

Regulation & Discipline Oversight Committee Goals

2015 - 2016

1. Strengthening OCTC's ability to perform its core public protection mission ("back to basics" focus)
 - a. Workforce assessment & planning
 - i. Implement state auditor recommendation for workforce planning and backlog goals
 - ii. Assess workload issues and ways to enhance resources and staffing for OCTC
 - iii. Consider areas whether existing OCTC and discipline/training functions could/should be realigned within the State Bar
 - iv. Develop recruitment ideas and strategies for hiring and retention of employees
 - b. Audit & Review Unit
 - i. Implement state auditor recommendation to create more independence of the Audit and Review Unit
 - ii. Formalize greater independence of the audit function and audit reporting
 - iii. Consider options to create more independence of the review function
 - a) Implement state auditor recommendation to prevent erosion or elimination of quality control procedures and functions.
 - b) Staff to propose board policy to prevent elimination of the audit & review functions
 - c) Staff to propose board policy requiring RAD approval of any material change to quality control policies/functions by OCTC, Office of Probation and Client Security Fund.
 - c. Pro-active Education and Outreach: Raising the Bar
 - i. Assess results of Client Trust Accounting survey and identify areas for attorney education
 - ii. Develop proactive strategies to prevent lawyers from committing misconduct and protect the public before harm occurs
 - iii. Assess discipline and hotline trends and patterns as a way to evaluate training areas of focus
 - iv. Optimize institutional effectiveness by breaking down organizational silos and examining organization placements
2. Addressing ways to Enhance Discipline Metrics and Reporting
 - a. Annual Discipline Report refinements – implement State auditor recommendations related to the Annual Discipline Report/Implementation
 - b. Continue monitoring of key metrics in OCTC, SBC and CSF

3. CSF Funding
 - a. Continue to examine the potential underfunding issues relating to the Client Security Fund and delayed payment issues and consider possible solutions
4. State Bar Court
 - a. Continue regular meetings with the Presiding Judge of the SBC to maintain dialogue on issues and concerns
 - b. Address any SBC staffing issues or concerns