

BOARD POLICIES.

The following are attached for review:

- Board to hear a contested case when an individual has been denied a license based upon allegations that he or she has practiced without a license for a period of more than one year;
- Board to hear a contested case when a licensee has been issued a citation for practicing on an expired license for more than one year; and
- Mail-ballot policy regarding discussing decisions in upcoming closed session.

Please note: additional copies will be provided to you
for inclusion in your Board Administrative Manual

BOARD OF OCCUPATIONAL THERAPY

2205 Evergreen Street, Suite 2050, Sacramento, CA 95811

Tel: (916) 263-2294 Fax: (916) 263-2701

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SUBJECT: Mail Ballot – Hold Over for Closed Session	POLICY # ENF – 2011 - 02	DATE ADOPTED: December 11, 2011
DISTRIBUTION: All Staff	APPROVED BY: Board of Occupational Therapy	

Policy When voting on stipulated settlements or proposed decisions by mail, all mail votes shall be rendered by a majority decision of the Board, including the votes hold the matter over for discussion in a Closed Session discussion at the next regularly scheduled meeting of the Board.



Background When voting on stipulated settlement or proposed decisions by mail, any vote cast to hold the matter over for discussion resulted in the matter being scheduled for a Closed Session discussion at the next regularly scheduled meeting of the Board. This process delayed the imposition of the discipline based on only one member's vote.



Implementation Immediately



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SUBJECT: Hearings in Contested Cases After Denial of Licensure Alleging the Unlicensed Practice of Occupational Therapy	POLICY # ENF – 2011 - 01	DATE ADOPTED: December 11, 2011
DISTRIBUTION: All Staff Jan Lachman, SDAG Office of Administrative Hearings	APPROVED BY: Board of Occupational Therapy	
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Policy Where an applicant for licensure has been denied a license based upon allegations that he or she has practiced occupational therapy without a license for a period of more than one year, and the denied individual requests, has a right to, and has not waived a hearing pursuant to Business & Professions Code section 485, the Board of Occupational Therapy (Board) will hear the contested case pursuant to Sections 11512 and 11517(a) of the Government Code. The Board will attempt to schedule as many hearings as possible on the same day in the same location for greater efficiency.

Procedure The unlicensed practice by occupational therapy practitioners continues to be an issue requiring immediate attention. Requiring denied applicants to appear before the Board will help ensure a more consistent and efficient handling of hearings after an application for licensure has been denied.

Implementation Immediately

Attachments Government Code Sections 11512 and 11517

CHAPTER 5. Administrative Adjudication: Formal Hearing [11500 - 11529]

Section 11512.

(a) Every hearing in a contested case shall be presided over by an administrative law judge. The agency itself shall determine whether the administrative law judge is to hear the case alone or whether the agency itself is to hear the case with the administrative law judge.

(b) ~~When the agency itself hears the case, the administrative law judge shall preside at the hearing, rule on the admission and exclusion of evidence, and advise the agency on matters of law; the agency itself shall exercise all other powers relating to the conduct of the hearing but may delegate any or all of them to the administrative law judge. When the administrative law judge alone hears a case, he or she shall exercise all powers relating to the conduct of the hearing. A ruling of the administrative law judge admitting or excluding evidence is subject to review in the same manner and to the same extent as the administrative law judge's proposed decision in the proceeding.~~

(c) An administrative law judge or agency member shall voluntarily disqualify himself or herself and withdraw from any case in which there are grounds for disqualification, including disqualification under Section 11425.40. The parties may waive the disqualification by a writing that recites the grounds for disqualification. A waiver is effective only when signed by all parties, accepted by the administrative law judge or agency member, and included in the record. Any party may request the disqualification of any administrative law judge or agency member by filing an affidavit, prior to the taking of evidence at a hearing, stating with particularity the grounds upon which it is claimed that the administrative law judge or agency member is disqualified. Where the request concerns an agency member, the issue shall be determined by the other members of the agency. Where the request concerns the administrative law judge, the issue shall be determined by the agency itself if the agency itself hears the case with the administrative law judge, otherwise the issue shall be determined by the administrative law judge. No agency member shall withdraw voluntarily or be subject to disqualification if his or her disqualification would prevent the existence of a quorum qualified to act in the particular case, except that a substitute qualified to act may be appointed by the appointing authority.

(d) The proceedings at the hearing shall be reported by a stenographic reporter. However, upon the consent of all the parties, the proceedings may be reported electronically.

(e) Whenever, after the agency itself has commenced to hear the case with an administrative law judge presiding, a quorum no longer exists, the administrative law judge who is presiding shall complete the hearing as if sitting alone and shall render a proposed decision in accordance with subdivision (b) of Section 11517.

(Amended by Stats. 1995, Ch. 938, Sec. 39. Effective January 1, 1996. Operative July 1, 1997, by Sec. 98 of Ch. 938.)

Section 11517.

(a) A contested case may be originally heard by the agency itself and subdivision (b) shall apply. Alternatively, at the discretion of the agency, an administrative law judge may originally hear the case alone and subdivision (c) shall apply.

(b) If a contested case is originally heard before an agency itself, all of the following provisions apply:

(1) An administrative law judge shall be present during the consideration of the case and, if requested, shall assist and advise the agency in the conduct of the hearing.

(2) No member of the agency who did not hear the evidence shall vote on the decision.

(3) The agency shall issue its decision within 100 days of submission of the case.

(c) (1) If a contested case is originally heard by an administrative law judge alone, he or she shall prepare within 30 days after the case is submitted to him or her a proposed decision in a form that

may be adopted by the agency as the final decision in the case. Failure of the administrative law judge to deliver a proposed decision within the time required does not prejudice the rights of the agency in the case. Thirty days after the receipt by the agency of the proposed decision, a copy of the proposed decision shall be filed by the agency as a public record and a copy shall be served by the agency on each party and his or her attorney. The filing and service is not an adoption of a proposed decision by the agency.

(2) Within 100 days of receipt by the agency of the administrative law judge's proposed decision, ~~the agency may act as prescribed in subparagraphs (A) to (E), inclusive. If the agency fails to act as prescribed in subparagraphs (A) to (E), inclusive, within 100 days of receipt of the proposed decision, the proposed decision shall be deemed adopted by the agency. The agency may do any of the following:~~

(A) Adopt the proposed decision in its entirety.

(B) Reduce or otherwise mitigate the proposed penalty and adopt the balance of the proposed decision.

(C) Make technical or other minor changes in the proposed decision and adopt it as the decision. Action by the agency under this paragraph is limited to a clarifying change or a change of a similar nature that does not affect the factual or legal basis of the proposed decision.

(D) Reject the proposed decision and refer the case to the same administrative law judge if reasonably available, otherwise to another administrative law judge, to take additional evidence. If the case is referred to an administrative law judge pursuant to this subparagraph, he or she shall prepare a revised proposed decision, as provided in paragraph (1), based upon the additional evidence and the transcript and other papers that are part of the record of the prior hearing. A copy of the revised proposed decision shall be furnished to each party and his or her attorney as prescribed in this subdivision.

(E) Reject the proposed decision, and decide the case upon the record, including the transcript, or upon an agreed statement of the parties, with or without taking additional evidence. By stipulation of the parties, the agency may decide the case upon the record without including the transcript. If the agency acts pursuant to this subparagraph, all of the following provisions apply:

(i) A copy of the record shall be made available to the parties. The agency may require payment of fees covering direct costs of making the copy.

(ii) The agency itself shall not decide any case provided for in this subdivision without affording the parties the opportunity to present either oral or written argument before the agency itself. If additional oral evidence is introduced before the agency itself, no agency member may vote unless the member heard the additional oral evidence.

(iii) The authority of the agency itself to decide the case under this subdivision includes authority to decide some but not all issues in the case.

(iv) If the agency elects to proceed under this subparagraph, the agency shall issue its final decision not later than 100 days after rejection of the proposed decision. If the agency elects to proceed under this subparagraph, and has ordered a transcript of the proceedings before the administrative law judge, the agency shall issue its final decision not later than 100 days after receipt of the transcript. If the agency finds that a further delay is required by special circumstance, it shall issue an order delaying the decision for no more than 30 days and specifying the reasons therefor. The order shall be subject to judicial review pursuant to Section 11523.

(d) The decision of the agency shall be filed immediately by the agency as a public record and a copy shall be served by the agency on each party and his or her attorney.

(Repealed and added by Stats. 1999, Ch. 339, Sec. 2. Effective January 1, 2000.)

BOARD OF OCCUPATIONAL THERAPY

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SUBJECT: Hearings in Appeals from Citations	POLICY # ENF - 009-01	DATE ADOPTED: June 18, 2009
DISTRIBUTION: All Staff Jan Lachman, DAG Office of Administrative Hearings	APPROVED BY: Board of Occupational Therapy	

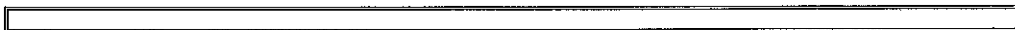
Policy Where a citation has been issued alleging unlicensed practice, practice on an expired license, or violation of section 4102 of Title 16 of the California Code of Regulations (regulations), and the individual cited requests, and has not waived and has a right to, an appeal pursuant to section 4142 of the regulations, the Board of Occupational Therapy (Board) will hear the contested case pursuant to section 11517(a) of the Government Code. The Board will attempt to schedule as many hearings as possible on the same day in the same location for greater efficiency.



Background Citation appeal hearings have not always been handled consistently. This policy will help ensure a more consistent and efficient handling.



Implementation Effective immediately



Attachments 16 C.C.R. sections 4102, 4141, 4142
 Government Code section 11517



California Code of Regulations, Title 16, Division 39

Section 4102. Filing of Addresses

(a) Each person licensed or issued a limited permit by the board, shall report to the board every change of residence address within 30 days after the change, giving both the old and new addresses. In addition to the residence address, the person may provide the board with an alternate address of record. ~~If an alternate address is the person's address of record, he or she~~ may request, in writing, that the residence address not be disclosed to the public.

(b) Each person licensed or issued a limited permit by the board shall report to the board every change of name within 30 days after the change, giving both the old and new names.

(c) This section refers to every person who holds an active, inactive, unexpired, suspended license or limited permit.

Note: Authority cited: Section 2570.20, Business and Professions Code. Reference: Sections 136, 2570 (original), 2570.3, 2570.5, 2570.8, 2570.9, 2570.10, and 2570.11, Business and Professions Code

Section 4141. Assessment of Administrative Fines

(a) Where citations include an assessment of an administrative fine, the fine shall be not less than \$50 or exceed \$5,000 for each violation. Each violation shall be classified according to the nature of the violation and shall indicate the classification on the face thereof as follows:

(1) Class "A" violations shall not be less than \$1,001 nor more than \$5,000. Class "A" violations are violations that the executive officer, or his or her designee, has determined involve a person who, while engaged in the practice of occupational therapy, has violated a statute or regulation relating to the Occupational Therapy Practice Act. Class "A" violations are more serious in nature and may include, but are not limited to, violations which resulted in or had significant potential for patient harm and where there is no evidence that revocation or other disciplinary action is required to ensure public safety. Such violations include, but are not limited to, failing to provide direct in-sight supervision of an aide when the aide performed a client related task that resulted in harm to the patient, or failing to provide adequate supervision to an occupational therapy assistant that resulted in harm to the patient, or fraudulent medical billing, or practicing without a current and active license for more than one year, or functioning autonomously as an occupational therapy assistant. A Class "A" violation may be issued to a person who has committed a class "B" violation who has had two or more prior, separate class "B" violations.

(2) Class "B" violations shall not be less than \$501 nor more than \$2,500. Class "B" violations are violations that the executive officer, or his or her designee, has determined involve a person who, while engaged in the practice of occupational therapy, has violated a statute or regulation relating to the Occupational Therapy Practice Act. Class "B" violations are less serious in nature and may include, but are not limited to, violations which could have resulted in patient harm. Typically some degree of mitigation will exist. Such violations include, but are not limited to, failing to provide direct in-sight supervision of an aide when the aide performed a client related task that did not result in harm to a patient, or failure to provide adequate supervision to an occupational therapy assistant, limited permit holder, student, or occupational therapy aid, resulting in no patient harm, or providing advanced practice services without board approval, or practicing when the license has been expired or inactive for a period of more than three months but less than one year, or supervising more occupational therapy assistants than allowed by law. A class "B" violation may be issued to a person who has committed a class "C" violation who has two or more prior, separate class "C" violations.

(3) Class "C" violations shall not be less than \$50 nor more than \$1,000. Class "C" violations are violations that the executive officer, or his or her designee, has determined involve a person who has violated a statute or regulation relating to the practice of occupational therapy. A class "C" violation is a minor or technical violation which is neither directly or potentially detrimental to

patients nor potentially impacts their care. Such violations may include, but are not limited to, practicing when the license has been expired or inactive for a period of three months or less, failing to disclose a conviction or convictions in the application process, or failing to provide a patient or client or the guardian of a patient or client access to their medical records pursuant to Health and Safety Code Section 123110. A class "C" violation may also be issued to a licensee who fails to respond to a written request by the board for additional information relating to a renewal application.

~~(4) Class "D" violations shall not be less than \$50 nor more than \$250. Class "D" violations occur when the executive officer, or his or her designee, has determined that an applicant or licensee has failed to provide a change of address within 30 days as required by Section 4102. A class "D" violation is a minor technical violation which is neither directly or potentially detrimental to patients nor potentially impacts their care.~~

(b) In determining the amount of an administrative fine, the executive officer, or his or her designee, shall consider the following factors:

- (1) Gravity of the violation,
- (2) History of previous violations involving the same or similar conduct,
- (3) Length of time that has passed since the date of the violation,
- (4) Consequences of the violation, including potential for patient harm,
- (5) The good or bad faith exhibited by the cited individual,
- (6) Evidence that the violation was willful,
- (7) The extent to which the individual cooperated with the board's investigation,
- (8) The extent to which the individual has remediated any knowledge and/or skills deficiencies,
- (9) Any other mitigating or aggravating factors.

(c) In his or her discretion, the executive officer, or his or her designee, may issue an order of abatement without levying a fine for the first violation of any provision set forth in subsection.

(d) The executive officer, or his or her designee, may assess a fine which shall not exceed five thousand dollars (\$5,000) for each violation if the violation involves fraudulent billing.

Note: Authority cited: Sections 125.9, 148 and 2570.20, Business and Professions Code. Reference: Sections 125.9 and 148 Business and Professions Code.

Section 4142. Appeal of Citations

(a) The cited person may, within 30 calendar days of service of the citation, submit a written request for an informal conference with the executive officer.

(b) In addition to requesting an informal conference described in subsection (a), a cited person may contest a citation, in whole or in part, by submitting a written request for an administrative hearing to the Board within 30 calendar days of service of the citation. Such hearings shall be conducted pursuant to the Administrative Procedure Act, Chapters 4.5 and 5 (commencing with Section 11400) of Part 1 of Division 3 of Title 2 of the Government Code.

(c) The request for a hearing to contest a citation is not waived if the executive officer affirms the citation at an informal conference.

(d) The executive officer, or his or her designee, shall within 30 working days from receipt of a written request for an informal conference, hold an informal conference with the cited person. The 30-day period may be extended by the executive officer for good cause. Following the informal conference, the executive officer, or his or her designee, may affirm, modify, or dismiss the citation, including any fine assessed or order of abatement issued. A written order affirming, modifying, or dismissing the original citation shall be served on the cited person within 30 calendar days from the informal conference. If the order affirms or modifies the original citation, said order shall fix a reasonable period of time for abatement of the violation or payment of the fine.

(e) If the informal conference results in the modification of the findings of violation(s), the amount of the fine or the order of abatement, the citation shall be considered modified, but not withdrawn. A cited person is entitled to a hearing to contest the modified citation if he or she filed a timely request. A cited person is not entitled to an informal conference to contest a modified citation. If a

timely request for a hearing was not filed, the decision in the modified citation shall be considered final.

(f) If the citation is dismissed after the informal conference, the request for a hearing, if any, shall be deemed withdrawn.

(g) Submittal of a written request for an informal conference as provided in subsection (a) or an administrative hearing as provided in subsection (b), or both, stays the time period in which to pay the fine.

(h) If a written request for an informal conference as provided in subsection (a), or a written request for a hearing as provided in subsection (b), or both, is not submitted to the board within 30 calendar days from service of the citation, the cited person is deemed to have waived his or her right to an informal conference and/or administrative hearing.

Note: Authority cited: Sections 125.9, 148 and 2570.20, Business and Professions Code. Reference: Sections 125.9 and 148, Business and Professions Code.

CHAPTER 5. Administrative Adjudication: Formal Hearing [11500 - 11529]

Section 11517.

(a) A contested case may be originally heard by the agency itself and subdivision (b) shall apply. Alternatively, at the discretion of the agency, an administrative law judge may originally hear the case alone and subdivision (c) shall apply.

(b) If a contested case is originally heard before an agency itself, all of the following provisions apply:

(1) An administrative law judge shall be present during the consideration of the case and, if requested, shall assist and advise the agency in the conduct of the hearing.

(2) No member of the agency who did not hear the evidence shall vote on the decision.

(3) The agency shall issue its decision within 100 days of submission of the case.

(c) (1) If a contested case is originally heard by an administrative law judge alone, he or she shall prepare within 30 days after the case is submitted to him or her a proposed decision in a form that may be adopted by the agency as the final decision in the case. Failure of the administrative law judge to deliver a proposed decision within the time required does not prejudice the rights of the agency in the case. Thirty days after the receipt by the agency of the proposed decision, a copy of the proposed decision shall be filed by the agency as a public record and a copy shall be served by the agency on each party and his or her attorney. The filing and service is not an adoption of a proposed decision by the agency.

(2) Within 100 days of receipt by the agency of the administrative law judge's proposed decision, the agency may act as prescribed in subparagraphs (A) to (E), inclusive. If the agency fails to act as prescribed in subparagraphs (A) to (E), inclusive, within 100 days of receipt of the proposed decision, the proposed decision shall be deemed adopted by the agency. The agency may do any of the following:

(A) Adopt the proposed decision in its entirety.

(B) Reduce or otherwise mitigate the proposed penalty and adopt the balance of the proposed decision.

(C) Make technical or other minor changes in the proposed decision and adopt it as the decision. Action by the agency under this paragraph is limited to a clarifying change or a change of a similar nature that does not affect the factual or legal basis of the proposed decision.

(D) Reject the proposed decision and refer the case to the same administrative law judge if reasonably available, otherwise to another administrative law judge, to take additional evidence. If the case is referred to an administrative law judge pursuant to this subparagraph, he or she shall prepare a revised proposed decision, as provided in paragraph (1), based upon the additional evidence and the transcript and other papers that are part of the record of the prior hearing. A copy

of the revised proposed decision shall be furnished to each party and his or her attorney as prescribed in this subdivision.

(E) Reject the proposed decision, and decide the case upon the record, including the transcript, or upon an agreed statement of the parties, with or without taking additional evidence. By stipulation of the parties, the agency may decide the case upon the record without including the transcript. If the agency acts pursuant to this subparagraph, all of the following provisions apply:

(i) A copy of the record shall be made available to the parties. The agency may require payment of fees covering direct costs of making the copy.

(ii) The agency itself shall not decide any case provided for in this subdivision without affording the parties the opportunity to present either oral or written argument before the agency itself. If additional oral evidence is introduced before the agency itself, no agency member may vote unless the member heard the additional oral evidence.

(iii) The authority of the agency itself to decide the case under this subdivision includes authority to decide some but not all issues in the case.

(iv) If the agency elects to proceed under this subparagraph, the agency shall issue its final decision not later than 100 days after rejection of the proposed decision. If the agency elects to proceed under this subparagraph, and has ordered a transcript of the proceedings before the administrative law judge, the agency shall issue its final decision not later than 100 days after receipt of the transcript. If the agency finds that a further delay is required by special circumstance, it shall issue an order delaying the decision for no more than 30 days and specifying the reasons therefor. The order shall be subject to judicial review pursuant to Section 11523.

(d) The decision of the agency shall be filed immediately by the agency as a public record and a copy shall be served by the agency on each party and his or her attorney.

(Repealed and added by Stats. 1999, Ch. 339, Sec. 2. Effective January 1, 2000.)

ENFORCEMENT DATA AND REPORTS.

The enforcement data is attached for the following periods:

- a) April 1 – June 30, 2014
- b) July 1, 2013 – June 30, 2014
- c) July 1 – September 30, 2014

BOT ENFORCEMENT STATISTICAL REPORT

April 1, 2014 – June 30, 2014

Total Complaints-Received:	144	DOI Investigations Initiated:	6
Record of Arrests and Prosecutions [RAP] Received:	13	Subsequent Arrest Reports Received:	9
Complaints-Closed:	100	DOI Investigation Reports Received:	9
Total Complaints-Pending:	320 (Oldest: 8/03/12)	Formal DOI Investigations Pending:	14 (Oldest: 1/07/13)
Applications Denied pursuant to Business and Professions Code 480/485: 1			
Cases Pending with the Attorney General (AG): 9			

<u>Transmitted</u>	<u>Complaint No</u>	<u>Type</u>	<u>Current Status</u>
11/21/12	OT 2010-333	Accusation	Accusation Filed 5/6/2013, NOD recd; Hearing scheduled 8/7/2014
11/27/12	OT 2011-117	Accusation	Hearing held 7/8/2014, ALJ to prepare Proposed Decision
03/29/13	OT 2011-373	Accusation	Stipulated Settlement Adopted, 3 year Probation Effective 7/11/2014
07/23/13	AR 2012-388	SOI	Statement of Issues Filed 12/12/13; Hearing scheduled 10/1/2014
08/08/13	OT 2012-100	Accusation	Accusation Filed 2/11/2014; Hearing scheduled 8/20/ 2014
01/10/14	AR 2012-546	SOI	Hearing held 7/14/2014; ALJ to Prepare Proposed Decision
03/21/14	AL 2013-155	SOI	Statement of Issues Filed 7/8/2014; Settlement to be reviewed by Board
04/08/14	PT 2013-514	Pet for Reinstate	Hearing held 6/24/2014; Decision Pending
05/05/14	PT 2013-621	Pet for Reinstate	Hearing held 6/24/2014; Decision Pending

Statement of Issues filed:	1	Accusations filed:	0
Petition to Revoke Probation filed:	0	Accusation & Petition to Revoke Probation filed:	0
ISO Issued:	0	PC23 Issued:	0

Final Decisions: 3

<u>Effective</u>	<u>Name</u>	<u>Type</u>	<u>Complaint Received</u>
June 26, 2014	Colleen Darrow	4 Year Probation	December 13, 2012
June 26, 2014	Athenia Guerrero	Proposed Decision – Citation Upheld, Fine Vacated	August 11, 2011
June 27, 2014	Alan De Mena	3 Year Probation	May 24, 2012

Cease Practice Orders Issued:	0	Cease Practice Orders Lifted:	0
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CITATIONS ISSUED
04/01/14 - 6/30/14

LICENSURE CLASSIFICATION				VIOLATION					CIT. #	FINE (OT)	OT Fine Modified	GRAND TOTAL FINE DUE (OT)	FINE (OTA)	OTA Fine Modified	GRAND TOTAL FINE DUE (OTA)	DATE ISSUED	DUE DATES		Appeal Requested	PAYMENT					
OT	OTA	No Lic		FDC	UP	CC	ULP	PDU	AD							Req For Conf.	Fine	ICR	ADMIN	Pymnt Date	Pd in Full	Pymnt Amnt	Bal (OT)	Bal (OTA)	
1	1							1							06/20/14	07/20/14	07/20/14							\$1,500	
1	1	0	0	0	1	0	0	0	0		\$1,500	\$0	\$1,500	\$0	\$0	\$0			0	0		0	\$0	\$1,500	\$0

Violation Key:

Applicant

FDC - Failure to Disclose Criminal Convictions
UPC - Unprofessional Conduct-Misrepresent credentials

Assigned to FTB Intercept program: 0

Licensee

UPC - Unprofessional Conduct ULP- Unlicensed Practice
CC - Criminal Convictions
ULP - Unlicensed Practice
PDU - Continuing Education
AD - Failure to Notify of Address Change

Non-Licensed

**Citation payments received in this quarter for citations issued in a previous quarter are not reflected in this table.

***Appeals requested in this quarter. Conferences and hearings may have been/will be held within a different quarter

BOT ENFORCEMENT STATISTICAL REPORT

July 1, 2013 – June 30, 2014

Total Complaints-Received:	633	DOI Investigations Initiated:	32
Complaints-Closed:	633	DOI Investigation Reports Received:	29
Total Complaints-Pending:	320 (Oldest: 8/03/12)	Formal DOI Investigations Pending:	14 (Oldest: 1/07/13)
Record of Arrests and Prosecutions [RAP] Received:	39	Subsequent Arrest Reports Received:	35
Applications Denied pursuant to Business and Professions Code 480/485:	3		

Cases Pending with the Attorney General (AG): 9

<u>Transmitted</u>	<u>Complaint No</u>	<u>Type</u>	<u>Current Status</u>
11/21/12	OT 2010-333	Accusation	Accusation Filed 5/6/2013, NOD recd; Hearing scheduled 8/7/2014
11/27/12	OT 2011-117	Accusation	Hearing held 7/8/2014, ALJ to prepare Proposed Decision
03/29/13	OT 2011-373	Accusation	Stipulated Settlement Adopted, 3 year Probation Effective 7/11/2014
07/23/13	AR 2012-388	SOI	Statement of Issues Filed 12/12/13; Hearing scheduled 10/1/2014
08/08/13	OT 2012-100	Accusation	Accusation Filed 2/11/2014; Hearing scheduled 8/20/ 2014
01/10/14	AR 2012-546	SOI	Hearing held 7/14/2014; ALJ to Prepare Proposed Decision
03/21/14	AL 2013-155	SOI	Statement of Issues Filed 7/8/2014; Settlement to be reviewed by Board
04/08/14	PT 2013-514	Pet for Reinstate	Hearing held 6/24/2014; Decision Pending
05/05/14	PT 2013-621	Pet for Reinstate	Hearing held 6/24/2014; Decision Pending

Statement of Issues filed:	5	Accusations filed:	5
Petition to Revoke Probation filed:	1	Accusation & Petition to Revoke Probation filed:	0
ISO Issued:	0	PC23 Issued:	2

Final Decisions:**15**

<u>Effective</u>	<u>Name</u>	<u>Type</u>	<u>Complaint Received</u>
July 25, 2013	Michael Jones	Voluntary Surrender	May 23, 2011
August 30, 2013	Dennis Necesito	4 Years Probation	April 8, 2011
August 30, 2013	Megan Hanvey	3 Years Probation	June 13, 2011
September 27, 2013	Lynette Sweeney	2 Years Probation	September 1, 2011
November 12, 2013	Feras Mustafa	3 Years Probation	April 25, 2012
December 4, 2013	Tristan Retuya	3 Years Probation	May 18, 2012
December 13, 2013	Sharon Martinez	3 Years Probation	February 14, 2012
December 15, 2013	Paul Vallarta	License Denied	March 27, 2012
January 5, 2014	Janis Davis	Public Reprimand	April 11, 2012
February 13, 2014	Lisa Meyer	3 Year Probation	February 26, 2013
February 28, 2014	Friden Lapid	License Revoked by Default	December 13, 2012
February 28, 2014	Andrea Martin	License Revoked by Default	August 30, 2012
June 26, 2014	Colleen Darrow	4 Year Probation	December 13, 2012
June 26, 2014	Athenia Guerrero	Proposed Decision – Citation Upheld, Fine Vacated	August 11, 2011
June 27, 2014	Alan De Mena	3 Year Probation	May 24, 2012

PC23 Issued:**2**

July 10, 2013	Cornell Allen Jr.	June 7, 2013
March 27, 2014	Dean Theodore	July 30, 2012

Other Decisions:

August 28, 2013	Andrew Whalley	Stipulated to Citation	February 8, 2011
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Cease Practice Orders Issued: 0**Cease Practice Orders Lifted: 0**

CITATIONS ISSUED
07/01/13 - 06/30/14

#	LICENSE CLASS			VIOLATION							CIT. #	FINE (OT)	OT Fine Modified	GRAND TOTAL FINE DUE (OT)	FINE (OTA)	OTA Fine Modified	GRAND TOTAL FINE DUE (OTA)	DATE ISSUE D	DUE DATES		Appeal Revd		PAYMENT							
	OT	OTA	No Lic	FDC	UP	CC	UL	PP	DDU	AD									Req For Conf.	Fine	ICR	ADMIN	Pymnt Date	Pd in Full	Pymnt Amnt	Bal (OT)	Bal (OTA)			
1	1								1				OT 2012-422	\$350		\$350				07/10/13	08/09/13	08/09/13			08/08/13	1	\$350	\$0		
1	1								1				OT 2012-419	\$700		\$700				07/10/13	08/09/13	08/09/13			10/09/13		\$200	\$500		
1	1								1				OT 2012-291	\$501		\$501				07/17/13	08/16/13	08/16/13			08/22/13		\$25	\$476		
1		1							1				OA 2012-305				\$5,000	\$5,000	07/17/13	08/16/13	08/16/13			07/24/13	1	\$5,000			\$0	
1		1							1				OA 2012-371				\$400	\$400	07/17/13	08/16/13	08/16/13								\$400	
1	1					1							OT 2013-20	\$1,000		\$1,000				07/18/13	08/17/13	08/17/13			08/09/13	1	\$1,000	\$0		
1		1								1			OA 2012-306				\$50	\$50	07/22/13	08/21/13	08/21/13								\$50	
1	1									1			OT 2012-321	\$50		\$50				07/22/13	08/21/13	08/21/13			08/08/13	1	\$50	\$0		
1	1									1			OT 2012-319	\$50		\$50				07/22/13	08/21/13	08/21/13			08/15/13	1	\$50	\$0		
1	1									1			OT 2012-318	\$50		\$50				07/22/13	08/21/13	08/21/13			09/30/13	1	\$50	\$0		
1		1								1	1		OA 2012-409				\$300	\$300	07/26/13	08/25/13	08/25/13			08/14/13	1	\$300			\$0	
1	1									1			OT 2012-446	\$900		\$900				07/31/13	08/30/13	08/30/13	1						\$900	
1	1									1			OT 2012-290	\$50		\$50				08/02/13	09/01/13	09/01/13			08/19/13	1	\$50	\$0		
1		1								1			OA 2012-295				\$50	\$50	08/02/13	09/01/13	09/01/13			08/09/13	1	\$50			\$0	
1	1									1			OT 2012-296	\$50		\$50				08/02/13	09/01/13	09/01/13			08/26/13	1	\$50	\$0		
1	1									1			OT 2012-286	\$50		\$50				08/02/13	09/01/13	09/01/13			09/16/13	1	\$50	\$0		
1		1								1			OA 2012-476				\$250	\$250	08/02/13	09/01/13	09/01/13	1							\$250	
1	1									1			OT 2012-486	\$250		\$250				08/02/13	09/01/13	09/01/13							\$250	
1	1									1			OT 2012-487	\$250	\$50	\$200				08/02/13	09/01/13	09/01/13	1						\$200	
1	1									1			OT 2012-526	\$500	\$250	\$250				08/02/13	09/01/13	09/01/13	1	1	10/09/13		\$150	\$100		
1	1									1			OT 2012-543	\$250		\$250				08/02/13	09/01/13	09/01/13	1						\$250	
1	1					1							OT 2011-533	\$250		\$250				08/05/13	09/04/13	09/04/13							\$250	
1		1								1			OA 2012-297				\$100	\$100	08/09/13	09/09/13	09/09/13			09/09/13	1	\$100			\$0	
1	1									1			OT 2012-312	\$50		\$50				08/09/13	09/09/13	09/09/13							\$50	
1	1									1			OT 2012-314	\$50		\$50				08/09/13	09/09/13	09/09/13			09/11/13	1	\$50	\$0		
1	1									1			OT 2012-528	\$325		\$325				08/09/13	09/08/13	09/08/13			09/06/13	1	\$325	\$0		
1		1								1			OA 2012-396				\$50	\$50	08/14/13	09/13/13	09/13/13			09/03/13	1	\$50			\$0	
1	1									1			OT 2012-399	\$50		\$50				08/14/13	09/13/13	09/13/13			09/11/13	1	\$50	\$0		
1	1									1			OT 2012-437	\$50		\$50				08/14/13	09/13/13	09/13/13			08/21/13	1	\$50	\$0		
1	1									1			OT 2012-443	\$50		\$50				08/14/13	09/13/13	09/13/13							\$50	
1	1									1			OT 2012-444	\$50		\$50				08/14/13	09/13/13	09/13/13			09/03/13	1	\$50	\$0		
1	1									1			OT 2012-449	\$50		\$50				08/14/13	09/13/13	09/13/13			08/23/13	1	\$50	\$0		

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1		1						1		OA 2013-190				\$250		\$250	10/03/13	11/02/13	11/02/13			10/18/13	1	\$250		\$0
1	1							1		OT 2013-118	\$250		\$250				10/15/13	11/14/13	11/14/13			10/22/13	1	\$250	\$0	
1		1						1		OA 2013-238				\$250		\$250	10/15/13	11/14/13	11/14/13			10/21/13	1	\$250		\$0
1		1	1							AR 2013-36				\$250		\$250	10/17/13	11/16/13	11/16/13			11/08/13	1	\$250		\$0
1	1							1		OT 2013-273	\$50		\$50				10/25/13	11/25/13	11/25/13	1					\$50	
1	1							1		OT 2013-210	\$50	\$50	\$0				10/25/13	11/25/13	11/25/13	1		WITHDRAWN			\$0	
1	1							1		OT 2013-122	\$50	\$50	\$0				10/25/13	11/25/13	11/25/13			WITHDRAWN			\$0	
1	1							1		OT 2013-212	\$50		\$50				10/25/13	11/25/13	11/25/13						\$50	
1	1							1		OT 2013-208	\$50	\$50	\$0				10/25/13	11/25/13	11/25/13	1		WITHDRAWN			\$0	
1	1							1		OT 2013-274	\$50	\$50	\$0				10/25/13	11/25/13	11/25/13	1		DISMISSED			\$0	
1	1							1		OT 2013-272	\$50		\$50				10/25/13	11/25/13	11/25/13			11/18/13	1	\$50		
1	1							1		OT 2013-213	\$50		\$50				10/25/13	11/24/13	11/24/13						\$50	
1	1							1		OT 2013-214	\$50		\$50				10/25/13	11/24/13	11/24/13						\$50	
1	1							1		OT 2013-215	\$50	\$50	\$0				10/25/13	11/24/13	11/21/13	1		DISMISSED			\$0	
1	1							1		OT 2013-216	\$50	\$50	\$0				10/25/13	11/24/13	11/24/13	1		WITHDRAWN			\$0	
1		1						1		OA 2013-158				\$250		\$250	10/25/13	11/24/13	11/24/13	1						\$250
1	1							1		OT 2013-207	\$50		\$50				10/25/13	11/24/13	11/24/13						\$50	
1	1							1		OT 2013-206	\$50		\$50				10/25/13	11/24/13	11/24/13			11/12/13	1	\$50	\$0	
1	1							1		OT 2013-204	\$50		\$50				10/25/13	11/24/13	11/24/13			10/31/13	1	\$50	\$0	
1	1							1		OT 2013-142	\$50		\$50				10/25/13	11/24/13	11/24/13			11/06/13	1	\$50	\$0	
1	1							1		OT 2013-143	\$50		\$50				11/07/13	12/07/13	12/07/13			11/15/13	1	\$50	\$0	
1	1							1		OT 2013-260	\$50		\$50				11/07/13	12/07/13	12/07/13			11/12/13	1	\$50	\$0	
1	1							1		OT 2013-261	\$50		\$50				11/07/13	12/07/13	12/07/13			11/21/13	1	\$50	\$0	
1	1							1		OT 2013-299	\$50		\$50				11/07/13	12/07/13	12/07/13			01/09/14	1	\$50	\$0	
1	1							1		OT 2013-301	\$50		\$50				11/07/13	12/07/13	12/07/13			11/22/13	1	\$50	\$0	
1		1						1		OA 2013-331				\$250	\$250	\$0	11/07/13	12/07/13	12/07/13	1		WITHDRAWN				\$0
1	1							1		OT 2013-307	\$50	\$50	\$0				12/06/13	01/06/14	01/06/14	1		WITHDRAWN			\$0	
1	1							1		OT 2013-308	\$50		\$50				12/06/13	01/05/14	01/05/14	1					\$50	
1	1							1		OT 2013-310	\$50		\$50				12/06/13	01/05/14	01/05/14			12/16/13	1	\$50	\$0	
1		1						1		OA 2013-62				\$50		\$50	12/30/13	01/29/14	01/29/14							\$50
1	1							1		OT 2013-66	\$50		\$50				12/30/13	01/29/14	01/29/14						\$50	
1	1							1		OT 2013-67	\$50		\$50				12/30/13	01/29/14	01/29/14			01/08/14	1	\$50	\$0	
1		1						1		OA 2013-115				\$50		\$50	12/30/13	01/29/14	01/29/14							\$50
1	1							1		OT 2013-133	\$50		\$50				12/30/13	01/29/14	01/29/14						\$50	
1	1							1		OT 2013-369	\$250		\$250				12/30/13	01/29/14	01/29/14						\$250	
1	1							1		OT 2013-57	\$50		\$50				01/03/14	02/02/14	02/02/14			01/29/14	1	\$50	\$0	
1	1							1		OT 2013-61	\$50		\$50				01/03/14	02/02/14	02/02/14			01/23/14	1	\$50	\$0	
1	1							1		OT 2013-74	\$50		\$50				01/03/14	02/02/14	02/02/14			01/13/14	1	\$50	\$0	
1	1							1		OT 2013-75	\$50		\$50				01/03/14	02/02/14	02/02/14			01/24/14	1	\$50	\$0	
1	1							1		OT 2013-84	\$50		\$50				01/10/14	02/09/14	02/09/14						\$50	

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1	1								1	OT 2013-92	\$50		\$50				01/10/14	02/09/14	02/09/14			01/22/14	1	\$50	\$0		
1	1							1	1	OT 2013-239	\$250		\$250				01/10/14	02/09/14	02/09/14						\$250		
1	1								1	OT 2012-328	\$50		\$50				01/15/14	02/14/14	02/14/14			02/10/14	1	\$50	\$0		
1	1								1	OT 2012-327	\$50		\$50				01/15/14	02/14/14	02/14/14	1		03/14/14	1	\$50	\$0		
1	1								1	OT 2012-367	\$50		\$50				01/15/14	02/14/14	02/14/14			04/22/14	1	\$50	\$0		
1		1							1	OA 2012-323			\$50		\$50		01/15/14	02/14/14	02/14/14			01/31/14	1	\$50	\$0	\$0	
1	1								1	OT 2012-368	\$50		\$50				01/15/14	02/14/14	02/14/14						\$50		
1	1								1	OT 2012-380	\$50		\$50				01/15/14	02/14/14	02/14/14			01/24/14	1	\$50	\$0		
1	1								1	OT 2012-382	\$50		\$50				01/15/14	02/14/14	02/14/14			01/21/14	1	\$50	\$0		
1	1								1	OT 2013-24	\$50		\$50				01/15/14	02/14/14	02/14/14			01/23/14	1	\$50	\$0		
1		1							1	OA 2013-40			\$50		\$50		01/15/14	02/14/14	02/14/14						\$50		
1		1							1	OA 2013-29			\$50		\$50		01/15/14	02/14/14	02/14/14						\$50		
1	1								1	OT 2012-381	\$50	\$50	\$0				01/15/14	02/14/14	02/14/14	1					\$0		
1	1							1		OT 2012-521	\$650		\$650				01/30/14	03/01/14	03/01/14			02/06/14	1	\$650	\$0		
1		1						1		OA 2013-161			\$700		\$700		01/30/14	03/01/14	03/01/14			02/24/14	1	\$700	\$0	\$0	
1	1							1		OT 2013-131	\$500		\$500				01/30/14	03/01/14	03/01/14			02/27/14	1	\$500	\$0		
1	1							1		OT 2013-333	\$250		\$250				02/05/14	03/07/14	03/07/14			02/28/14	1	\$250	\$0		
1	1							1		OT 2013-397	\$500		\$500				02/07/14	03/09/14	03/09/14			03/10/14	1	\$500	\$0		
1	1							1		OT 2013-398	\$250		\$250				02/18/14	03/21/14	03/21/14			03/13/14	1	\$250	\$0		
1	1							1		OT 2013-443	\$250		\$250				02/18/14	03/21/14	03/21/14						\$250		
1		1							1	OA 2013-38			\$50		\$50		02/28/14	03/28/14	03/28/14			03/26/14	1	\$50	\$0	\$0	
1		1							1	OA 2013-28			\$50		\$50		02/28/14	03/28/14	03/28/14						\$50		
1		1							1	OA 2013-30			\$50		\$50		02/28/14	03/28/14	03/28/14						\$50		
1		1							1	OA 2013-100			\$50		\$50		02/28/14	03/28/14	03/28/14			03/13/14	1	\$50	\$0	\$0	
1		1							1	OA 2013-153			\$50		\$50		02/28/14	03/28/14	03/28/14						\$50		
1		1							1	OA 2013-97			\$50		\$50		02/28/14	03/28/14	03/28/14						\$50		
1		1							1	OA 2013-42			\$50		\$50		02/28/14	03/28/14	03/28/14			03/20/14	1	\$50	\$0	\$0	
1	1					1				OT 2012-307	\$1,500		\$1,500				06/20/14	07/20/14	07/20/14						\$1,500		
141	105	36	2	2	5	0	12	18	105		\$19,301	\$1,000	\$18,301	\$10,025	\$250	\$9,775						24	3	73	\$18,325	\$7,551	\$2,200

Violation Key:

- | | | |
|--|--|---------------------------|
| Applicant | Licensee | Non-Licensed |
| FDC - Failure to Disclose Criminal Convictions | UPC - Unprofessional Conduct | UL P- Unlicensed Practice |
| UPC - Unprofessional Conduct-Misrepresent credential | CC - Criminal Convictions | |
| | ULP - Unlicensed Practice | |
| | PDU - Continuing Education | |
| Citations Assigned to FTB Intercept program: 18 | AD - Failure to Notify of Address Change | |

**Citation payments received in this quarter for citations issued in a previous quarter are not reflected in this table.

***Appeals requested in this quarter. Conferences and hearings may have been/will be held within a different quarter

BOT ENFORCEMENT STATISTICAL REPORT

July 1, 2014 – September 30, 2014

Total Complaints-Received:	180	DOI Investigations Initiated:	22
Record of Arrests and Prosecutions [RAP] Received:	12	Subsequent Arrest Reports Received:	5
Complaints-Closed:	232	DOI Investigation Reports Received:	4
Total Complaints-Pending:	268 (Oldest: 8/03/12)	Formal DOI Investigations Pending:	27 (Oldest: 1/07/13)
Applications Denied pursuant to Business and Professions Code 480/485: 6			
Cases Pending with the Attorney General (AG): 7			

<u>Transmitted</u>	<u>Complaint No</u>	<u>Type</u>	<u>Current Status</u>
11/21/12	OT 2010-333	Accusation	Accusation Filed 5/6/2013, NOD recd; Hearing scheduled 2/9/2015
11/27/12	OT 2011-117	Accusation	Hearing held 7/8/2014, Proposed Decision to be reviewed by Board
07/23/13	AR 2012-388	SOI	Statement of Issues Filed 12/12/13; Hearing taken off calendar
08/08/13	OT 2012-100	Accusation	Stipulated Settlement Adopted, 3 years Probation Effective 10/27/2014
01/10/14	AR 2012-546	SOI	Hearing held 7/14/2014; Proposed Decision to be reviewed by Board
03/21/14	AL 2013-155	SOI	Stipulated Settlement Adopted, 3 years Probation Effective 10/27/2014
08/26/14	OA 2012-513	Accusation	DAG to prepare Accusation

Statement of Issues filed:	1	Accusations filed:	0
Petition to Revoke Probation filed:	0	Accusation & Petition to Revoke Probation filed:	0
ISO Issued:	0	PC23 Issued:	0

Final Decisions: 2

<u>Effective</u>	<u>Name</u>	<u>Type</u>	<u>Complaint Received</u>
July 6, 2014	Bayani Gamotin	License Denied – Proposed Decision	January 31, 2013
July 11, 2014	Heather Neff	3 Year Probation	March 27, 2012

Cease Practice Orders Issued:	0	Cease Practice Orders Lifted:	0
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CITATIONS ISSUED
07/01/14 - 09/30/14

#	LICENSURE CLASSIFICATION			VIOLATION							CIT. #	FINE (OT)	OT Fine Modified	GRAND TOTAL FINE DUE (OT)	FINE (OTA)	OTA Fine Modified	GRAND TOTAL FINE DUE (OTA)	DATE ISSUED	DUE DATES			App cal Rev d	PAYMENT				
	OT	OTA	No Lic	FDC	UPC	CC	ULP	PDU	AD	Req For Conf.									Fine	ICR ADMIN	Pymnt Date		Pd in Full	Pymnt Amnt	Bal (OT)	Bal (OTA)	
1	1				1					OT 2012-282	\$501		\$501				07/18/14	08/17/14	08/17/14		08/12/14	1	\$501	\$0			
1	1				1					OT 2012-384	\$650		\$650				08/06/14	09/05/14	09/05/14		08/28/14		\$650	\$0			
1	1								1	OT 2013-185	\$50		\$50				08/06/14	09/08/14	09/08/14		08/14/14	1	\$50	\$0			
1		1							1	OA 2013-174				\$50	\$50		08/06/14	09/08/14	09/08/14						\$50		
1	1								1	OT 2013-197	\$50		\$50				08/06/14	09/08/14	09/08/14						\$50		
1		1							1	OA 2013-177				\$50	\$50		08/06/14	09/08/14	09/08/14						\$50		
1	1								1	OT 2013-186	\$50		\$50				08/06/14	09/08/14	09/08/14		08/18/14	1	\$50	\$0			
1	1								1	OT 2013-170	\$50		\$50				08/06/14	09/08/14	09/08/14		08/28/14	1	\$50	\$0			
1		1							1	OA 2013-176				\$50	\$50		08/06/14	09/08/14	09/08/14						\$50		
1	1						1			OT 2013-578	\$250		\$250				08/08/14	09/08/14	09/08/14		08/25/14	1	\$250	\$0			
1	1						1			OT 2013-601	\$750		\$750				08/08/14	09/08/14	09/08/14		09/02/14	1	\$750	\$0			
1	1						1	1		OT 2013-590	\$2,950	\$500	\$2,450				08/08/14	09/08/14	09/08/14	1	09/15/14		\$450	\$2,000			
1	1								1	OT 2013-359	\$50		\$50				08/12/14	09/11/14	09/11/14						\$50		
1	1								1	OT 2013-370	\$50		\$50				08/12/14	09/11/14	09/11/14		09/19/14	1	\$50	\$0			
1	1								1	OT 2013-354	\$50		\$50				08/12/14	09/11/14	09/11/14		08/25/14	1	\$50	\$0			
1	1								1	OT 2013-358	\$50		\$50				08/12/14	09/11/14	09/11/14						\$50		
1	1								1	OT 2013-384	\$50		\$50				08/12/14	09/11/14	09/11/14		08/21/14	1	\$50	\$0			
1	1								1	OT 2013-404	\$50	\$50	\$0				08/12/14	09/11/14	09/11/14	1					\$0		
1	1								1	OT 2013-406	\$50		\$50				08/12/14	09/11/14	09/11/14						\$50		
1		1							1	OA 2013-405				\$50	\$50		08/13/14	09/12/14	09/12/14						\$50		
1		1							1	OA 2013-420				\$50	\$50		08/13/14	09/12/14	09/12/14		10/10/14	1	\$50	\$0			
1		1							1	OA 2013-327				\$50	\$50		08/13/14	09/12/14	09/12/14		09/16/14	1	\$50	\$0			
1		1							1	OA 2013-490				\$50	\$50		08/13/14	09/12/14	09/12/14		09/02/14	1	\$50	\$0			
1	1								1	OT 2013-470	\$50		\$50				08/13/14	09/12/14	09/12/14		10/10/14	1	\$50	\$0			
1	1								1	OT 2013-471	\$50		\$50				08/13/14	09/12/14	09/12/14		09/24/14	1	\$50	\$0			
1	1								1	OT 2013-472	\$50		\$50				08/13/14	09/12/14	09/12/14		08/20/14		\$50	\$0			
1		1							1	OA 2013-424				\$50	\$50		08/13/14	09/12/14	09/12/14		09/05/14	1	\$50	\$0			
1		1							1	OA 2013-345				\$50	\$50		08/13/14	09/12/14	09/12/14						\$50		
1		1							1	OA 2013-419				\$50	\$50		08/13/14	09/12/14	09/12/14		09/15/14	1	\$50	\$0			

CITATIONS ISSUED
07/01/14 - 09/30/14

1		1							1	OA 2013-346				\$50		\$50	08/13/14	09/12/14	09/12/14			09/17/14	1	\$50		\$0
1	1								1	OT 2013-329	\$50		\$50				08/13/14	09/12/14	09/12/14			08/26/14	1	\$50	\$0	
1		1							1	OA 2013-418				\$50		\$50	08/13/14	09/12/14	09/12/14			09/09/14	1	\$50		\$0
1	1								1	OT 2013-466	\$50		\$50				08/13/14	09/12/14	09/12/14						\$50	
1	1								1	OT 2013-469	\$50		\$50				08/13/14	09/12/14	09/12/14			09/08/14		\$50	\$0	
1	1								1	OT 2013-468	\$50		\$50				08/13/14	09/12/14	09/12/14			08/25/14	1	\$50	\$0	
1	1								1	OT 2013-435	\$50		\$50				08/13/14	09/12/14	09/12/14			10/01/14	1	\$50	\$0	
1	1								1	OT 2013-374	\$50		\$50				08/14/14	09/13/14	09/13/14			09/12/14	1	\$50	\$0	
1	1								1	OT 2013-411	\$50		\$50				08/15/14	09/11/14	09/11/14			10/02/14	1	\$50	\$0	
1	1								1	OT 2013-451	\$50		\$50				08/15/14	09/11/14	09/11/14			08/26/14	1	\$50	\$0	
1	1								1	OT 2013-452	\$50		\$50				08/15/14	09/11/14	09/11/14			09/22/14	1	\$50	\$0	
1	1								1	OT 2013-179	\$50		\$50				08/15/14	09/11/14	09/11/14						\$50	
1	1								1	OT 2013-229	\$50		\$50				08/15/14	09/11/14	09/11/14						\$50	
1	1								1	OT 2013-230	\$50		\$50				08/15/14	09/11/14	09/11/14			08/26/14	1	\$50	\$0	
1	1								1	OT 2013-249	\$50		\$50				08/15/14	09/11/14	09/11/14			08/29/14	1	\$50	\$0	
1		1							1	OA 2013-282				\$50		\$50	08/15/14	09/11/14	09/11/14							\$50
1		1							1	OA 2013-288				\$50		\$50	08/15/14	09/11/14	09/11/14							\$50
1	1								1	OT 2013-289	\$50		\$50				08/15/14	09/11/14	09/11/14						\$50	
1		1							1	OA 2013-352				\$50		\$50	08/15/14	09/11/14	09/11/14							\$50
1	1								1	OT 2013-417	\$50	\$50	\$0				08/15/14	09/11/14	09/11/14	1						
1		1							1	OA 2013-434				\$50		\$50	08/15/14	09/11/14	09/11/14			08/26/14	1	\$50		\$0
1		1							1	OA 2013-447				\$50		\$50	08/15/14	09/11/14	09/11/14			10/10/14	1	\$50		\$0
1	1								1	OT 2013-247	\$50		\$50				08/19/14	09/18/14	09/18/14						\$50	
1		1							1	OA 2013-283				\$50		\$50	08/19/14	09/18/14	09/18/14			10/22/14	2	\$50		\$0
1	1								1	OT 2013-486	\$50		\$50				08/19/14	09/18/14	09/18/14			09/05/14	1	\$50	\$0	
1		1							1	OA 2013-487				\$50		\$50	08/19/14	09/18/14	09/18/14			08/29/14	1	\$50		\$0
1	1								1	OT 2013-492	\$50	\$50	\$0				08/19/14	09/18/14	09/18/14						\$0	
1		1							1	OA 2013-493				\$50		\$50	08/19/14	09/18/14	09/18/14			09/15/14	1	\$50		\$0
1	1								1	OT 2013-506	\$50		\$50				08/19/14	09/18/14	09/18/14			09/02/14	1	\$50	\$0	
1	1								1	OT 2013-508	\$50		\$50				08/19/14	09/18/14	09/18/14						\$50	
1	1								1	OT 2013-509	\$50		\$50				08/19/14	09/18/14	09/18/14			09/08/14	1	\$50	\$0	
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1	1								1	OT 2013-563	\$50		\$50				08/20/14	09/19/14	09/19/14			08/27/14	1	\$50	\$0	
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1	1								1	OT 2013-565	\$50		\$50				08/20/14	09/19/14	09/19/14			09/15/14	1	\$50	\$0	
1	1								1	OT 2013-650	\$50		\$50				08/20/14	09/19/14	09/19/14			09/09/14	1	\$50	\$0	
1	1								1	OT 2013-653	\$50		\$50				08/20/14	09/19/14	09/19/14						\$50	
1	1								1	OT 2013-652	\$50	\$50	\$0				08/20/14	09/19/14	09/19/14	1					\$0	

CITATIONS ISSUED
07/01/14 - 09/30/14

1	1							1	OT 2013-651	\$50		\$50				08/20/14	09/19/14	09/19/14			08/25/14	1	\$50	\$0	
1	1							1	OT 2013-597	\$50		\$50				08/20/14	09/19/14	09/19/14							\$50
1	1						1		OT 2013-436	\$350		\$350				08/20/14	09/19/14	09/19/14			08/28/14	1	\$350	\$0	
1	1						1		OT 2013-464	\$450		\$450				08/20/14	09/19/14	09/19/14			08/26/14	1	\$450	\$0	
1	1							1	OT 2013-600	\$50		\$50				08/20/14	09/20/14	09/20/14			09/19/14	1	\$50	\$0	
1	1							1	OT 2013-617	\$50		\$50				08/21/14	09/20/14	09/20/14			09/05/14	1	\$50	\$0	
1		1						1	OA 2013-619			\$50	\$50			08/21/14	09/20/14	09/20/14							\$50
		1							AR 2012-124			\$250	\$250			08/22/14	09/21/14	09/21/14			09/03/14	1	\$250		\$0
1		1						1	OA 2013-566			\$50	\$50			08/21/14	09/21/14	09/21/14			08/29/14	1	\$50		\$0
1	1							1	OT 2013-562	\$50		\$50				08/21/14	09/21/14	09/21/14							\$50
1	1							1	OT 2013-561	\$50		\$50				08/21/14	09/21/14	09/21/14							\$50
1	1							1	OT 2013-568	\$50		\$50				08/21/14	09/21/14	09/21/14			09/12/14	1	\$50	\$0	
1	1							1	OT 2013-567	\$50		\$50				08/21/14	09/21/14	09/21/14							\$50
1	1							1	OT 2013-552	\$50		\$50				08/21/14	09/21/14	09/21/14			08/28/14	1	\$50	\$0	
1	1							1	OT 2013-530	\$50		\$50				08/21/14	09/21/14	09/21/14							\$50
1	1							1	OT 2013-668	\$50		\$50				08/22/14	09/21/14	09/21/14			09/19/14	1	\$50	\$0	
1		1						1	OA 2013-645			\$50	\$50			08/22/14	09/21/14	09/21/14			09/18/14	1	\$50		\$0
1	1							1	OT 2013-667	\$50	\$50	\$0				08/22/14	09/21/14	09/21/14	1						\$0
1	1						1		OT 2013-476	\$850		\$850				08/22/14	09/21/14	09/21/14			09/12/14	1	\$850	\$0	
1	1						1		OT 2013-385	\$200		\$200				08/22/14	09/21/14	09/21/14			09/12/14	1	\$200	\$0	
1	1							1	OT 2013-666	\$50		\$50				08/22/14	09/21/14	09/21/14			09/08/14	1	\$50	\$0	
1	1							1	OT 2013-658	\$50		\$50				08/22/14	09/21/14	09/21/14							\$50
1	1							1	OT 2013-660	\$50		\$50				08/22/14	09/21/14	09/21/14			09/04/14	1	\$50	\$0	
1	1							1	OT 2013-656	\$50		\$50				08/22/14	09/21/14	09/21/14			08/25/14	1	\$50	\$0	
1	1							1	OT 2013-657	\$50		\$50				08/22/14	09/21/14	09/21/14			09/04/14	1	\$50	\$0	
1	1							1	OT 2013-665	\$50		\$50				08/22/14	09/21/14	09/21/14			09/19/14	1	\$50	\$0	
1	1							1	OT 2013-531	\$50		\$50		\$0		08/26/14	09/25/14	09/25/14							\$50
1		1						1	OA 2013-532			\$50	\$50			08/26/14	09/25/14	09/25/14							\$50
1	1							1	OT 2013-535	\$50	\$50	\$0		\$0		08/26/14	09/25/14	09/25/14	1						\$0
1	1							1	OT 2013-579	\$50		\$50		\$0		08/26/14	09/25/14	09/25/14			09/22/14	1	\$50	\$0	
1	1							1	OT 2013-580	\$50		\$50		\$0		08/26/14	09/25/14	09/25/14			09/23/14	1	\$50	\$0	
1	1							1	OT 2013-595	\$50		\$50		\$0		08/26/14	09/25/14	09/25/14							\$50
1	1							1	OT 2013-596	\$50		\$50		\$0		08/26/14	09/25/14	09/25/14							\$50
1	1							1	OT 2013-694	\$50		\$50		\$0		08/27/14	09/26/14	09/26/14							\$50
1	1							1	OT 2013-688	\$50		\$50		\$0		08/27/14	09/26/14	09/26/14							\$50
1	1							1	OT 2013-687	\$50		\$50		\$0		08/27/14	09/26/14	09/26/14							\$50
1		1						1	OA 2013-689			\$50	\$50			08/27/14	09/26/14	09/26/14							\$50
1	1							1	OT 2013-644	\$50		\$50		\$0		08/27/14	09/26/14	09/26/14							\$50
1		1						1	OA 2013-534			\$50	\$50			08/27/14	09/26/14	09/26/14			09/10/14	1	\$50		\$0

CITATIONS ISSUED
07/01/14 - 09/30/14

1		1							1	OA 2013-623				\$50		\$50	08/27/14	09/26/14	09/26/14											\$50
1	1								1	OT 2013-599	\$50		\$50				08/27/14	09/26/14	09/26/14		09/04/14	1	\$50	\$0						
1	1								1	OT 2013-630	\$50	\$50	\$0				08/27/14	09/26/14	09/26/14	1				\$0						
1		1		1						OA 2012-385				\$300		\$300	08/27/14	09/26/14	09/26/14		09/22/14	1	\$300		\$0					
1	1								1	OT 2013-732	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1	1								1	OT 2013-731	\$50		\$50				08/28/14	09/27/14	09/27/14		10/23/14	1	\$50	\$0						
1	1								1	OT 2013-721	\$50		\$50				08/28/14	09/27/14	09/27/14		09/08/14	1	\$50	\$0						
1	1								1	OT 2013-745	\$50		\$50				08/28/14	09/27/14	10/15/14	1	09/24/14	1	\$50	\$0						
1		1							1	OA 2013-743				\$50		\$50	08/28/14	09/27/14	09/27/14		09/02/14	1	\$50		\$0					
1	1								1	OT 2013-616	\$50		\$50				08/28/14	09/27/14	09/27/14		09/19/14	1	\$50	\$0						
1	1								1	OT 2013-706	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1	1								1	OT 2013-705	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1	1								1	OT 2013-704	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1	1								1	OT 2013-695	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1		1							1	OA 2013-684				\$50		\$50	08/28/14	09/27/14	09/27/14										\$50	
1	1								1	OT 2013-710	\$50		\$50				08/28/14	09/27/14	09/27/14					\$50						
1	1								1	OT 2013-711	\$50		\$50				08/29/14	09/28/14	09/28/14					\$50						
1	1								1	OT 2013-729	\$50		\$50				08/29/14	09/28/14	09/28/14		09/22/14	1	\$50	\$0						
1	1								1	OT 2013-708	\$50		\$50				08/29/14	09/28/14	09/28/14		09/08/14	1	\$50	\$0						
1	1								1	OT 2013-730	\$50		\$50				08/29/14	09/28/14	09/28/14		09/22/14	1	\$50	\$0						
1	1								1	OT 2013-648	\$50		\$50				08/22/14	09/21/14	09/21/14					\$50						
1	1								1	OT 2013-647	\$50	\$50	\$0				08/22/14	09/21/14	09/21/14					\$0						
1	1								1	OT 2014-16	\$50		\$50				09/18/14	10/18/14	10/18/14		09/30/14	1	\$50	\$0						
1	1								1	OT 2014-18	\$50	\$50	\$0				09/18/14	10/18/14	10/18/14	1				\$0						
1	1								1	OT 2014-26	\$50		\$50				09/18/14	10/18/14	10/18/14		09/26/14	1	\$50	\$0						
1	1								1	OT 2014-27	\$50		\$50				09/18/14	10/18/14	10/18/14					\$50						
1		1							1	OA 2014-29				\$50		\$50	09/18/14	10/18/14	10/18/14		10/15/14	1	\$50		\$0					
133	102	32	0	1	2	0	7	0	124		\$11,601	\$950	\$10,601	\$2,050	\$0	\$2,050				9	0		\$75	\$8,351	\$3,700	\$650				

Violation Key:

Applicant

FDC - Failure to Disclose Criminal Convictions
UPC - Unprofessional Conduct-Misrepresent credentials

Licensee

UPC - Unprofessional Conduct
CC - Criminal Convictions
ULP - Unlicensed Practice
PDU - Continuing Education

Non-Licensed

ULP- Unlicensed Practice

Assigned to FTB Intercept program: 4

AD - Failure to Notify of Address Change

**Citation payments received in this quarter for citations issued in a previous quarter are not reflected in this table.

***Appeals requested in this quarter. Conferences and hearings may have been/will be held within a different quarter

Disciplinary Action

Pactitioners Currently on Probation

NAME	LICENSE #			LENGTH OF PROBATION	EFFECTIVE DATE
Alvarado, Robert	OTA 603	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	04/06/12
Comingore, Rachel	OT 12585	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	04/10/12
Darrow, Colleen	OT 11844	<u>Charging Document</u>	<u>Probation Order</u>	4 Years	06/26/14
DeMena, Alan	OTA 466	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	06/27/14
Freeman, Kathryn E.	OT 2762	<u>Charging Document</u>	<u>Probation Order</u>	3 years	03/16/12
Harris, Donald	OTA 1772	<u>Charging Document</u>	<u>Probation Order</u>	4 Years	04/23/10
		<u>Charging Document</u>	<u>Probation Order</u>	4 Years	10/23/15
Hanvey, Megan P.	OT 2222	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	08/30/13
Ingram-Watson, Sandra	OT 12312	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	11/07/11
Johnson, Kristine	OT 4732	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	10/27/14
Kelley, Anjuli	OT 11168	Petition for Reinstatement	<u>Probation Order</u>	3 Years	01/16/14
Meyer, Lisa M	OT 14107	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	02/13/14
Mustafa, Feras A.R.	OT 13960	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	11/12/13
Necesito, Dennis B.	OT 7360	<u>Charging Document</u>	<u>Probation Order</u>	4 Years	08/30/13
Neff, Heather L.	OT 7629	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	07/11/14
Ngo, Nicole U.	OT 14773	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	10/27/14
Novegrad, Shana E.	OT 4624	<u>Charging Document</u>	<u>Probation Order</u>	3 years	07/21/11
Perez, Thomas J.	OTA 2470	<u>Charging Document</u>	<u>Probation Order</u>	5 years	01/09/13
Proctor, Mark	OTA 1739	<u>Charging Document</u>	<u>Probation Order</u>	3 years	06/06/12
Retuya, Tristan	OT 12378	<u>Charging Document</u>	<u>Probation Order</u>	3 years	12/04/13
Schmidt, Rebecca	OT 8291	<u>Charging Document</u>	<u>Probation Order</u>	3 Years	11/27/09
Sweeney, Lynette	OT 10550	<u>Charging Document</u>	<u>Probation Order</u>	2 Years	09/27/13

AGENDA ITEM 15

EXECUTIVE OFFICER REPORT.

The following are attached for review:

- Executive Officer Report
- Strategic Planning calendar
- Performance measures

Date: November 10, 2014

To: CBOT Members

From: 
Heather Martin, Executive Officer

Subject: Executive Officer Report – Board Meeting November 10, 2014

Items covered:

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

Operational Report

The Board currently has 8.2 personnel years (PYs) or positions with a 0.8 PY vacancy due to required staffing reductions in FY 2012/13. Several months ago, staff began participating in BreZE meetings, including the design and configuration for both licensing and enforcement functionality. (More on BreZe below.)

Due to the recent graduations, there has been a surge in initial license applications received. While this cyclical increase typically occurs after graduation, the volume is much greater this time. Generally, in a 30-day period there are approximately 35-45 applications requiring review and response to the applicant; during the period May 19 – June 13, there were 97 pending applications. Resources were re-directed and applications are being processed timely.

We lost an enforcement analyst in August to another healthcare Board in August. The recruitment process resulted in an internal candidate being selected and, once all sign-offs are received, anticipate the promotion being effective December 1, 2014. We will begin the recruitment process to fill the vacancy and are hopeful to fill the position by February 1, 2015.

Budget Update

Fiscal Year (FY) 2013/14 closed with annual revenue in the amount of \$1.147m received and an annual expenditure in the amount of \$1.456. The outstanding \$2m general fund loan was repaid along with an additional \$82k in interest earned; a total of \$2,081,836.72 was deposited into the Board's fund.

Attached is a Fiscal Month (FM) 3, (which includes the period of 7/1 - 9/30) Expenditure Projection which indicates that if expenditures continue at the current rate, we are expected to over-spend our budget. Since this cannot happen, we will utilize a variety of cost-containment strategies, to ensure our expenditures remain within our authorized budget. Also, should our budget line item for the Office of the Attorney General project over-expenditure, we will request a deficiency to augment this line item as we did last year; we will request a deficiency to augment the Office of Administrative Hearings line item as we have already 'overspent' this line item by \$43k.

Following the FM 3 Expenditure Projection is a fund condition showing that, despite the imbalance in revenue earned and annual expenditures, due to the repayment of the General

Fund loan, there is no need for a fee increase at this time. Should the Board's budget increase, there will be a continued reduction in the fund condition and a fee increase may be needed in the future.

BreZE Project:

You may recall that the new BreZE system will provide on-line functionality (such as applying for a license or renewing a license) and back office functionality (such as processing applications, auditing PDU compliance, and tracking complaints and investigations).

We recently 'signed off' on the approval of the Part 1 deliverable and our Part 2 deliverable was due October 17th. Staff is undergoing another contractual review period which ends Thursday, November 13th; DCA will review our comments and submit the Part 2 deliverable to the vendor by COB Friday, November 14th. We are scheduled next week to meet with the vendor, review any outstanding items, and formally sign-off on the Part 2 deliverable.

Staff participation in all of the BreZE activities has contributed to backlogs in workload (e.g., complain investigations, case transmittals to DOI and the AGO). This is expected throughout the duration of the BreZE project; anticipated BreZE deployment is May or June 2015.

Health Care Workforce Clearinghouse

Following the Fund Condition is an excerpt from the Health & Safety Code, regarding the collection/reporting of certain health care occupation demographic information, and a sample survey to collect specified information. Once the Board enters into a MOU with the Office of Statewide Health Planning & Development (OSHPD), we will post the survey on the Board's website and begin to collect the information manually. Once BreZE goes 'live' this information will be collected upon issuance of the initial license and again with the license renewal.

All information collection is voluntary as there is no current statutory requirement that this information be collected and reported to OSHPD.

Strategic Plan Update

Following is a calendar of tasks associated with the strategic planning process when facilitated by DCA's SOLID unit. Review of these tasks and their timing within the process will be helpful when determining the dates for development of the Board's new strategic plan.

Performance Measures

Included in the meeting materials are the performance measures for fiscal years of 2013/14, 2012/13, 2011/12, and 2010/11. Following the performance measures is a document providing an overview of the information collected in the performance measures.

**OCCUPATIONAL THERAPY - 3017
BUDGET REPORT
FY 2014-15 EXPENDITURE PROJECTION
FISCAL MONTH 3**

Month Number: 3 3
Mcs. Remaining: 9 9

OBJECT DESCRIPTION	FY 2013-14		FY 2014-15				UNENCUMBERED BALANCE	PRIOR YEAR RATIO	LINEAR (STRAIGHT LINE)	Lag mos
	ACTUAL EXPENDITURES (MONTH 13)	PRIOR YEAR EXPENDITURES 9/30/2013	BUDGET STONE 2014-15	CURRENT YEAR EXPENDITURES 9/30/2014	PERCENT SPENT	PROJECTIONS TO YEAR END				
PERSONNEL SERVICES										
Salary & Wages (Staff)	331,812	80,156	337,130	86,034	26%	340,392	(3,262)	356,144	344,136	0
Statutory Exempt (EO)	84,989	21,045	81,732	21,465	26%	84,600	(2,868)	86,655	85,860	0
Temp Help Reg (Seasonals)	27,117	10,939	4,000	2,005		11,095	(7,095)	4,970	12,030	1
Temp Help (Exam Proctors)	1,300						0		0	1
Board Member Per Diem	1,000		20,000		0%	3,000	17,000			1
Committee Members (DEC)							0		0	1
Overtime	318			352		1,000	(1,000)		2,112	1
Staff Benefits	200,285	48,362	223,787	58,892	26%	235,568	(11,781)	243,894	235,568	0
TOTALS, PERSONNEL SVC	648,821	160,502	666,649	188,748	25%	675,555	(9,006)			
OPERATING EXPENSE AND EQUIPMENT										
General Expense	7,405	4,045	21,092	1,967	9%	7,000	14,092	3,601	11,802	1
Fingerprint Reports	16,562	4,067	22,000	3,666	17%	16,500	5,500	14,929	43,992	2
Minor Equipment			5,283			0	5,283		0	1
Printing	18,551		6,245	1,530	24%	19,500	(13,255)	#DIV/0!	9,180	1
Communication	4,243	636	5,449	276	5%	4,000	1,449	1,841	1,658	1
Postage	17,683	4,911	11,655	3,846	33%	17,000	(5,345)	13,848	23,076	1
Insurance			0		0%	0	0		0	1
Travel In State	12,575	497	16,146	183	1%	12,500	3,646	4,630	1,098	1
Travel, Out-of-State			0		0%	0	0		0	0
Training			1,499		0%	0	1,499	#DIV/0!	0	1
Facilities Operations	56,987	55,947	44,894	54,762	122%	55,500	(11,606)	55,780	328,572	1
Utilities							0		0	0
C & P Services - Interdept.							0		0	1
C & P Services - External	175		10,000	10,000		10,000	0		40,000	
DEPARTMENTAL SERVICES:										
Departmental Pro Rata	118,295	32,350	130,646	32,662	25%	130,646	0	119,436	195,972	1
Admin/Exec	78,662	19,452	84,682	21,171	25%	84,682	0	85,613	84,684	0
Interagency Services			105		0%	0	105		0	
IA w/ OER							0		0	
DOI-ProRata Internal	2,519	625	2,651	663	25%	2,651	0	2,672	2,652	
Public Affairs Office	2,908	877	2,587	647	25%	2,587	0	2,145	2,588	
CCED	4,273	1,113	3,680	920	25%	3,680	0	3,532	3,680	
INTERAGENCY SERVICES:										
Consolidated Data Center	152	35		28		125	(125)	122	168	1
DP Maintenance & Supply	3,386	2,717	3,817	2,717	71%	3,400	417	3,386	16,302	1
Central Admin Svc-ProRata	62,114	15,529	62,261	15,565	25%	62,000	261	62,258	93,390	1
EXAM EXPENSES:										
Exam Supplies							0		0	1
Exam Freight							0		0	1
Exam Site Rental							0		0	1
C/P Svcs-External Expert Administrative							0		0	1
C/P Svcs-External Expert Examiners							0		0	1
C/P Svcs-External Subject Matter	6,542	94		7,499		7,499	(7,499)	521,898	29,996	
ENFORCEMENT:										
Attorney General	124,640	42,576	133,243	12,098	9%	62,340	70,903	35,581	72,585	1
Office Admin. Hearings	27,608		1,000	7,401	740%	44,408	(43,408)	#DIV/0!	88,812	2
Court Reporters	1,425	379		309		1,500	(1,500)	1,162	1,236	
Evidence/Witness Fees	7,398	1,840				5,000	(5,000)	0	0	1
DOI - Investigations	283,678	57,320	80,416	20,104	25%	80,416	0	81,959	120,624	1
Major Equipment							0		0	1
Special Items of Expense							0		0	
Other (Vehicle Operations)							0		0	
TOTALS, OE&E	808,981	244,812	649,351	198,014	30%	633,934	15,417			
TOTAL EXPENSE	1,455,802	405,314	1,316,000	366,762	56%	1,309,589	6,411			
Sched. Reimb.							0		0	
Sched. Reimb. - Fingerprints	(19,649)	(5,733)	(22,000)	(4,851)	22%		(22,000)	(16,626)	(19,404)	0
Sched. Reimb. - External/Private	(7,560)	(1,420)		(940)			0		(3,760)	
Unsched. Reimb. - Other							0		0	
NET APPROPRIATION	1,428,603	398,161	1,294,000	360,971	28%	1,309,589	(15,589)	1,295,163	1,316,000	
SURPLUS/(DEFICIT):							-1.2%			

3017 - Board of Occupational Therapy Analysis of Fund Condition

Prepared 10/7/2014

FM 13 ACTUALS
w/Workload Revenue

	ACTUAL 2013-14	CY 2014-15	Gov Budget BY 2015-16	BY+1 2016-17
BEGINNING BALANCE	\$ 1,154	\$ 2,926	\$ 2,811	\$ 2,728
Prior Year Adjustment	\$ 5	\$ -	\$ -	\$ -
Adjusted Beginning Balance	\$ 1,159	\$ 2,926	\$ 2,811	\$ 2,728
REVENUES AND TRANSFERS				
Revenues:				
125600 Other regulatory fees	\$ 33	\$ 31	\$ 34	\$ 34
125700 Other regulatory licenses and permits	\$ 140	\$ 157	\$ 158	\$ 158
125800 Renewal fees	\$ 906	\$ 950	\$ 998	\$ 998
125900 Delinquent fees	\$ 14	\$ 15	\$ 16	\$ 16
141200 Sales of documents	\$ -	\$ -	\$ -	\$ -
142500 Miscellaneous services to the public	\$ 9	\$ 8	\$ 8	\$ 8
150300 Income from surplus money investments	\$ 3	\$ 10	\$ 14	\$ 8
150500 Interest income from interfund loans	\$ 82	\$ -	\$ -	\$ -
160400 Sale of fixed assets	\$ -	\$ -	\$ -	\$ -
161000 Escheat of unclaimed checks and warrants	\$ 1	\$ 1	\$ 1	\$ 1
161400 Miscellaneous revenues	\$ -	\$ -	\$ -	\$ -
164300 Penalty Assessments	\$ 14	\$ 8	\$ 8	\$ 8
Totals, Revenues	\$ 1,202	\$ 1,180	\$ 1,237	\$ 1,231
Transfers from Other Funds				
F00001 GF loan per item 1475-011-3017 BA of 2003 (repay)	\$ -	\$ -	\$ -	\$ -
F00002 GF loan per BA of 2009 (repay)	\$ 2,000	\$ -	\$ -	\$ -
Transfers to Other Funds				
T00001 GF loan per 1475-011-3017 BA of 2003	\$ -	\$ -	\$ -	\$ -
T00002 GF loan per BA of 2009	\$ -	\$ -	\$ -	\$ -
T00001 GF loan repayment per Ch 697/00	\$ -	\$ -	\$ -	\$ -
Totals, Revenues and Transfers	\$ 3,202	\$ 1,180	\$ 1,237	\$ 1,231
Totals, Resources	\$ 4,361	\$ 4,106	\$ 4,048	\$ 3,959
EXPENDITURES				
Disbursements:				
0840 SCO (State Operations)	\$ -	\$ -	\$ -	\$ -
1110 Program Expenditures (State Operations)	\$ 1,429	\$ 1,294	\$ 1,320	\$ 1,346
8880 Financial Information System for California (State Operations)	\$ 6	\$ 1	\$ -	\$ -
	\$ 1,435	\$ 1,295	\$ 1,320	\$ 1,346
FUND BALANCE				
Reserve for economic uncertainties	\$ 2,926	\$ 2,811	\$ 2,728	\$ 2,613
Months in Reserve	27.1	25.6	24.3	22.8

SENATE BILL 139 (Chapter 522, Statutes of 2007)

SEC. 15. Article 5 (commencing with Section 128050) is added to Chapter 2 of Part 3 of Division 107 of the Health and Safety Code, to read:

Article 5. Health Care Workforce Clearinghouse

128050. The Office of Statewide Health Planning and Development shall establish a health care workforce clearinghouse to serve as the central source of health care workforce and educational data in the state. The clearinghouse shall be responsible for the collection, analysis, and distribution of information on the educational and employment trends for health care occupations in the state. The activities of the clearinghouse shall be funded by appropriations made from the California Health Data and Planning Fund in accordance with subdivision (h) of Section 127280.

128051. The Office of Statewide Health Planning and Development shall work with the Employment Development Department's Labor Market Information Division, state licensing boards, and state higher education entities to collect, to the extent available, all of the following data:

- (a) The current supply of health care workers, by specialty.
- (b) The geographical distribution of health care workers, by specialty.
- (c) The diversity of the health care workforce, by specialty, including, but not necessarily limited to, data on race, ethnicity, and languages spoken.
- (d) The current and forecasted demand for health care workers, by specialty.
- (e) The educational capacity to produce trained, certified, and licensed health care workers, by specialty and by geographical distribution, including, but not necessarily limited to, the number of educational slots, the number of enrollments, the attrition rate, and wait time to enter the program of study.

128052. The Office of Statewide Health Planning and Development shall prepare an annual report to the Legislature that does all of the following:

- (a) Identifies education and employment trends in the health care profession.
- (b) Reports on the current supply and demand for health care workers in California and gaps in the educational pipeline producing workers in specific occupations and geographic areas.
- (c) Recommends state policy needed to address issues of workforce shortage and distribution.

Proposed Survey for Health Licensing Entities

Completion of survey helps determine health professionals' shortages and improves access to patient care.

1. License Number: _____
2. **Residence Location:** County _____ Zip Code _____
3. **Work Location:** if working more than 3 locations, provide information for the 3 locations where you spend the most time. If not working, skip to Question 3.

<p>Work Location 1: Number of years you have worked for this employer _____ Check box if self employed <input type="checkbox"/></p> <p>County _____ Zip Code _____ Health Occupation _____</p> <p>Work hours per week at this location: <input type="checkbox"/> 40 + <input type="checkbox"/> 30-39 <input type="checkbox"/> 20-29 <input type="checkbox"/> 10-19 <input type="checkbox"/> 1-9</p> <p>Work setting:</p> <table><tr><td><input type="checkbox"/> Acute care hospital</td><td><input type="checkbox"/> Manufacturer/distributor</td></tr><tr><td><input type="checkbox"/> Durable medical equipment/home care</td><td><input type="checkbox"/> Outpatient facility/physician's office/dentist's office</td></tr><tr><td><input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care</td><td><input type="checkbox"/> Clinics/community health center</td></tr><tr><td><input type="checkbox"/> Skilled nursing facility</td><td><input type="checkbox"/> Other setting, please describe: _____</td></tr><tr><td><input type="checkbox"/> Accredited education program</td><td></td></tr></table> <p>Work activities: _____% Patient Care _____% Research _____% Teaching _____% Administration _____% Other</p>	<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor	<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office	<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center	<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____	<input type="checkbox"/> Accredited education program	
<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor									
<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office									
<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center									
<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____									
<input type="checkbox"/> Accredited education program										
<p>Work Location 2: Number of years you have worked for this employer _____ Check box if self employed <input type="checkbox"/></p> <p>County _____ Zip Code _____ Health Occupation _____</p> <p>Work hours per week at this location: <input type="checkbox"/> 40 + <input type="checkbox"/> 30-39 <input type="checkbox"/> 20-29 <input type="checkbox"/> 10-19 <input type="checkbox"/> 1-9</p> <p>Work setting:</p> <table><tr><td><input type="checkbox"/> Acute care hospital</td><td><input type="checkbox"/> Manufacturer/distributor</td></tr><tr><td><input type="checkbox"/> Durable medical equipment/home care</td><td><input type="checkbox"/> Outpatient facility/physician's office/dentist's office</td></tr><tr><td><input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care</td><td><input type="checkbox"/> Clinics/community health center</td></tr><tr><td><input type="checkbox"/> Skilled nursing facility</td><td><input type="checkbox"/> Other setting, please describe: _____</td></tr><tr><td><input type="checkbox"/> Accredited education program</td><td></td></tr></table> <p>Work activities: _____% Patient Care _____% Research _____% Teaching _____% Administration _____% Other</p>	<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor	<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office	<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center	<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____	<input type="checkbox"/> Accredited education program	
<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor									
<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office									
<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center									
<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____									
<input type="checkbox"/> Accredited education program										
<p>Work Location 3: Number of years you have worked for this employer _____ Check box if self employed <input type="checkbox"/></p> <p>County _____ Zip Code _____ Health Occupation _____</p> <p>Work hours per week at this location: <input type="checkbox"/> 40 + <input type="checkbox"/> 30-39 <input type="checkbox"/> 20-29 <input type="checkbox"/> 10-19 <input type="checkbox"/> 1-9</p> <p>Work setting:</p> <table><tr><td><input type="checkbox"/> Acute care hospital</td><td><input type="checkbox"/> Manufacturer/distributor</td></tr><tr><td><input type="checkbox"/> Durable medical equipment/home care</td><td><input type="checkbox"/> Outpatient facility/physician's office/dentist's office</td></tr><tr><td><input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care</td><td><input type="checkbox"/> Clinics/community health center</td></tr><tr><td><input type="checkbox"/> Skilled nursing facility</td><td><input type="checkbox"/> Other setting, please describe: _____</td></tr><tr><td><input type="checkbox"/> Accredited education program</td><td></td></tr></table> <p>Work activities: _____% Patient Care _____% Research _____% Teaching _____% Administration _____% Other</p>	<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor	<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office	<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center	<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____	<input type="checkbox"/> Accredited education program	
<input type="checkbox"/> Acute care hospital	<input type="checkbox"/> Manufacturer/distributor									
<input type="checkbox"/> Durable medical equipment/home care	<input type="checkbox"/> Outpatient facility/physician's office/dentist's office									
<input type="checkbox"/> Long-term acute care/rehabilitation hospital/sub-acute care	<input type="checkbox"/> Clinics/community health center									
<input type="checkbox"/> Skilled nursing facility	<input type="checkbox"/> Other setting, please describe: _____									
<input type="checkbox"/> Accredited education program										

Draft

4. **Education**

List all degrees/certificates obtained _____

Are you presently pursuing additional credentials or certifications? No Yes

If so, program name/degree type _____

Expected year of completion _____

School/Institution name _____

School/Institution address _____

Draft

5. **Cultural/ethnic background** (you may select more than one)

- African American/Black/African-Born
- American Indian/Native American/Alaskan Native
- Caucasian/White European/Middle Eastern
- Latino/Hispanic (If Latino/Hispanic, please select one of the following)
 - Central American Cuban Mexican
 - Puerto Rican South American Other Hispanic
- Asian (If Asian, please select one of the following)
 - Cambodian Indonesian Malaysian Vietnamese
 - Chinese Japanese Pakistani Other
 - Hmong Korean Singaporean
 - Indian Laotian Thai
- Native Hawaiian/Pacific Islander (If Native Hawaiian/Pacific Islander, please select one of the following)
 - Fijian Guamanian Samoan Other Pacific Islander
 - Filipino Hawaiian Tongan
- Other (not listed above)
- Decline to State

6. **Foreign Language** – Are you fluent in languages other than English? If yes: Verbal Written

- | | | | | |
|---|--|--------------------------------------|---|--|
| <input type="radio"/> Afrikaans | <input type="radio"/> Czech | <input type="radio"/> Ibo | <input type="radio"/> Mon-Khmer | <input type="radio"/> Swedish |
| <input type="radio"/> Albanian | <input type="radio"/> Dakota | <input type="radio"/> Ilocano/Iloko | <input type="radio"/> Norwegian | <input type="radio"/> Syriac |
| <input type="radio"/> American Sign Language | <input type="radio"/> Danish | <input type="radio"/> Indonesian | <input type="radio"/> Navajo | <input type="radio"/> Tagalog |
| <input type="radio"/> Amharic | <input type="radio"/> Dutch | <input type="radio"/> Italian | <input type="radio"/> Nepali | <input type="radio"/> Tamil |
| <input type="radio"/> Apache | <input type="radio"/> Farsi | <input type="radio"/> Japanese | <input type="radio"/> Panjabi (Punjabi) | <input type="radio"/> Telugu |
| <input type="radio"/> Arabic | <input type="radio"/> Fijian | <input type="radio"/> Kannada | <input type="radio"/> Pashto | <input type="radio"/> Thai |
| <input type="radio"/> Armenian | <input type="radio"/> Finnish | <input type="radio"/> Keres | <input type="radio"/> Patois | <input type="radio"/> Tonga |
| <input type="radio"/> Bantu | <input type="radio"/> Formosan (Amis) | <input type="radio"/> Korean | <input type="radio"/> Persian | <input type="radio"/> Turkish |
| <input type="radio"/> Bengali | <input type="radio"/> French | <input type="radio"/> Kru | <input type="radio"/> Polish | <input type="radio"/> Ukrainian |
| <input type="radio"/> Bisayan | <input type="radio"/> French Creole | <input type="radio"/> Kurdish | <input type="radio"/> Portuguese | <input type="radio"/> Urdu |
| <input type="radio"/> Bulgarian | <input type="radio"/> German | <input type="radio"/> Lao | <input type="radio"/> Rumanian | <input type="radio"/> Vietnamese |
| <input type="radio"/> Burmese | <input type="radio"/> Greek | <input type="radio"/> Lettish | <input type="radio"/> Russian | <input type="radio"/> Yiddish |
| <input type="radio"/> Cajun | <input type="radio"/> Gujarati | <input type="radio"/> Lithuanian | <input type="radio"/> Samoan | <input type="radio"/> Yoruba |
| <input type="radio"/> Cambodian | <input type="radio"/> Haitian Creole | <input type="radio"/> Macedonian | <input type="radio"/> Sebuano | <input type="radio"/> Other (not listed) |
| <input type="radio"/> Cantonese (Yue Chinese) | <input type="radio"/> Hebrew | <input type="radio"/> Malayalam | <input type="radio"/> Serbian | <input type="radio"/> Decline to state |
| <input type="radio"/> Chamorro | <input type="radio"/> Hindi | <input type="radio"/> Mandarin | <input type="radio"/> Serbo-Croatian | |
| <input type="radio"/> Cherokee | <input type="radio"/> Hmong | <input type="radio"/> Mande | <input type="radio"/> Sinhalese | |
| <input type="radio"/> Croatian | <input type="radio"/> Hsiang (Xiang Chinese) | <input type="radio"/> Marathi | <input type="radio"/> Slovak | |
| | <input type="radio"/> Hungarian | <input type="radio"/> Marshallese | <input type="radio"/> Spanish | |
| | | <input type="radio"/> Mien (Lu Mien) | <input type="radio"/> Swahili | |

7. **Plan to retire:**
- Within the next 2 years
 - Within the next 5 years
 - Within the next 10 years
 - Not planning to retire within the next 10 years
 - Already retired
 - Retired, work part time
 - Plan to work part time

Thank you for completing this survey

OT Strategic Plan Schedule



Task		Due Date
Preliminary Meeting	SOLID works with OT to gather information about the unit and discuss the strategic planning process.	1 hour
Determine stakeholders	OT to determine stakeholders	1 week
Survey Stakeholders	SOLID will use an online survey at surveymonkey.com to obtain input from OT stakeholders. OT to send message (SOLID will provide email text and instructions with a link to this survey) to stakeholders	2 weeks
Board Member Interviews	SOLID will send OT a draft of the email invitation to be sent to Board members in preparation for the individual phone interviews or focus group.	1 week to complete a 1 hour phone interview with each Board member (can be concurrent with stakeholder survey)
Management Team Interviews	SOLID will send OT a draft of the email invitation to be sent to management team in preparation for the individual phone interviews or focus group.	1 week to complete a 1 hour phone interview with each manager (the week after Board Member interviews)
Staff Focus Group	SOLID will facilitate a <u>four hour meeting</u> with your Board staff to discuss internal and external program challenges and opportunities as well as gather their views on the Board's strategic focus for the upcoming plan.	4 hours (the week after management team interviews)
Compile Results for Review	Upon completion of interviews and surveys, SOLID will compile and analyze the data and produce a trends document outlining the Board's strengths, trends, challenges and recommendations to use with our presentation materials. This material will be sent to you for review and approval. The final Environmental Scan will be discussed during the strategic planning session.	2 weeks
Draft environmental scan	SOLID will email you soft copies of our handouts for the planning session or can bring handouts to the meeting.	2 weeks to review
Planning Session	SOLID will facilitate the strategic plan development session with Board members and staff. Through discussion our purpose is to highlight recent accomplishments of the Board, review the trends identified from the surveys, interviews and focus groups, and establish goals and objectives for the new plan.	2 days (January 2015)
Update Strategic Plan	SOLID will use the information gathered at the planning session to update the Board's strategic plan. A comprehensive draft will be sent to you for review by the target due date.	2 weeks
Adopt Strategic Plan	Strategic plan is adopted.	1 day
Action Planning Session	SOLID will facilitate a meeting with Board staff to create an action plan to guide completion of strategic objectives by establishing due dates, identifying major tasks, and assigning responsible parties.	TBD – Action Planning Session is scheduled after Board adopts strategic plan.

Performance Measures

Annual Report (2010 – 2011 Fiscal Year)

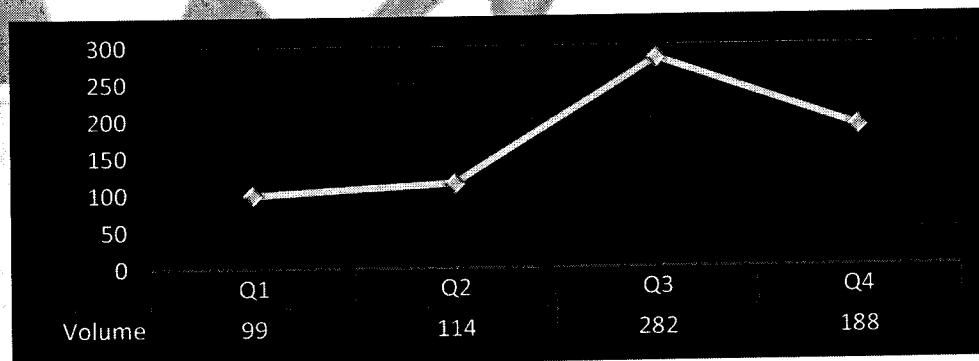
To ensure stakeholders can review the Board's progress in meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures are posted publicly on a quarterly basis.

This annual report represents the culmination of the first four quarters worth of data.

Volume

Number of complaints and convictions received.

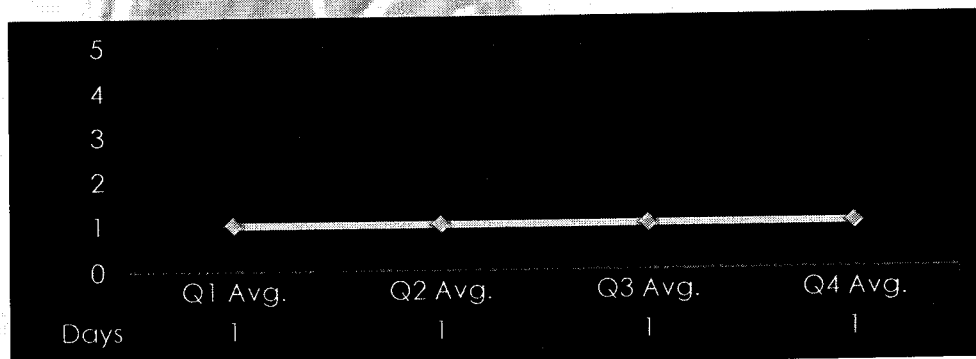
The Board had an annual total of 683 this fiscal year.



Intake

Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.

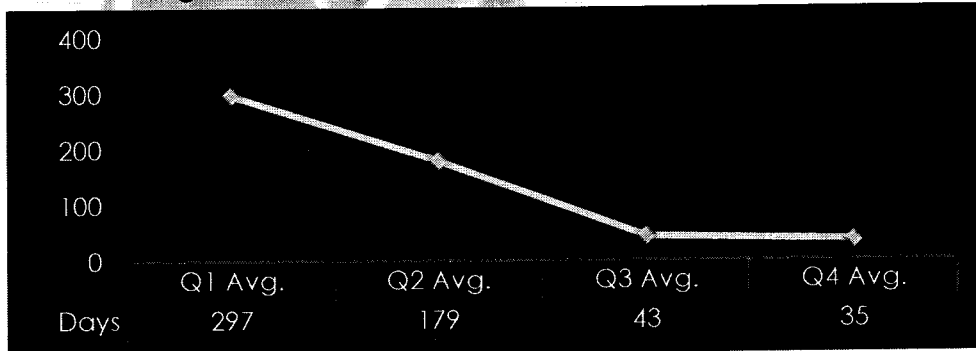
The Board has set a target of 2 days for this measure.



Intake & Investigation

Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.

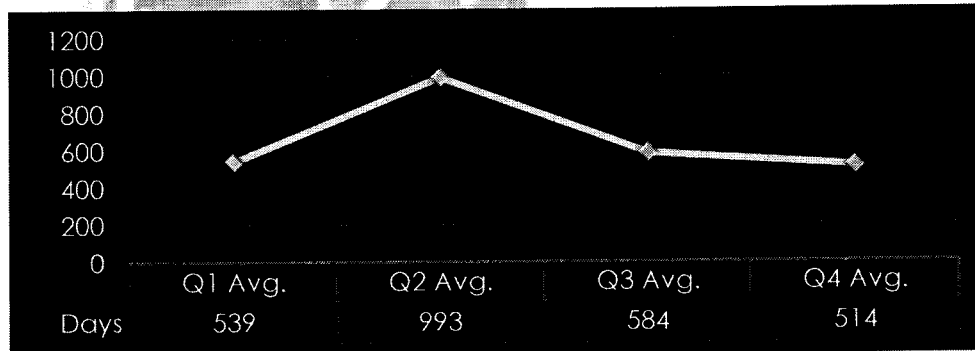
The Board has set a target of 270 days for this measure.



Formal Discipline

Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board, and prosecution by the AG)

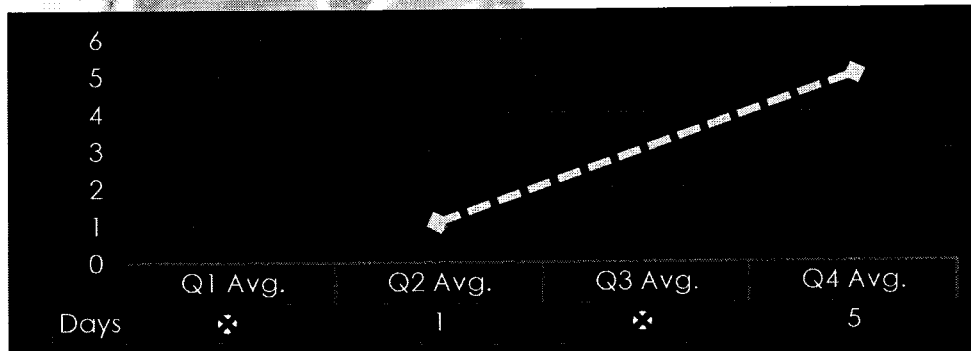
The Board has set a target of 540 days for this measure.



Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board has set a target of 10 days for this measure.



Performance Measures

Annual Report (2011 – 2012 Fiscal Year)

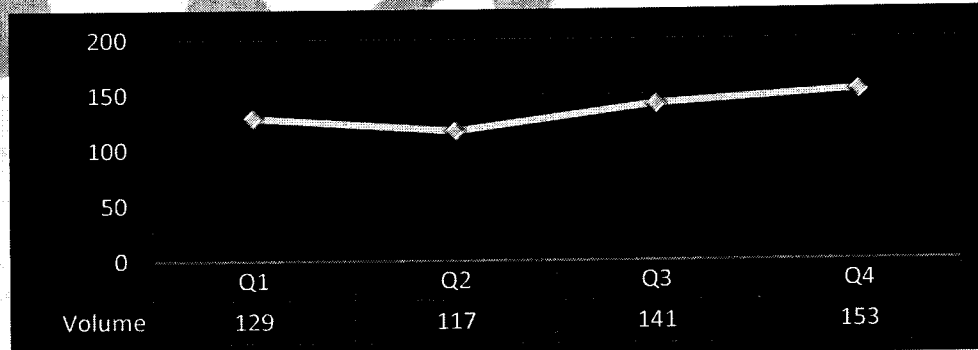
To ensure stakeholders can review the Board's progress in meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures are posted publicly on a quarterly basis.

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Volume

Number of complaints and convictions received.

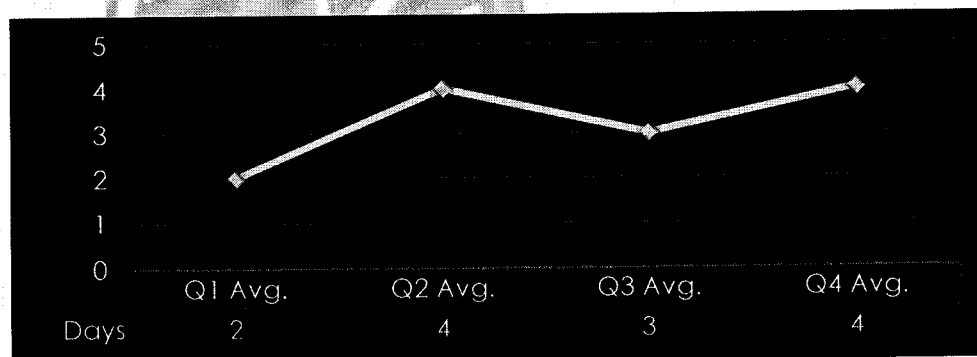
The Board had an annual total of 540 this fiscal year.



Intake

Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.

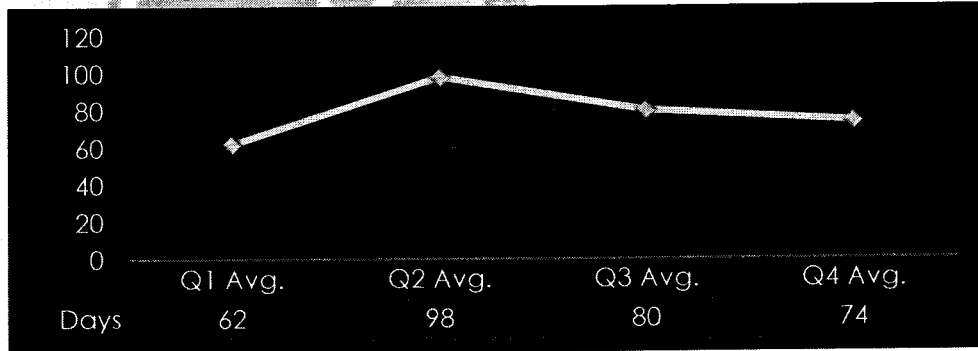
The Board has set a target of 2 days for this measure.



Intake & Investigation

Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.

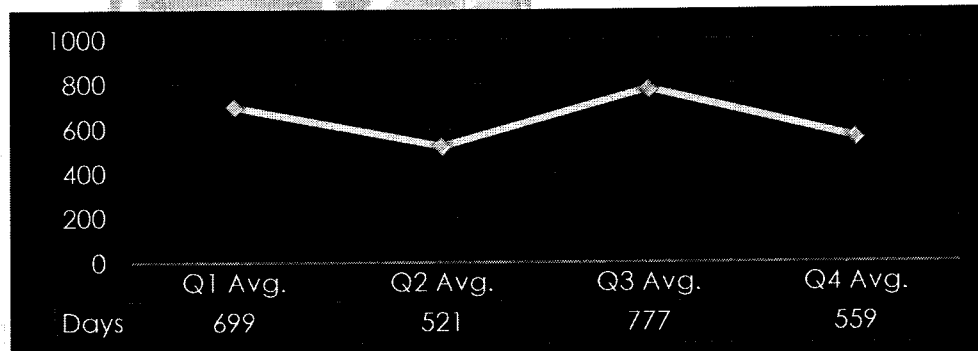
The Board has set a target of 270 days for this measure.



Formal Discipline

Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board, and prosecution by the AG)

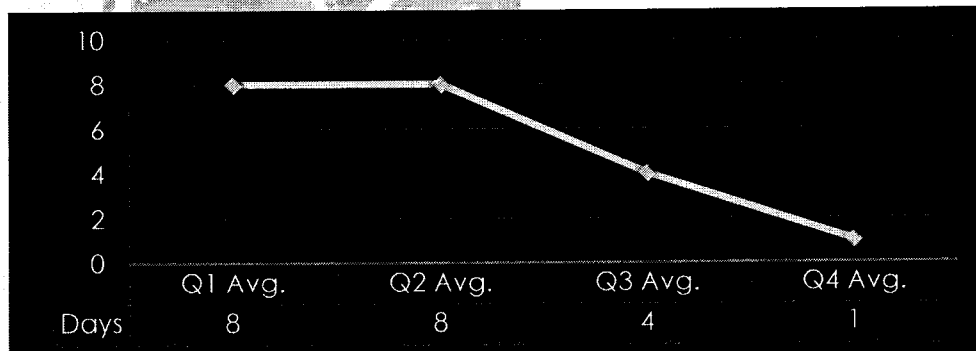
The Board has set a target of 540 days for this measure.



Probation Intake

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

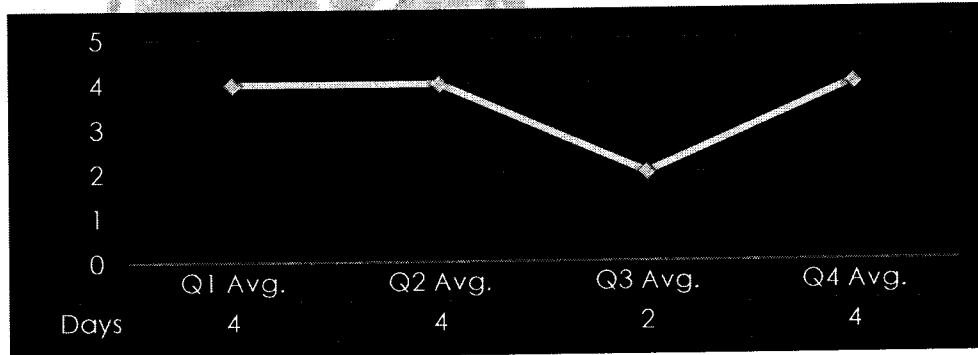
The Board has set a target of 10 days for this measure.



Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board has set a target of 10 days for this measure.



Performance Measures

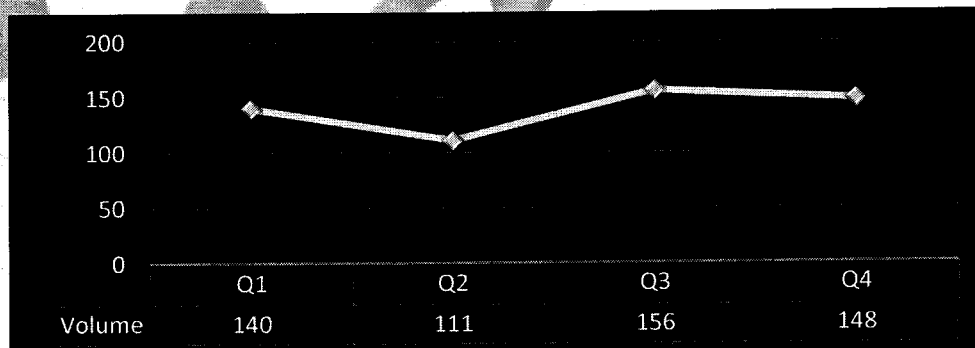
Annual Report (2012 – 2013 Fiscal Year)

To ensure stakeholders can review the Board's progress in meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures are posted publicly on a quarterly basis.

Volume

Number of complaints and convictions received.

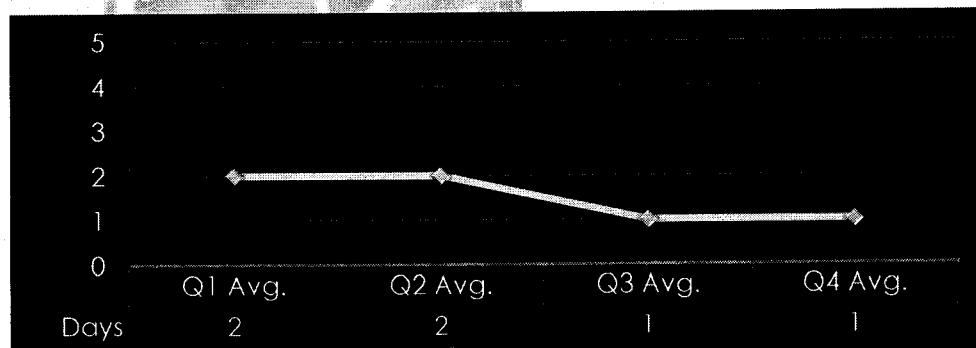
The Board had an annual total of 555 this fiscal year.



Intake

Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.

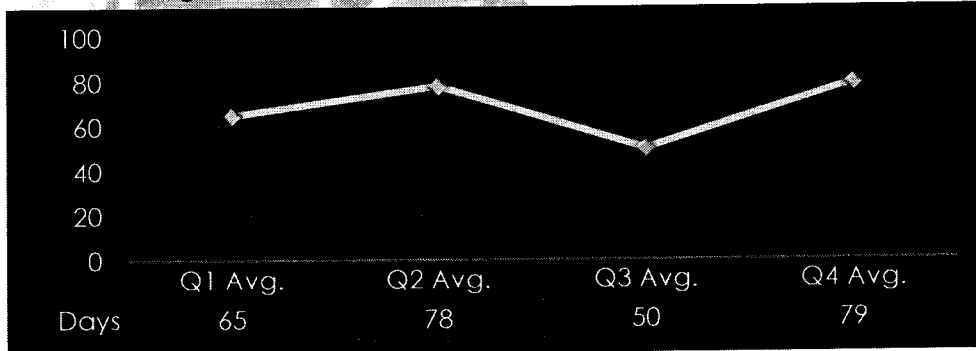
The Board has set a target of 2 days for this measure.



Intake & Investigation

Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.

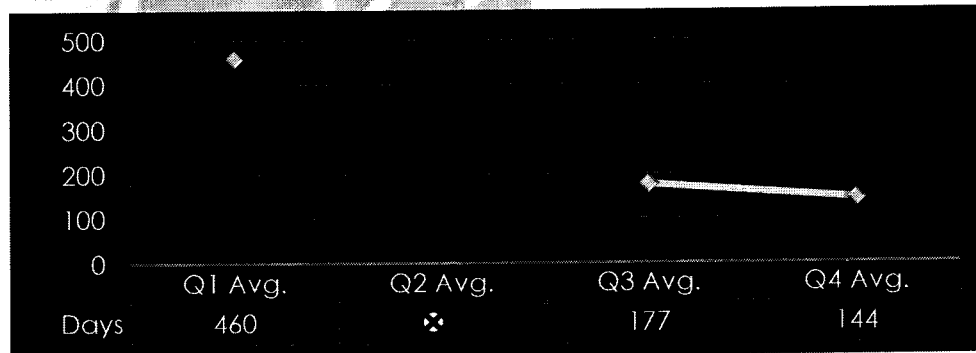
The Board has set a target of 270 days for this measure.



Formal Discipline

Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board, and prosecution by the AG)

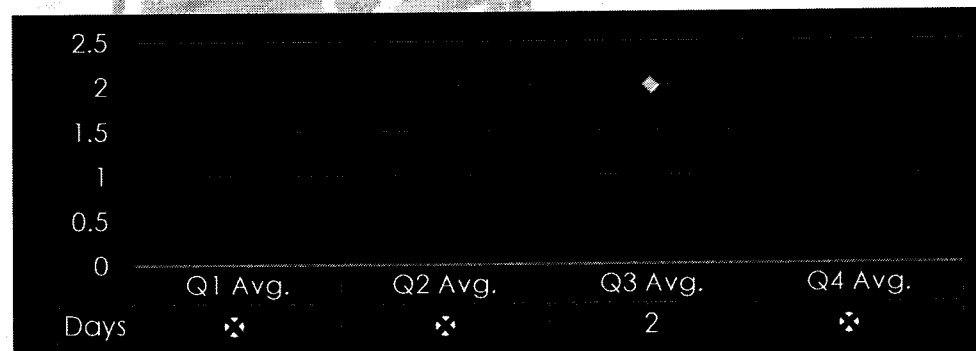
The Board has set a target of 540 days for this measure.



Probation Intake

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

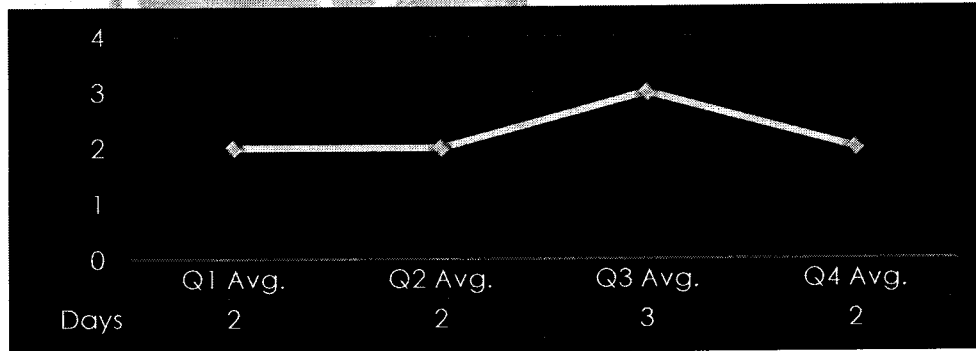
The Board has set a target of 10 days for this measure.



Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board has set a target of 10 days for this measure.



Department of Consumer Affairs
Board of Occupational
Therapy

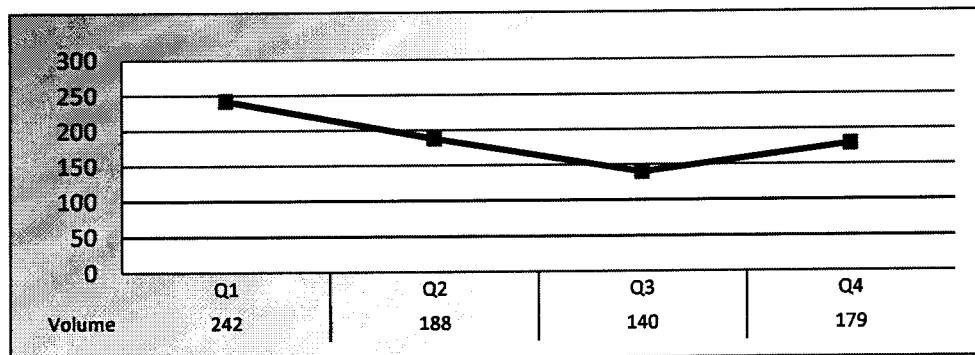
Performance Measures

Annual Report (2013 – 2014 Fiscal Year)

To ensure stakeholders can review the Board's progress toward meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures will be posted publicly on a quarterly and annual basis.

PM1 | Volume

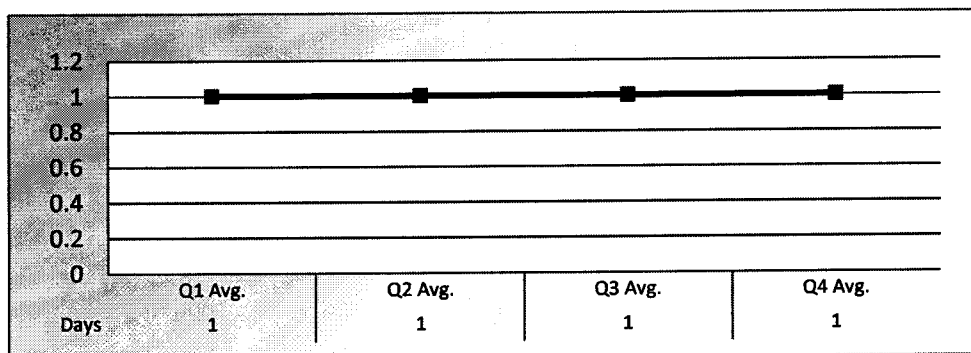
Number of complaints and convictions received.



Fiscal Year Total: 749

PM2 | Intake

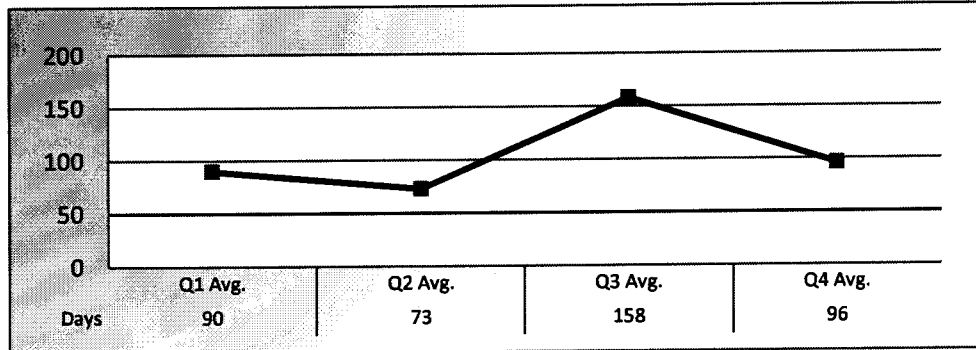
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 2 Days

PM3 | Intake & Investigation

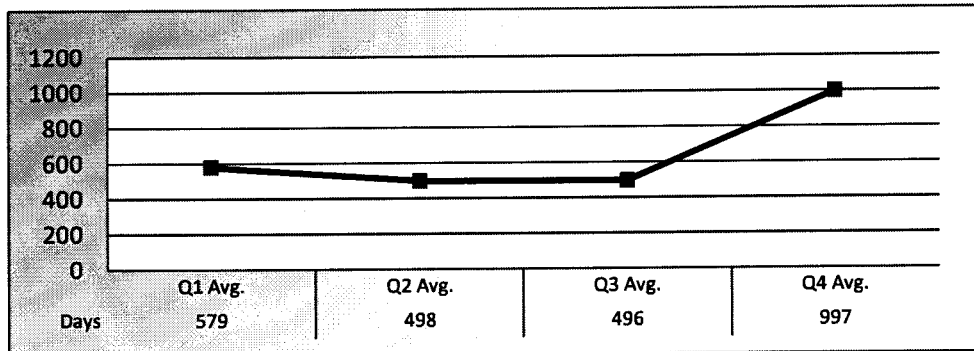
Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.



Target Average: 270 Days

PM4 | Formal Discipline

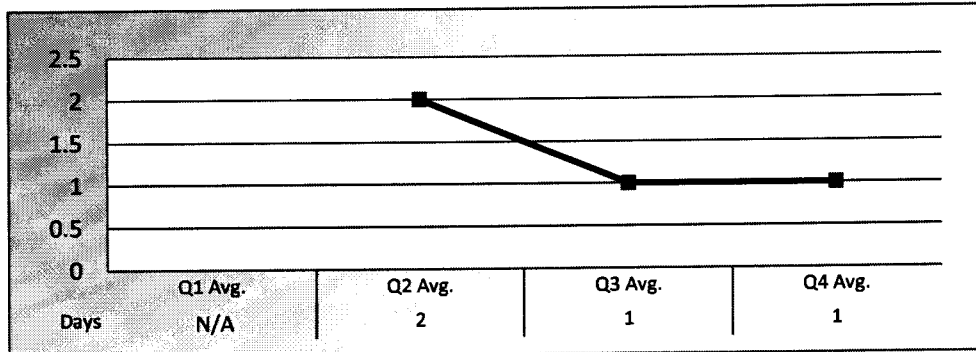
Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board and prosecution by the AG).



Target Average: 540 Days

PM7 | Probation Intake

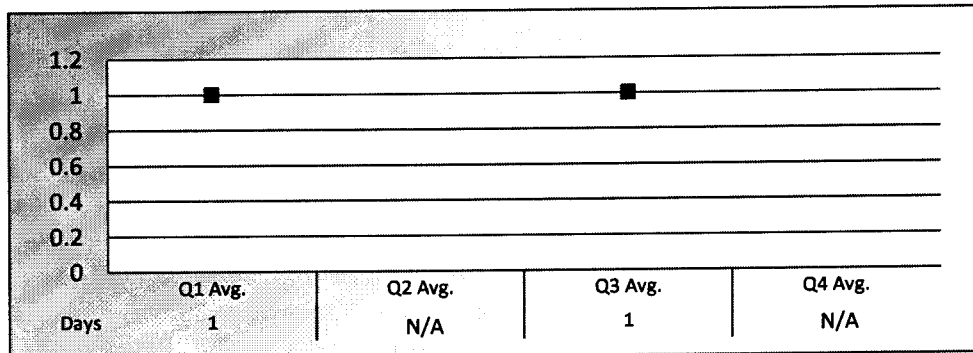
Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.



Target Average: 10 Days

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.



Target Average: 10 Days



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Consumer Affairs

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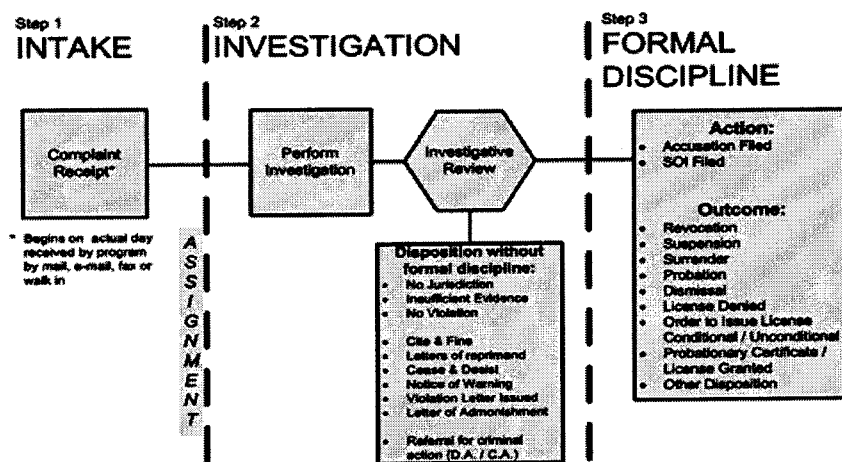
Enforcement Performance Measure Baseline Report - Overview

Background

To ensure that DCA and its stakeholders can review DCA's progress in meeting its enforcement goals and targets, DCA has developed an easy-to-understand, transparent system of accountability – performance measures. The performance measures are critical, particularly during the current climate of budget constraint and economic downturn, for demonstrating that DCA is making and will continue to make the most efficient and effective use possible of its resources. Performance measures are linked directly to an agency's mission and vision, strategic objectives, and strategic initiatives.

DCA's measures for enforcement are based on the macro enforcement process. This will allow DCA to report on its progress with a consistent set of definitions. Figure 1 below displays the Macro Process for DCA Enforcement.

Figure 1. Proposed Macro Process for DCA Enforcement



Definitions of the above steps are:

Intake: This step begins on the actual day the complaint is received by the program, as opposed to when the complaint is date-stamped. Intake also includes acknowledgement of a complaint. It does NOT include jurisdictional review.

Assignment: The point at which the investigation process begins. This includes assignment to any individual, regardless of job classification.

Investigation: After assignment, collection and verification of facts to determine jurisdiction and potential violations of law, regardless of who performs it.

Formal Discipline: Any administrative action that could affect the issuance or status of the professional's license.

The Measures

The areas that DCA has chosen to measure are the following.

Cycle Time: The amount of time (e.g., hours, days, or months) required to complete a business process.

Efficiency: An assessment of the cost to produce and deliver a product or service.

Volume: A simple tally of units of work (e.g., number of phone calls received; number of complaints received; number of letters written, etc.).

Customer Service: Consumer satisfaction with service received.

The specific enforcement measures are as follows:

Volume

Number of complaints received

Intake Cycle Time

Average number of days to complete complaint intake

Cycle Time of Closed Cases Not Resulting in Formal Discipline

Average number of days to complete the intake and investigation steps of the enforcement process, for closed cases not resulting in formal discipline

Cycle time of Closed Cases Resulting in Formal Discipline

Average number of days to complete the enforcement process (intake, investigation, and formal discipline steps) for those cases closed at the discipline stage

Intake & Investigation Efficiency

Average cost of Intake and Investigation of complaints

Customer Satisfaction

Consumer satisfaction with the service received during the enforcement process

Initial Contact Cycle Time (Probation Monitoring)

Average number of days from the date a probation monitor is assigned to a probationer to the date the monitor makes first contact

Violation Cycle Time (Probation Monitoring)

Average number of days from the time a violation is reported to a program, to the time the assigned probation monitor responds.

It is important to note that this is the Department's first attempt in more than 15 years to demonstrate performance using consistent measures and definitions of business processes. Therefore, it is likely that the numbers reported contain some irregularities. However, we believe overall that the numbers displayed are a faithful representation of current performance.

First Quarter Baseline Report

The performance measure reports on this website represent each board, bureau, and program's baseline report. A baseline report is a report on a program's **initial** level of performance, upon which future performance will be measured. ***This baseline report and subsequent reports represent a snapshot of each program's performance for a designated time period. Judgments or business decisions about actual performance cannot be made until the programs have undergone several reporting cycles (i.e., at least a year).***

The reporting period for this baseline report is the first quarter of Fiscal Year 2010/11 (July 2010 – September 2010). Each board, bureau, and program was asked to set initial performance **targets**, or specific levels of performance against which actual achievement is compared. As an example, a **target** of an average of 540 days for the cycle time of formal discipline cases has been set by the Director.

Please also note that:

This first baseline report does not include data on the efficiency (cost) or customer service measures. These measures will not be reported on until each program has gathered sufficient data and received enough responses from consumers on customer satisfaction surveys to be sufficient statistically.

While the numbers reported in the volume measure represent only complaints received during the first quarter, those reported in the investigative cycle times reflect investigations closed in the quarter, many of which were received prior to July 2010. This explains, in part, why some of the investigative cycle times shown are lengthy.

A Team Effort

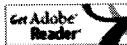
DCA is deeply indebted to the numerous line, managerial, and executive staff from throughout the department who assisted in developing the measures and the uniform definitions. Without their insight and enthusiasm, this project would not have been possible.

Alex Glaros, Associate Programmer Analyst, Office of Information Services
Alicia St. Louis, Consumer Services Representative, Consumer and Community Empowerment Division
Bev Augustine, Deputy Director, Program and Consumer Services Division
Carolyn Ballou, Information Officer II, Program and Consumer Services Division
Cathleen Sahlman, Chief Auditor, Internal Audit Office
Connie Kono, Senior Information Systems Analyst Supervisor/CAS System Manager, Office of Information Services
Connie Trujillo, Assistant Chief, Bureau of Security and Investigative Services
Daryl Walker, Chief, Division of Investigative Services
Evin VanOutryve, Associate Governmental Program Analyst, Strategic Planning and Development Unit
Kathy Klumpe, Associate Governmental Program Analyst, Respiratory Care Board
Kim Kirchmeyer, Deputy Director, Board/Bureau Relations
Kim Madsen, Executive Officer, Board of Behavioral Sciences
Lynne Stiles, Associate Information Systems Analyst & Co-Chair, Enforcement Users Group, Board of Behavioral Sciences
Mary Ann Aguayo, Former Executive Officer, Landscape Architects Technical Committee
Nancy Smith, Staff Information Systems Analyst & Co-Chair, Enforcement Users Group, Medical Board of California
Pam Wortman, Chief, Office of Administrative Services
Patti Bowers, Executive Officer, Accountancy Board
Paul Riches, Deputy Director, Enforcement and Compliance
Pierre Lessard, Program Representative I, Bureau of Automotive Repair
Sarah Wilson, Administrative Assistant II, Strategic Planning and Development Unit

Sean O'Connor, Associate Government Program Analyst, Board of Behavioral Sciences
Sonja Merold, Chief, Office of Professional Examination Services
Teresa Moraga, Associate Governmental Program Analyst, Office of Professional Examination Resources
Teresa Schaeffer, Associate Governmental Program Analyst, Medical Board of California

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AGENDA ITEM 16

SELECTION OF 2015 MEETING DATES.

A 2015 calendar is attached for review.

Calendar for year 2015 (United States)

January

S	M	T	W	T	F	S
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
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February

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March

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April

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May

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31						

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June

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July

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August

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September

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27	28	29	30			

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October

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November

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22	23	24	25	26	27	28
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December

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20	21	22	23	24	25	26
27	28	29	30	31		

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Jan 1 New Year's Day
 Jan 19 Martin Luther King Day
 Feb 14 Valentine's Day
 Feb 16 Presidents' Day
 Apr 5 Easter Sunday
 Apr 13 Thomas Jefferson's Birthday
 May 10 Mothers' Day

May 25 Memorial Day
 Jun 21 Fathers' Day
 Jul 3 'Independence Day' observed
 Jul 4 Independence Day
 Sep 7 Labor Day
 Oct 12 Columbus Day
 Oct 31 Halloween

Nov 11 Veterans Day
 Nov 26 Thanksgiving Day
 Dec 24 Christmas Eve
 Dec 25 Christmas Day
 Dec 31 New Year's Eve