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# 2014 - 2018 Strategic Plan



Prepared by  
SOLID Planning Solutions  
Department of Consumer Affairs  
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# Table of Contents

- TABLE OF CONTENTS ..... 2**
- CALIFORNIA BOARD OF OPTOMETRY MEMBERS ..... 3**
- MESSAGE FROM THE BOARD PRESIDENT ..... 4**
- ABOUT THE CALIFORNIA BOARD OF OPTOMETRY ..... 5**
- 2010 STRATEGIC PLAN ACCOMPLISHMENTS ..... 7**
- 2014-2018 STRATEGIC PLAN..... 8**
- MISSION, VISION, VALUES..... 8**
- GOAL 1: LICENSING ..... 9**
- GOAL 2: EXAMINATION ..... 9**
- GOAL 3: LAW AND REGULATION..... 10**
- GOAL 4: ENFORCEMENT..... 11**
- GOAL 5: OUTREACH ..... 12**
- GOAL 6: ORGANIZATIONAL EFFECTIVENESS..... 12**
- STRATEGIC PLANNING PROCESS ..... 13**

# California Board of Optometry Members

Alejandro Arredondo, OD, President

Alexander Kim, MBA, Secretary

Donna Burke, Public Member

Madhu Chawla, OD

Bruce Givner, Esq., Public Member

Glenn Kawaguchi, OD

William H. Kysella, Jr., Public Member

Kenneth Lawenda, OD

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EDMUND G. BROWN, JR., GOVERNOR

ANNA M. CABALLERO, SECRETARY, BUSINESS, CONSUMER SERVICES AND HOUSING AGENCY

DENISE D. BROWN, DIRECTOR, DEPARTMENT OF CONSUMER AFFAIRS

MONA MAGGIO, EXECUTIVE OFFICER, BOARD OF OPTOMETRY

## Message From the Board President



The California State Board of Optometry (Board) is pleased to present its 2014-2018 Strategic Plan. Development of this Strategic Plan has been a collaborative effort between Board Members, Board staff, and the public and we thank everyone for their input and support throughout the process.

This plan reflects the Board's continued commitment to work closely with stakeholders (optometric professionals, professional associations, California colleges, and others who expressed interest in the strategic direction of the Board) to meet its mission to protect the health and safety of California consumers through licensing, education and regulation of the practice of optometry.

We are proud to have accomplished many goals from the 2009-2013 Strategic Plan and with this new blueprint we will continue to move forward as an effective and efficient organization. This document identifies key issues, and goals for which the Board will be accountable and the actions we will take.

Assisting with the implementation of the Affordable Care Act is the biggest issue we will focus on in 2014-2018. The Board expects to see a broad expansion in the scope of practice of this profession, including optometrists performing some primary care procedures to meet the high health care demands. While this will result in a period of growth and change in the regulation of California optometrists, we are confident this new Strategic Plan will help us meet the challenges and opportunities that lie ahead.

The Board is committed to providing the highest level of service possible as we embark on these endeavors.

A handwritten signature in black ink that reads "Alejandro M. Arredondo, OD." The signature is written in a cursive, flowing style.

Alejandro Arredondo, OD  
Board President

## About the California Board of Optometry

The Board was created by the California Legislature in 1913 to safeguard the public's health, safety, and welfare through regulation of the practice of optometry. Protection of the public is the highest priority for the Board when exercising its licensing, regulatory and disciplinary functions. In instances of competing interests, protection of the public will remain paramount. The Board meets its public protection mandates by regulating the practice of optometry in California and providing public information about its licensees. Board operations are funded entirely by fees collected from applicants and licensees.

Today, the Board is one of numerous boards, bureaus, commissions, and committees within the Department of Consumer Affairs (DCA), part of the State and Consumer Services Agency under the aegis of the Governor. The DCA is responsible for consumer protection and representation through the regulation of licensed professions and the provision of consumer services. While the DCA provides administrative oversight and support services, the Board has policy autonomy and sets its own policies and procedures and initiates its own regulations.

The Board is presently comprised of eleven members. By law, five must be public members and six must be optometry professionals. The Governor appoints three public members and six of the professional members. The Senate Rules Committee and the Speaker of the Assembly each appoint one public member.

With approximately 7,500 practicing optometrists, the largest population of optometrists in the United States, the Board is charged with the following duties and responsibilities:

- Accrediting schools and colleges providing optometric education.
- Establishing educational requirements for admission to the examination for licensure as a California licensed optometrist.
- Establishing examination requirements to ensure the competence of individuals licensed to safely practice optometry in California.
- Setting and enforcing standards for continued competency of existing licensees.
- Establishing educational and examination requirements for licensed optometrists seeking certification to use and prescribe authorized therapeutic pharmaceutical agents.

- Promulgating regulations governing:
  - Procedures of the Board.
  - Admission of applicants for examination for certificate of registration as Optometrists.
  - Minimum standards governing optometric services, equipment, and sanitary conditions.
- Licensing branch offices and issuing fictitious name permits.
- Providing for redress of grievances against licensees by investigating allegations of patient abuse, unprofessional conduct, incompetence, fraudulent action, substance abuse or unlawful activity.
- Instituting disciplinary action for violations of laws and regulations governing the practice of optometry when warranted.

The Board currently has the following four committees, all composed of professional and public members.

- Legislation and Regulation  
Responsible for recommending legislative and regulatory priorities to the Board and assisting staff with drafting language for Board-sponsored legislation and recommending official positions on current legislation. The committee also recommends regulatory additions and amendments.
- Practice and Education  
Advises Board staff on matters relating to optometric practice, including standards of practice and scope of practice issues. Reviews staff responses to proposed regulatory changes that may affect optometric practice. Also reviews requests for approval of continuing education courses, and offers guidance to Board staff regarding continuing education issues.
- Consumer Protection  
Oversees the development and administration of legally defensible licensing examinations and consults on improvements/enhancements to licensing and enforcement policies and procedures.
- Public Relations – Outreach  
Assists with the development of outreach and development of educational materials.

## 2010 Strategic Plan Accomplishments

The strategic planning process encompassed an evaluation of the Board's previous strategic plan. The Board accomplished the following 12 goals since the adoption of the 2010 strategic plan.

1. Implemented a more streamlined certification process for the treatment of glaucoma which increased access to care for consumers.
2. Established a retired license status and a volunteer retired license status; giving retired optometrists a designation they can be proud of, save them money, and eliminate the risk of going into a delinquent status.
3. Established requirements for the practice of optometry at nursing homes. These much needed requirements clarified the law, and set minimum standards for this new, non-traditional optometric practice setting.
4. Participated in the Sunset Review Process and extended the Board's Sunset date to January 1, 2018.
5. Re-designed the website and leveraged it as a source of education and outreach.
6. Implemented Uniform Standards Related to Substance Abuse as directed by the legislature to better protect consumers from substance abusing licensees.
7. Started using social media to reach more licensees and consumers through its Facebook and Twitter pages.
8. Participated in the accreditation of Western University of Health Sciences, College of Optometry. Now there are three schools/colleges of optometry in California.
9. Implemented computer-based testing with PSI Exams Online and performed ongoing exam development and validation workshops for California Law and Regulation Examination. Extended the Board's subject matter expert pool from 20 doctors to 60.
10. Updated and revised the Board's Administrative Procedures Manual to provide guidance to future and incumbent Board Members regarding the general processes involved with their position on the Board of Optometry. In addition to the Bagley- Keene Open Meeting Act and the Administrative Procedures Manual, which provide public meeting laws, the handbook serves as a guide to help Board Members understand further meeting requirements and Board procedures.
11. Implemented an online customer service survey which assists in determining if the Board is meeting the needs of its constituents, what areas need improvement and in what areas the Board meets its goals of customer service and satisfaction.
12. Updated the Board's law book to capture the additions and amendments to statutes and regulations affecting the profession of optometry.

# 2014-2018 Strategic Plan

## Mission

To protect the health and safety of California consumers through licensing, education, and regulation of the practice of Optometry.

## Vision

To ensure excellent optometric care for every Californian.

## Values

**Consumer protection** - We make effective and informed decisions in the best interest and for the safety of Californians.

**Integrity** - We are committed to honesty, ethical conduct, and responsibility.

**Transparency** - We hold ourselves accountable to the people of California. We operate openly so that stakeholders can trust that we are fair and honest.

**Professionalism** - We ensure qualified, proficient, and skilled staff provides excellent service to the State of California.

**Excellence** - We have a passion for quality and strive for continuous improvement of our programs, services, and processes through employee empowerment and professional development.



## Goal 1: Licensing

*The Board provides applicants and licensees a method for obtaining and maintaining license registration, business licenses, and certifications required to practice optometry in California.*

The objectives to meet this goal are listed below in order of priority.

- 1.1 Work with DCA to ensure successful implementation of the BreEZe<sup>1</sup> system including ATS<sup>2</sup> data clean-up to prepare for migration.
- 1.2 Inform licensees about the new online services that will be available with the launch of BreEZe.
- 1.3 Evaluate effectiveness of existing multi-level license structure to determine if current structure adequately meets needs of the profession and consumers.

## Goal 2: Examination

*The Board works to provide a fair, valid and legally defensible licensing exam (California Law and Regulation Examination) and exam process to ensure that only qualified and competent individuals are licensed to provide optometric services in California.*

The objectives to meet this goal are listed below in order of priority.

- 2.1 Perform an occupational analysis to ensure examination integrity and address possible scope-of-practice expansion.
- 2.2 Evaluate the benefit and cost of increasing the frequency of offering the California Law and Regulations Examination.

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<sup>1</sup> BreEZe is the Board's new licensing and enforcement tracking system.

<sup>2</sup> ATS is the Board's legacy (former) licensing tracking system.

## Goal 3: Law and Regulation

*The Board works to establish and maintain fair and just laws and regulations that provide for the protection of consumer health and safety and reflect current and emerging, efficient and cost-effective practices.*

The objectives to meet this goal are listed below in order of priority.

- 3.1 Actively engage in the evaluation and/or development of scope-of-practice issues and any associated legislation. If required:
  - a. Promulgate regulations to implement legislative changes.
  - b. Identify Board functions that may be impacted by legislative changes.
  - c. Develop and implement a plan to manage the increased workload created by legislative changes.
- 3.2 Sponsor legislation to expand or clarify the Optometric Practice Act.
- 3.3 Review regulations to determine need for clarity then revise and/or amend as needed.
- 3.4 Inform and educate licensees and interested stakeholders about new or unfamiliar laws and regulations.
- 3.5 Explore the feasibility of transferring regulation authority for Registered Dispensing Opticians (RDO) from the Medical Board of California to the Board of Optometry.

## Goal 4: Enforcement

*The Board protects the health and safety of consumers of optometric services through the active enforcement of the laws and regulations governing the safe practice of Optometry in California.*

The objectives to meet this goal are listed below in order of priority.

- 4.1 Submit a Budget Change Proposal (BCP) to request additional enforcement analysts and clerical positions to support the CURES<sup>3</sup> implementation, improve investigative processing times, and streamline the enforcement process.
- 4.2 Work with DCA to ensure successful implementation of the BreEZe system including CAS<sup>4</sup> data clean-up to prepare for migration.
- 4.3 Identify and implement process improvements in the Enforcement unit to reduce enforcement and discipline cycle times.
- 4.4 Create inspection authority to enable the Board to inspect practice locations to proactively identify areas of non-compliance.
- 4.5 Increase enforcement efforts to address optometry practice in unlicensed locations.
- 4.6 Increase communication to administrators of community and school clinics to educate administrators about the Board's complaint process.

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<sup>3</sup> CURES is a prescription drug monitoring database administered by the California Department of Justice.

<sup>4</sup> CAS is the Board's legacy enforcement tracking system.

## Goal 5: Outreach

*The Board proactively educates, informs and engages consumers, licensees, students and other stakeholders on the practice of optometry and the laws and regulations which govern it.*

The objectives to meet this goal are listed below in order of priority.

- 5.1 Create a Budget Change Proposal (BCP) to request one additional position to support expansion of the Board's outreach program.
- 5.2 Develop a communications plan that includes the following:
  - a. Include inserts with renewal notices to optometrists with reminders about the requirement to make consumer protection information available to patients.
  - b. Research the feasibility of using free public service announcements to disseminate optometric health information to consumers.
  - c. Identify public relations agencies that could provide pro bono work to assist the Board with expanding outreach to consumers.
  - d. Work with DCA's Office of Publications, Design and Editing to create multi-language consumer education materials.
  - e. Expand social media by using more frequent messages and exploring additional online opportunities.
  - f. Explore having a Board representative attend major optometric continuing education events for direct outreach to licensees.

## Goal 6: Organizational Effectiveness

*The Board works to develop and maintain an efficient and effective team of professional and public leaders and staff with sufficient resources to improve the Board's provision of programs and services.*

The objectives to meet this goal are listed below in order of priority.

- 6.1 Document all internal Board procedures and processes to ensure successful succession planning of Board staff and Board members.
- 6.2 Conduct a job analysis for all Board programs to identify areas for resource allocation and enhancement.
- 6.3 Use the Individual Development Plan (IDP) process to increase professional development of Board staff.

## Strategic Planning Process

The DCA's SOLID Planning Solutions unit developed this strategic plan by conducting a preliminary meeting with the Executive Officer and Board staff to learn about the Board's background, to identify key focus areas, define roles and responsibilities, and establish a customized strategic planning schedule.

To understand the environment in which the Board operates and identify factors that could impact the Board's success, SOLID conducted an environmental scan and analysis of the internal and external environments by collecting information through the following methods:

- An online survey sent to 2,500 stakeholders, comprised of optometric professionals, professional associations, California colleges, and others who expressed interest in the strategic direction of the Board. The online survey received 208 responses.
- Telephone interviews with Board members during September 2013.
- Focus group discussion with Board staff on October 3, 2013.

The most significant themes and trends identified from the environmental scan were discussed by the Board during a strategic planning session facilitated by SOLID on December 2, 2013. This information guided the Board in development of its mission, vision, and values, while directing the strategic goals and objectives outlined in this 2014 – 2018 strategic plan.



CALIFORNIA STATE BOARD OF  
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*This strategic plan is based on stakeholder information and discussions facilitated by SOLID for the California State Board of Optometry from September to December 2013. Subsequent amendments may have been made after Board adoption of this plan.*