Establish a meeting date to come together to discuss ways to partner	July 2014	Director, Supervisors, Commissioner's Office
2. Send invitation to attend the meeting at the Department	15 days before established meeting date	Director, Supervisors, Commissioner's Office

Objective 3.3: Provide badges to inspectors

Strategy 3.3.1: Provide training to inspectors regarding usage of badges.

Action Plan:

Task/Activity	By When	Person (s) Responsible
1. Establish a meeting with Executive Management to discuss badge issue	August 2014	Director, Inspection Supervisor, General Counsel
2. Create and train inspectors on proper procedures to use badge	October 2014	Director, Inspection Supervisor, General Counsel

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Goal 4. Increase safety equipment provided to inspectors

Objective 4.1: Establish a list of needed safety equipment.

Task/Activity	By When	Person (s) Responsible
1. Complete a needs assessment of safety equipment	July 2015	Director, Inspection Supervisor, Inspectors
2. Create a list of safety equipment to be provided	July 2015	Director, Inspection Supervisor, Inspectors
3. Purchase equipment	July 2015	Director, Inspection Supervisor, Inspectors, Administrative Services

Division of Fire Prevention

Goal 1: Develop career path for Division of Fire Prevention employees. Identify professional development opportunities using state sponsored classes.

Objective 1.1: Division management will identify specific certifications associated with various positions within the discipline by July 2014.

Performance Indicators:

Output: Work through budget to identify means to support career development. Require each employee to attend at least three classes for career development.

Outcome: Complete career path established for specific jobs.

Strategy 1.1.1: Identify and pull together specific job/position descriptions.

Action Plan:

Task/Activity	By When	Person Responsible
1. Create task force of Fire Prevention employees to review position descriptions	May 2014	State Fire Marshal, Human Resources
2. Task force meets to review position descriptions	May 2014	State Fire Marshal Task Force, Human Resources
3. Meet with Executive Leadership to review.	June 2014	State Fire Marshal, Commissioner's Office

Goal 2: Replace Fire Prevention fleet with agency owned vehicles.

Objective 2.1: Identify fleet vehicles to be replaced based on maintenance and mileage overages.

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Performance Indicators:

Output: Develop replacement schedule for fleet vehicles.

Outcome: End fleet vehicles and have agency owned vehicles.

Strategy 2.1.1: Prioritize operating budget in a manner that sets aside revenues for the purchase of two to three vehicles to replace fleet vehicles.

Action Plan:

Task/Activity	By When	Person Responsible
1. Audit current fleet vehicles	August 2014	Director, Assistant Director
2. Identify cost savings	January 2015	Director, Assistant Director, Commissioner's Office
3. Purchase vehicles	July 2015	Director, Assistant Director, Commissioner's Office

Goal 3: Develop and host a life safety public education conference.

Objective 3.1: Host an annual conference which creates an opportunity/track of continuing education for trade professionals.

Objective 3.2: Host an annual conference which creates an opportunity/track of continuing education for fire service personnel.

Strategy 3.1.1: Create a team and host an organizational meeting.

Action Plan:

Task/Activity	By When	Person Responsible
1. Create and name a Life Safety Public Education Conference Team	January 2015	State Fire Marshal
2. Establish and hold an organization meeting	January 2015	State Fire Marshal, Commissioner's Office
3. Elect a Chair and Vice Chair at Organization Meeting	January 2015	Chair, Commissioner's Office
4. Establish regular meetings	January 2015	Team, Commissioner's Office
5. Distribute action plan and activities to team members	January 2015	Chair/State Fire Marshal

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Goal 4: Increase Division's workplace efficiencies through use of new technologies.

Objective 4.1: Provide the Division of Fire Prevention personnel with equipment and knowledge to deliver expedient, quality service to customers.

Strategy 4.1.1: Apply for state and federal grants to assist with securing equipment and programs.

Action Plan:

Task/Activity	By When	Person Responsible
1. Seek funding sources (Federal and/or National Associations)	Ongoing	Policy Advisor, State Fire Marshal, Assistant Director, Commissioner's Office

Goal 5: Replace personnel lost to budget cuts.

Objective 5.1: Apply for state and federal grants to assist with personnel

Strategy 5.1.1: Provide career path for employees.

Task/Activity	By When	Person (s) Responsible
1. Develop employee career path	August 2015	State Fire Marshal, Assistant Director, Human Resources, Commissioner's Office
2. Create staff awareness so they understand the career path available	Ongoing	State Fire Marshal, Assistant Director, Supervisors, Human Resources, Commissioner's Office

Strategy 5.1.2: Seek to realign organizational structure with adequate supervisory and management in place to provide proper oversight.

Action Plan:

Task/Activity	By When	Person Responsible
1. Review Organizational Structure	July 2014	Director, Assistant Director, Commissioner's Office
2. Discuss with Executive Leadership	July 2014	Director, Human Resources, Commissioner's Office
3. Implement new organization structure	August 2014	Director, Human Resources, Commissioner's Office

Department of Housing, Buildings and Construction

Division of HVAC

Goal 1: Retain current staff by developing an attainable career path.

Objective 1.1: Program re-organization that includes Administrative Section, Plan Review, and new position of Field Supervisor for field staff.

Performance Indicators: Includes training of staff to obtain certifications required for new positions to be funded by fee increases and new fees from continuing education.

Action Plan:

Task/Activity	By When	Person Responsible
1. Establish Administrative Section.	January 2015	Director
2. Establish Field Supervisor position.	July 2015	Director
3. Establish HVAC Plan Review program, process, and position.	July 2016	Director
4. Establish Compliance Section	July 2017	Director
5. Training for certifications.	On going	Field Ops Manager

Goal 2: Complete Permitting & Inspection program by seeking to expand statutes and regulations to include replacement HVAC systems.

Objective 2.1: Position the Division, through re-organization, to be able to handle the additional workload associated with potentially more than doubling the number of permits received.

Performance Indicators: Sponsor Cabinet and HVAC Board approved bills through the legislative process.

Action Plan:

Task/Activity	By When	Person Responsible
1. Prove to HVAC Board that Division is maintaining existing workload.	May 2015	Director
2. Draft Department sponsored change to existing statutes.	August 2015	Director, General Counsel, Policy Advisor
3. Find Legislative Sponsor to file a Bill.	2016 General Assembly	Commissioner's Office, General Counsel
4. If passed, develop implementation plan and fees.	July 2016	Commissioner's Office, General Counsel, Budget Officer

5. Hire additional staff.	September 2016	Director, Field Operation Manager
6. Implement plan	January 2017	Director, Field Operation Manager

Goal 3: Attract and retain HVAC licensees by relaxing existing statutes that currently limit or restrict new applications and/or renewals.

Objective 3.1: Submit Department drafted language to a legislative sponsor to change existing statutes in each session of the General Assembly until it passes.

Action Plan:

Task/Activity	By When	Person Responsible
1. KRS 198B.664-Change from a 90 day grace period for license renewal to 3 years.	2014 Session	Director, Commissioner's Officer, General Counsel, Policy Advisor
2. Change to allow inactive status for journeyman licenses.	2014 Session	Director, Commissioner's Officer, General Counsel, Policy Advisor
3. KRS 198B.658-Change to allow military or out of state HVAC experience to qualify for master and journeyman licensure.	2014 Session	Director, Commissioner's Officer, General Counsel, Policy Advisor

Goal 4: Elevate consumer awareness through education programs and public service announcements to minimize HVAC problems and complaints.

Objective 4.1: Work with Cabinet to secure money for public service announcements. Also, funds could possibly come from federal grants and revenue from continuing education class.

Action Plan:

Task/Activity	By When	Person Responsible
1. Billboard campaign, especially in border towns.	January 2017	Cabinet Office of Communications and Outreach Executive Director, Commissioner's Office
2. Radio PSA's	January 2016	Cabinet Office of Communications and Outreach Executive Director, Commissioner's Office

Goal 5: Enhance continuing education program to increase skill level of licensees and improve submission process for renewal.

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Objective 5.1: Develop division taught classes that teach HVAC to licensees. Align HVAC with other divisions within HBC to provide electronic submission of CEU credit by the provider to the Division.

Action Plan:

Task/Activity	By When	Person Responsible
1. Electronic CEU submission.	April 2015	Director
2. Develop Division taught code class.	July 2016	Team
3. Develop a plan to implement the class.	October 2016	Team
4. Implement training class	January 2017	Director, Field Operation Manager

Division of Plumbing

Goal 1: The Division of Plumbing would like to institute a plan where each employee would be given the opportunity for attaining self motivated goals that would advance their careers through education and the acceptance of added responsibilities.

Objective 1.1: Create a more efficient career path for employees who are willing to take on added responsibilities that will help the division be more proficient in the services it provides to the citizens of the Commonwealth of Kentucky.

Performance Indicators

Output: Maintain a staffing level of a minimum of 70 employees.

Outcome: Have staffing replacements completed within 90 days of vacancy.

Strategy 1.1.1: Study and determine economic impact on the current budget.

Action Plan:

Task/Activity	By When	Person Responsible
1. Work with office of State Budget Director to determine overall expenditures of career path plan.	May 2015	Director, Departmental Budget Analyst
2. Work with HR to create new position descriptions for each position.	August 2015	Director, Internal Policy Analyst III, Human Resources
3. Present career path plan to State Plumbing Code Committee for review and discussion with regard to the amount of expenditures applied to the plan.	June 1 2015	Director

4. Implement training of the Kentucky Residential Building Code for plumbing inspectors.	February 2016	Director of Plumbing, Director of Building Code Enforcement
5. Provide examinations once yearly for those who qualify	As applicants meet qualifications per position description	Division of Plumbing, ICC Online Testing

Goal 2: Balance budget for Division of Plumbing so that our expenditures are in line with revenue.

Objective 2.1: Increase revenue through plumbing permits fee increase.

Performance Indicators: Create a balanced budget where we maintain staffing at no less than 70 employees, institute a vehicle replacement policy, create an active career path plan, pay for annuity retirement charges, pay for all Jurisdiction Online fees and cover all costs associated with COT.

Outcome: To have a balanced budget for Fiscal Year 2016 and beyond.

Strategy 2.1.1: Present a transparent budget analysis to the Plumbing Code Committee so that they are more aware of our current expenditures and revenue projections.

Action Plan:

Task/Activity	By When	Person Responsible
1. Create a balanced budget maintaining staffing at no less than 70 employees	August 2014	Director, Internal Policy Analyst II, Internal Policy Analyst III, Budget Officer, Commissioner's Office
2. Present complete financial analysis report to State Plumbing Code Committee for review and discussion concerning plumbing installation permit fees	August 2014	Director, Internal Policy Analyst II, Internal Policy Analyst III, Budget Officer, Commissioner's Office
3. Prepare outline budget for approval by State Plumbing Code Committee for review and approval	August 2014	Director, Internal Policy Analyst II, Internal Policy Analyst III, Budget Officer, Commissioner's Office
4. Submit approved budget recommendations to Cabinet	October 2014	General Counsel, Director, Budget Officer, Commissioner's Office
5. Submit approved budget recommendations along with fee increases to LRC	As approved by Cabinet and office of Legal Services	General Counsel, Director, Budget Officer, Commissioner's Office,

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6. Implement all plans related to budget approval	Immediately upon approval by LRC	Director, Budget Officer, Commissioner's Office

Goal 3: Develop and enact legislation to implement a tracking program for testable backflow devices.

Objective 3.1: For the safety of the water distribution systems located within the buildings of the Commonwealth of Kentucky, the Division of Plumbing would implement a program that would track the testing of all testable backflow devices located therein.

Performance Indicators:

Output: Create a safe water distribution system whereby foreign substances cannot be introduced in potable water systems.

Outcome: Provide a safe source of potable water for citizens of the Commonwealth.

Strategy 3.1.1: Gather research data for the purpose of determining scope of project and economic impact upon the Division.

Action Plan:

Task/Activity	By When	Person Responsible
1. Gather quantitative data so as to be able to accurately perform economic impact analysis for a better understanding of how many testable backflow prevention devices are installed in Kentucky.	January 2016	Director, Internal Policy Analyst II, Internal Policy Analyst III
2. Review data with Plumbing Code Committee so that an understanding is made as to how many devices we are dealing with and the size and scope of program required.	February 2016	Director, Internal Policy Analyst II, Internal Policy Analyst III, Commissioner's Office
3. Present preliminary program to the Cabinet for review.	March 2016	Director, Internal Policy Analyst II, Internal Policy Analyst III, Commissioner's Office
4. Upon Cabinet approval present final program submission to Plumbing Code Committee for final approval.	May 2016	Director, Internal Policy Analyst II, Internal Policy Analyst III, Commissioner's Office
5. Upon approval of Plumbing Code Committee, forward to office of Legal Counsel for submission to LRC.	Contingent upon Approval	Director, Internal Policy Analyst II, Internal Policy Analyst III, Commissioner's Office

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Goal 4: Implement a wireless program to allow field staff to enter inspections in real time.

Objective 4.1: Equip all field staff with tablets and phone with data program capability allowing access to wireless reporting systems utilized by the Division.

Performance Indicators:

Outcome: All field inspectors will be equipped with tablets as well as phones that utilize wireless functionality.

Strategy 4.1.1: Implement new Windows based tablets and phones that will operate with current data systems utilized by the Division for the purpose of increasing proficiency for the field staff, making the Division more productive.

Action Plan:

Task/Activity	By When	Person Responsible
1. Equip all field staff with Smart phones	Fall 2014	Field Operations Manager
2. Equip all field staff with Windows based Tablets	Fall 2014	Field Operations Manager
3. Provide Training for use of new phones and tablets	Fall 2014	Field Operations Manager
4. Training on updated and/or new programs	Ongoing	Field Operations Manager, IT Developmental Staff

Goal 5: Develop and implement a re-organization within the Division of Plumbing.

Objective 5.1: To more accurately reflect the Division's current size and scope of services currently being provided. The Division needs to implement a re-organization for the purpose of improved services and productivity.

Performance Indicators:

Outcome: A more streamlined operating production model.

Strategy 5.1.1: Evaluate positions and locations being utilized by the Division to serve the citizens of the Commonwealth.

Action Plan:

Task/Activity	By When	Person Responsible
1. Update all position descriptions.	January 2015	Director, Internal Policy Analyst II, Internal Policy Analyst III, Human Resources
2. Present Updated Position Descriptions to employees for	June 2015	Director, Internal Policy Analyst II, Internal Policy Analyst III, Human

signature.		Resources
3. Review all aspects of career path plan with Human Resources so that these positions will fall within new position descriptions.	August 2015	Director, Internal Policy Analyst II, Internal Policy Analyst III, Human Resources
4. Implement all updated position descriptions.	January 2016	Director, Internal Policy Analyst II, Internal Policy Analyst III, Human Resources

Boiler Inspection Section

Goal 6: To fully implement the regulatory requirements of 815 KAR Chapter 15 Section 5 for all repairs to be made in accordance with the National Board Inspection Code.

Objective 6.1: Require all contractors performing repairs to hold a National Board "R" stamp and submit all the appropriate National Board "R" forms.

Performance Indicators:

Output: Require all contractors performing repairs to hold a National Board "R" Stamp and submit appropriate National Board "R" forms.

Outcome: By January 2, 2015, require all applicable repairs to have "R" Stamp applied.

Strategy 6.1.1: Implement requirement for all repairs to be performed in accordance to the National Board Inspection Code by "R" stamp holders.

Action Plan:

Task/Activity	By When	Person Responsible
1. Review requirements in 815 KAR 15.	July 2014	Boiler Board, Chief Inspector
2. Meet with Legal to determine action.	Ongoing	Chief Inspector, General Counsel
3. Draft notification letter.	July 2014	Chief Inspector, General Counsel
4. Mail notification letter.	July 2014	Chief Inspector, General Counsel
5. Implement R Stamp requirement.	January 2015	Boiler Section

Goal 7: To Provide updated and specific training through the National Board of Boiler and Pressure Vessels on the latest code.

Objective 7.1: Ensuring that all inspectors are working off of the same information and training to ensure uniformity of inspections across the Commonwealth.

Department of Housing, Buildings and Construction

Performance Indicators:

Outcome: Uniformity of inspections across the Commonwealth.

Strategy 7.1.1: Utilize the training facility at the National Board Boiler and Pressure Vessel Inspectors, in Columbus, Ohio, to ensure that all inspectors are trained on the latest codes, inspection procedures and requirements.

Action Plan:

Task/Activity	By When	Person Responsible
1. Determine the training needed as well as expenses	July 2014	Chief Inspector
2. Determine availability and scheduling	July 2014	Chief Inspector
3. Begin rotation of inspectors and training programs	August 2014	Chief Inspector
4. Have all inspector training completed	December 2015	Chief Inspector

Goal 8: To increase inspection staff to ensure complete coverage of the inspection areas and provide better service to the contractors and general public for both new and existing object inspections.

Objective 8.1: Increase current staffing levels.

Performance Indicators:

Outcome: Increase productivity and services to the Commonwealth for inspections on boiler vessels.

Strategy 8.1.1: Provide needs analysis for position increases to Human Resources and Office of State Budget Director.

Action Plan:

Task/Activity	By When	Person Responsible
1. Evaluate the number of employees needed	July 2014	Chief Inspector
2. Begin justification process	July 2014	Chief Inspector
3. Post positions for availability.	August 2014	Chief Inspector, Human Resources
4. Interview and fill needed positions.	December 2014	Chief Inspector, Human Resources, Commissioner's Office