

EXECUTIVE OFFICER'S REPORT.

The Executive Officer's Report is attached for review, including:

- a. Operational Report
- b. Budget Update
- c. BreEZe Update
- d. Future Agenda Items
- e. Other Informational Items – No Board discussion or action

Date: May 17, 2016

To: CBOT Members

From: 
Heather Martin, Executive Officer

Subject: Executive Officer Report – Board Meeting May 19-20, 2016

Items covered:

- a) Operational Report
- b) Budget Update
- c) BreEZe Update
- d) Future Agenda Items
- e) Other Informational Items

a) Operational Report

The Board recently filled a vacancy in Licensing and hopes to fill the vacancy in Enforcement by June 1st. The Board's budget change proposals (BCPs) were approved, which includes increased authority and funding for 7.5 positions to augment Enforcement and Licensing staff.

We are going to recruit to fill the positions in phases to allow for advertising, screening, interviewing, hiring, on-boarding, training, etc:

- Three (3) staff services analysts (SSAs) in Enforcement;
- One and one-half office technicians in Licensing;
- Reclassification of one analyst position to a Manager position, followed by
- Two (2) associate governmental program analysts (AGPAs) in Enforcement

We are about to begin the recruitment process (HR approval, advertising, etc.) for the three analyst positions in Enforcement with a goal of having them start sometime between July 1 -15. Each subsequent recruitment phase will be staggered after the initial recruitment effort begins.

Also, the Board is requesting to establish and fill a Retired Annuitant position effective July 1, 2016, to assist with the Enforcement backlog, our multi-phase recruitment efforts, and the Sunset Report.

b) Budget Update

Attached is information re: revenue collected and expenditures during the period July 1-March 31st. Through 3/31, the Board has collected \$1.1mk in revenue and spent \$967k, or approximately 67% of the \$1.4M budget.

Following the revenue/budget information is a fiscal month 9 expenditures projection showing that the Board will revert approximately \$117k, which will go back into the Board's fund.

c) BreEZe Update:

The Board has successfully transitioned to the new BreEZe system on Tuesday, January 19th. As more people become familiar with the system, more applicants and licensees are submitting transactions (renewals, initial license applications, address changes, name changes, duplicate license requests, etc.) on-line in BreEZe.

<u>Month</u>	<u># of Transactions Submitted on-line</u>
January	240
February	472
March	633
April	607

d) Future Agenda Items

The items shown below will be addressed at a future meeting.

1. Ad hoc committee's recommendation regarding possible amendments to the definition of "occupational therapy" as set forth in Business and Professions Code Section 2570.2.
2. Ad hoc committee's recommendation regarding occupational therapists performing the physically invasive components of a swallowing evaluation.
3. Discussion and possible action on license portability (ease for inter-state movement by practitioners).
4. Development/review of Sunset Review report.
5. Practice Committee's recommendation on records retention requirement for an occupational therapy business that closes or is sold or if the practitioner is no longer in private practice.
6. Review/update of Board Member Administrative Manual.
7. Review/update of Board Member Disciplinary Resource Manual.
8. Review/update of Board's Disciplinary Guidelines (requires regulatory amendments).

e) Other Informational Items

Draft Sunset Report questions are provided.

Board Member Orientation Training – 2016 dates (all held in Sacramento). Please let me know if we need to register you and make travel arrangements.

- Tuesday, June 21
- Thursday, September 22
- Wednesday, November 16

CSTARQ24 1110 (DEST: A1 CAL2) PM,C,6,5,2,0, ,6212,
 FISCAL MONTH: 09 MARCH 6 (INDEX) 5 (PCA) 2 (AGYSRC) 0 (NOFUND) FUND (ALL) GL (6212)
 DEPT OF CONSUMER AFFAIRS - REGULATORY BOARDS
 RECEIPTS BY ORGANIZATION AND SOURCE
 AS OF 03/31/16

***** RUN:04/12/16 TIME:19.13

***** PAGE 13

ENY: 15 FFY: 15
 SECTION: 11 CA BD OF OCCUPATIONAL THERAPY
 SUB-SECTION: 00
 UNIT: 00
 SUB-UNIT: 00
 SUB-SUB-UNIT: 00
 INDEX: 1475 CA BD OF OCCUPATIONAL THERAPY

PROGRAM				*****					
PG	EL	CMP	TSK	PCA	DESCRIPTION	PLANNED RECEIPTS	A C T U A L R E C E I P T S	BALANCE	
						CURRENT MONTH	YEAR-TO-DATE		
67	00	000	000	73017	REIMB - CA BD OF OCCUPATIONAL THERAPY				
	001	991937	01		FINGERPRINT REPORTS	22,000.00	1,960.00	15,092.00	
	001	991937	02		EXTERNAL/PRIVATE/GRANT	0.00	470.00	4,465.00	
*TOTAL SOURCE 991937						22,000.00	2,430.00	19,557.00	2,443.00
001 995988 01 UNSCHED-INVESTIGATIVE COST RECOVE						0.00	299.00	549.00	549.00
*TOTAL SOURCE 995988						0.00	299.00	549.00	549.00
*TOTAL PROG 67						22,000.00	2,729.00	20,106.00	1,894.00
*TOTAL REFERENCE 001						22,000.00	2,729.00	20,106.00	1,894.00
67	00	000	000	83017	REVENUE CA BD OF OCCUPATIONAL THERAPY				
	980	125600	CU		OTA DUP LIC FEE-\$15.00	0.00	210.00	2,070.00	
	980	125600	CV		OTA DUP CERT FEES-\$15.00	0.00	75.00	525.00	
	980	125600	FT		CITATION/FINE FTB COLLECTION	0.00	0.00	199.64	
	980	125600	00		OTHER REGULATORY FEES	33,000.00	0.00	0.00	
	980	125600	18		CITATION & FINE FEE COLLECTED-VAR	0.00	1,200.00	11,860.00	
	980	125600	90		OVER/SHORT FEES	0.00	2.00	2.00	
*TOTAL SOURCE 125600						33,000.00	1,487.00	14,656.64	18,343.36
	980	125700	OC		OT INITIAL LIC FEE-\$VAR	0.00	11,201.00	88,355.00	
	980	125700	OD		OTA INITIAL CERT FEE-\$VAR	0.00	2,711.00	32,262.00	
	980	125700	OE		OT LIMITED PERMIT-\$75.00	0.00	150.00	3,000.00	
	980	125700	OJ		OTA LIMITED PERMIT \$75.00	0.00	75.00	525.00	
	980	125700	UE		OT RETIRED STATUS FEE-\$25	0.00	100.00	250.00	
	980	125700	UG		OTA RETIRED STATUS FEE-\$25	0.00	50.00	75.00	
	980	125700	UM		OT APPLICATION FEE-\$50	0.00	5,197.00	38,097.00	
	980	125700	UN		OTA APPLICATION FEE-\$50	0.00	1,850.00	14,649.00	
	980	125700	00		OTHER REGULATORY LICENSES AND PER	242,000.00	0.00	0.00	
	980	125700	90		OVER/SHORT FEES	0.00	18.00	598.99	

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PROGRAM							
PG	EL	CMP	TSK	PCA	DESCRIPTION		
REF	SOURCE	ASRC	DESCRIPTION	PLANNED RECEIPTS	A C T U A L R E C E I P T S CURRENT MONTH	YEAR-TO-DATE	BALANCE
980	125700	91	SUSPENDED REVENUE	0.00	2,344.00	5,532.00	5,532.00-
980	125700	92	PRIOR YEAR REVENUE ADJUSTMENT	0.00	0.00	85.00-	85.00
*TOTAL SOURCE 125700				242,000.00	23,696.00	183,258.99	58,741.01
980	125800	BP	OT INACTIVE RENEWAL LIC FEE-\$25.0	0.00	975.00	7,775.00	7,775.00-
980	125800	BQ	OTA INACTIVE RENEWAL CERT FEE-\$25	0.00	125.00-	1,000.00	1,000.00-
980	125800	C1	AUTOMATED REVENUE REFUND CLAIM	0.00	600.00	600.00	600.00-
980	125800	00	RENEWAL FEES	983,000.00	0.00	0.00	983,000.00
980	125800	2W	BIENNIAL RENEWAL-OT \$150	0.00	74,000.00	684,075.00	684,075.00-
980	125800	2X	BIENNIAL RENEWAL-OTA \$150	0.00	11,150.00	138,350.00	138,350.00-
980	125800	90	OVER/SHORT FEES	0.00	12.50	22.50	22.50-
*TOTAL SOURCE 125800				983,000.00	86,612.50	831,822.50	151,177.50
980	125900	TM	DELINQ BIENNIAL-OT-\$75	0.00	675.00	10,425.00	10,425.00-
980	125900	TN	DELINQ BIENNIAL-OTA \$75	0.00	150.00-	1,500.00	1,500.00-
980	125900	00	DELINQUENT FEES	15,000.00	0.00	0.00	15,000.00
*TOTAL SOURCE 125900				15,000.00	525.00	11,925.00	3,075.00
980	142500	00	MISCELLANEOUS SERVICES TO THE PUB	21,000.00	0.00	0.00	21,000.00
980	142500	90	MISC. SER TO PUBLIC - GENERAL	0.00	1,575.00	15,190.00	15,190.00-
*TOTAL SOURCE 142500				21,000.00	1,575.00	15,190.00	5,810.00
980	150300	00	INCOME FROM SURPLUS MONEY INVESTM	8,000.00	0.00	5,811.52	2,188.48
*TOTAL SOURCE 150300				8,000.00	0.00	5,811.52	2,188.48
980	161000	00	ESCHEAT OF UNCLAIMED CHECKS,WARRA	1,000.00	0.00	0.00	1,000.00

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PROGRAM				ACTUAL RECEIPTS			BALANCE		
PG	EL	CMP	TSK	PCA	DESCRIPTION	PLANNED RECEIPTS		CURRENT MONTH	YEAR-TO-DATE
980	161000	02	REVENUE	CANCELLED WARRANTS		0.00	75.00	799.00	799.00-
*TOTAL SOURCE				161000		1,000.00	75.00	799.00	201.00
980	161400	91	DISHONORED	CHECK FEE-VAR		0.00	0.00	400.00	400.00-
*TOTAL SOURCE				161400		0.00	0.00	400.00	400.00-
980	164300	00	PENALTY	ASSESSMENTS		20,000.00	0.00	0.00	20,000.00
980	164300	99	PENALTY	ASSESSMENTS		0.00	0.00	16,470.00	16,470.00-
*TOTAL SOURCE				164300		20,000.00	0.00	16,470.00	3,530.00
*TOTAL PROG				67		1,323,000.00	113,970.50	1,080,333.65	242,666.35
*TOTAL REFERENCE				980		1,323,000.00	113,970.50	1,080,333.65	242,666.35
*TOTAL INDEX				1475		1,345,000.00	116,699.50	1,100,439.65	244,560.35
*TOTAL SEC				11		1,345,000.00	116,699.50	1,100,439.65	244,560.35

DEPARTMENT OF CONSUMER AFFAIRS

BUDGET REPORT
AS OF 3/31/2016

FM 09

CA BD OF OCCUPATIONAL THERAPY

DESCRIPTION	BUDGET	CURR. MONTH	YR-TO-DATE	ENCUMBRANCE	YTD + ENCUMBRANCE	BALANCE	PCNT REMAIN
PERSONAL SERVICES							
SALARIES AND WAGES							
003 00 CIVIL SERVICE-PERM	354,000	22,836	202,988	0	202,988	151,012	
033 04 TEMP HELP (907)	4,000	1,210	9,616	0	9,616	(5,616)	
063 00 STATUTORY-EXEMPT	82,000	6,667	65,339	0	65,339	16,661	
063 01 BD/COMMSN (901,920)	20,000	0	1,500	0	1,500	18,500	
083 00 OVERTIME	0	1,166	3,434	0	3,434	(3,434)	
TOTAL SALARIES AND WAGES	460,000	31,880	282,877	0	282,877	177,123	38.50%
STAFF BENEFITS							
103 00 OASDI	34,000	1,836	16,264	0	16,264	17,736	
104 00 DENTAL INSURANCE	2,000	121	1,086	0	1,086	914	
105 00 HEALTH/WELFARE INS	92,000	4,651	37,625	0	37,625	54,375	
106 01 RETIREMENT	103,000	7,420	67,484	0	67,484	35,516	
125 00 WORKERS' COMPENSAT	10,000	0	0	0	0	10,000	
125 15 SCIF ALLOCATION CO	0	456	2,412	0	2,412	(2,412)	
132 00 NONINDUST DISABLT	2,000	0	0	0	0	2,000	
133 00 UNEMPLOYMENT INSUR	3,000	0	0	0	0	3,000	
134 00 OTHER-STAFF BENEFI	0	1,925	16,786	0	16,786	(16,786)	
134 01 TRANSIT DISCOUNT	0	0	130	0	130	(130)	
135 00 LIFE INSURANCE	0	7	62	0	62	(62)	
136 00 VISION CARE	1,000	52	467	0	467	533	
137 00 MEDICARE TAXATION	5,000	447	3,965	0	3,965	1,035	
TOTAL STAFF BENEFITS	252,000	16,915	146,281	0	146,281	105,719	41.95%
TOTAL PERSONAL SERVICES	712,000	48,795	429,159	0	429,159	282,841	39.72%
OPERATING EXPENSES & EQUIPMENT							
FINGERPRINTS							
213 04 FINGERPRINT REPORT	22,000	637	11,123	0	11,123	10,877	
TOTAL FINGERPRINTS	22,000	637	11,123	0	11,123	10,877	49.44%
GENERAL EXPENSE							
201 00 GENERAL EXPENSE	20,000	0	0	0	0	20,000	
206 00 MISC OFFICE SUPPLI	0	662	4,447	98	4,544	(4,544)	
207 00 FREIGHT & DRAYAGE	0	0	10	0	10	(10)	
213 02 ADMIN OVERHEAD-OTH	0	58	2,028	0	2,028	(2,028)	
217 00 MTG/CONF/EXHIBIT/S	0	0	993	0	993	(993)	

DEPARTMENT OF CONSUMER AFFAIRS
BUDGET REPORT
AS OF 3/31/2016
FM 09

CA BD OF OCCUPATIONAL THERAPY

DESCRIPTION		BUDGET	CURR. MONTH	YR-TO-DATE	ENCUMBRANCE	YTD + ENCUMBRANCE	BALANCE	PCNT REMAIN
TOTAL	GENERAL EXPENSE	20,000	720	7,477	98	7,575	12,425	62.12%
PRINTING								
241 00	PRINTING	6,000	0	0	0	0	6,000	
242 02	REPRODUCTION SVS	0	0	3	0	3	(3)	
242 03	COPY COSTS ALLO	0	1,268	1,478	0	1,478	(1,478)	
242 05	METRO PRINT/MAIL	0	1,006	1,006	0	1,006	(1,006)	
244 00	OFFICE COPIER EXP	0	0	587	793	1,380	(1,380)	
TOTAL	PRINTING	6,000	2,274	3,073	793	3,867	2,133	35.56%
COMMUNICATIONS								
251 00	COMMUNICATIONS	6,000	0	0	0	0	6,000	
253 00	CENT COMM (CALNET,	0	231	455	0	455	(455)	
257 01	TELEPHONE EXCHANGE	0	12	1,097	0	1,097	(1,097)	
TOTAL	COMMUNICATIONS	6,000	243	1,551	0	1,551	4,449	74.15%
POSTAGE								
261 00	POSTAGE	11,000	0	0	0	0	11,000	
262 00	STAMPS, STAMP ENVE	0	195	665	0	665	(665)	
263 05	DCA POSTAGE ALLO	0	468	4,582	0	4,582	(4,582)	
263 06	EDD POSTAGE ALLO	0	0	5,234	0	5,234	(5,234)	
TOTAL	POSTAGE	11,000	662	10,481	0	10,481	519	4.71%
TRAVEL: IN-STATE								
291 00	TRAVEL: IN-STATE	16,000	0	0	0	0	16,000	
292 00	PER DIEM-I/S	0	116	6,040	0	6,040	(6,040)	
294 00	COMMERCIAL AIR-I/S	0	2,817	5,948	0	5,948	(5,948)	
294 02	BAGGAGE FEE	0	0	75	0	75	(75)	
296 00	PRIVATE CAR-I/S	0	131	1,419	0	1,419	(1,419)	
297 00	RENTAL CAR-I/S	0	0	1,314	0	1,314	(1,314)	
301 00	TAXI & SHUTTLE SER	0	0	22	0	22	(22)	
305 00	MGMT/TRANS FEE-I/S	0	0	158	0	158	(158)	
305 01	CALATERS SERVICE F	0	0	89	0	89	(89)	
TOTAL	TRAVEL: IN-STATE	16,000	3,063	15,065	0	15,065	935	5.84%
TRAINING								
331 00	TRAINING	2,000	0	0	0	0	2,000	
TOTAL	TRAINING	2,000	0	0	0	0	2,000	100.00%
FACILITIES OPERATIONS								
341 00	FACILITIES OPERATI	45,000	0	0	0	0	45,000	

DEPARTMENT OF CONSUMER AFFAIRS

BUDGET REPORT
AS OF 3/31/2016

FM 09

CA BD OF OCCUPATIONAL THERAPY

	DESCRIPTION	BUDGET	CURR. MONTH	YR-TO-DATE	ENCUMBRANCE	YTD + ENCUMBRANCE	BALANCE	PCNT REMAIN
	343 00 RENT-BLDG/GRND(NON	0	0	59,412	26,459	85,871	(85,871)	
	347 00 FACILITY PLNG-DGS	0	135	1,083	0	1,083	(1,083)	
	TOTAL FACILITIES OPERATIONS	45,000	135	60,495	26,459	86,954	(41,954)	-93.23%
	C/P SVS - EXTERNAL							
	402 00 CONSULT/PROF SERV-	26,000	0	0	0	0	26,000	
	404 05 C&P EXT ADMIN CR C	0	358	429	25,571	26,000	(26,000)	
	TOTAL C/P SVS - EXTERNAL	26,000	358	429	25,571	26,000	0	0.00%
	DEPARTMENTAL SERVICES							
	424 03 OIS PRO RATA	215,000	0	161,250	0	161,250	53,750	
	427 00 INDIRECT DISTRB CO	94,000	0	70,500	0	70,500	23,500	
	427 30 DOI - ISU PRO RATA	3,000	0	2,250	0	2,250	750	
	427 34 COMMUNICATIONS PRO	6,000	0	4,500	0	4,500	1,500	
	TOTAL DEPARTMENTAL SERVICES	318,000	0	238,500	0	238,500	79,500	25.00%
	CONSOLIDATED DATA CENTERS							
	428 00 CONSOLIDATED DATA	0	3	100	0	100	(100)	
	TOTAL CONSOLIDATED DATA CENTERS	0	3	100	0	100	(100)	0.00%
	DATA PROCESSING							
	431 00 INFORMATION TECHNO	4,000	0	0	0	0	4,000	
	446 00 HARDWARE-IT PURCH,	0	0	0	1,295	1,295	(1,295)	
	449 00 ELECT WASTE RECYCL	0	0	0	3	3	(3)	
	TOTAL DATA PROCESSING	4,000	0	0	1,298	1,298	2,702	67.54%
	CENTRAL ADMINISTRATIVE SERVICES							
	438 00 PRO RATA	66,000	0	49,278	0	49,278	16,722	
	TOTAL CENTRAL ADMINISTRATIVE SERVICES	66,000	0	49,278	0	49,278	16,722	25.34%
	EXAMINATIONS							
	404 03 C/P SVS - EXT SUB	0	375	2,550	5,342	7,892	(7,892)	
	TOTAL EXAMINATIONS	0	375	2,550	5,342	7,892	(7,892)	0.00%
	ENFORCEMENT							
	396 00 ATTORNEY GENL-INTE	133,000	2,553	38,013	0	38,013	94,988	
	397 00 OFC ADMIN HEARNG-I	1,000	80	6,200	0	6,200	(5,200)	
	414 31 EVIDENCE/WITNESS F	0	0	607	2,500	3,106	(3,106)	
	418 97 COURT REPORTER SER	0	0	350	0	350	(350)	
	427 31 DOI - INVESTIGATIO	41,000	0	30,750	0	30,750	10,250	
	TOTAL ENFORCEMENT	175,000	2,633	75,919	2,500	78,419	96,581	55.19%

DEPARTMENT OF CONSUMER AFFAIRS
 BUDGET REPORT
 AS OF 3/31/2016
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CA BD OF OCCUPATIONAL THERAPY

DESCRIPTION	BUDGET	CURR. MONTH	YR-TO-DATE	ENCUMBRANCE	YTD + ENCUMBRANCE	BALANCE	PCNT REMAIN
MINOR EQUIPMENT							
226 00 MINOR EQUIPMENT	8,000	0	0	0	0	8,000	
<u>TOTAL</u> MINOR EQUIPMENT	8,000	0	0	0	0	8,000	100.00%
<u>TOTAL</u> OPERATING EXPENSES & EQUIPMEN	725,000	11,103	476,043	62,061	538,104	186,896	25.78%
CA BD OF OCCUPATIONAL THERAPY	1,437,000	59,898	905,201	62,061	967,262	469,738	32.69%
	1,437,000	59,898	905,201	62,061	967,262	469,738	32.69%

**OCCUPATIONAL THERAPY - 3017
BUDGET REPORT
FY 2015-16 EXPENDITURE PROJECTION
FISCAL MONTH 9**

OBJECT DESCRIPTION	FY 2014-15		FY 2015-16				
	ACTUAL EXPENDITURES (MONTH 18)	PRIOR YEAR EXPENDITURES 3/31/2015	BUDGET STONE 2015-16	CURRENT YEAR EXPENDITURES 3/31/2016	PERCENT SPENT	PROJECTIONS TO YEAR END	UNENCUMBERED BALANCE
PERSONNEL SERVICES							
Salary & Wages (Staff)	292,408	230,806	354,000	202,988	57%	271,672	82,328
Statutory Exempt (EO)	87,511	64,395	82,000	65,339	80%	87,341	(5,341)
Temp Help Reg (Seasonals)	11,476	7,552	4,000	9,616		13,816	(9,816)
Temp Help (Exam Proctors)							0
Board Member Per Diem	1,400		20,000	1,500	8%	10,700	9,300
Committee Members (DEC)							0
Overtime	1,181	1,181		3,434		6,000	(6,000)
Staff Benefits	207,076	162,012	252,000	146,281	58%	186,969	65,031
TOTALS, PERSONNEL SVC	601,052	465,946	712,000	429,158	60%	576,498	135,502
OPERATING EXPENSE AND EQUIPMENT							
General Expense	6,789	6,097	20,000	7,575	38%	12,000	8,000
Fingerprint Reports	18,348	11,359	22,000	11,123	51%	17,967	4,033
Minor Equipment	914	914	8,000		0%	8,000	0
Printing	2,745	2,723	6,000	3,867	64%	4,898	1,102
Communication	2,466	1,760	6,000	1,551	26%	2,173	3,827
Postage	19,694	12,541	11,000	10,481	95%	16,459	(5,459)
Insurance			0		0%		0
Travel In State	13,274	9,321	16,000	15,065	94%	32,000	(16,000)
Travel, Out-of-State	340	340	0		0%	0	0
Training			2,000		0%	500	1,500
Facilities Operations	80,735	60,372	45,000	86,954	193%	87,250	(42,250)
Utilities			0		0%		0
C & P Services - Interdept.			0		0%		0
C & P Services - External	1,000	10,297	26,000	26,000	100%	26,000	0
DEPARTMENTAL SERVICES:							
Departmental Pro Rata	150,120	97,986	215,000	161,250	75%	215,000	0
Admin/Exec	88,116	63,513	94,000	70,500	75%	94,000	0
Interagency Services					0%	0	0
IA w/ OER							0
DOI-ProRata Internal	1,807	1,989	3,000	2,250	75%	3,000	0
Communications Division	2,098	1,941	6,000	4,500	75%	6,000	0
PPRD Pro Rata	3,990	2,760	0	0	0%	0	0
INTERAGENCY SERVICES:							
Consolidated Data Center	229	93		100		246	(246)
DP Maintenance & Supply	3,313	3,313	4,000	1,298	32%	1,598	2,402
Central Admin Svc-ProRata	62,261	46,696	66,000	49,278	75%	66,000	0
EXAM EXPENSES:							
Exam Supplies							0
Exam Freight							0
Exam Site Rental							0
C/P Svcs-External Expert Administrative							0
C/P Svcs-External Expert Examiners							0
C/P Svcs-External Subject Matter	8,680	7,499		7,892		9,135	(9,135)
ENFORCEMENT:							
Attorney General	48,570	29,490	133,000	43,440	33%	70,000	63,000
Office Admin. Hearings	14,455	7,529	1,000	6,490	649%	13,000	(12,000)
Court Reporters	809	309		350		916	(916)
Evidence/Witness Fees	5,509	3,418		3,106		6,000	(6,000)
DOI - Investigations	81,718	60,312	41,000	30,750	75%	41,000	0
Major Equipment							0
Special Items of Expense						9,846	(9,846)
Other (Vehicle Operations)							0
TOTALS, OE&E	617,980	442,572	725,000	543,820	75%	742,988	(17,988)
TOTAL EXPENSE	1,219,032	908,518	1,437,000	972,978	135%	1,319,487	117,513
Sched. Reimb.							0
Sched. Reimb. - Fingerprints	(18,130)	(12,740)	(22,000)	(15,092)	69%	(22,000)	0
Sched. Reimb. - External/Private	(3,525)	(2,350)		(4,465)			0
Unsched. Reimb. - Other				(549)			0
NET APPROPRIATION	1,197,377	893,428	1,415,000	952,872	67%	1,297,487	117,513
SURPLUS/(DEFICIT):							8.3%

[BOARD NAME]
BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM
As of [date]

**Section 1 –
 Background and Description of the Board and Regulated Profession**

Provide a short explanation of the history and function of the board.¹ Describe the occupations/profession that are licensed and/or regulated by the board (Practice Acts vs. Title Acts).

1. Describe the make-up and functions of each of the board's committees (cf., Section 12, Attachment B).

Table 1a. Attendance			
[Enter board member name]			
Date Appointed:	[Enter date appointed]		
Meeting Type	Meeting Date	Meeting Location	Attended?
Meeting 1	[Enter Date]	[Enter Location]	[Y/N]
Meeting 2	[Enter Date]	[Enter Location]	[Y/N]
Meeting 3	[Enter Date]	[Enter Location]	[Y/N]
Meeting 4	[Enter Date]	[Enter Location]	[Y/N]

Table 1b. Board/Committee Member Roster					
Member Name (Include Vacancies)	Date First Appointed	Date Re-appointed	Date Term Expires	Appointing Authority	Type (public or professional)

2. In the past four years, was the board unable to hold any meetings due to lack of quorum? If so, please describe. Why? When? How did it impact operations?
3. Describe any major changes to the board since the last Sunset Review, including:
 - Internal changes (i.e., reorganization, relocation, change in leadership, strategic planning)

¹ The term "board" in this document refers to a board, bureau, commission, committee, department, division, program or agency, as applicable. Please change the term "board" throughout this document to appropriately refer to the entity being reviewed.

- All legislation sponsored by the board and affecting the board since the last sunset review.
 - All regulation changes approved by the board the last sunset review. Include the status of each regulatory change approved by the board.
4. Describe any major studies conducted by the board (cf. Section 12, Attachment C).
 5. List the status of all national associations to which the board belongs.
 - Does the board's membership include voting privileges?
 - List committees, workshops, working groups, task forces, etc., on which board participates.
 - How many meetings did board representative(s) attend? When and where?
 - If the board is using a national exam, how is the board involved in its development, scoring, analysis, and administration?

**Section 2 –
Performance Measures and Customer Satisfaction Surveys**

6. Provide each quarterly and annual performance measure report as published on the DCA website
7. Provide results for each question in the customer satisfaction survey broken down by fiscal year. Discuss the results of the customer satisfaction surveys.

**Section 3 –
Fiscal and Staff**

Fiscal Issues

8. Describe the board's current reserve level, spending, and if a statutory reserve level exists.
9. Describe if/when a deficit is projected to occur and if/when fee increase or reduction is anticipated. Describe the fee changes (increases or decreases) anticipated by the board.

Table 2. Fund Condition						
(Dollars in Thousands)	FY 2008/09	FY 2009/10	FY 2009/10	FY 2011/12	FY 2012/13	FY 2013/14
Beginning Balance						
Revenues and Transfers						
Total Revenue	\$	\$	\$	\$	\$	\$
Budget Authority						
Expenditures						
Loans to General Fund						
Accrued Interest, Loans to General Fund						
Loans Repaid From General Fund						
Fund Balance	\$	\$	\$	\$	\$	\$
Months in Reserve						

10. Describe history of general fund loans. When were the loans made? When were payments made? What is the remaining balance?
11. Describe the amounts and percentages of expenditures by program component. Use *Table 3. Expenditures by Program Component* to provide a breakdown of the expenditures by the board in each program area. Expenditures by each component (except for pro rata) should be broken out by personnel expenditures and other expenditures.

Table 3. Expenditures by Program Component								
	FY 2008/09		FY 2009/10		FY 2010/11		FY 2011/12	
	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E
Enforcement								
Examination								
Licensing								
Administration *								
DCA Pro Rata								
Diversion (if applicable)								
TOTALS	\$	\$	\$	\$	\$	\$	\$	\$

*Administration includes costs for executive staff, board, administrative support, and fiscal services.

12. Describe license renewal cycles and history of fee changes in the last 10 years. Give the fee authority (Business and Professions Code and California Code of Regulations citation) for each fee charged by the board.

Table 4. Fee Schedule and Revenue							
Fee	Current Fee Amount	Statutory Limit	FY 2008/09 Revenue	FY 2009/10 Revenue	FY 2010/11 Revenue	FY 2011/12 Revenue	% of Total Revenue

13. Describe Budget Change Proposals (BCPs) submitted by the board in the past four fiscal years.

Table 5. Budget Change Proposals (BCPs)								
BCP ID #	Fiscal Year	Description of Purpose of BCP	Personnel Services				OE&E	
			# Staff Requested (include classification)	# Staff Approved (include classification)	\$ Requested	\$ Approved	\$ Requested	\$ Approved

Staffing Issues

- 14. Describe any staffing issues/challenges, i.e., vacancy rates, efforts to reclassify positions, staff turnover, recruitment and retention efforts, succession planning.
- 15. Describe the board's staff development efforts and how much is spent annually on staff development (cf., Section 12, Attachment D).

**Section 4 –
Licensing Program**

- 16. What are the board's performance targets/expectations for its licensing² program? Is the board meeting those expectations? If not, what is the board doing to improve performance?
- 17. Describe any increase or decrease in average time to process applications, administer exams and/or issue licenses. Have pending applications grown at a rate that exceeds completed applications? If so, what has been done to address them? What are the performance barriers and what improvement plans are in place? What has the board done and what is the board going to do to address any performance issues, i.e., process efficiencies, regulations, BCP, legislation?
- 18. How many licenses or registrations does the board issue each year? How many renewals does the board issue each year?

Table 6. Licensee Population					
		FY 2008/09	FY 2009/10	FY 2010/11	FY 2011/12
[Enter License Type]	Active				
	Out-of-State				
	Out-of-Country				
	Delinquent				
[Enter License Type]	Active				
	Out-of-State				
	Out-of-Country				
	Delinquent				
[Enter License Type]	Active				
	Out-of-State				
	Out-of-Country				
	Delinquent				
[Enter License Type]	Active				
	Out-of-State				
	Out-of-Country				
	Delinquent				

² The term "license" in this document includes a license certificate or registration.

Table 7a. Licensing Data by Type											
Application Type	Received	Approved	Closed	Issued	Pending Applications			Cycle Times			
					Total (Close of FY)	Outside Board control*	Within Board control*	Complete Apps	Incomplete Apps	combined, IF unable to separate out	
FY 2009/10	(Exam)				-	-	-	-	-	-	-
	(License)				-	-	-	-	-	-	-
	(Renewal)			n/a	-	-	-	-	-	-	-
FY 2010/11	(Exam)										
	(License)										
	(Renewal)			n/a							
FY 2011/12	(Exam)										
	(License)										
	(Renewal)			n/a							

* Optional. List if tracked by the board.

Table 7b. Total Licensing Data			
	FY 2009/10	FY 2010/11	FY 2011/12
Initial Licensing Data:			
Initial License/Initial Exam Applications Received			
Initial License/Initial Exam Applications Approved			
Initial License/Initial Exam Applications Closed			
License Issued			
Initial License/Initial Exam Pending Application Data:			
Pending Applications (total at close of FY)			
Pending Applications (outside of board control)*			
Pending Applications (within the board control)*			
Initial License/Initial Exam Cycle Time Data (WEIGHTED AVERAGE):			
Average Days to Application Approval (All - Complete/Incomplete)			
Average Days to Application Approval (incomplete applications)*			
Average Days to Application Approval (complete applications)*			
License Renewal Data:			
License Renewed			

* Optional. List if tracked by the board.

19. How does the board verify information provided by the applicant?

- a. What process is used to check prior criminal history information, prior disciplinary actions, or other unlawful acts of the applicant?
- b. Does the board fingerprint all applicants?
- c. Have all current licensees been fingerprinted? If not, explain.

- d. Is there a national databank relating to disciplinary actions? Does the board check the national databank prior to issuing a license? Renewing a license?
 - e. Does the board require primary source documentation?
20. Describe the board's legal requirement and process for out-of-state and out-of-country applicants to obtain licensure.
21. Does the board send No Longer Interested notifications to DOJ on a regular and ongoing basis? Is this done electronically? Is there a backlog? If so, describe the extent and efforts to address the backlog.

Examinations

Table 8. Examination Data			
California Examination (include multiple language) if any:			
	License Type		
	Exam Title		
FY 2008/09	# of 1 st Time Candidates		
	Pass %		
FY 2009/10	# of 1 st Time Candidates		
	Pass %		
FY 2010/11	# of 1 st Time Candidates		
	Pass %		
FY 2011/12	# of 1 st time Candidates		
	Pass %		
	Date of Last OA		
	Name of OA Developer		
	Target OA Date		
National Examination (include multiple language) if any:			
	License Type		
	Exam Title		
FY 2008/09	# of 1 st Time Candidates		
	Pass %		
FY 2009/10	# of 1 st Time Candidates		
	Pass %		
FY 2010/11	# of 1 st Time Candidates		
	Pass %		
FY 2011/12	# of 1 st time Candidates		
	Pass %		
	Date of Last OA		
	Name of OA Developer		
	Target OA Date		

22. Describe the examinations required for licensure. Is a national examination used? Is a California specific examination required?

23. What are pass rates for first time vs. retakes in the past 4 fiscal years? (Refer to Table 8: Examination Data)
24. Is the board using computer based testing? If so, for which tests? Describe how it works. Where is it available? How often are tests administered?
25. Are there existing statutes that hinder the efficient and effective processing of applications and/or examinations? If so, please describe.

School approvals

26. Describe legal requirements regarding school approval. Who approves your schools? What role does BPPE have in approving schools? How does the board work with BPPE in the school approval process?
27. How many schools are approved by the board? How often are schools reviewed?
28. What are the board's legal requirements regarding approval of international schools?

Continuing Education/Competency Requirements

29. Describe the board's continuing education/competency requirements, if any. Describe any changes made by the board since the last review.
- How does the board verify CE or other competency requirements?
 - Does the board conduct CE audits on its licensees? Describe the board's policy on CE audits.
 - What are consequences for failing a CE audit?
 - How many CE audits were conducted in the past four fiscal years? How many fails?
 - What is the board's course approval policy?
 - Who approves CE providers? Who approves CE courses? If the board approves them, what is the board application review process?
 - How many applications for CE providers and CE courses were received? How many were approved?
 - Does the board audit CE providers? If so, describe the board's policy and process.
 - Describe the board's effort, if any, to review its CE policy for purpose of moving toward performance based assessments of the licensees' continuing competence.

Section 5 – Enforcement Program

30. What are the board's performance targets/expectations for its enforcement program? Is the board meeting those expectations? If not, what is the board doing to improve performance?
31. Explain trends in enforcement data and the board's efforts to address any increase in volume, timeframes, ratio of closure to pending, or other challenges. What are the performance barriers? What improvement plans are in place? What has the board done and what is the board going to do to address these issues, i.e., process efficiencies, regulations, BCP, legislation?

Table 9a. Enforcement Statistics

	FY 2009/10	FY 2010/11	FY 2011/12
COMPLAINT			
Intake (Use CAS Report EM 10)			
Received			
Closed			
Referred to INV			
Average Time to Close	-		
Pending (close of FY)			
Source of Complaint (Use CAS Report 091)			
Public			
Licensee/Professional Groups			
Governmental Agencies			
Other			
Conviction / Arrest (Use CAS Report EM 10)			
CONV Received			
CONV Closed			
Average Time to Close	-		
CONV Pending (close of FY)			
LICENSE DENIAL (Use CAS Reports EM 10 and 095)			
License Applications Denied			
SOIs Filed			
SOIs Withdrawn			
SOIs Dismissed			
SOIs Declined			
Average Days SOI	-		
ACCUSATION (Use CAS Report EM 10)			
Accusations Filed			
Accusations Withdrawn			
Accusations Dismissed			
Accusations Declined			
Average Days Accusations	-		
Pending (close of FY)			

Table 9b. Enforcement Statistics (continued)

	FY 2009/10	FY 2010/11	FY 2011/12
DISCIPLINE			
Disciplinary Actions (Use CAS Report EM 10)			
Proposed/Default Decisions			
Stipulations			
Average Days to Complete	-		
AG Cases Initiated			
AG Cases Pending (close of FY)			
Disciplinary Outcomes (Use CAS Report 096)			
Revocation			
Voluntary Surrender			
Suspension			
Probation with Suspension			
Probation			
Probationary License Issued			
Other			
PROBATION			
New Probationers			
Probations Successfully Completed			
Probationers (close of FY)			
Petitions to Revoke Probation			
Probations Revoked			
Probations Modified			
Probations Extended			
Probationers Subject to Drug Testing			
Drug Tests Ordered			
Positive Drug Tests			
Petition for Reinstatement Granted			
DIVERSION			
New Participants			
Successful Completions			
Participants (close of FY)			
Terminations			
Terminations for Public Threat			
Drug Tests Ordered			
Positive Drug Tests			

Table 9c. Enforcement Statistics (continued)

	FY 2009/10	FY 2010/11	FY 2011/12
INVESTIGATION			
All Investigations (Use CAS Report EM 10)			
First Assigned			
Closed			
Average days to close	-		
Pending (close of FY)			
Desk Investigations (Use CAS Report EM 10)			
Closed	-		
Average days to close	-		
Pending (close of FY)	-		
Non-Sworn Investigation (Use CAS Report EM 10)			
Closed	-		
Average days to close	-		
Pending (close of FY)	-		
Sworn Investigation			
Closed (Use CAS Report EM 10)			
Average days to close	-		
Pending (close of FY)			
COMPLIANCE ACTION (Use CAS Report 096)			
ISO & TRO Issued			
PC 23 Orders Requested			
Other Suspension Orders			
Public Letter of Reprimand			
Cease & Desist/Warning			
Referred for Diversion			
Compel Examination			
CITATION AND FINE (Use CAS Report EM 10 and 095)			
Citations Issued			
Average Days to Complete	-		
Amount of Fines Assessed			
Reduced, Withdrawn, Dismissed			
Amount Collected			
CRIMINAL ACTION			
Referred for Criminal Prosecution			

Table 10. Enforcement Aging						
	FY 2008/09	FY 2009/10	FY 2010/11	FY 2011/12	Cases Closed	Average %
Attorney General Cases (Average %)						
Closed Within:						
1 Year						
2 Years						
3 Years						
4 Years						
Over 4 Years						
Total Cases Closed						
Investigations (Average %)						
Closed Within:						
90 Days						
180 Days						
1 Year						
2 Years						
3 Years						
Over 3 Years						
Total Cases Closed						

32. What do overall statistics show as to increases or decreases in disciplinary action since last review.
33. How are cases prioritized? What is the board's compliant prioritization policy? Is it different from DCA's *Complaint Prioritization Guidelines for Health Care Agencies* (August 31, 2009)? If so, explain why.
34. Are there mandatory reporting requirements? For example, requiring local officials or organizations, or other professionals to report violations, or for civil courts to report actions taken against a licensee. Are there problems with receiving the required reports? If so, what could be done to correct the problems?
35. Does the board operate with a statute of limitations? If so, please describe and provide citation. If so, how many cases were lost due to statute of limitations? If not, what is the board's policy on statute of limitations?
36. Describe the board's efforts to address unlicensed activity and the underground economy.

Cite and Fine

37. Discuss the extent to which the board has used its cite and fine authority. Discuss any changes from last review and last time regulations were updated. Has the board increased its maximum fines to the \$5,000 statutory limit?
38. How is cite and fine used? What types of violations are the basis for citation and fine?
39. How many informal office conferences, Disciplinary Review Committees reviews and/or Administrative Procedure Act appeals in the last 4 fiscal years?
40. What are the 5 most common violations for which citations are issued?
41. What is average fine pre and post appeal?
42. Describe the board's use of Franchise Tax Board intercepts to collect outstanding fines.

Cost Recovery and Restitution

43. Describe the board's efforts to obtain cost recovery. Discuss any changes from the last review.
44. How many and how much is ordered for revocations, surrenders and probationers? How much do you believe is uncollectable? Explain.
45. Are there cases for which the board does not seek cost recovery? Why?
46. Describe the board's use of Franchise Tax Board intercepts to collect cost recovery.
47. Describe the board's efforts to obtain restitution for individual consumers, any formal or informal board restitution policy, and the types of restitution that the board attempts to collect, i.e., monetary, services, etc. Describe the situation in which the board may seek restitution from the licensee to a harmed consumer.

Table 11. Cost Recovery				
	FY 2009/10	FY 2010/11	FY 2011/12	FY 2012/13
Total Enforcement Expenditures				
Potential Cases for Recovery *				
Cases Recovery Ordered				
Amount of Cost Recovery Ordered				
Amount Collected				
* "Potential Cases for Recovery" are those cases in which disciplinary action has been taken based on violation of the license practice act.				

Table 12. Restitution				
	FY 2008/09	FY 2009/10	FY 2010/11	FY 2011/12
Amount Ordered				
Amount Collected				

Section 6 – Public Information Policies

48. How does the board use the internet to keep the public informed of board activities? Does the board post board meeting materials online? When are they posted? How long do they remain on the website? When are draft meeting minutes posted online? When does the board post final meeting minutes? How long do meeting minutes remain available online?
49. Does the board webcast its meetings? What is the board's plan to webcast future board and committee meetings?
50. Does the board establish an annual meeting calendar, and post it on the board's web site?
51. Is the board's complaint disclosure policy consistent with DCA's *Recommended Minimum Standards for Consumer Complaint Disclosure*? Does the board post accusations and disciplinary actions consistent with DCA's *Web Site Posting of Accusations and Disciplinary Actions* (May 21, 2010)?
52. What information does the board provide to the public regarding its licensees (i.e., education completed, awards, certificates, certification, specialty areas, disciplinary action, etc.)?

53. What methods are used by the board to provide consumer outreach and education?

Section 7 – Online Practice Issues

54. Discuss the prevalence of online practice and whether there are issues with unlicensed activity. How does the board regulate online practice? Does the board have any plans to regulate Internet business practices or believe there is a need to do so?

Section 8 – Workforce Development and Job Creation

55. What actions has the board taken in terms of workforce development?

56. Describe any assessment the board has conducted on the impact of licensing delays.

57. Describe the board's efforts to work with schools to inform potential licensees of the licensing requirements and licensing process.

58. Provide any workforce development data collected by the board, such as:

- a. Workforce shortages
- b. Successful training programs.

Section 9 – Current Issues

59. What is the status of the board's implementation of the Uniform Standards for Substance Abusing Licensees?

60. What is the status of the board's implementation of the Consumer Protection Enforcement Initiative (CPEI) regulations?

61. Describe how the board is participating in development of BreEZe and any other secondary IT issues affecting the board.

Section 10 – Board Action and Response to Prior Sunset Issues

Include the following:

1. Background information concerning the issue as it pertains to the board.
2. Short discussion of recommendations made by the Committee/Joint Committee during prior sunset review.

3. What action the board took in response to the recommendation or findings made under prior sunset review.
4. Any recommendations the board has for dealing with the issue, if appropriate.

Section 11 – New Issues

This is the opportunity for the board to inform the Committee of solutions to issues identified by the board and by the Committee. Provide a short discussion of each of the outstanding issues, and the board's recommendation for action that could be taken by the board, by DCA or by the Legislature to resolve these issues (i.e., legislative changes, policy direction, budget changes) for each of the following:

1. Issues that were raised under prior Sunset Review that have not been addressed.
2. New issues that are identified by the board in this report.
3. New issues not previously discussed in this report.
4. New issues raised by the Committee.

Section 12 – Attachments

Please provide the following attachments:

- A. Board's administrative manual.
- B. Current organizational chart showing relationship of committees to the board and membership of each committee (cf., Section 1, Question 1).
- C. Major studies, if any (cf., Section 1, Question 4).
- D. Year-end organization charts for last four fiscal years. Each chart should include number of staff by classifications assigned to each major program area (licensing, enforcement, administration, etc.) (cf., Section 3, Question 15).

This section only applies to specific boards, as indicated below.

Section 13 – Board Specific Issues

Diversion

Discuss the board's diversion program, the extent to which it is used, the outcomes of those who participate, the overall costs of the program compared with its successes

Diversion Evaluation Committees (DEC) (for BRN, Dental, Osteo and VET only)

1. DCA contracts with a vendor to perform probation monitoring services for licensees with substance abuse problems, why does the board use DEC? What is the value of a DEC?
2. What is the membership/makeup composition?
3. Did the board have any difficulties with scheduling DEC meetings? If so, describe why and how the difficulties were addressed.
4. Does the DEC comply with the Open Meetings Act?
5. How many meetings held in each of the last three fiscal years?
6. Who appoints the members?
7. How many cases (average) at each meeting?
8. How many pending? Are there backlogs?
9. What is the cost per meeting? Annual cost?
10. How is DEC used? What types of cases are seen by the DEC?
11. How many DEC recommendations have been rejected by the board in the past four fiscal years (broken down by year)?

Disciplinary Review Committees (Board of Barbering and Cosmetology and BSIS only)

1. What is a DRC and how is a DRC used? What types of cases are seen by the DRCs?
2. What is the membership/makeup composition?
3. Does the DRC comply with the Open Meetings Act?
4. How many meeting held in last three fiscal years?
5. Did the board have any difficulties with scheduling DRC meetings? If so, describe why and how the difficulties were addressed.
6. Who appoints the members?
7. How many cases (average) at each meeting?
8. How many pending? Are there backlogs?
9. What is the cost per meeting? Annual cost?
10. Provide statistics on DRC actions/outcomes.