

# **Evaluating Umbrella Agency Practices**

#### **EXECUTIVE SUMMARY**

#### I. INTRODUCTION

The Council on Licensure, Enforcement and Regulation (CLEAR) has long provided objective research and analysis on "State of the Art" practices in regulatory oversight. To that end, CLEAR recently conducted a survey of occupational licensing practices for those states identified as employing an "umbrella agency" approach.

CLEAR has identified 23 states that undertake an "umbrella agency" approach to occupational licensing oversight. In this context, that means that these states centralize their regulatory boards under the auspices of one or two consolidated organizations. (Typically, when two such boards exist, one focuses on healthcare-related professions, while the other focuses on all other professions.) New Hampshire is the most recent state to have adopted this approach.

Working with OPLC leadership, CLEAR staff determined SurveyMonkey to be an appropriate platform for conducting this survey. SurveyMonkey offered several features that were thought essential to this project: the ability to utilize "logic branching" to ask specific follow up questions based on the outcome of previous questions; automated emails to facilitate non-response follow up and follow up on incomplete surveys; the ability to start and stop the survey, picking up where one leaves off; and cross-platform versatility, allowing respondents to participate utilizing any manner of computer, operating system, or mobile device.

#### II. METHODOLOGY

In early February, CLEAR staff met with OPLC representatives to identify potential topics for the survey. There was broad agreement that the questions should strike a balance; understanding that every state is unique in its regulatory and political environment, it was agreed that the survey should include language that was broad enough to measure universally-accessible practices, while also asking questions that were specific enough to elicit actionable and useful information. To maximize response, the survey was planned for no more than 50 questions and no more than 30 minutes to complete. A 50% response rate was determined to be an appropriate response goal, as several factors (short staffing, alternative staffing during the current Covid era, and the fact that many legislative settings were ongoing during this time of year) were identified. CLEAR staff developed the cohort of the survey, a mix of agency directors and, in some cases, deputy-level staff.

Final design work on the Umbrella Agency Survey was started on February 13. The survey was finalized at 50 questions and SurveyMonkey's diagnostics estimated a 24 minute response time. The survey cohort included at least one potential respondent from all 23 umbrella agency states, identified through a combination of internal CLEAR resources and follow-up calls when recent staffing changes were identified. The survey was emailed out on February 25, and gave an initial response deadline of March 12. This was always planned as a "soft deadline," providing the opportunity for additional followup as needed to maximize response. States were informed in the introductory materials that the survey results would be shared with all responding agencies. This provided a strong incentive to participation, and several states indicated that they looked forward to reviewing the cumulative survey results.

At the conclusion of non-response follow up, 16 of 23 umbrella agency states (70%) had submitted responses to the survey. The responding states are a good mix of large states and small states. There is good geographic diversity and narrative responses were found to be detailed and informative. When the survey was answered in one sitting, the average response time was 26 minutes. (Several states showed response times of a week or more, when the survey was started and stopped in mid-response.)

The nonresponse follow up process included a combination of automated emails and in-person outreach by CLEAR staff and consultant support. In four cases, it was determined that a better point of contact was appropriate, and new potential respondents were added to the cohort. No state refused to participate, and it is believed that any non-response was purely due to time constraints. Throughout this report, all comments from respondents are reported verbatim.

Altogether, CLEAR was pleased with the response to this survey. The response rate of 70% well exceeded the established goal of 50%. Survey responses were robust, with good answer diversity providing useful information and revealing the complexities of the regulatory environment. We are hopeful that this survey provides useful information to states, and we believe that this exercise lays the groundwork for future collaboration among directors of umbrella agencies throughout the nation.

#### Q1:

Let's get started by entering contact information for the lead staff member for your umbrella agency. This is typically a Director.

Identities and contact information for respondents available upon request. Surveys were returned by the states of Alaska, Colorado, Connecticut, Delaware, Idaho, Illinois, Mississippi, Montana, New Hampshire, South Carolina, Texas, Utah, Vermont, Virginia, Washington and Wisconsin.

#### 02:

Please provide a citation for the enabling statutary authority for your umbrella agency:

#### **RESPONSES/COMMENTS:**

Illinois 20 ILCS 2105

Washington Title 18 RCW

Alaska AS 08.01 is the overarching statute, but authority is sprinkled throughout board statutes within AS 08.

South Carolina SC Code Title 40-1, et seq.

Montana 37-1-101, Montana Code Annotated - Please note that information provided in survey only covers the

Professional Licensing Bureau. BSD also administers the Building Codes Bureau. Please see Org Chart.

New Hampshire RSA 310-A

Utah Code Section 58-1-103

Delaware Title 24 Delaware Code

Mississippi The department is authorized to regulate programs as they are assigned to the MSDH via legislation.

Vermont 3 V.S.A. 122

Colorado DORA: 24-34-101 DPO: 12-20-103

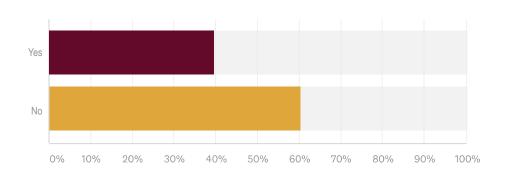
Idaho Statutory authority was provided to the Governor last year to reorganize boards into one umbrella agency.

See Idaho Code 67-2601, specifically subsection (4). In June, 2020, Governor Little issued Executive Order

2020-10 reorganizing boards into one umbrella agency.

Virginia https://www.dhp.virginia.gov/media/dhpweb/docs/laws-regs/Ch25\_DHP.pdf

Over the last five years, has your state adopted any new legislation that alters the authority of the umbrella agency?



#### **RESPONSES/COMMENTS:**

Illinois Public Acts 99-581, eff. 1-1-17; 100-230, eff. 8-18-17; 100-262, 100-286, eff. 1-1-18; 100-762, eff. 1-1-

19; 100-863, eff. 8-14-18; 100-872, eff. 8-14-18; 100-883, eff. 8-14-18; 100-1078, eff. 1-1-19; 101-81,

eff. 7-12-19; 101-221, eff. 1-1-20; 101-388, eff. 1-1-20

Washington Unknown bill numbers. 2018-2020 added authority to regulate DSHS institutions such as state mental

hospitals, increased mental health professional expansion and regulatory professions.

Montana HB 141 (2017) Provide for active supervision by the Commissioner of the Department of Labor & Industry of

board decisions that are anticompetitive or potentially anticompetitive.

New Hampshire HB 2 (2019) HB1520 (2020) HB1623 (2020) HB1240 (2020) HB586(2017)

Utah This question is confusing. Our fundamental authority hasn't changed, but we have dozens of bills each year

that affect our authority, or at least the professions we regulate and the way we regulate them. I don't have

time to compile a reference of them, so I am assuming you mean significant changes of authority.

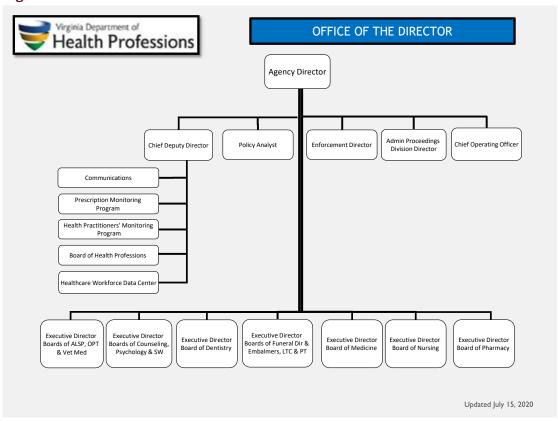
Vermont There have been a series of bills that have expanded the active state supervision of our umbrella agency.

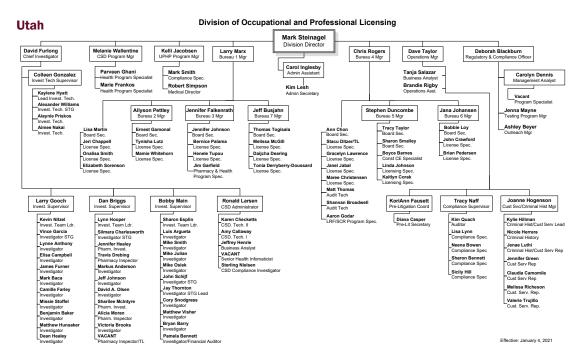
We have done this over the course of 4 or 5 years.

Idaho legislation is being introduced and hopefully approved at this time.

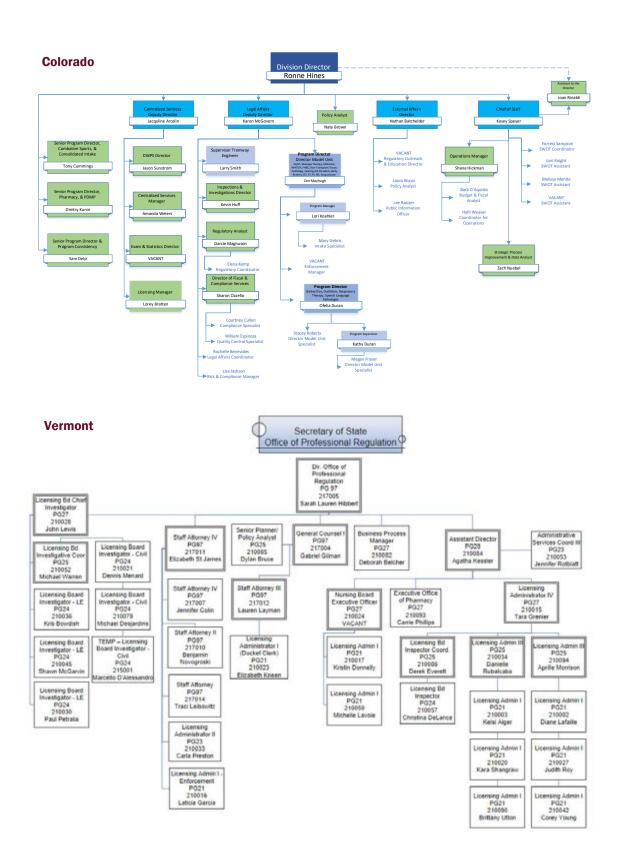
If available, please upload an organizational chart for your umbrella agency. If your agency does not have an organizational chart, or if the organizational chart is not publicly released, please proceed to the next question.

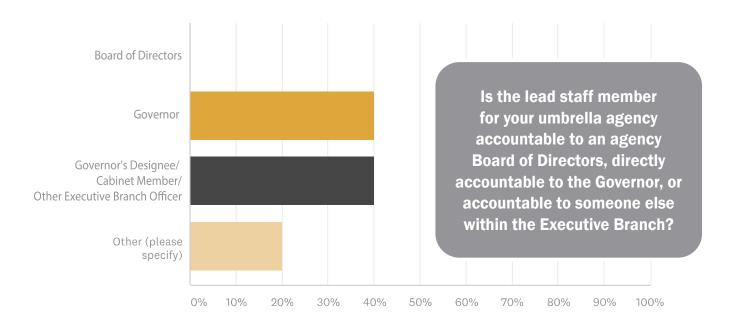
#### Virginia





## Q4 (CONTINUED):





#### **RESPONSES/COMMENTS:**

Illinois Governor

Washington Governor

Alaska Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

Wisconsin Governor

South Carolina Governor

Montana Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

New Hampshire Governor

Utah Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

Delaware Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

Mississippi The State Health Officer is accountable to the MS Board of Health

Vermont Secretary of State

Colorado Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

Idaho Governor

Texas Dr. John Hellerstedt, DSHS Commissioner

Virginia Governor's Designee/ Cabinet Member/ Other Executive Branch Officer

#### Considering your umbrella agency as a whole...

When were occupational licensing boards in your state first centralized under your umbrella agency?

Illinois The "Illinois Department of Registration and Education" (later the Department of Professional Regulation and

currently the Department of Financial and Professional Regulation) was established July 1, 1917.

Washington 1996

Alaska unsure--decades ago

South Carolina 1994 Montana 1971 New Hampshire 2015

Utah Decades ago. I do not know the year

Delaware unknown

Mississippi The MSDH has been authorized to regulate certain professions since the 1960's and probably before.

Vermont 1976 Colorado Colorado

Idaho Transition initiated June 2020. Not yet completed.

Texas unknown
Virginia 1977

How many employees work for the umbrella agency?

Illinois 414
Washington 1600+
Alaska 106
Wisconsin 250
South Carolina 325
Montana 82

New Hampshire 86 (includes part-time)

Utah 120 Delaware 70

Mississippi MSDH employees approximately 2,300 staff

Vermont 39

Colorado ~600, not including ~300 appointed board members; 210 DPO

Idaho 271.2 Texas unknown

Virginia 246 Department staff + 31 contractor employees

## Q6 (CONTINUED):

#### What is the cumulative budget for your umbrella agency?

Washington \$1.3 billion Alaska \$15 million

Wisconsin approximatly 59 million
Montana \$10,200,000 FY2020

New Hampshire 10,000,000 (approximately)

Utah \$15,000,000 approx.

Delaware 8,000,000

Mississippi 160,000,0000+ Vermont approx. 6 Million Colorado 21Million DPo

Idaho \$31.3M
Texas unknown
Virginia ~\$34M

How many cumulative new licenses are processed per year for boards served by your umbrella agency?

Illinois Average 85,000 + applications are processed every year

Washington 10,000+

Alaska 11251 in FY20

South Carolina 45,000

Montana 14,628 FY2020

New Hampshire Unknown. 229K active licenses under OPLC

Utah 25-30k Delaware 8000

Mississippi In Child Care and Professional licensure approximately 1,000 unknow about other areas of the Agency.

Vermont 80,000

Colorado Newly licensed CY 2020 = 54,907

Idaho 25,000

Texas 5,075 (EMS Only)

Virginia >44,500

## Q6 (CONTINUED):

How many cumulative license renewals are processed per year for boards served by your umbrella agency?

Illinois Average 450,000 per year

Washington 450,000+

Alaska 88331 in FY20

Wisconsin approximately 550,000

South Carolina 170,000

Montana 73,828 FY2020

New Hampshire Unknown. 229K active licenses under OPLC

Utah 130k Delaware 36000

Mississippi In Child Care and Professional Licensure approximately 18,000

Vermont approx. 40,000

Colorado Renewed CY 2020 = 165,689

Idaho 200,000
Texas unknown
Virginia >433,000

#### How many policy-autonomous boards are served?

0 Illinois Washington 3 21 Alaska 23 Wisconsin South Carolina 43 32 Montana New Hampshire 50 Utah 1 33 Delaware

Mississippi None all programs come under the MS State Department of Health

Vermont 18 - but the Director has veto power over the decisions.

Colorado 21 (20 boards + Combative Sports Commission)

Idaho 46

Texas unknown

Virginia 14

## Q6 (CONTINUED):

How many non-policy-autonomous boards, committees, or programs, are served?

Illinois 47 total (Financial Institutions -1; Banks -1; Real Estate -4; Professional Regulation 41)

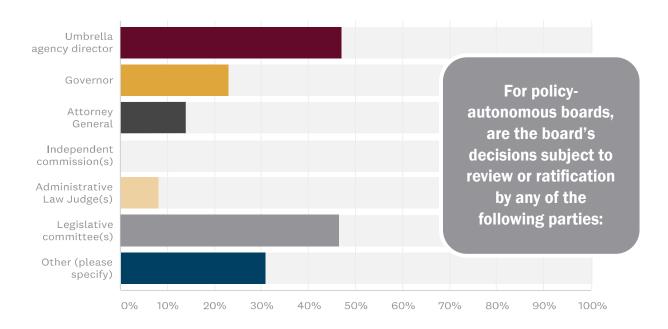
Washington 10
Alaska 22
South Carolina 0
Montana 5
New Hampshire 4
Utah 50
Delaware 2

Mississippi In Child Care and Professional Licensure we have approximately 10 standing Advisory Councils

Vermont 30 Colorado 17 Idaho 3

Texas unknown

Virginia 3



#### **RESPONSES/COMMENTS:**

Washington Umbrella agency director

Legislative committee(s)

Secretary has review responsibilities but no decision making authority.

Alaska Attorney General

Wisconsin Governor

Legislative committee(s)

South Carolina Umbrella agency director

Administrative Law Judge(s)

Montana Umbrella agency director

Legislative committee(s)

New Hampshire None

Utah Director of the Umbrella Agency. They technically have autonomous authority, but I have to concur. All of the

other boards only issue recommendations.

Mississippi None any changes in regulations must be filed with the Secretary of State and approved by the Board of

Health before becoming effective.

Vermont Umbrella agency director
Colorado Legislative committee(s)
Idaho Umbrella agency director

Governor

Legislative committee(s)

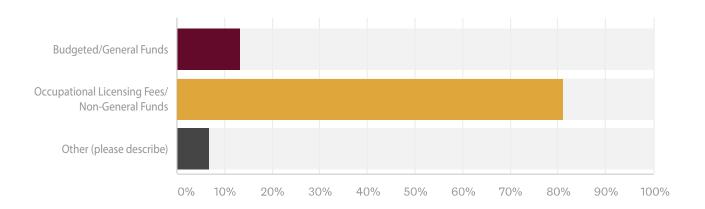
Texas Legislative committee(s)

Virginia Umbrella agency director

Governor

Attorney General

Are your umbrella agency's budgeted operating funds from the state budget, or is your agency self-funded through occupational licensing fees?



#### **RESPONSES/COMMENTS:**

Illinois	Occupational Licensing Fees/Non-General Funds

Washington Both

Alaska Occupational Licensing Fees/Non-General Funds
Wisconsin Occupational Licensing Fees/Non-General Funds
South Carolina Occupational Licensing Fees/Non-General Funds
Montana Occupational Licensing Fees/Non-General Funds
New Hampshire Occupational Licensing Fees/Non-General Funds
Utah Occupational Licensing Fees/Non-General Funds
Delaware Occupational Licensing Fees/Non-General Funds

Budgeted/General Funds

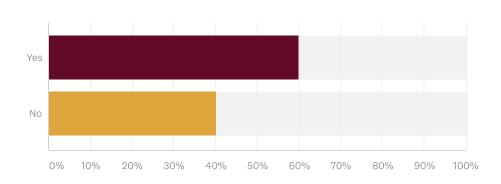
Mississippi Occupational Licensing Fees/Non-General Funds
Vermont Occupational Licensing Fees/Non-General Funds
Colorado Occupational Licensing Fees/Non-General Funds
Idaho Occupational Licensing Fees/Non-General Funds

Texas Budgeted/General Funds

Virginia Occupational Licensing Fees/Non-General Funds

## **Q9:**

Over the last five years, has your umbrella agency received grant funding from federal grants or nonprofit agencies?

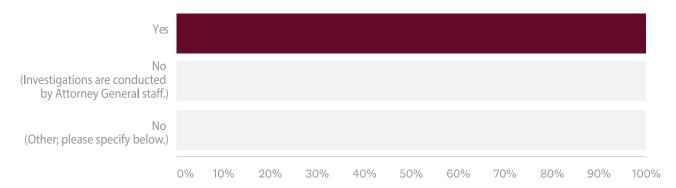


#### **RESPONSES/COMMENTS:**

Washington	Yes	New Hampshire	Yes	Colorado	Yes
Alaska	Yes	Utah	Yes	Idaho	Yes
Wisconsin	Yes	Delaware	Yes	Texas	No
South Carolina	No	Mississippi	No	Virginia	No
Montana	No	Vermont	Yes		

## Q10:

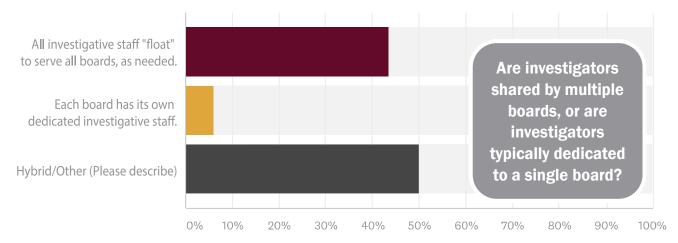
## Does your umbrella agency currently employ its own investigative staff?



#### **RESPONSES/COMMENTS:**

Illinois	Yes	Montana	Yes	Vermont	Yes
Washington	Yes	New Hampshire	Yes	Colorado	Yes
Alaska	Yes	Utah	Yes	Idaho	Yes
Wisconsin	Yes	Delaware	Yes	Texas	Yes
South Carolina	Yes	Mississippi	Yes	Virginia	Yes

## Q11:



#### **RESPONSES/COMMENTS:**

Illinois Investigators work within their Division or common practice areas.

Washington With exception of two independent commissions, investigative staff are shared.

Alaska Most float, but a few are dedicated per statute and to retain subject-matter knowledge

Wisconsin All investigative staff "float" to serve all boards, as needed.

South Carolina Investigators are cross trained to serve multiple boards but it is divided into building and business boards,

and health and medical boards

Montana All investigative staff "float" to serve all boards, as needed.

New Hampshire We have general investigative staff that float; we also have dedicated cosmetology/electrical/pharmacy

inspectors that investigate those professions. We also contract with a physician for the Board of Medicine

investigations.

Utah Assigned to professional expertise areas, but also float

Delaware All investigative staff "float" to serve all boards, as needed.

All investigative staff "float" to serve all boards, as needed.

Mississippi All investigative staff "float" to serve all boards, as needed.

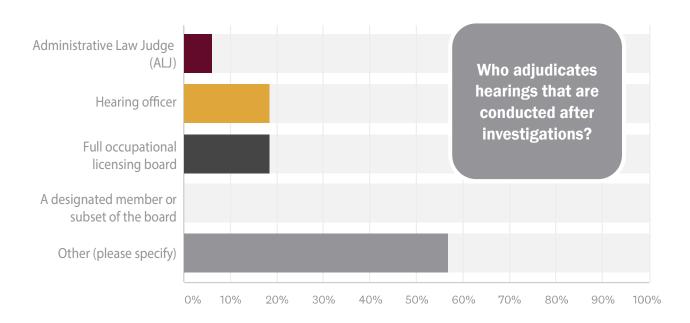
Vermont All investigative staff "float" to serve all boards, as needed.

Colorado Investigators are typically dedicated to one board or a group of boards

Idaho Some dedicated to certain boards and some serve several boards

Texas Each board has its own dedicated investigative staff.

Virginia All investigative staff "float" to serve all boards, as needed.



#### **RESPONSES/COMMENTS:**

Illinois Administrative Law Judge (ALJ)

Washington Health Law Judge presides, board and commissioners decide.

Alaska Full occupational licensing board
Wisconsin Full occupational licensing board

South Carolina Could be a hearing officer, a panel or the full board, but all decisions of hearing officers or panels must be

presented to the full board. The ALJ has jurisdiction to hear appeals from those final decisions.

Montana Hearing officer

New Hampshire Typically, adjudications are conducted by a full board with the chair as presiding officer. We have recently

created a hearing officer position. Boards may designate this hearings officer as presiding officer. Boards

have been reluctant to use this service.

Utah Board is fact finder with ALJ as legal and procedural authority. They issue recommendation to Director

Delaware Hearing officer

Hearing officer or board depending on profession

Mississippi Hearing officer

Vermont an ALO if it is a board who acts a hearing officer OR an ALO if it is an advisor profession.

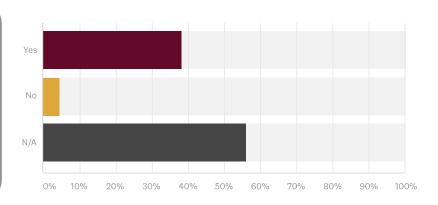
Colorado Full Licensing Board; upon conclusion exceptions may be filed with alj

Idaho Full occupational licensing board

Texas DSHS Compliance Review Committee

Virginia Informal conferences - Board committee or panel, formal hearings remaining full Board

In the event that hearings are conducted by an **Administrative Law Judge, Hearing Officer, or** designated Board members, are their decisions subject to ratification by the full board?



#### **RESPONSES/COMMENTS:**

ALJ Reports are reviewed by the Board, who may adopt or make differing recommendation. Final Illinois N/A decision is made by the Agency Secretary or Designee.

Washington Alaska N/A

No

Wisconsin Yes

South Carolina Yes

Montana Yes The Hearing Officer issues proposed findings of fact and conclusions of law and order and a panel

of the full board renders a final order. 37-1-307, MCA.

New Hampshire N/A

Utah N/A

the findings of fact cannot be altered. The Board may choose to change the discipline Delaware Yes

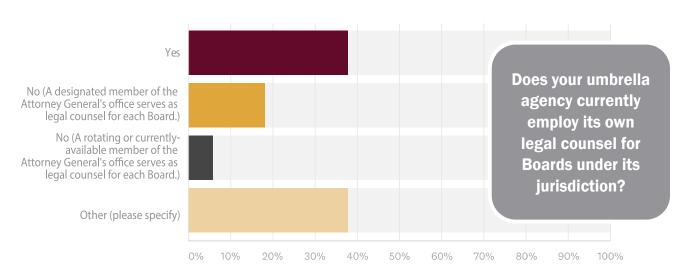
recommended by the Hearing Officer

Mississippi N/A

Vermont Yes If it is a board hearing, yes.

Colorado N/A ALJ may consider and panel of board makes final decision

Idaho N/A Texas Yes Virginia N/A



#### **RESPONSES/COMMENTS:**

Illinois Agency has an enforcement unit with prosecuting attorneys and a separate General Counsel office.

Washington We employ staff attorneys for informal stipulations and all agreed orders and final hearing orders use AGO

staff.

Alaska No (A rotating or currently-available member of the Attorney General's office serves as legal counsel for

each Board.)

Wisconsin Yes

South Carolina Yes

Montana Yes

New Hampshire Yes

Utah No (A designated member of the Attorney General's office serves as legal counsel for each Board.)

Delaware we use Department of Justice Attorneys that are assigned to the Division hearing office has some attorneys

and AGs office counsels others

Mississippi No (A designated member of the Attorney General's office serves as legal counsel for each Board.)

Vermont Yes

Colorado No (A designated member of the Attorney General's office serves as legal counsel for each Board.)

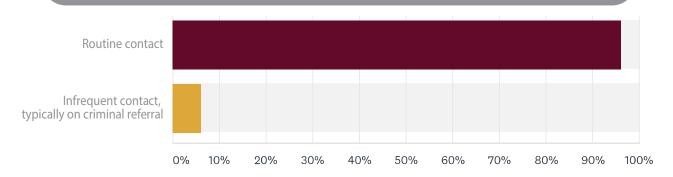
Idaho Currently: 1.Agency employed, 2.Contracted, 3.AG's office

Texas Yes

Virginia Designated member of the AG's office for each board and the Department, itself

## Q15:

Does the legal counsel have regular, routine contact with occupational licensing board staff, or is such interaction typically limited to the prosecution of criminal matters?

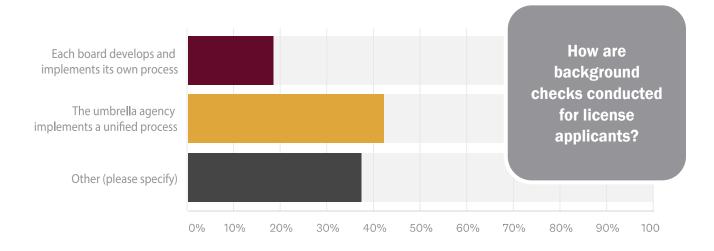


#### **RESPONSES/COMMENTS:**

Illinois Infrequent contact, typically on criminal referral

Washington Routine contact Routine contact Alaska Wisconsin Routine contact South Carolina Routine contact Montana Routine contact New Hampshire Routine contact Utah Routine contact Delaware Routine contact Routine contact Mississippi Routine contact Vermont Routine contact Colorado Routine contact Idaho Routine contact

Texas Routine contact
Virginia Routine contact



#### **RESPONSES/COMMENTS:**

Illinois The umbrella agency implements a unified process

Washington The umbrella agency implements a unified process

Alaska The umbrella agency implements a unified process

Wisconsin The umbrella agency implements a unified process

South Carolina Only certain boards have authority to conduct CBC but for those who do the agency implements a

unified process.

Montana The umbrella agency implements a unified process

Utah 8 of our boards have statutory authority for FBI fingerprint checks, the rest do not.

Delaware The umbrella agency implements a unified process

no criminal background checks, just NPDB, etc by umbrella agency

Mississippi Background checks are conducted as prescribe by State Statute for the applicable professions and

programs.

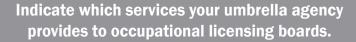
Vermont The umbrella agency implements a unified process

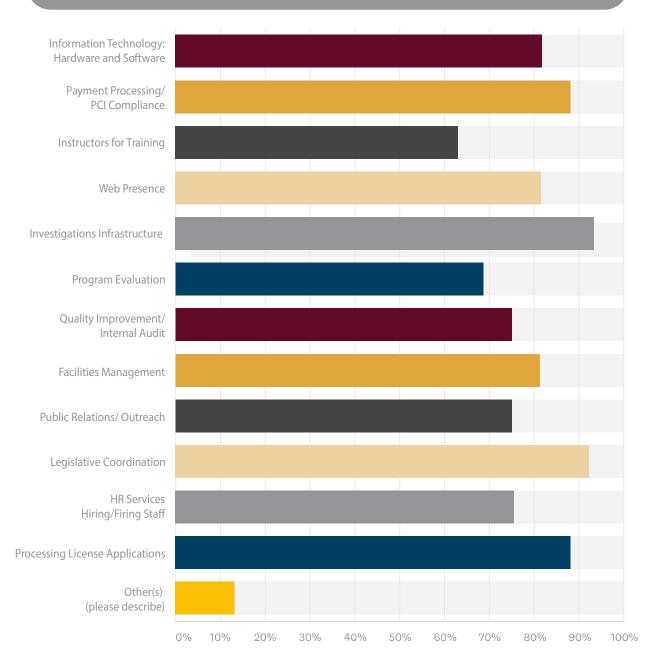
Colorado Depends on authorizing statute

Idaho Each board develops and implements its own process

Texas DPS FACT Clearinghouse

Virginia Each board develops and implements its own process





## Q17 (CONTINUED):

#### **RESPONSES/COMMENTS:**

Wisconsin

Illinois Information Technology: Hardware and South Carolina Information Technology: Hardware and

Software Software

Payment Processing/PCI Compliance Payment Processing/PCI Compliance

Web Presence Instructors for Training

Investigations Infrastructure Web Presence

Program Evaluation Investigations Infrastructure

Program Evaluation Investigations Infrastructure
Legislative Coordination Program Evaluation

Processing License Applications Quality Improvement/ Internal Audit

Washington Information Technology: Hardware and Facilities Management

Software Public Relations/ Outreach
Payment Processing/PCI Compliance Legislative Coordination

Quality Improvement/ Internal Audit

HR Services - Hiring/Firing Staff

Facilities Management Processing License Applications

HR Services -- Hiring/Firing Staff Montana Information Technology: Hardware and

Software

Alaska Information Technology: Hardware and Payment Processing/PCI Compliance

Software Instructors for Training
Web Presence

Payment Processing/PCI Compliance web Presence Instructors for Training Investigations Infrastructure

Web Presence Program Evaluation

Investigations Infrastructure Quality Improvement/ Internal Audit

Program Evaluation Facilities Management
Facilities Management
Public Relations/ Outreach
Public Relations/ Outreach
Legislative Coordination

Legislative Coordination

HR Services – Hiring/Firing Staff

Processing License Applications

HR Services -- Hiring/Firing Staff

Processing License Applications

New Hampshire Information Technology: Hardware and

Audits are statutorily conducted by the Software

Payment Processing/PCI Compliance

the legislative branch. Instructors for Training

Division of Legislative Audit, which is under

HR Services -- Hiring/Firing Staff Processing License Applications

Web Presence

Information Technology: Hardware and
Software
Investigations Infrastructure

Payment Processing/PCI Compliance Program Evaluation

Web Presence Quality Improvement/ Internal Audit

Investigations Infrastructure

Program Evaluation

Quality Improvement/ Internal Audit

Facilities Management
Public Relations/ Outreach
Legislative Coordination

Facilities Management

HR Services -- Hiring/Firing Staff
Public Polations / Outroach

Processing License Applications

Public Relations/ Outreach

Legislative Coordination

CLEAR UMBRELLA AGENCY SURVEY

## Q17 (CONTINUED):

#### **RESPONSES/COMMENTS:**

Utah Information Technology: Colorado Information Technology:

Hardware and Software Hardware and Software

Payment Processing/PCI Compliance Payment Processing/PCI Compliance

Web Presence Instructors for Training

Investigations Infrastructure Web Presence

**Program Evaluation** Investigations Infrastructure

Facilities Management Quality Improvement/ Internal Audit Public Relations/ Outreach Facilities Management

**Program Evaluation** 

Legislative Coordination Public Relations/ Outreach HR Services -- Hiring/Firing Staff Legislative Coordination

**Processing License Applications** HR Services -- Hiring/Firing Staff **Processing License Applications** 

Delaware Information Technology: Idaho Hardware and Software Information Technology:

> Payment Processing/PCI Compliance Hardware and Software

Payment Processing/PCI Compliance Instructors for Training

Web Presence Instructors for Training Web Presence Investigations Infrastructure

Quality Improvement/ Internal Audit Investigations Infrastructure

Facilities Management Program Evaluation

Public Relations/ Outreach Quality Improvement/ Internal Audit

Legislative Coordination Facilities Management HR Services -- Hiring/Firing Staff Public Relations/ Outreach

**Processing License Applications** Legislative Coordination

HR Services -- Hiring/Firing Staff Mississippi Instructors for Training **Processing License Applications** Web Presence

> Investigations Infrastructure Texas Instructors for Training

> Quality Improvement/ Internal Audit Investigations Infrastructure

Public Relations/ Outreach **Program Evaluation** Legislative Coordination Facilities Management

**Processing License Applications** 

Vermont Information Technology:

Hardware and Software Payment Processing/PCI Compliance

Web Presence

Quality Improvement/ Internal Audit

Investigations Infrastructure **Program Evaluation** 

Quality Improvement/ Internal Audit Facilities Management

Public Relations/ Outreach Legislative Coordination

HR Services -- Hiring/Firing Staff **Processing License Applications** 

## Q17 (CONTINUED):

#### **RESPONSES/COMMENTS:**

Virginia Information Technology:

Hardware and Software

Payment Processing/PCI Compliance

Instructors for Training

Web Presence

Investigations Infrastructure

Quality Improvement/ Internal Audit

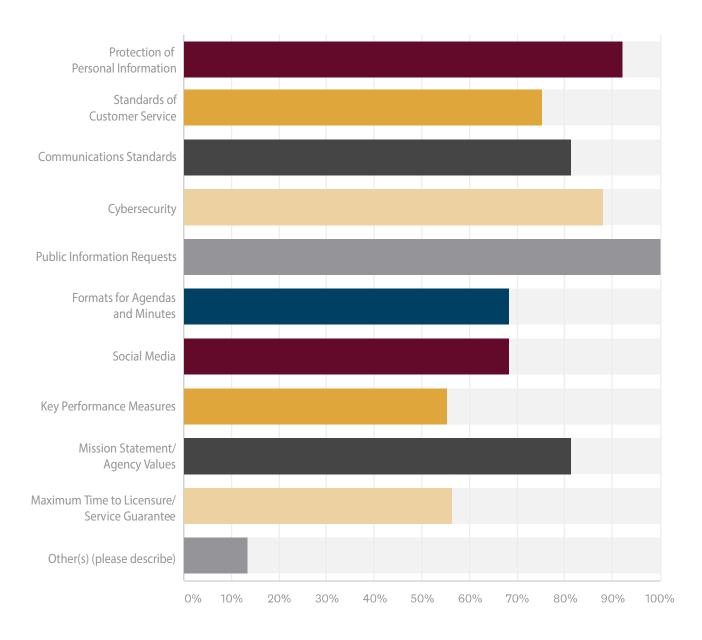
Facilities Management
Public Relations/ Outreach
Legislative Coordination

HR Services -- Hiring/Firing Staff Processing License Applications

Agency and individual board and unit level performance statistical reporting and coordination on strategic planning with the state's Department of Planning and

Budget, Office of Accounts, etc.

## Does the umbrella agency set overarching policies, binding on individual boards, for the following:



## Q18 (CONTINUED):

#### **RESPONSES/COMMENTS:**

Illinois Protection of Personal Information Montana

Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

Social Media

Mission Statement/ Agency Values

Washington Protection of Personal Information

Cybersecurity

**Public Information Requests** 

Alaska Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values

Maximum Time to Licensure/ Service

Guarantee

Wisconsin Protection of Personal Information

Public Information Requests Formats for Agendas and Minutes Mission Statement/ Agency Values

South Carolina Protection of Personal Information

Standards of Customer Service Communications Standards

Communications Gta

Cybersecurity

Public Information Requests Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values
Maximum Time to Licensure/ Service

Guarantee

Montana Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values
Maximum Time to Licensure/ Service

Guarantee

New Hampshire Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

**Public Information Requests** 

Social Media

Mission Statement/ Agency Values

Utah Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests

Social Media

Key Performance Measures Mission Statement/ Agency Values Maximum Time to Licensure/

Service Guarantee

Delaware Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values

## Q18 (CONTINUED):

#### **RESPONSES/COMMENTS:**

Mississippi Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

Social Media

Mission Statement/ Agency Values

Maximum Time to Licensure/ Service

Guarantee

Vermont Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values
Maximum Time to Licensure/ Service

Guarantee

Colorado Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests Formats for Agendas and Minutes

Social Media

**Key Performance Measures** 

Mission Statement/ Agency Values
Maximum Time to Licensure/ Service

Guarantee

Idaho Cybersecurity

Public Information Requests

This is how it is now since the transition is not complete, but subject to change in the

near future.

Texas Protection of Personal Information

Standards of Customer Service Communications Standards Public Information Requests Key Performance Measures

Mission Statement/ Agency Values
Maximum Time to Licensure/ Service

Guarantee

Virginia Protection of Personal Information

Standards of Customer Service Communications Standards

Cybersecurity

Public Information Requests
Formats for Agendas and Minutes

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**Key Performance Measures** 

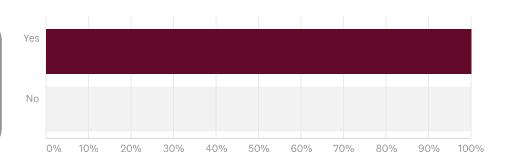
Mission Statement/ Agency Values Maximum Time to Licensure/ Service

Guarantee

NOTE: For the above there are statutory provisions that apply to all state agencies, including DHP, and Departmental Policies.

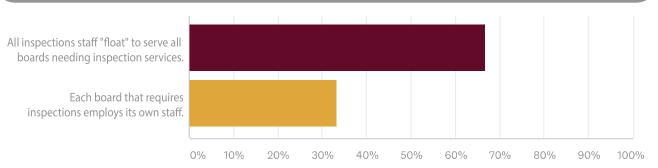
## Q19:

Does your umbrella agency currently employ its own inspection staff?



## Q20:

# Are inspections staff shared by multiple boards, or is staff typically dedicated to a single board?



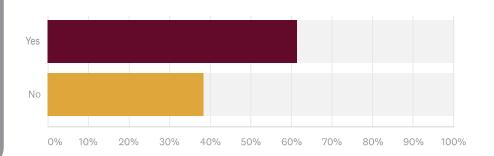
#### **RESPONSES/COMMENTS:**

	o, oommining		
Illinois	Each board that requires inspections employs its own staff.	Delaware	All inspections staff "float" to serve all boards needing inspection services.
Washington	All inspections staff "float" to serve all boards needing inspection services.	Mississippi	Each board that requires inspections employs its own staff.
Alaska	All inspections staff "float" to serve all boards needing inspection services.	Vermont	All inspections staff "float" to serve all boards needing inspection services.
Wisconsin	All inspections staff "float" to serve all boards needing inspection services.	Idaho	Each board that requires inspections employs its own staff.
South Carolina	All inspections staff "float" to serve all boards needing inspection services.	Texas	Each board that requires inspections employs its own staff.
Montana	All inspections staff "float" to serve all boards needing inspection services.	Virginia	All inspections staff "float" to serve all boards needing inspection services.
New Hampshire	e Each board that requires inspections employs its own staff.		
Utah	All inspections staff "float" to serve all		

boards needing inspection services.

## Q21:

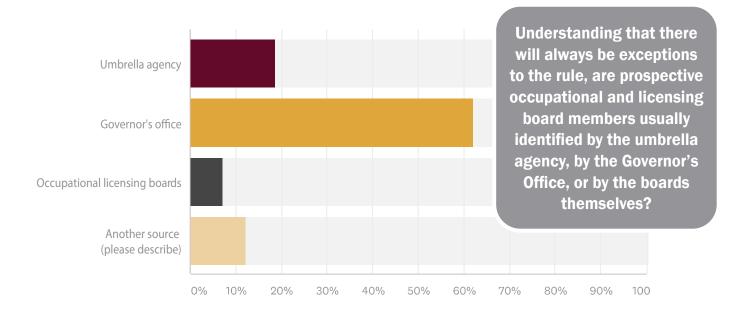
Does your umbrella agency play an active role in the recruitment and vetting of prospective occupational and licensing board members?



#### **RESPONSES/COMMENTS:**

Illinois	Yes	
Washington	No	
Alaska	Yes	Very rarely, we are asked whether there has been any discipline against a member. Typically, we are not involved.
Wisconsin	Yes	It depends on the board and whether or not the Governor's office or the Secretary is the appointing authority
South Carolina	No	
Montana	Yes	The role has been limited in the past with the expectation to increase that role going forward.
New Hampshire	Yes	I would not say the role is "active." We do field inquiries, but do not have a system to vet applicants beyond ensuring qualifications are satisfied.
Utah	Yes	We send letters to the trade associations each year informing them of expiring members and asking for nominations.
Delaware	Yes	We assist the Governor's office in vetting professional board members
Mississippi	No	
Vermont	Yes	
Colorado	Yes	Current role in vetting and recruiting for diversity and qualification
Idaho	Yes	The agency is involved with recruiting, but limited role in vetting. All board members are vetted by the Governor's Office and appointed by the Governor.
Texas	No	
Virginia	No	Not unless asked by Governor's staff – usually to check if the individual has adverse disciplinary actions or if there is a potential skillset needed by the board – usually the Board Executive Director is queried directly.

## **Q22:**



#### **RESPONSES/COMMENTS:**

Illinois All of the above, plus members of the public that volunteer to serve via a form on the Agency website.

Washington Governor's office
Alaska Governor's office
Wisconsin Governor's office
South Carolina Governor's office

Montana Governor's office

New Hampshire Umbrella agency

Utah Umbrella agency

Delaware Governor's office

Governor's office

Mississippi In Professional Licensure nominations to Advisory Councils generally come from sitting Council members,

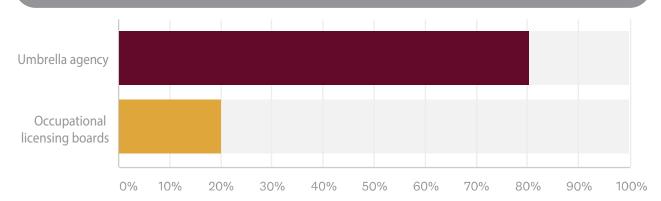
appropriated State Associations

Vermont Umbrella agency
Colorado Governor's office
Idaho Governor's office

Texas Occupational licensing boards

Virginia Governor's office

#### Are Board members trained by the umbrella agency, or by the Boards themselves?



#### **RESPONSES/COMMENTS:**

Illinois Umbrella agency

Washington Occupational licensing boards

Alaska Umbrella agency

Agency provides a handbook and web-based training, either to individual boards upon request or need or to all boards via webinar (among subjects common to all boards). We also have a twice-monthly meeting of

board chairs, which helps inform and craft this process.

Wisconsin Umbrella agency
South Carolina Umbrella agency
Montana Umbrella agency

New members are provided a four-hour orientation course with materials created by the Prof. Licensing

Bureau and taught by board executive officers.

New Hampshire Umbrella agency

Training is typically on-the-job.

Formal, annual training is provided in April through the Department of Justice.

Utah Umbrella agency

Meet initially with board members. Handful of training videos. Meet with Board chairperson.

Delaware Umbrella agency

Umbrella agency

brief orientation by the hearing office

Mississippi Umbrella agency

The Staff of the individual program provides training for new members of an Advisory Council.

Vermont Umbrella agency Colorado Umbrella agency

Comprehensive centralized training for onboarding, ethics, and ongoing board role

Idaho Occupational licensing boards

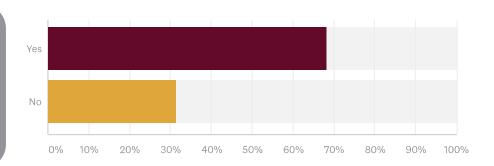
At this time, all boards are responsible for onboarding new board members.

Texas Occupational licensing boards

Virginia Both

## **Q24:**

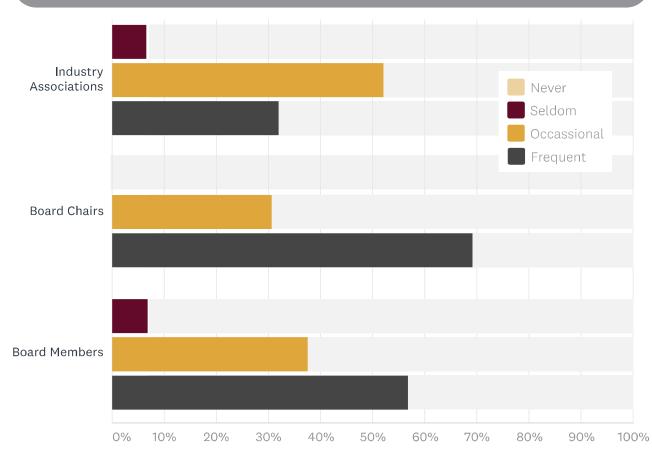
Does your umbrella agency have a "Code of Ethics" to which all Board members are held accountable?



#### **RESPONSES/COMMENTS:**

Illinois	Yes
Washington	No
Alaska	Yes
Wisconsin	No
South Carolina	Yes
Montana	No
New Hampshire	No
Utah	Yes
Delaware	Yes
Mississippi	Yes
Vermont	Yes
Colorado	Yes
Idaho	No
Texas	Yes
Virginia	Yes

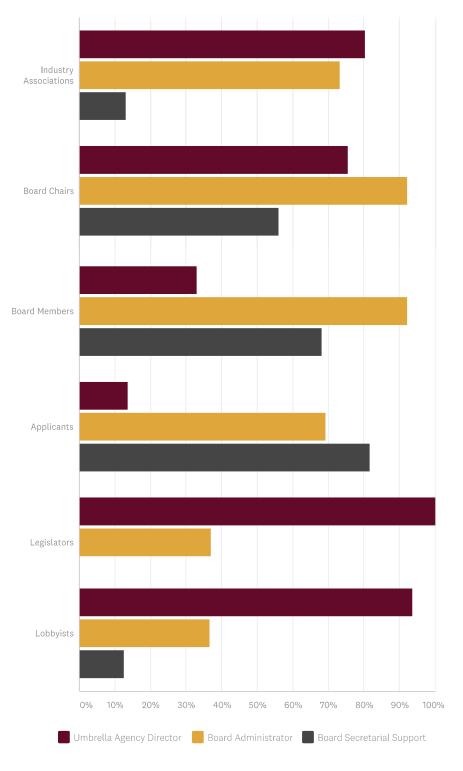




#### **RESPONSES/COMMENTS:**

	INDUSTRY ASSOCIATIONS	BOARD CHAIRS	<b>BOARD MEMBERS</b>
Illinois	Occassional	Occassional	Occassional
Washington	Occassional	Frequent	Occassional
Alaska	Occassional	Frequent	Frequent
Wisconsin	Frequent	Frequent	Frequent
South Carolina	Occassional	Frequent	Frequent
Montana	Frequent	Frequent	Frequent
New Hampshire	Frequent	Frequent	Frequent
Utah	Occassional	Frequent	Frequent
Delaware	Seldom	Frequent	Occassional
Mississippi	Occassional	Frequent	Frequent
Vermont	Occassional	Frequent	Frequent
Colorado	Frequent	Occassional	Occassional
Idaho	Occassional	Occassional	Occassional
Texas	Occassional	Occassional	Occassional
Virginia	Occassional	Frequent	Frequent

Please check all boxes that characterize routine contact between umbrella agency representatives and these groups.



#### **RESPONSES/COMMENTS:**

Washington Stakeholdering and high level problem

solving.

Alaska The director is a primary point of contact/

liaison between the Administration (Governor/Commissioner) and the boards/outside constituencies. We are the managers of the licensing and administrative processes and policies, and the boards are the governors of licensing, practice, and discipline standards. The director coordinates agency-wide training

and other initiatives.

Montana Routine attendance at board meetings,

involvement in all legislative matters, and involvement in projects and issues as

appropriate.

New Hampshire The Director regularly interacts with

outside constituencies (i.e., legislators, members of the Governor's staff, industry associations, etc.). The Director interacts with board members on occasions, usually through attending meetings for a particular

purpose.

Utah Director is contacted regularly by lobbyists,

industry groups, and legislators and as needed by Board chairpersons and

members.

Delaware Lobbyist communication is primarily over

legislation. Board Chairs often contact the Director's office with issues about a

particular board

Mississippi The director of the Professional Licensure

Bureau and Child Care Licensure Bureau are the general points of contact for any inquiries regarding a particular program.

Vermont The Director triages problems and all

external relationships.

Idaho Currently, this involves presentations on

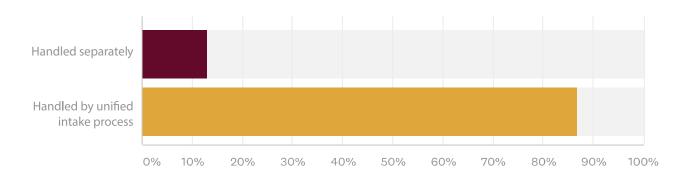
organizational structure changes, upcoming legislative proposals, any operational

changes planned.

Texas n/a

Virginia Attends and provides reports on agency

matters at respective board meetings. Available for discussion as appropriate. Is your licensing application intake process handled by each Board separately, or do you have a unified intake process administered by the umbrella agency?



#### **RESPONSES/COMMENTS:**

Illinois Handled by unified intake process

Each Division handles their own applications, but processes within the division are unified.

Washington Handled by unified intake process

With exception to the two independent commissions.

Alaska Handled by unified intake process
Wisconsin Handled by unified intake process
South Carolina Handled by unified intake process
Montana Handled by unified intake process

New Hampshire Handled separately

Utah Handled by unified intake process

The intake is unified, but there are teams that handle unique license groups.

Delaware Handled by unified intake process

Handled by unified intake process

Mississippi Handled by unified intake process

Vermont Handled by unified intake process

Colorado Handled by unified intake process

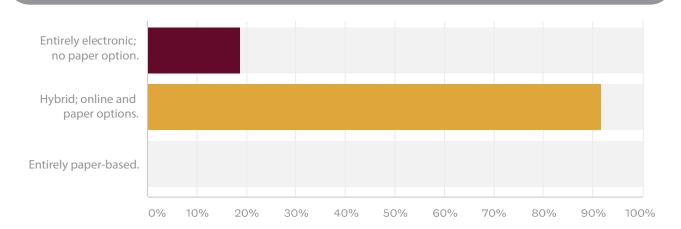
Idaho Handled separately

Texas Handled by unified intake process

Virginia Both. Online intake process made available to each board.

Respective boards handle further details.

# For occupational licenses within your state, are application processes entirely electronic, entirely paper-based, or some combination of the two?



#### **RESPONSES/COMMENTS:**

Illinois Hybrid; online and paper options.

Washington Hybrid; online and paper options.

Conversion occurring to entirely electronic.

Alaska Hybrid; online and paper options. Wisconsin Hybrid; online and paper options.

we are currently in the midst of an upgrade to created a unified electronic system

South Carolina Hybrid; online and paper options.

Montana Hybrid; online and paper options.

New Hampshire Hybrid; online and paper options.

Utah Hybrid; online and paper options.

Delaware Hybrid; online and paper options.

Entirely electronic; no paper option. Hybrid; online and paper options.

Mississippi Hybrid; online and paper options.

We are moving to entirely electronic with no paper option.

Expected to be on line by August 1, 2021.

Vermont Entirely electronic; no paper option.

Colorado Entirely electronic; no paper option.

Hybrid; online and paper options.

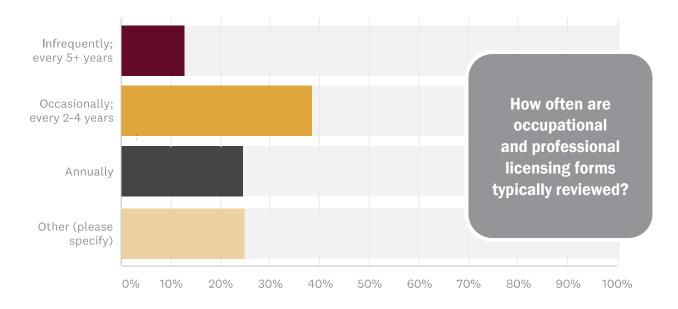
Primarily electronic

Idaho Hybrid; online and paper options.

Texas Hybrid; online and paper options.

Virginia Hybrid; online and paper options.

### Q29:



#### **RESPONSES/COMMENTS:**

Illinois Occasionally; every 2-4 years

Washington Other (please specify)

Annually and as changes arise. Usually quarterly.

Alaska Annually

Wisconsin Infrequently; every 5+ years

South Carolina Other (please specify)

As needed based on legislative, policy, or other changes occur

Montana Occasionally; every 2-4 years

New Hampshire Infrequently; every 5+ years

Utah Occasionally; every 2-4 years

Delaware Other (please specify)

Regularly.

Even more frequently when a licensing form is changed by operation of law or rule making

Mississippi Annually

Vermont Occasionally; every 2-4 years

Colorado Annually

Idaho Occasionally; every 2-4 years

Texas Other (please specify)

**Daily Basis** 

Virginia Annually

# Q30:

What is the title of your umbrella agency employee that is responsible for the day-to-day management or administration of occupational licensing boards?

See responses presented with Q31, below.

### Q31:

For these employees, what is the minimum and maximum salary? (hourly or annually)

#### **RESPONSES/COMMENTS:**

Washington Executive Director or (x) profession or Program Manager for (x) profession.

\$61,244 - \$82,344

Alaska We have two types: Executive Administrator (EA) and Occupational Licensing Examiner (OLE).

\$43,000 (OLE) - \$61,000 (EA)

\$58,000 (OLE) - \$82,000 (EA) - includes longevity, not starting wages

South Carolina Administrator

Montana Executive Officer

\$60,000/annually

New Hampshire Board Administrator

\$39,702 - \$75,133.50

Utah Bureau Manager

\$28/hour - \$42/hour

Delaware Administrative Specialist III

Mississippi In Professional Licensure - Special Projects Officer IV.

In Child Care Child Care Facilities Inspector I through CCFI III

\$37,262 - \$65,208

Vermont Assistant Director/Director

\$87,000 - \$96,000

Colorado Program Diredctor

\$86,688 - \$120,000

Idaho Currently: Board Executive Director

\$44.83/hour - \$68.07/hour

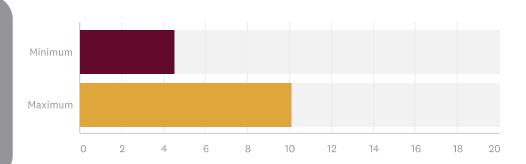
Texas Department of State Health Services unknown

unknown

Virginia Executive Director for the Board

### Q32:

What is the minimum and maximum number of boards that an individual may be responsible for managing?



#### **RANGE**

Illinois	1-8	New Hampshire	3-5	Colorado	1-6
Washington	1 - 19	Utah	2 - 15	Idaho	1 - 16
Alaska	1-3	Delaware	1 - 2	Texas	5 - 10
South Carolina	1 - 6	Mississippi	1-5	Virginia	1 - 4
Montana	1 - 4	Vermont	39 - 39		

# Q33:

What is the title of your administrative staff that is responsible for the administrative support for occupational licensing boards?

#### **RESPONSES/COMMENTS:**

Washington Program Manager

Alaska We have two types: Executive Administrator (EA) and Occupational Licensing Examiner (OLE).

South Carolina Administrator

Montana Board Administrative Support Specialist

New Hampshire Board Administrator
Utah Board secretary
Delaware Board Liaison

Mississippi Professional Licensure-Special Projects Officer IV Child Care Licensure -Deputy Bureau Director

Vermont Licensing Administrator
Colorado Program Manager

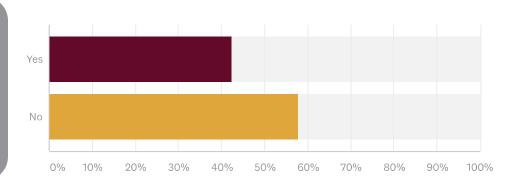
Idaho Technical Records Specialist and Management Assistant

Texas Joseph Schmider

Virginia Operations Manager or Administrative Assistant

# Q34:

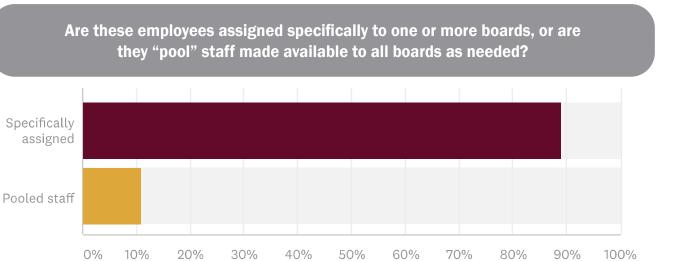
Is this the same individual that serves as the lead management staffer, above?



#### **RESPONSES/COMMENTS:**

Illinois	No	New Hampshire	Yes	Colorado	No
Washington	Yes	Utah	No	Idaho	No
Alaska	Yes	Delaware	No	Texas	Yes
South Carolina	Yes	Mississippi	Yes	Virginia	No
Montana	No	Vermont	No		

# Q35:



#### **RESPONSES/COMMENTS:**

/			
Illinois	Specifically assigned	Vermont	Specifically assigned
Washington	Pooled staff	Colorado	Specifically assigned
South Carolina	Specifically assigned	Idaho	Specifically assigned
Montana	Specifically assigned	Virginia	Specifically assigned

Delaware Specifically assigned

# Q36:

For these employees, what is the minimum and maximum salary? (hourly or annually)

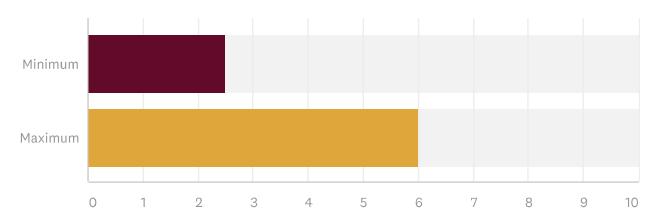
#### **RANGE:**

Montana Up to \$43,000 Vermont \$41,000 - \$57,000 Colorado \$55,000 - \$75000

Idaho \$15.37/hour - \$25.34/hour

#### Q37:



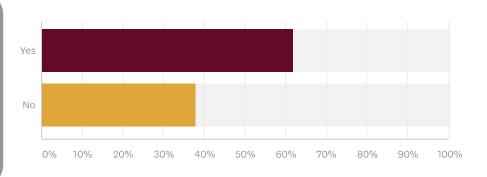


#### **RANGE:**

Illinois 1-8 South Carolina 1 - 6 Montana 5-8 Delaware 3 - 4 Vermont 7 - 9 Colorado 1-6 1-5 Idaho Virginia 1-2

### Q38:

Do occupational licensing boards and commissions in your state routinely propose or take positions on proposed legislation?



#### **RESPONSES/COMMENTS:**

Illinois No Washington Yes

There are independent boards and commissions so their positions sometimes conflict with

umbrella agency position.

Alaska No

They will take positions but it is not routinely done; typically only if it affects their licensing

program.

South Carolina No Montana Yes New Hampshire Yes

The Boards and the agency do not always agree. The Boards and professional associations

take opposing positions at times.

Utah No

They have the authority in statute, but do not routinely do it.

Delaware Yes Mississippi Yes

The Agency tends to remain neutral except when the safety of the citizens of Mississippi is in

question. Advisory councils are free to take whatever position the want.

Vermont Yes

There can sometimes be a conflict between the Agency position and the Board's position.

Colorado No Idaho Yes

Only with the permission of the Governor's Office

Texas Yes

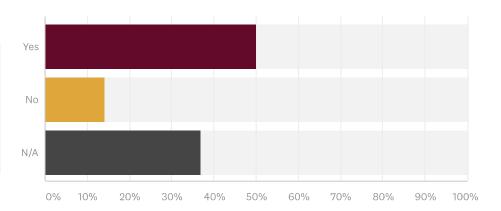
Virginia Two part question. Boards consider and make proposals that must go through the Governor's office for

acceptance as a "Governor's bill." The Department and respective Board position is identical to the

Governor's.

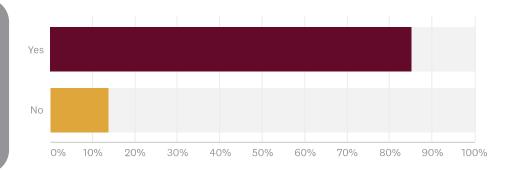
### Q39:

If so, do those positions sometimes conflict with the position of the umbrella agency?



# Q40:

Does your umbrella agency have a specific staff member whose primary responsibility is to manage legislative affairs?



#### **RESPONSES/COMMENTS:**

Illinois Yes, The Agency has an internal Legislative Affairs Unit. There is a Director and a number of Legislative

Liaisons.

Washington Yes, Director Policy & Legislative Relations. Yes they work with agency and any Board and Commission staff

assigned to legislative work.

Alaska Yes, Division director

South Carolina Yes, We have an Office of Governmental Affairs

New Hampshire Yes, it is our general counsel and program specialist IV. These individuals person do not work exclusively

with the agency but provide assistance to the boards, as well.

Delaware Yes, Director and Deputy Director within the Division. There is also a Public Information Officer for the

Department of State who assists with legislative matters.

Mississippi Yes, Legislative liaison is internal to the Agency. Title Government Relations. The individuals work

exclusively with and is an employee of the MSDH.

Vermont Yes, This is the Director's role.

Colorado Yes, depends upon the division - for DPO, Director of External affairs - work with the Legislative Liaison for

the entire department for lobbying

Idaho Yes, Currently: Division Administrator, Section Chiefs, Legislative Liaison Manager

Virginia Yes, This position assists the agency and respective boards and programs on all legislative and regulatory

activities. The title is Senior Legislative and Regulatory Analyst, and this person works exclusively for the

one agency.

## Q41:

How do you resolve differences between the legislative stance of an occupational licensing board and the legislative stance of the umbrella agency, as set by the Governor?

#### **RESPONSES/COMMENTS:**

Illinois Boards are advisory to the Department and do not take official positions on pending legislations.

Washington Behind closed doors and if no resolution, clarity to external stakeholders that there is a difference and

why.

Alaska We work as partners and communicate that we may sometimes differ but need to be able to move

forward once the legislature sets policy. Focus on clear and respectful communication: we are heading

to a common goal though we may differ on how to get there.

Montana The agency and board positions are subject to approval of the Governor.

New Hampshire The agency will try to approach the board to develop a consensus. if that does not work, as times the

boards and agency will take different opinions/positions.

Utah Clarify who is speaking on a position.

Delaware Dialogue with the members of the Board at meetings. Explain the position of the Governor and the

agency. Reminding the Board that their duty is to protect the safety of the public through the regulation

of the profession

Mississippi We try to negotiate an equitable position for both parties. If that fails the MSDH will take an Official

Position on the question.

Vermont Typically through conversation and clarification of roles and responsibilities. The modifications of the

statute have been helpful to clarify that the Director has an independent role to protect the public.

Colorado Governor sets agenda

Idaho It must align with the Governor's direction and vision

Texas n/a

Virginia The proposal process provides opportunities to coordinate with the Governor's office on issues that may

be in question. But there is one voice that comes out of the Administration – the Governor's position is

our position.

### Q42:

CLEAR is committed to facilitating the sharing of best practices and vital information between umbrella agency directors and senior staff across all states and jurisdictions. To facilitate the development of the most relevant such content, please list below the three most critical issues of interest to you and your agency.

Washington Vaccine policy and pandemic foundational health response

Emergency preparedness funding and response

Licensing and Regulatory reform on state and federal level

Alaska Having enough resources to meet service expectations

Quick processing of military spouse and health care licenses Continual monitoring of "right touch" regulatory balance

South Carolina licensing trends

investigative trends inspection trends

Montana Limiting professional association influence on and attitude of regulatory board members.

Statistical information on positive impacts of professional licensing and other ways to address

deregulation-oriented legislation packaged as reform.

The need for standardized education and examination requirements to address substantial equivalency

determinations in out of state license applications.

New Hampshire Authority of boards v. agency

hearings and investigative process (authority)

timeliness of applications and application requirements

Utah Regulatory Reform

**Best Practices Across All Functions** 

Improving Outreach and Connection with the Public

Delaware Removal of Barriers to licensure License portability

Mississippi Equitable practices that protect the citizens of Mississippi

Practices that protect the citizens of Mississippi from unqualified practitioners.

Vermont mobility

Interstate IT infrastructure

reducing barriers while protecting the public

Colorado Mobility

Legislative issues
Best practices

Idaho Technology Solutions

Streamlining Processes

**Customer Service** 

Texas Investigations

**Criminal Information** 

Inspections

Virginia Evolving views on occupational licensure's benefits and burdens

Role played by boards in supporting society's workforce needs

Collaboration with other governmental organizations

