

EXECUTIVE OFFICER'S REPORT.

The following are attached:

- a) Operational report.
- b) Fiscal Month 9 Revenue and Expenditure reports.
- c) Licensing data for 10/1/2021 - 12/31/2021 and 1/1/2022 – 3/31/2022.
- d) Enforcement data for 10/1/2021 - 12/31/2021.
- e) Enforcement data for 1/1/2022 – 3/31/2022.
- f) Future Agenda Items.
- g) Reports due dates.
- h) Other informational items (no Board action can be taken)

AGENDA ITEM 25a



Memorandum

Date: May 17, 2022
To: CBOT Members

From: Heather Martin, Executive Officer
Subject: Executive Officer Report

a) Operational and budget reports.

The Board's Enforcement Program manager retired February 1, 2022. A package to appoint Jody Quesada in an out-of-class assignment to be the Acting Enforcement Manager was submitted to DCA and approved to begin February 11, 2022. A package to refill the position with a permanent manager was submitted to DCA on March 9th and interviews were held in April. We anticipate a permanent new manager starting in June/July.

A recruitment package to establish and fill an additional retired annuitant (RA) position to assist with preparing recruitment/refill packages was submitted to DCA in March. The final filing date was April 8th; however, the date was extended to April 15th due to too few eligible applicants. The Board is exploring other options to gain the additional assistance needed to fill the vacancies.

A recruitment package on March 21st to establish and fill an office assistant (OA) position on a permanent, full-time basis, to replace the part-time, permanent intermittent OA position that was previously paid with blanket funds. The final filing date was April 8th. However, despite the large candidate pool (170+) the candidate pool was a bit limited, and we plan to readvertise.

Additional recruitment packages are in progress, including:

- A package to fill an analyst position and establish and fill a manager position over the Licensing and Administration.
- A package to fill the Board's cashier position; the anticipated date of submission to DCA is April 29th. (The submission date of this package and the remainder of the recruitment packages is subject to the hiring of the additional RA and availability of the current RA.)

Filling the Board's vacancies is a high priority, and the Board looks forward to filling positions on a staggered basis with most positions filled by July - September.

DCA is conducting a department-wide Asset Management Process (AMP) Audit; including all Boards and Bureaus. We completed the intake interview, and the next step will be when the auditor visits the Board's office to complete the 'fieldwork' portion of the audit. This is scheduled for Monday, May 23rd. The final report is anticipated to be completed in July or August 2022.

b) Fiscal Month (FM) 9 Revenue and Expenditure reports.

Budget information includes details for:

- Current year revenue earned through FM 9: \$2,395,895.
- Current year expenditures through FM 9: \$2,120,740

FY 2020-21: Revenue collected \$2.490m; expenditures \$2.640m

c) Licensing data.

Included is standard report for 10/1/2021 – 12/31/2021 and 1/1/2022 – 3/31/2022

d) Enforcement data for 10/1/2021 – 12/31/2021

Included are standard reports, including:

- Cases/Complaint data
- Citations issued to OTs.
- Citations issued to OTAs
- Details on cases pending at the AGO
- Final Decisions.
- Listing of current probationers.

e) Enforcement data for 1/1/2022 – 3/31/2022

Included are standard reports, including:

- Cases/Complaint data
- Citations issued to OTs.
- Citations issued to OTAs
- Details on cases pending at the AGO
- Final Decisions.
- Listing of current probationers.

f) Future agenda items

Listing of past agenda items approved by the Board to be discussed at a future meeting.
Request the Board

g) Reports Due Dates.

Attached is a listing of various information/data/reports that the Board submits to DCA.

h) Other Informational Items.

Included are the following:

- Letter to OTs/OTAs requesting they supervise fieldwork. Approximate cost: Nearly \$15k. One more letter to be sent to Medical Education Department, Clinical Coordinator, or Director of Rehabilitation.
- Extract of May 2021 meeting minutes with updates suggested by legal counsel.
- Copy of survey requesting meeting related costs; to be reported within 30 days of meeting.

The Board is experiencing an increase in phone calls from licensees regarding an *Informed Delivery* notification from the USPS. This service notifies subscribers of mail the USPS is going to deliver to them and includes the senders name and address. Licensees calling to question what the Board is sending to them are advised to wait for the delivery. Thus, the Board posted a request on social media that licensees receive the mail from the Board to determine what the correspondence is and then call with any questions.

AGENDA ITEM 25b

CBOT Revenue Report

Fiscal Year: 2021 - 2022

FM: 9

	Current Month	YTD
Delinquent Fees	\$2,115	\$32,270
Delinquent Renewal OT	\$1,485	\$26,570
Delinquent Renewal OTA	\$630	\$5,700
Other Regulatory Fees	\$1,580	\$22,000
Cite & Fine	\$1,010	\$18,675
Duplicate License OT	\$225	\$1,775
Duplicate License OTA	\$75	\$650
Franchise Tax Board - Cite Fine Collection	\$270	\$900
Other Regulatory License and Permits	\$48,704	\$330,894
Initial License OT	\$33,145	\$202,008
Initial License OTA	\$5,299	\$46,152
Limited Permit OT	\$100	\$4,500
Limited Permit OTA	\$200	\$1,400
Retired Status OT	\$275	\$2,575
Retired Status OTA	\$50	\$600
Application Fee OT	\$7,200	\$55,450
Application Fee OTA	\$2,400	\$17,650
Refunded Reimbursements	\$0	-\$294
Suspended Revenue	\$35	\$1,800
Prior Year Revenue Adjustment	\$0	-\$947
Other Revenue	\$2,170	\$22,935
Misc Service To Public General	\$2,170	\$20,230
Investment Income - Surplus Money Investments	\$0	\$2,228
Canceled Warrants Revenue	\$0	\$478
Renewal Fees	\$206,341	\$1,987,796
Renewal OT	\$168,601	\$1,626,816
Renewal OTA	\$31,080	\$301,170
Restore License To Active OT	\$0	\$2,480
Restore License To Active OTA	\$0	\$420
Inactive Renewal OT	\$5,400	\$46,860
Inactive Renewal OTA	\$1,260	\$10,050
TOTAL Revenue	\$260,910	\$2,395,895
Scheduled Reimbursements	\$2,989	\$23,030
Fingerprint Reports	\$2,989	\$23,030
Unscheduled Reimbursements	\$1,191	\$10,114
US Cost Recovery	\$1,191	\$10,114
TOTAL Reimbursements	\$4,180	\$33,144

CBOT Expenditure Report

Fiscal Year: 2021 - 2022

FM: 9

PERSONAL SERVICES					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
5100 PERMANENT POSITIONS	\$1,126,000	\$65,224	\$618,030	\$0	\$618,030
Earnings - Permanent Civil Service Employee	\$1,044,000	\$56,531	\$539,648	\$0	\$539,648
Earnings - Exempt/Statutory Employee	\$82,000	\$8,693	\$78,381	\$0	\$78,381
5100 TEMPORARY POSITIONS	\$4,000	\$4,432	\$18,397	\$0	\$18,397
Temp Help	\$4,000	\$4,432	\$18,397	\$0	\$18,397
5105-5108 PER DIEM, OVERTIME, & LUMP SUM	\$20,000	-\$100	\$67,571	\$0	\$67,571
Board Members	\$20,000	-\$100	\$4,500	\$0	\$4,500
OT Earnings Other than Temp Help	\$0	\$0	\$3,508	\$0	\$3,508
Lump Sum Payout	\$0	\$0	\$59,562	\$0	\$59,562
5150 STAFF BENEFITS	\$706,000	\$35,088	\$358,627	\$0	\$358,627
Dental Insurance	\$2,000	\$481	\$4,196	\$0	\$4,196
Disability Leave - Nonindustrial	\$2,000	\$0	\$0	\$0	\$0
Employee Assistance PGM Fee	\$0	\$17	\$145	\$0	\$145
Health Insurance	\$247,000	\$7,691	\$71,615	\$0	\$71,615
Life Insurance	\$0	\$10	\$124	\$0	\$124
Medicare Taxation	\$6,000	\$942	\$9,550	\$0	\$9,550
OASDI	\$80,000	\$3,751	\$39,696	\$0	\$39,696
Retirement - General	\$317,000	\$18,147	\$174,738	\$0	\$174,738
Unemployment Insurance	\$3,000	\$0	\$151	\$0	\$151
Vision Care	\$1,000	\$91	\$794	\$0	\$794
Workers' Compensation	\$28,000	\$0	\$0	\$0	\$0
SCIF Allocation Cost	\$0	\$0	\$16,650	\$0	\$16,650
Other Post-Employment Benefits	\$20,000	\$2,081	\$19,734	\$0	\$19,734
Staff Benefits - Other	\$0	\$1,878	\$21,234	\$0	\$21,234
PERSONAL SERVICES	\$1,856,000	\$104,645	\$1,062,625	\$0	\$1,062,625

OPERATING EXPENSES & EQUIPMENT					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
5301 GENERAL EXPENSE	\$59,000	\$1,385	\$22,637	\$320	\$22,957
Clerical & Nonprofessional Services	\$0	\$0	\$5,874	\$0	\$5,874
Administration/Other State Agencies	\$0	\$18	\$192	\$0	\$192
Fingerprint Reports	\$22,000	\$539	\$12,838	\$0	\$12,838
Freight and Drayage	\$0	\$828	\$1,531	\$297	\$1,828
Goods - Other	\$37,000	\$0	\$17	\$0	\$17
Office Supplies - Miscallenuous	\$0	\$0	\$946	\$23	\$969
Services & Rentals - Other	\$0	\$0	\$300	\$0	\$300
Subscriptions	\$0	\$0	\$939	\$0	\$939
5302 PRINTING	\$19,000	\$1,000	\$7,111	\$8,594	\$15,705
Office Copiers - Maintenance	\$0	\$141	\$498	\$1,526	\$2,024
Pamphlets, Leaflets, Brochures	\$0	\$859	\$6,612	\$7,068	\$13,681
Printing - Other	\$19,000	\$0	\$0	\$0	\$0
5304 COMMUNICATIONS	\$14,000	\$25	\$531	\$0	\$531
Central Communication - CALNET	\$0	\$25	\$140	\$0	\$140
Telephone Services	\$0	\$0	\$391	\$0	\$391
Communications - Other	\$14,000	\$0	\$0	\$0	\$0
5306 POSTAGE	\$18,000	\$0	\$3,628	\$0	\$3,628
Postage - General	\$0	\$0	\$18	\$0	\$18
DCA Postage Allocation	\$0	\$0	\$3,609	\$0	\$3,609
Postage - Other	\$18,000	\$0	\$0	\$0	\$0
53202-204 IN STATE TRAVEL	\$25,000	\$0	\$0	\$0	\$0
Travel - In State - Other	\$25,000	\$0	\$0	\$0	\$0
5322 TRAINING	\$9,000	\$0	\$0	\$0	\$0
Training - Tuition & Registration	\$9,000	\$0	\$0	\$0	\$0

	Budget	Current Month	YTD	Encumb	YTD + Encumb
5324 FACILITIES	\$147,000	\$11,266	\$111,307	\$33,031	\$144,338
Facilities Operations	\$18,000	\$0	\$0	\$0	\$0
Facilities Planning - General Services	\$0	\$417	\$2,890	\$0	\$2,890
Rents and Leases	\$129,000	\$0	\$0	\$0	\$0
Rent - Buildings & Grounds (Non State)	\$0	\$10,850	\$108,417	\$33,031	\$141,448
53402-53403 C/P SERVICES (INTERNAL)	\$243,000	\$18,118	\$93,015	\$0	\$93,015
Legal - Attorney General (2 mos lag)	\$197,000	\$6,804	\$62,954	\$0	\$62,954
Office of Administrative Hearings	\$46,000	\$11,314	\$30,061	\$0	\$30,061
53404-53405 C/P SERVICES (EXTERNAL)	\$46,000	\$3,482	\$30,662	\$17,547	\$48,209
Administrative	\$0	\$265	\$2,467	\$2,533	\$5,000
Expert Examiners- Exam Process	\$0	\$0	\$750	\$0	\$750
Subject Matter Experts	\$0	\$75	\$1,650	\$0	\$1,650
Credit Card Service Fee	\$0	\$2,817	\$24,985	\$15,015	\$40,000
Legal - Witness Fees	\$7,000	\$0	\$0	\$0	\$0
Consultation & Professional Services External - Other	\$0	\$0	\$484	\$0	\$484
Court Reporter Services	\$39,000	\$325	\$325	\$0	\$325
5342 DEPARTMENT PRORATA	\$944,000	\$0	\$692,250	\$0	\$692,250
Division of Investigation DOI	\$290,000	\$0	\$215,250	\$0	\$215,250
Consumer Client Services Division CCSD	\$654,000	\$0	\$477,000	\$0	\$477,000
5342 DEPARTMENTAL SERVICES	\$0	-\$23	\$348	\$0	\$348
Departmental Services - Other	\$0	-\$23	\$348	\$0	\$348
5344 CONSOLIDATED DATA CENTERS	\$14,000	\$1,721	\$13,596	\$0	\$13,596
Consolidated Data Centers	\$14,000	\$1,721	\$13,596	\$0	\$13,596
5346 INFORMATION TECHNOLOGY	\$4,000	\$76	\$76	\$1,075	\$1,150
IT Services - Hardware Maintenance	\$0	\$0	\$0	\$263	\$263
IT Services - Software Maintenance	\$0	\$76	\$76	\$796	\$871
E-Waste Recycle & Disposal Fees	\$0	\$0	\$0	\$16	\$16
Information Technology - Other	\$4,000	\$0	\$0	\$0	\$0

	Budget	Current Month	YTD	Encumb	YTD + Encumb
5362-5368 EQUIPMENT	\$15,000	\$3,675	\$11,953	\$8,932	\$20,885
Communications Equipment	\$0	\$0	\$3,241	\$0	\$3,241
Computers & Computer Equipment	\$0	\$3,675	\$3,675	\$8,167	\$11,842
Office Equipment	\$15,000	\$0	\$5,036	\$0	\$5,036
Software	\$0	\$0	\$0	\$766	\$766
54 SPECIAL ITEMS OF EXPENSE	\$0	\$0	\$1,504	\$0	\$1,504
Other Special Items of Expense	\$0	\$0	\$1,504	\$0	\$1,504
OPERATING EXPENSES & EQUIPMENT	\$1,557,000	\$40,724	\$988,617	\$69,499	\$1,058,116
OVERALL TOTALS	\$3,413,000	\$145,369	\$2,051,241	\$69,499	\$2,120,740

AGENDA ITEM 25C

AGENDA ITEM 25D

CBOT CASES/COMPLAINTS DATA

October 1, 2021 – December 31, 2021

CATEGORY	QUANTITY
<i>Total Complaints Opened/Received:</i>	116
Conviction/Arrest Investigations:	22
Complaints Opened/Received:	94
Applications Denied per BPC 480:	0
Complaints Closed	84
<i>Total Complaints/Cases Pending:</i>	346
DOI Investigations Initiated:	1
DOI Investigation Reports Received:	2
<i>DOI Investigations Pending:</i>	7
Accusations Filed:	3
Statement of Issues Filed:	0
PC 23 Issued:	0
ISO Issued:	0
Petition to Revoke Probation (PTR) Filed:	0
Accusation and PTR Filed:	0
Case(s) Withdrawn:	0
Case(s) Dismissed	0
<i>Total Cases Pending at Office of the Attorney General</i>	8
Cease Practice Order(s) Issued:	1
Cease Practice Order(s) Lifted:	0
Final Decisions Effective:	6

OT CITATIONS
October 1, 2021 - December 31, 2021

#	VIOLATION						FINE	FINE REDUCE	TOTAL FINE DUE	DATE ISSUED	APPEAL REC'D					PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER					ABATE	ICRC	ADMIN	DISMISSED	WITHDRAWN	Payment Date	Paid in Full	Payment Amount	Balance (OTA)
1					1		\$85	\$0	\$85	10/01/2021						11/01/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	10/20/2021	1					10/25/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	10/20/2021	1					01/03/2022	1	\$85	\$0
1					1		\$85	\$0	\$85	11/03/2021						11/08/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	11/03/2021						11/06/2021	1	\$85	\$0
1				1			\$100	\$0	\$100	11/30/2021						12/07/2021	1	\$100	\$0
1					1		\$85	\$0	\$85	12/07/2021						12/09/2021	1	\$85	\$0
1			1				\$200	\$0	\$200	12/07/2021						12/20/2021	1	\$200	\$0
1					1		\$85	\$0	\$85	12/08/2021	1					12/31/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	12/08/2021	1					12/15/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	12/08/2021						01/03/2022	1	\$85	\$0
1					1		\$85	\$0	\$85	12/09/2021	1								\$85
1			1				\$300	\$0	\$300	12/16/2021						01/15/2022	1	\$300	\$0
1					1		\$85	\$0	\$85	12/31/2021						01/27/2022	1	\$85	\$0
14	0	0	2	1	11	0	\$1,535	\$0	\$1,535		5	0	0	0	0		12	\$1,450	\$85

Violation Key:

FTC - Failure to Cooperate
UPC - Unprofessional Conduct
ULP - Unlicensed Practice

PDU - Continuing Education
ADC - Failure to Notify of Address Change
OTHER (Negligence, etc.)

OTA CITATIONS

October 1, 2021 - December 31, 2021

#	VIOLATION						FINE	FINE REDUCED	TOTAL FINE DUE	DATE ISSUED	APPEAL REC'D					PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER					ABATE	ICRC	ADMIN	DISMISSED	WITHDRAWN	Payment Date	Paid in Full	Payment Amount	Balance (OTA)
1					1		\$85	\$0	\$85	10/01/2021	1					10/17/2021	1	\$85	\$0
1					1		\$85	\$0	\$85	10/01/2021	1							\$0	\$85
1					1		\$85	\$35	\$50	10/01/2021	1	1				12/07/2021	1	\$50	\$0
1				1			\$600	\$0	\$600	10/01/2021	1							\$0	\$600
1			1				\$600	\$0	\$600	12/16/2021						01/15/2022	1	\$600	\$0
1					1		\$85	\$0	\$85		1							\$0	\$85
6	0	0	1	1	4	0	\$1,540	\$35	\$1,505		5	1	0	0	0		3	\$735	\$770

Violation Key:

FTC - Failure to Cooperate
 UPC - Unprofessional
 Conduct ULP - Unlicensed
 Practice

PDU - Continuing Education
 ADC - Failure to Notify of Address
 Change OTHER (Negligence, etc.)

CASES PENDING WITH THE OFFICE OF THE ATTORNEY GENERAL

October 1, 2021 – December 31, 2021

DATE TRANSMITTED	COMPLAINT NUMBER	CASE TYPE	CURRENT STATUS
07/26/2017	2016-002	ACC	Accusation filed 11/22/2021; Notice of Defense received 1/12/2022
07/14/2020	2020-575	ACC	Accusation 9/11/2020; Board to vote on Stip @ 2/15/2022 meeting
03/09/2021	2021-150	ACC	Accusation 8/2/2021; Board to vote on PD @ 2/15/2022 meeting
04/15/2021	2021-263	ACC	Accusation 9/25/2021; Notice of Defense received 10/4/2021; Hearing 5/10/2022
05/10/2021	2020-335	ACC	Accusation 12/01/2021; Board to vote on Default @ 2/15/2022 meeting
06/23/2021	2021-219	ACC	Accusation filed 12/22/2021; Notice of Defense received 1/08/2022
12/15/2021	2022-153	PC23	Criminal Hearing scheduled 2/2022
12/31/2021	2019-231	ACC	Accusation to be drafted

FINAL DECISION

October 1, 2021 – December 31, 2021

Effective	Name	Type	Violation
10/22/2021	De Jesus, Geraldine	Probation 3 years (Stipulated Settlement)	Failed to Comply with Citation Order-Remediate PDUs due to failed renewal audit
11/03/2021	Heng, Sonny	Probation 3 years (Proposed Decision)	Criminal Conviction; DUI
11/27/2021	Lopez (Kozina), Lindsay	Probation 3 years (Proposed Decision)	Criminal Conviction; DUI
12/17/2021	Austin, Louvenia	Revocation (Default Decision)	Failed to Comply with Citation Order -Remediate PDUs due to failed renewal audit
12/17/2021	Robinson, Connie	Revocation (Default Decision)	Failed to Comply with Citation Order -Remediate PDUs due to failed renewal audit
12/26/2021	Provost, Ericka	Probation 3 years (Stipulated Settlement)	Criminal Conviction; DUI; Possession of a controlled substance

PRACTITIONERS CURRENTLY ON PROBATION

October 1, 2021 – December 31, 2021

NAME	LICENSE #	LENGTH OF PROBATION	EFFECTIVE DATE
Alvarado, Francisco	OT 4563	3 years	09/19/2019
Campbell, Steven	OTA 183	3 years	07/26/2019 *
De Jesus, Geraldine	OT 4769	3 years	10/22/2021
Deras, Carlos	OTA 3975	3 years	12/17/2018 *
Dowd, Joshua	OT 18574	3 years	03/27/2018 *
Edwards, Anna	OTA 2453	3 years	04/26/2019 *
Egler, Daniel	OT 6601	3 years	03/28/2019 *
Ganoza, Daniel	OT 6921	3 years	03/28/2019
Gerking, Lisa	OT 8787	2 years	05/18/2020
Gonzalez, Susana	OTA 1298	3 years	07/23/2021
Harding III, Jack	OT 11707	3 years	06/03/2021
Heng, Sonny	OT 18476	3 years	11/03/2021
Jordan, Laura	OT 5826	3 years	08/29/2021
Kelley, Anjuli	OT 11186	3 years	01/16/2014 *
Lopez (Kozina), Lindsay	OTA 3469	3 years	11/27/2021*
Morrison, Crystal	OTA 1561	3 years	04/16/2021
Pompanescu, Duane	OT 3017	3 years	06/03/2021
Powell, Diana C.	OT 6367	3 years	06/03/2016 *
Provost, Ericka	OT 16010	3 years	12/26/2021*
Ryskalczyk, Roxanne	OT 5654	3 years	08/29/2021
Schmidt, Rebecca	OT 8291	3 years	11/27/2009 *
Shin, Judy	OT 5682	4 years	12/02/2019
Suggs, Monica	OTA 1101	2.5 years	03/30/2019
Tolbert, Kristine	OT 4410	4 years	03/29/2019 *
Wilson, Candice	OTA 1436	3 years	07/16/2020 *

* Probation "tolled" or extended beyond original expiration date.