



PUBLIC PROTECTION CABINET STRATEGIC PLAN

2010-2014



ROBERT D. VANCE
SECRETARY

PUBLIC PROTECTION CABINET
STRATEGIC PLAN
2010-2014

DATE OF ORIGIN OCT. 15, 2009 (PER KRS 48.810-STRATEGIC PLAN)

UPDATED OCT. 13, 2011 (PER KRS 48.810-STRATEGIC PLAN)

Cabinet /Agency

Cabinet Budget Number: 58
Cabinet Name: Public Protection Cabinet

Strategic Plan Origination Date

Oct. 15, 2009

I. Mission Statement

The mission of the Public Protection Cabinet is to provide for public safety, consumer protection and financial integrity through the enforcement and administration of laws and regulations.

II. Vision Statement

The Cabinet will carry out its responsibilities with integrity, accountability, transparency and innovation; will have a trained and motivated workforce; and will meet the customer service needs of its internal and external stakeholders.

III. Organizational Core Values

The Public Protection Cabinet and its employees will provide high-quality consumer protection. The following core values guide its employees to fulfill the Cabinet's mission and vision:

- **Effective and Efficient Operation:** We will wisely use the resources entrusted to us by the citizens of the Commonwealth to ensure maximum public benefit for each dollar invested.

- **Transparency:** We will promote public and employee confidence by providing timely access and understandable information regarding all programs and initiatives of Cabinet agencies.
- **Professionalism:** We will provide quality services through accountability, innovation and a highly-qualified workforce.
- **Integrity:** We will be honest, fair and impartial.
- **Teamwork:** We will promote an atmosphere that provides for input and cooperation among co-workers, agencies, and constituencies.

**IV. Statement of Alignment
With the Governor’s Strategic Themes/Goals**

The agencies of the Public Protection Cabinet touch the lives of most Kentuckians, and, as this strategic plan discusses, the Cabinet intends to operate with the highest level of professionalism, and mindful of the Governor’s commitment to integrity and superior public service.

The Cabinet will foster and support a regulatory program that promotes the Governor’s intent to create and protect 21st century jobs. Our agencies will support statutes and regulations in ways that are hospitable to progressive economic development while ensuring the public is secure.

Similarly, the Cabinet will assist in ensuring safe communities for all Kentuckians. Our agencies are dedicated to enforcement that deters, if not prevents, wrongful conduct against Kentucky citizens, sanctions culpable parties appropriately, and ensures integrity in the public’s financial and business affairs.

Last, inherent in the Cabinet’s work is providing ethical, transparent, and honest state government. The Cabinet is dedicated to being responsive to its licensees and other internal and external constituencies; thoughtful and fair in our consideration of the law that we administer; and forthright concerning the impact of our words and deeds in people’s lives.

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

The 2010-2014 biennial budget request for the Public Protection Cabinet was prepared to address the overall mission, strategic goals and objectives that are included in the Cabinet’s strategic plan for 2010-2014. Funding requested at the baseline, defined calculation, growth and additional levels is necessary for the Public Protection Cabinet to have the financial resources to implement

programs and initiatives which will be instrumental in accomplishing the goals and objectives of the Cabinet's strategic plan.

VI. Situation Analysis/Environmental Analysis

Overview of the Public Protection Cabinet

Pursuant to Executive Order 2009-535, Governor Steve Beshear reorganized the former Environmental and Public Protection Cabinet into three cabinets: the Energy and Environment Cabinet, the Public Protection Cabinet, and the Labor Cabinet. As a result of the elevation of the Department of Public Protection to the Public Protection Cabinet, efficiency measures were implemented to provide the highest quality of customer service, cost savings, more direct accountability for the secretary over agency operations, and allow for the consolidation of substantial management functions.

The Office of the Secretary of the Public Protection Cabinet consolidates pertinent cabinet-wide operations, including relevant support staff, previously situated in the Office of the Secretary of EPPC and the Department of Public Protection. More specifically, the Office of the Secretary includes an Office of Communications and Public Outreach and an Office of Legal Services, both of which continue to provide some services to programs that move to the Energy and Environment Cabinet and the Labor Cabinet in the EPPC reorganization.

OLS consists of an Executive Director's Office and five legal divisions. The Executive Director's Office oversees all legal and administrative operations in OLS, serves as front-line counsel to the Office of the Secretary (including on open records and open meetings matters, legislation and regulations, and the ethics laws), and supports the agencies throughout the Cabinet as needed. The Executive Director's Office currently consists of the Executive Director, a Deputy Executive Director, one Staff Attorney III, and one Executive Secretary II. The five legal divisions are assigned to represent each of the five principal programmatic agencies in the Cabinet.

The Office of Communications and Public Outreach (OCPO) is part of the Public Protection Cabinet but serves as the Communication and Outreach agency for the Energy and Environment Cabinet and the Labor Cabinet as well. The OCPO provides consultative assistance to the departments, divisions and offices in each of the three cabinets. The OCPO distributes critical policy and communications information both internally and externally through news releases, advisories and Internet postings. The audiences for the office include both internal employees of the three cabinets as well as the regulated community, businesses, non-profit agencies, educational institutions and news organizations as well as the public at large.

The OCPO is responsible for ensuring cabinet publications, such as reports, news releases and published articles conform to the OCPO's Communications Policy. The office also reviews all Web pages produced by EEC and PPC cabinet staff before the pages go "live" on the Internet.

The Public Protection Cabinet continues to share some administrative and legal services with the regulatory agencies now a part of EPPC that were moved to other Cabinets. General, federal, and restricted agency funds will support the shared services operations, which are provided for through detailed memoranda of agreements. General Administration and Program Support Shared Services (“GAPS Shared Services”) and the Office of Inspector General Shared Services (“OIG Shared Services”) are attached to the Labor Cabinet and used by all three cabinets. GAPS Shared Services perform certain administrative functions such as fiscal, payroll, budget, and personnel on behalf of the Public Protection Cabinet. GAPS Shared services also include an information technology management component. GAPS Shared Services is headed by an executive director and have four divisions: Human Resources Management; Fiscal Management; Budgets; and Information Services. The Office of the Inspector General for Shared Services is headed by an executive director and has one branch, the Executive and Criminal Investigations Branch, with two sections: the Criminal Investigations Sections and the Executive Support Section.

There are five major programmatic departments in the Public Protection Cabinet: the Department of Housing, Buildings, and Construction; the Department of Alcoholic Beverage Control; the Department of Financial Institutions; the Department of Charitable Gaming; and the Department of Insurance. Under the EPPC reorganization, the agencies have become more efficient and streamlined and have structures that more accurately reflect their operations. These Departments report directly to the secretary of the Cabinet and thereby eliminate an intermediate reporting level that existed in EPPC via a commissioner.

Additionally, the Office of Occupations and Professions, formerly in the Finance and Administration Cabinet, is now in the Public Protection Cabinet. That agency provides general administrative services to a number of state boards and commissions that regulate business and professional fields and do not maintain independent staff support.

The Board of Claims and Crime Victims Compensation Board, the Kentucky Board of Tax Appeals, the Kentucky Boxing and Wrestling Authority, and the Kentucky Horse Racing Commission are attached for administrative purposes to the Public Protection Cabinet.

The operations of all of the Cabinet’s agencies are discussed in more detail below:

The Department of Alcoholic Beverage Control

The Department of Alcoholic Beverage Control regulates the alcoholic beverage industry by licensing the production and sale of alcoholic beverages, enforcing state liquor laws, and prohibiting tobacco sales to minors.

The Department of Alcoholic Beverage Control includes three branches, the Administrative Services Branch, the Education and Training Branch, and the Information Technology Branch. Two of the Department’s divisions, the Division of Distilled Spirits and Division of Malt Beverages, have no branches and each oversee alcohol licenses that are applied for and issued in

their respective areas. The third division, the Division of Enforcement, includes an Investigative Branch with three regional sections and an Operational Branch with no sections.

The Department of Charitable Gaming

The Department of Charitable Gaming regulates state charitable gaming laws and regulation through public education, inspections, and licensing. The Department of Charitable Gaming is separated into two divisions. The Division of Licensing and Compliance houses two branches, the Licensing Branch and Compliance Branch. Likewise, the Division of Enforcement houses two branches, the Audit Branch and the Investigations Branch.

The Department of Housing, Buildings, and Construction

The Department of Housing, Buildings, and Construction regulates the construction of buildings through enforcement of building and fire codes. Accordingly, the department includes the Housing, Buildings, and Construction Board and the two branches, the Information Technology Branch and the Administrative Services Branch. Four divisions exist within the Department of Housing, Buildings, and Construction.

The Division of Fire Prevention is headed by the state fire marshal and has two branches, the State Fire Marshal Branch A, with a General Inspections Section and Fire Prevention Systems Section, and State Fire Marshal Branch B, with a Hazardous Materials Section.

The Division of Plumbing includes the Boiler Inspection Section and the Boiler Board and the Plumbing Code Committee; the Plan Review Branch has no sections; and the Field Operations Branch with nine regional sections.

The Division of HVAC will include the Kentucky Board of Heating, Ventilation, and Air Conditioning Contractors with no sections, and the Field Operations Branch, with six sections established anew this year to accommodate forthcoming changes in statewide inspection requirements.

The Division of Building Code Enforcement includes the Plan Review Sections A, B, and C, the Support Section, and a Field Operations Branch with three regional sections. In the Division of Building Code Enforcement, the Elevator Inspection Section, the Electrical Licensing Section, Electric Inspection Section including the Electrical Advisory Committee, and the Manufactured Housing Section (which includes the Manufactured Housing Licensure and Certification Board), remain with the Division of Fire Prevention.

The Department of Financial Institutions

The Department of Financial Institutions (DFI) charters, licenses, and regulates all state banks and branches, trust departments, independent trust companies, state credit unions, state savings and loan associations, consumer and industrial loan companies, mortgage loan companies, mortgage loan brokers, companies selling money orders, check-cashing institutions, money

transmitters, and consumer and industrial loan companies. The DFI also regulates all securities activities in the state and provides regulatory oversight of broker dealers, investment advisers, and issuer agents.

The DFI has three programmatic Divisions: the Division of Depository Institutions, the Division of Non-depository Institutions, and the Division of Securities. The DFI also contains two branches: an Administrative Services Branch and an Information Technology Branch.

The Division of Depository Institutions consists of a Bank Branch and a Credit Union Branch. The Bank Branch has three distinct district offices located in Louisville, Frankfort, and Bowling Green.

The Division of Non-depository Institutions has a Compliance Branch and a Consumer Protection Branch. The Compliance Branch includes a Louisville examination section, which is responsible for registering and licensing non-depository entities that provide financial services to Kentucky residents. The Compliance Branch also conducts periodic examinations of the aforementioned licensed entities. The Consumer Protection Branch was formed in 2010 to investigate consumer complaints and provide enhanced public projections relating to non-depository lending activities.

The Division of Securities includes the following branches: a Compliance Branch, an Enforcement Branch, and a Licensing and Registration Branch. None of the branches have sections. A new Prosecution Assistance Unit was formed 2011 and devotes attention to matters involving securities fraud.

The Department of Insurance

The Department of Insurance regulates property, casualty, life, and health insurance companies operating in the state through the control of coverage and market practices and administer testing and issuance of licenses to insurance agents as well as investigating civil and criminal complaints.

Three of the Department's divisions, the Division of Financial Standards and Examination, the Division of Insurance Fraud Investigation, and the Division of Kentucky Access, exist with no further organizational structure. The balance of the department includes some structural changes from EPPC, as described below.

The reorganization transferred the bulk of the State Risk and Insurance Division, which administers the State Fire and Tornado Fund and procures state insurance for state-owned properties, to the Finance and Administration Cabinet, which incorporates the division into its existing services related to state-owned properties. The change eliminated an intermediary and allows the Finance and Administration Cabinet to streamline these functions. The division also includes the state Mine Subsidence Insurance Fund, which employs only one person, is distinct from the division's other services, and is separately provided for in the state insurance laws; accordingly, the Department of Insurance consolidated that program into the Property and

Casualty Division, which established an Administrative Support Section supported by the Fund. The previous reorganization of EPPC transferred the program to the Division of Financial Standards and Examination.

Several divisions within the department include: the Health and Life Division, which houses the Health Policy Forms and Rate Filing Branch, the Health Policy Utilization Review Branch and the Health Care Reform Review Branch.

The Consumer Protection Division includes an Administrative Support Section to improve the availability of administrative support throughout its operations; an Enforcement Branch with a Property and Casualty Section, and a Life and Health Section; a Market Conduct Branch and a Health Care Reform Ombudsman Branch. The division's Education Branch has been abolished in favor of a Communications and Public Outreach Branch established in the Commissioner's Office. The Commissioner's Office also includes the Administrative Services Branch and the Information Technology Branch.

The Division of Agent Licensing has established a Compliance and Continuing Education Branch with an Examination Section. Additionally, there is a Licensing Branch, to improve programmatic functions and the execution of the division's duties.

The Kentucky Horse Racing Commission

The Kentucky Horse Racing Commission is attached for administrative purposes to the Public Protection Cabinet. The Kentucky Horse Racing Commission consists of four divisions (without branches): the Division of Licensing, the Division of Incentives and Development, the Division of Veterinary Services, and the Division of Security and Enforcement. The Kentucky Horse Racing Commission itself consists of board members who are appointed by the Governor and is headed by an executive director who is likewise appointed by the Governor.

The Kentucky Horse Racing Commission acts as an independent agency of state government charged with the responsibility of regulating the conduct of horse racing and pari-mutuel wagering on horse racing and related activities within the Kentucky. The secretary of the Public Protection Cabinet is an ex officio member of the Commission.

Office of Occupations and Professions

Pursuant to KRS 224.10-.052, this office provides administrative support to approximately 23 independent boards and commissions and is housed in the General Government Cabinet. The office's services include processing applications, maintaining databases, fee collection, and budget management. The Executive Director works for uniformity, where possible, to increase efficiency. The office assigns an administrator to each board or commission to meet individualized needs.

The Board of Claims and Crime Victims Compensation Board

The Crime Victims Compensation Board (CVCB) consists of five members appointed by the Governor to four-year terms. Attached administratively to the Public Protection Cabinet, the CVCB provides financial assistance for innocent victims of violent crime. The Board of Claims consists of the same membership as the CVCB, and decides negligence claims filed against the state.

The Kentucky Board of Tax Appeals

The Kentucky Board of Tax Appeals is attached for administrative purposes to the Public Protection Cabinet. The Kentucky Board of Tax Appeals consists of board members who are appointed by the Governor. The board provides an independent, impartial, and neutral forum for hearing and resolving disputes on tax issues in a timely, cost-effective alternative to the court system. It has no branches.

The Kentucky Boxing and Wrestling Authority

The Kentucky Boxing and Wrestling Authority oversees all of Kentucky's professional boxing, wrestling, and full contact competitive bouts and exhibitions. The agency is administratively attached to the Public Protection Cabinet. The Governor appoints the five board members of the Authority, with the Secretary of the Public Protection Cabinet or his designee as an ex officio voting member. The Secretary or designee also serves as Executive Director, until such time the Authority has met certain statutory requirements.

Statutory Authority

The Public Protection Cabinet, and its respective departments and agencies, has been delegated authority under the following KRS chapters to administer statewide regulatory programs: Kentucky Horse Racing Commission, KRS Chapter 230; Kentucky Boxing and Wrestling Authority, KRS Chapter 229; Board of Claims and Crime Victims, KRS Chapter 44.070-.340 and Chapter 346; Kentucky Board of Tax Appeals, KRS Chapter 131.310-.370 & 133.120; Department of Housing, Buildings, & Construction, KRS Chapters 198B (Building Code), 227 (Fire Prevention and Protection), 227A (Electricians and Electrical Contractors), 234 (Liquefied Petroleum Gas and other flammable liquids), 236 (Boiler and Pressure Vessel Safety), and 318 (State Plumbing Code); Department of Financial Institutions, KRS Chapter 286 and KRS Chapter 292; Department of Insurance, KRS Chapter 304; Department of Alcoholic Beverage Control, KRS Chapters 241-244; Department of Charitable Gaming, KRS Chapter 238.

| |
|---|
| <h2><i>VII. Measurable Goals, Objectives & Key Performance Indicators</i></h2> |
|---|

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.

Performance Measure: Successful Passage of Cabinet/Agency Legislative Priorities.

Performance Measure: Monitor the implementation of legislation closely to ensure that appropriate laws and regulations are serving their necessary purpose and intent.

Performance Measure: Promulgate necessary Administrative Regulations.

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

Performance Measure: Solicit feedback annually from our stakeholders on whether the agency’s electronic capabilities are meeting the stakeholder needs in interacting with the agency.

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.

Performance Measure: Number of meetings held annually.

Performance Measure: Number of individuals participating in public relations forums to educate our regulated communities of their responsibilities.

- **Objective 1.2: Enhance Paperwork Reduction Efforts Cabinet Wide**

Tactic 1.2.1 Implementation of technology systems to streamline the paperwork process to improve efficiency and better accountability.

Performance Measure: Number of licensees who are in compliance with reporting requirements and regulations.

Performance Measure: Number of fines issued.

Performance Measure: Amount of time to complete agency processes.

Performance Measure: Feedback and recommendations from licensed entities.

Tactic 1.2.2: Enhance and automate internal distribution of information by using existing technology and resources across all Cabinet agencies.

Tactic 1.2.3: Develop Intranet File Sharing.

Performance Measure: Implementation of an Intranet File Sharing System by Jan. 1, 2014.

Tactic 1.2.4: Continue to develop and expand the Department of Alcohol Beverage Control STAR Program and the Department of Housing, Building, & Construction's Jurisdiction Online System.

Performance Measure: Implementation of enhancements to the STAR Program within the Department of Alcohol Beverage Control, and to the Jurisdiction Online Program within the Department of Housing, Building, and Construction by Jan. 1, 2014.

Tactic 1.2.5: Enhancements to Occupations and Professions phone system and information technologies to ensure efficiency and accountability.

Performance Measures: Implementation of phone system and information technologies upgrades by January 1, 2013.

Tactic 1.2.6: Use document imaging when possible and reduce the need for paper files.

Performance Measure: Increase percentage of files archived and/or Scanned into internal databases by 25 percent.

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

Performance Measure: Identify areas of coordination between Cabinets and agencies that have produced efficiencies that can consequently be measured in streamlined productivity.

- **Objective 1.4: Be proactive in detecting and investigating violations and applying enforcement efforts.**

Tactic 1.4.1 Publicize Departmental Actions

Performance Measure: Frequency of updates to reflect departmental actions to all stakeholders.

- **Objective 1.5: Identify and aggressively seek grant opportunities from all possible sources that are in alignment with agency strategic plans.**

Performance Measure: Number of grants applied/awarded to agencies within the Public Protection Cabinet.

- **Objective 1.6: Maximize Efficiencies by the Cross Training of employees in appropriate areas and workgroups.**

Performance Measure: Percentage of Employees that are cross trained within agencies.

- **Objective 1.7: Develop a state-wide fire inspection certification program establishing minimum credentials and full curriculum designed to provide fire inspectors and building code officials with proper training and continuing education necessary to conduct life safety inspections for local authorities.**

Performance Measure: Implementation of statewide fire inspection program.

- **Objective 1.8 Utilize the Office of the Inspector General.**

Tactic 1.8.1: Utilize efficiency auditing functions of the OIG to ensure that agency practices are streamlined, efficient, and effective.

Performance Measure: Amount of cost savings from efficiency audits performed and processes changed/implemented based on OIG recommendations.

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.**

Tactic 2.1.1: Develop and implement a plan to provide regular updates of regulatory changes.

Performance Measure: Frequency of updates on regulatory changes.

Tactic 2.1.2: Improve the efficiency and effectiveness of Department websites.

Performance Measures: Number of hits to website.

Tactic 2.1.3: 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.

Performance Measure: Frequency of Department of Charitable Gaming Training Sessions for Charity Representatives

Performance Measures: Frequency of Department of Financial Institutions events/literature to educate the public regarding financial literacy and consumer protection, especially for the elderly.

Performance Measure: Enhancements to Department of Alcohol Beverage Control STAR Program in providing training.

Performance Measure: Department of Insurance development and presentation of on-line training for industry and local government officials.

- **Objective 2.2: Provide timely, consistent and accurate responses to Customers.**

Tactic 2.2.1: Provide IT Services that allows Department of Housing, Building and Construction inspectors access to information from all HBC Divisions.

Performance Measure: Development and implementation of information sharing mechanisms for HBC inspectors.

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

Performance measure: Percentage of reports that are compiled and reported within their statutory timeframe.

Tactic 2.2.3: Develop and Maintain procedures for accepting, processing, and resolving (when possible) complaints received from customers regarding the activities of regulated entities.

Performance Measures: Timely turnaround times on processing customer inquiries and complaints with initial contact to customers within twenty-four hours.

Performance Measure: Timely turnaround times on licensure applications and agency processes.

Performance Measures: Change or enhance five efficiency processes as a result of customer feedback.

Cabinet Goal #3

Hire, train, and retain a knowledgeable, diverse, and effective workforce.

- **Objective 3.1: Provide programs to routinely update employees on departmental and industry issues.**

Tactic 3.1.1: Expand Department of Insurance internal conference calls used to educate/train employees about Department and Industry.

Performance Measure: Increase by five the number of initiatives to report industry issues into a consolidated source.

- **Objective 3.2: Promote a diverse and inclusive environment.**

Tactic 3.2.1: Integrate diversity and inclusivity material into employee development training.

Performance Measure: Provide feedback opportunities for employee development training participants.

Tactic 3.2.2: Establish hiring and retention strategies to encourage and produce a more diverse work force.

Performance Measure: The presence of a diverse workforce.

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

Tactic 3.2.3: Actively promote and encourage employees to apply for The Governor's Minority Management Trainee Program.

Performance Measure: Number of participants in The Governor's Minority Management Trainee Program.

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

Tactic 3.3.1: Educate and encourage employees to participate in statewide wellness campaigns, personal development programs, and training opportunities.

Performance Measure: Number of employees participating in statewide wellness campaigns, personal development programs and 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 the GAPS DHRM Training Branch.

Performance Measure: The implementation of enhanced educational and training programs by Jan.1, 2014.

Tactic 3.4.2: Modify new employee orientation training.

Performance Measure: Implementation of modifications to new employee orientation training. Annual review of course curriculum.

Tactic 3.4.3: Utilize SharePoint to provide training opportunities via the intranet.

Performance Measure: Increased number of training opportunities offered via the internet.

Tactic 3.4.4: Develop a management and supervisory training program.

Performance Measure: Development and implementation of a management and supervisory training program by Jan.1, 2014.

Performance Measure: Number of managers who complete the training program.

Tactic 3.4.5: Develop leadership topics training on a regular basis.

Performance Measure: Quarterly training.

Tactic 3.4.6 Work with Cabinet agencies to identify specific job skills and training that can further improve the work force.

Performance Measure: Solicit feedback biannually from agencies to identify job skills and training that can enhance the workforce.

Tactic 3.4.7: Develop a system to recognize and reward job-related learning.

Performance Measure: Implementation of a system to recognize job related learning by Jan. 1, 2014.

Tactic 3.4.8: Provide enhanced training and educational opportunities for enforcement officers and audit staff.

Performance Measure: Increased numbers of training opportunities provided for enforcement officers and audit staff.

Tactic 3.4.9: Require accurate and thorough employee evaluations.

Performance Measure: Supervisors must institute a Performance Improvement Plan (PIP) when performance fails to meet expectations by second interim evaluation.

Performance Measure: During each Interim Evaluation meeting discuss at least one assignment or activity performed during the interim period (Example, a particular inspection, examination, distinct job, etc.).

Performance Measure: Comments on Interim Evaluations address the individual employee, rather than using only standardized comments applicable to all employees of the evaluator.

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

Tactic 3.5.1: Employee sharing

Performance Measure: Report to the Secretary's Office no later than August 1 of each calendar year.

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

Performance Measure: Percentage of employees that are cross trained within agencies.

Tactic 3.5.3: Utilizing student intern programs.

Performance Measure: Number of student interns within Public Protection Cabinet agencies.

Tactic 3.5.4: Appropriate utilization of interim employees, retirees, and resource pooling.

Performance Measure: Report to Secretary's Office on number of employees used and their effectiveness by August 1 of each calendar year.

- **Objective 3.6: Retain quality employees.**

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

Tactic 3.6.2: Encourage managers to recognize excellent performance.

Tactic 3.6.3: Provide opportunities for employees to cross-training within the Cabinet and for career development and training outside of the Cabinet.

Tactic 3.6.4: Track turn-over rates by agency and analyze information to further develop retention strategies.

Tactic 3.6.5: 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.

Tactic 3.6.6: Value employee knowledge by developing new employee mentoring programs.

Tactic 3.6.7: Encourage employees to further their formal education through Employee Educational Assistance.

Tactic 3.6.8: Develop ways to recognize employees who contribute to increased productivity.

Performance Measure: Retention of quality employees within the Public Protection Cabinet.

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.

Performance Measure: Reduction of youth access and use of alcohol and tobacco products.

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.

Performance Measure: Regulatory compliance at each level of alcoholic beverage distribution: manufacturers, wholesalers/distributors and retailers.

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.

Performance Measure: Identify trends and report to the Office of the Secretary no later than August 1 of each calendar year.

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.

Performance Measure: Participation in uniformity and reciprocity agreements and expansion where needed to meet the needs of consumers and the marketplace.

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.

Performance Measure: Membership and leadership positions held by agency representatives on national boards and committees.

- **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 and applications.

Performance Measure: By Jan. 1, 2013 development of a working plan that identifies the IT needs (hardware, software, technical, personnel, funding) required to implement E-Forms.

Performance Measure: Progress reports on implementing e-Forms will be submitted to the Secretary no later than August 1st of each year (Note: Implementation will depend on funding availability and personnel resources).

Tactic 4.2.2: Provide for a favorable business climate to maintain Kentucky as the national leader in Captive Insurance Companies.

Performance Measures: Review statutes and administrative regulations to ensure that the business climate is attractive to these markets. Propose and promulgate administrative regulations to meet the needs of the Captive Insurance Markets.

Tactic 4.2.3: Continue timely turnaround of reviews by the Department of Housing, Buildings, and Construction to support growth in the construction industry

Performance Measure: Monthly reporting of applications within the Department of Housing, Buildings, and Construction. Review of average processing time of licenses, plan review, plumbing plan review etc.

Performance Measure: Measure agency backlog. Analyze backlog trends in agency data historically, annually, and quarterly.

Tactic 4.2.4 Promote the Breeders' Incentive Fund.

Performance Measure: Number of horses receiving benefits from the Breeders' Incentive Fund.

- **Objective 4.3 Establish a Task Force to study Comprehensive Revision of ABC Procedures, Laws, and Regulations**

Tactic 4.3.1: Reduce the number of ABC License Types

Performance Measure: Reduce number of ABC Licenses eighty-two current License Types into five categories: importers producers, wholesalers and distributors, retailers, and transporters.

Tactic 4.3.2: Repeal antiquated and out dated statutes and regulations

Performance Measure: Review and make recommendations for revisions to the statutes and regulations by Jan. 1, 2014 to the Secretary's Office.

Performance Measure: Progress reports will be submitted to the Cabinet Secretary no later than August 1st of each year.

Tactic 4.3.3: Extend the renewal expiration date of an ABC license from (1) to (2) or (4) years.

Performance Measure: Revision of renewal expiration dates by Jan. 1, 2014.

Tactic 4.2.4: Simplify the license renewal process.

Performance Measures: Develop strategies to streamline the license renewal process by Jan. 1, 2014.

Tactic 4.2.5: Expand ABC's web site to include licensing, regulatory, policy, and educational presentations and interactive tutorials to reduce the number of daily requests.

Performance Measure: Number of hits to agency website.

Performance Measure: Number of daily telephone inquiries.

Tactic 4.2.6: Stimulate licensee compliance rate using incentive and Reward programs.

Performance Measure: Number of licensees in compliance.

Baseline: Historical data from the last five years.

- **Objective 4.4: 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 4.4.1: 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.

Performance Measure: Continue to support legislation and promulgate regulations to address evolving issues within the equine industry.

Tactic 4.4.3: KHRC will continue to pursue the creation of an integrated agency database and information system.

Performance Measure: Implementation of an integrated agency database by Jan.1, 2013.

- **Objective 4.5: Support Kentucky’s economic growth and development through Cabinet’s participation in the Kentucky One Stop Business Portal.**

Tactic 4.5.1: Through the Kentucky Business One Stop Portal, provide user friendly and streamlined access to Cabinet Agencies and resources.

Performance Measure: Number of businesses utilizing Kentucky Business One Stop Portal.

***VIII. Strategic Plan Progress Report on
Goals & Objectives Operable in the Last year***
For information & guidance, see Progress Report Steps

As mentioned in earlier sections, pursuant to Executive Order 2009-535, the Public Protection Cabinet was established in 2008 as a result of the reorganization of the former Environmental and Public Protection Cabinet. The PPC Strategic Plan for 2010-2014 will serve as a baseline to measure our progress in meeting the goals and objectives of the reorganized Cabinet.