



**Professional Fiduciaries Bureau**  
Post Office Box 989005  
West Sacramento, CA 95798-9005  
Telephone: (916) 574-7340 FAX (916) 574-8645  
Website: [www.fiduciary.ca.gov](http://www.fiduciary.ca.gov)



**Professional Fiduciaries Bureau  
Strategic Planning Session  
Wednesday, July 31, 2013  
2:30 – 4:30 p.m.**

**Meeting Location:  
Department of Consumer Affairs-HQ2  
1747 North Market Boulevard, Emerald Room, Suite 184  
Sacramento, California 95834**

**Committee Members:**

Marguerite Lorenz – Chair  
Barbara de Vries - Vice-Chair  
Donna Estacio  
Aileen Federizo  
Prescott Cole  
Kathleen Thomson

**AGENDA**

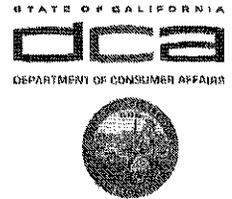
1. Call to Order – Marguerite Lorenz, Chair
2. Roll Call – Julia Ansel, Bureau Chief
3. Introductions
4. Strategic Planning Session – Department of Consumer Affairs (DCA) Strategic Planning Unit
  - Discuss Strategic Planning Process
  - Review 2010-2013 Strategic Plan
  - Review Current Mission and Vision Statements
5. Strategic Planning – Next Steps
6. Public Comment on Items Not on the Agenda (See “**Note**” below)
7. Adjournment

**Note:** The Professional Fiduciaries Bureau Advisory Committee may not discuss or take action on any matter raised that is not included in this agenda. The Committee may however decide to place the matter on the agenda of a future meeting.

**Notice:** The meeting is accessible to the physically disabled. A person who needs disability-related accommodations or modifications in order to participate in the meeting shall make a request no later than five working days before the meeting to the Bureau by contacting Angela Bigelow at (916) 574-7341, [angela.bigelow@dca.ca.gov](mailto:angela.bigelow@dca.ca.gov) or by sending a written request to the Professional Fiduciaries Bureau, 1625 North Market Blvd., Ste. S-209, Sacramento, California 95834. Requests for further information should be directed to Ms. Bigelow at the same address and telephone number.



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## MEMORANDUM

|                |  |
|----------------|--|
| <b>DATE</b>    | July 31, 2013  |
| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau  |
| <b>FROM</b>    | Professional Fiduciaries Bureau  |
| <b>SUBJECT</b> | Agenda Item #1 - Call to Order- Marguerite Lorenz, Chair<br>Agenda Item #2 – Roll Call – Julia Ansel, Bureau Chief |

### **Advisory Committee Members:**

Marguerite Lorenz – Chair

Barbara de Vries – Vice Chair

Donna Estacio – Public Member

Aileen Federizo – CLPF

Prescott Cole – Governor Appointee – Nonprofit organization advocating on behalf of the elderly

Kathleen Thomson – Governor Appointee – Probate Court Investigator

## MEMORANDUM

|                |   |
|----------------|---|
| <b>DATE</b>    | July 31, 2013   |
| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau |
| <b>FROM</b>    | Professional Fiduciaries Bureau                               |
| <b>SUBJECT</b> | Agenda Item #3 - Introductions                                |

### **Advisory Committee Members:**

Marguerite Lorenz – Chair, CLPF  
Barbara de Vries – Vice Chair, CLPF  
Aileen Federizo – CLPF  
Donna Estacio – Public Member  
Prescott Cole – Nonprofit organization advocating on behalf of the elderly  
Kathleen Thomson – Probate Court Investigator

### **PFB Staff Present:**

Julia Ansel, Bureau Chief  
Sonja Merold, Chief, Division of Programs & Policy Review  
Gil DeLuna, Former Acting Bureau Chief  
Angela Bigelow, Program Analyst  
Angelique Scott, DCA Legal Counsel



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| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau   |
| <b>FROM</b>    | Professional Fiduciaries Bureau   |
| <b>SUBJECT</b> | Agenda Item #4 - Strategic Planning Session – Department of<br>Consumer Affairs (DCA) Strategic Planning Unit |

- Discuss Strategic Planning Process
  
- Review 2010-2013 Strategic Plan  
Attachment #1
  
- Review Current Mission and Vision Statements  
Attachment #2

Public Comment:

# **Attachment**

**#1**

Professional Fiduciaries Bureau

# Strategic Plan

2010-2013

## Committee Members

*Daniel Stubbs, Chair*

*Sharon O'Neill, Vice Chair*

*Lisa Berg*

*Cynthia Morrow*

*Clark Parker*



*Professional  
Fiduciaries  
Bureau*

*"Caring for California's loved ones!"*

*Developed July 26, 2010 in conjunction with the DCA Strategic Planning  
& Development unit*

# Professional Fiduciaries Bureau

## MISSION:

To protect the consumer through licensing and monitoring, and to ensure competent and ethical standards of practice for professional fiduciaries.

## VISION:

To maintain and enhance the physical, emotional, and financial well being of consumers by promoting the highest professional fiduciary standards.

## VALUES:

- **Integrity and Ethics** – We are honest, fair, and respectful in our treatment of everyone.
- **Accountability** – We are accountable to consumers and licensees. We operate transparently and encourage public participation in our decision-making whenever possible.
- **Effectiveness** – We make informed decisions in order to achieve positive, measurable results.
- **Customer Service** – We identify the best ways to deliver high-quality services with the most efficient use of our resources.

## Goal 1: Licensure

- Increase the number of licensees by reaching out to other professions with relatable experience (i.e. social workers, gerontology, etc.).
- Partner with other government entities to increase licensure.
- Research the feasibility of creating an entry level license type for trainees, and develop the program if viable.

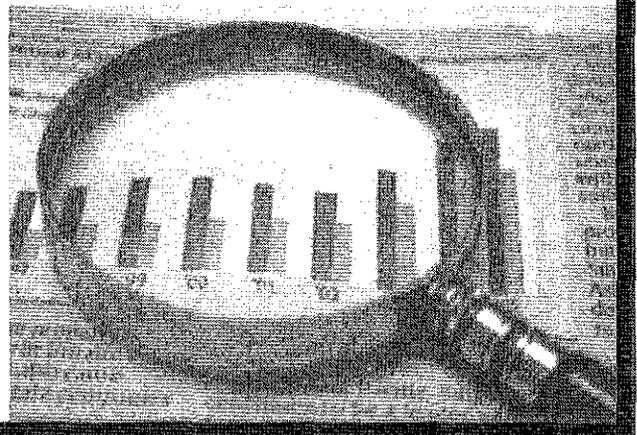


## Goal 2: Enforcement

- Establish the Bureau's Cite and Fine program.
- Actively seek out unlicensed activity in partnership with the Department's Unlicensed Activities Unit.
- Leverage enforcement activity with Division of Investigation.
- Attend underground economy task force meetings and partner with Economic Employment Enforcement Coalition (EEEC).
- Post formal disciplinary accusations against licensed professionals on the bureaus' website. *(Formal accusations are drafted by the Office of the Attorney General and issued by the Bureau only after significant wrong doing has been established through investigation.)*
- Participate in the Department's Consumer Satisfaction survey on closed complaints.

## **Goal 3: Communication & Education**

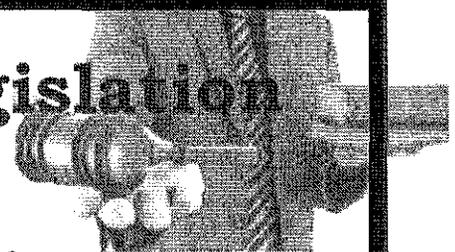
- Educate consumers and provide license information to professionals (online FAQ's for licensing information and Professional Fiduciaries Bureau forms).
- Seek out media opportunities.
- Develop Professional Fiduciaries Bureau publications in multiple foreign languages.
- Work with the Department's Publications Design unit to develop new publications.
- Partner with CIC and Outreach to increase the dissemination of PFB messages and publications.
- Develop PSA's and forums for the Senior Legislature.
- Partner with State Bar's Trust and Estate section to increase outreach.



## **Goal 3 (cont.): Communication & Education**

- Attend local PFAC and California Association Superior Court Investigators meetings and their Annual conference for training purposes.
- Establish Outreach and communication to judges through the Administrative Office of the Courts (AOC).
- Gather and disseminate examples of industry best practices.
- Gather and disseminate victims' accounts of consumer fraud and abuse.
- Clarify the license renewal process.

## Goal 4: Regulation and Legislation



- Seek Legislation to require licensure for all types of Durable Power of Attorney and Estate Administration not currently covered under present statutes.
- Develop Cite and Fine regulations.
- Develop advertising regulations requiring the inclusion of a licensee's professional fiduciary license number.
- Seek ways to streamline the license process through legislation.

# **Attachment**

**#2**

# Professional Fiduciaries Bureau

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| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau |
| <b>FROM</b>    | Professional Fiduciaries Bureau                               |
| <b>SUBJECT</b> | Agenda Item #5 - Strategic Planning – Next Steps              |

Public Comment:



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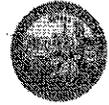
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| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau |
| <b>FROM</b>    | Professional Fiduciaries Bureau                               |
| <b>SUBJECT</b> | Agenda Item #6 - Public Comment on Items not on the Agenda    |

Public Comment:



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| <b>TO</b>      | Advisory Committee Members<br>Professional Fiduciaries Bureau |
| <b>FROM</b>    | Professional Fiduciaries Bureau                               |
| <b>SUBJECT</b> | Agenda Item #7 Adjournment                                    |

Adjournment: