

## **AGENDA ITEM 21**

### **Executive Officer's Report.**

- a) Operational report.**
- b) Fiscal Year (FY) 2021-22, Fiscal Month (FM) 13 revenue and expenditure reports.**
- c) FY 2022-23, FM 2 revenue and expenditure reports.**
- d) Current fund condition statement.**
- e) Licensing data for 7/1/2022 – 9/30/2022.**
- f) Enforcement data for 7/1/2022 – 9/30/2022.**
- g) Future Agenda items.**
- h) Data or information requested at prior meeting.  
(No Board action can be taken.)**
- i) Other informational items  
(No Board action can be taken.)**

## **AGENDA ITEM 21a**

**Operational report.**



## Memorandum

**Date:** October 26, 2022  
**To:** CBOT Members  
  
**From:** Heather Martin, Executive Officer  
**Subject:** Executive Officer Report

### a) Operational report.

The Board's Enforcement Program manager retired February 1, 2022. A candidate was selected, and an eligibility determination was requested on July 28<sup>th</sup>; we're still awaiting a response.

A recruitment package to establish and fill an additional retired annuitant (RA) position to assist with preparing recruitment/refill packages was approved by DCA. A candidate began August 15<sup>th</sup>. The original RA hired to prepare recruitment packages was unable to work due to other commitments was separated. The RA recruitment is still open from the April advertisement and another candidate (former HR manager) has been selected. Next week we plan to submit the request to DCA fill the vacant RA to assist with the numerous recruitment packages needed to fill vacancies.

The RA hired to assist with Enforcement plans to separate September 9<sup>th</sup>, but plans to return January 2023.

Additional recruitment packages are in progress, including:

- A package to fill an office assistant position.
- A package to fill an analyst position and establish and fill a manager position over the Licensing and Administration.
- A package to fill the Board's cashier position.

The submission dates of the package identified above, and several others that need to be prepared, is subject to the hiring of the additional RA and availability of the current RA.

Filling the Board's vacancies is a high priority, and the Board looks forward to filling positions on a staggered basis with several positions filled in October - November.

DCA is conducting a department-wide Asset Management Process (AMP) Audit; including all Boards and Bureaus. DCA is reviewing and updating all applicable departmental policies,

procedures, and assessing the effectiveness of asset tracking tools. A workgroup has been established and work on updating all the departmental asset management policies and procedures. Once they are updated and disseminated departmentwide, Board staff will review the findings and develop a corrective action plan. The audit finding and corrective action plan will be provided at the November meeting.

Per the Board's request at the May Board meeting, the top five expenditures for the current year and past three fiscal years follow this report.

On July 19<sup>th</sup> an invitation for bid package was submitted. After further discussion with DCA Contracts' staff, we will be expanding the scope of work to ensure sufficient data is collected to avoid having to do this again in a couple years.

Board staff are working on finding an occupational therapy education program willing to host the November Board meeting. We believe we will be successful; however, we will look to large employers after that. The last resort will be to contract with a hotel for a meeting room.

**b) Fiscal Month (FM) 12 Revenue and Expenditure reports.**

Revenue and Expenditure information for fiscal month (FM) FM 11 is included. FM 12 information was provided today and is shown below the FM 11 info.

:

- Current year revenue earned through FM 11: \$2,782,853
  - **FM 12** **\$2,853,313**
- Current year expenditures through FM 11: \$2,590,586
  - **FM 12** **\$2,778,338**

Following FM 11 revenue and expenditure information is a Fund Condition that displays FM 11 actual revenue and expenditures with FM 12 projected revenue and expenditures for FY 2021-22. Starting with FY 2022-23 and on-going, the revenue and expenditure information is based on Governor's Budget.

Snapshot of past:

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

FY 2019-20: Revenue collected \$2.294m; expenditures \$2.365m

**c) Licensing data.**

Included is the standard report for April 1 – June 30, 2022

**d) Enforcement data.**

Included are standard reports for April 1 – June 30, 2022, including:

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

**e) Future agenda items**

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

**f) Other Informational Items.**

Included are the following:

- Email to licensees re Department of Health Care Access and Information and collection of demographic information.
- DCA Suggested Responses to Public Comment
- Complaint Prioritization Guidelines Citations issued to OTs.
- AOTA State Affairs Spring 2022 Newsletter

## Five highest expenditures by category - Fiscal Years 2018-19 thru 2021-22

FY	#1		#2		#3		#4		#5	
	Expenditure Category	Amount	Expenditure Category	Amount	Expenditure Category	Amount	Expenditure Category	Amount	Expenditure Category	Amount
<b>2021-22</b>	DCA Prorata	\$932,478	Staff Salaries	\$827,464	Staff Benefits	\$470,491	Facilities	\$149,215	Services	\$141,836
									-AGO	\$111,409
									-OAH	\$30,311
									-Health & Medical	\$116
<b>2020-21</b>	Staff Salaries	\$831,191	DCA Prorata	\$786,351	Staff Benefits	\$514,742	Services	\$192,144	Facilities	\$142,044
							-AGO	\$157,446		
							-OAH	\$34,607		
							-Health & Medical	\$91		
<b>2019-20</b>	Staff Salaries	\$769,587	DCA Prorata	\$565,119	Staff Benefits	\$473,434	Services	\$194,695	Facilities	\$114,001
							-AGO	\$155,852		
							-OAH	\$38,775		
							-Health & Medical	\$68		
<b>2018-19</b>	Staff Salaries	\$748,864	DCA Prorata	\$539,520	Staff Benefits	\$450,411	Services	\$213,605	Facilities	\$89,432
							-AGO	\$179,061		
							-OAH	\$34,480		
							-Health & Medical	\$64		

## **AGENDA ITEM 21b**

**Fiscal Year (FY) 2021-22, Fiscal Month (FM) 13 revenue and expenditure reports.**

# CBOT Revenue Report

Fiscal Year: 2021-2022

FM: 13

	Current Month	YTD
<b>Delinquent Fees</b>	<b>\$4,590</b>	<b>\$43,175</b>
Delinquent Renewal OT	\$3,645	\$35,480
Delinquent Renewal OTA	\$945	\$7,695
<b>Other Regulatory Fees</b>	<b>\$10,318</b>	<b>\$52,094</b>
Cite & Fine	\$9,845	\$46,195
Duplicate License OT	\$325	\$2,500
Duplicate License OTA	\$25	\$800
Franchise Tax Board - Cite Fine Collection	\$123	\$2,599
<b>Other Regulatory License and Permits</b>	<b>\$35,106</b>	<b>\$437,335</b>
Initial License OT	\$19,146	\$265,278
Initial License OTA	\$6,285	\$61,017
Limited Permit OT	\$300	\$5,700
Limited Permit OTA	\$0	\$1,500
Retired Status OT	\$275	\$3,450
Retired Status OTA	\$0	\$775
Application Fee OT	\$6,700	\$75,150
Application Fee OTA	\$2,350	\$23,450
Refunded Reimbursements	\$0	-\$1,029
Suspended Revenue	\$25	\$3,040
Prior Year Revenue Adjustment	\$25	-\$996
<b>Other Revenue</b>	<b>\$5,944</b>	<b>\$35,778</b>
Misc Service To Public General	\$2,415	\$27,965
Investment Income-Surplus Money Investment	\$3,529	\$7,236
Canceled Warrants Revenue	\$0	\$577
<b>Renewal Fees</b>	<b>\$27,590</b>	<b>\$2,297,993</b>
Renewal OT	\$19,530	\$1,875,293
Renewal OTA	\$4,830	\$349,560
Restore License To Active OT	\$270	\$3,020
Restore License To Active OTA	\$0	\$840
Inactive Renewal OT	\$2,330	\$56,920
Inactive Renewal OTA	\$630	\$12,360
<b>TOTAL Revenue</b>	<b>\$260,910</b>	<b>\$2,866,375</b>
<b>Scheduled Reimbursements</b>	<b>\$2,891</b>	<b>\$31,311</b>
Fingerprint Reports	\$2,891	\$31,311
<b>Unscheduled Reimbursements</b>	<b>\$1,291</b>	<b>\$13,769</b>
US Cost Recovery	\$1,291	\$13,769
<b>TOTAL Reimbursements</b>	<b>\$4,182</b>	<b>\$45,080</b>



**CBOT Expenditure Report**

Fiscal Year: 2021 - 2022

FM: 13

<b>PERSONAL SERVICES</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5100 PERMANENT POSITIONS</b>	<b>\$1,127,000</b>	<b>\$72,844</b>	<b>\$830,208</b>	<b>\$0</b>	<b>\$830,208</b>
Earnings - Permanent Civil Service Employee	\$1,045,000	\$63,842	\$725,338	\$0	\$725,338
Earnings - Exempt/Statutory Employee	\$82,000	\$9,003	\$104,869	\$0	\$104,869
<b>5100 TEMPORARY POSITIONS</b>	<b>\$4,000</b>	<b>\$5,793</b>	<b>\$30,469</b>	<b>\$0</b>	<b>\$30,469</b>
Temp Help	\$4,000	\$5,793	\$30,469	\$0	\$30,469
<b>5105-5108 PER DIEM, OVERTIME, &amp; LUMP SUM</b>	<b>\$20,000</b>	<b>\$158</b>	<b>\$67,729</b>	<b>\$0</b>	<b>\$67,729</b>
Board Members	\$20,000	\$0	\$4,500	\$0	\$4,500
OT Earnings Other than Temp Help	\$0	\$158	\$3,666	\$0	\$3,666
Lump Sum Payout	\$0	\$0	\$59,562	\$0	\$59,562
<b>5150 STAFF BENEFITS</b>	<b>\$706,000</b>	<b>\$31,853</b>	<b>\$470,530</b>	<b>\$0</b>	<b>\$470,530</b>
Dental Insurance	\$2,000	\$537	\$5,696	\$0	\$5,696
Disability Leave - Nonindustrial	\$2,000	\$0	\$0	\$0	\$0
Employee Assistance PGM Fee	\$0	\$37	\$218	\$0	\$218
Health Insurance	\$247,000	\$8,997	\$96,647	\$0	\$96,647
Life Insurance	\$0	\$10	\$153	\$0	\$153
Medicare Taxation	\$6,000	\$1,077	\$12,607	\$0	\$12,607
OASDI	\$80,000	\$4,247	\$52,014	\$0	\$52,014
Retirement - General	\$317,000	\$19,403	\$233,063	\$0	\$233,063
Unemployment Insurance	\$3,000	\$0	\$151	\$0	\$151
Vision Care	\$1,000	\$99	\$1,083	\$0	\$1,083
Workers' Compensation	\$28,000	\$0	\$49	\$0	\$49
SCIF Allocation Cost	\$0	-\$7,100	\$15,100	\$0	\$15,100
Other Post-Employment Benefits	\$20,000	\$2,246	\$26,456	\$0	\$26,456
Staff Benefits - Other	\$0	\$2,300	\$27,292	\$0	\$27,292
<b>PERSONAL SERVICES</b>	<b>\$1,857,000</b>	<b>\$110,648</b>	<b>\$1,398,935</b>	<b>\$0</b>	<b>\$1,398,935</b>

<b>OPERATING EXPENSES &amp; EQUIPMENT</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5301 GENERAL EXPENSE</b>	<b>\$59,000</b>	<b>\$5,848</b>	<b>\$29,284</b>	<b>\$976</b>	<b>\$30,261</b>
Administration/Other State Agencies	\$0	\$0	\$275	\$0	\$275
Fingerprint Reports	\$22,000	\$3,430	\$21,511	\$0	\$21,511
Freight and Drayage	\$0	\$321	\$1,852	\$976	\$2,828
Goods - Other	\$37,000	\$0	\$17	\$0	\$17
Office Supplies - Miscallenous	\$0	\$2,050	\$4,293	\$0	\$4,293
Services & Rentals - Other	\$0	\$0	\$300	\$0	\$300
Subscriptions	\$0	\$48	\$1,037	\$0	\$1,037
<b>5302 PRINTING</b>	<b>\$19,000</b>	<b>\$2,123</b>	<b>\$11,032</b>	<b>\$1,159</b>	<b>\$12,192</b>
Office Copiers - Maintenance	\$0	\$366	\$864	\$1,159	\$2,024
Pamphlets, Leaflets, Brochures	\$0	\$1,756	\$10,168	\$0	\$10,168
Printing - Other	\$19,000	\$0	\$0	\$0	\$0
<b>5304 COMMUNICATIONS</b>	<b>\$14,000</b>	<b>\$1,286</b>	<b>\$3,720</b>	<b>\$0</b>	<b>\$3,720</b>
Central Communication - ATSS	\$0	\$18	\$18	\$0	\$18
Central Communication - CALNET	\$0	\$75	\$240	\$0	\$240
Telephone Services	\$0	\$1,194	\$3,462	\$0	\$3,462
Communications - Other	\$14,000	\$0	\$0	\$0	\$0
<b>5306 POSTAGE</b>	<b>\$18,000</b>	<b>\$16,044</b>	<b>\$19,672</b>	<b>\$0</b>	<b>\$19,672</b>
Postage - General	\$0	\$0	\$18	\$0	\$18
DCA Postage Allocation	\$0	\$16,044	\$19,654	\$0	\$19,654
Postage - Other	\$18,000	\$0	\$0	\$0	\$0
<b>5308 INSURANCE</b>	<b>\$0</b>	<b>\$0</b>	<b>\$31</b>	<b>\$0</b>	<b>\$31</b>
Insurance - Other	\$0	\$0	\$31	\$0	\$31
<b>53202-204 IN STATE TRAVEL</b>	<b>\$25,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Travel - In State - Other	\$25,000	\$0	\$0	\$0	\$0
<b>5322 TRAINING</b>	<b>\$9,000</b>	<b>\$1,700</b>	<b>\$1,700</b>	<b>\$0</b>	<b>\$1,700</b>
Training - Tuition & Registration	\$9,000	\$1,700	\$1,700	\$0	\$1,700

	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5324 FACILITIES</b>	<b>\$147,000</b>	<b>\$15,759</b>	<b>\$149,427</b>	<b>\$0</b>	<b>\$149,427</b>
Facilities Operations	\$18,000	\$0	\$0	\$0	\$4,242
Facilities Ops - Other Services	\$0	\$4,242	\$4,242	\$0	\$3,737
Facilities Planning - General Services	\$0	\$426	\$3,737	\$0	\$0
Rents and Leases	\$129,000	\$0	\$0	\$0	\$141,448
Rent - Buildings & Grounds (Non State)	\$0	\$11,091	\$141,448	\$0	\$0
<b>53402-53403 C/P SERVICES (INTERNAL)</b>	<b>\$243,000</b>	<b>\$58,819</b>	<b>\$173,700</b>	<b>\$0</b>	<b>\$173,700</b>
Health and Medical	\$0	\$0	\$116	\$0	\$116
Legal - Attorney General	\$197,000	\$33,305	\$118,009	\$0	\$118,009
Office of Adminis Hearings	\$46,000	\$25,514	\$55,575	\$0	\$55,575
<b>53404-53405 C/P SERVICES (EXTERNAL)</b>	<b>\$46,000</b>	<b>\$9,751</b>	<b>\$48,691</b>	<b>\$2,257</b>	<b>\$50,948</b>
Administrative	\$0	\$635	\$3,937	\$1,063	\$5,000
Expert Examiners- Exam Process	\$0	\$0	\$750	\$0	\$750
Subject Matter Experts	\$0	\$375	\$2,663	\$0	\$2,663
Credit Card Service Fee	\$0	\$7,015	\$38,807	\$1,194	\$40,000
Legal - Witness Fees	\$7,000	\$0	\$0	\$0	\$0
Consultation & Professional Services External - Other	\$0	\$0	\$484	\$0	\$484
Court Reporter Services	\$39,000	\$1,726	\$2,051	\$0	\$2,051
<b>5342 DEPARTMENT PRORATA</b>	<b>\$944,000</b>	<b>-\$94,863</b>	<b>\$849,137</b>	<b>\$0</b>	<b>\$849,137</b>
Division of Investigation DOI	\$290,000	-\$61,260	\$230,740	\$0	\$230,740
Consumer Client Services Division CCSD	\$654,000	-\$33,603	\$618,397	\$0	\$618,397
<b>5342 DEPARTMENTAL SERVICES</b>	<b>\$0</b>	<b>\$150</b>	<b>\$768</b>	<b>\$0</b>	<b>\$768</b>
Departmental Services - Other	\$0	\$150	\$768	\$0	\$768
<b>5344 CONSOLIDATED DATA CENTERS</b>	<b>\$14,000</b>	<b>\$3,386</b>	<b>\$20,311</b>	<b>\$0</b>	<b>\$20,311</b>
Consolidated Data Centers	\$14,000	\$3,386	\$20,311	\$0	\$20,311

	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5346 INFORMATION TECHNOLOGY</b>	<b>\$4,000</b>	<b>\$325</b>	<b>\$400</b>	<b>\$935</b>	<b>\$1,335</b>
IT Services - Hardware Maintenance	\$0	\$263	\$263	\$0	\$263
IT Services - Software Maintenance	\$0	\$46	\$121	\$935	\$1,056
E-Waste Recycle & Disposal Fees	\$0	\$16	\$16	\$0	\$16
Information Technology - Other	\$4,000	\$0	\$0	\$0	\$0
<b>5362-5368 EQUIPMENT</b>	<b>\$15,000</b>	<b>\$8,526</b>	<b>\$21,775</b>	<b>\$0</b>	<b>\$21,775</b>
Communications Equipment	\$0	\$0	\$3,241	\$0	\$3,241
Computers & Computer Equipment	\$0	\$8,167	\$11,842	\$0	\$11,842
Office Equipment	\$15,000	\$0	\$5,036	\$0	\$5,036
Software	\$0	\$359	\$1,656	\$0	\$1,656
<b>54 SPECIAL ITEMS OF EXPENSE</b>	<b>\$0</b>	<b>\$4,191</b>	<b>\$5,695</b>	<b>\$0</b>	<b>\$5,695</b>
Other Special Items of Expense	\$0	\$4,191	\$5,695	\$0	\$5,695
<b>OPERATING EXPENSES &amp; EQUIPMENT</b>	<b>\$1,557,000</b>	<b>\$33,045</b>	<b>\$1,335,345</b>	<b>\$5,328</b>	<b>\$1,340,672</b>
<b>OVERALL TOTALS</b>	<b>\$3,414,000</b>	<b>\$143,694</b>	<b>\$2,734,280</b>	<b>\$5,328</b>	<b>\$2,739,607</b>

## **AGENDA ITEM 21c**

**FY 2022-23, FM 2 revenue and expenditure reports.**

# CBOT Revenue Report

Fiscal Year: 2022-2023

FM: 2

	Current Month	YTD
<b>Delinquent Fees</b>	<b>\$3,870</b>	<b>\$7,020</b>
Delinquent Renewal OT	\$3,240	\$6,075
Delinquent Renewal OTA	\$630	\$945
<b>Other Regulatory Fees</b>	<b>\$5,000</b>	<b>\$11,765</b>
Cite & Fine	\$4,440	\$10,630
Duplicate License OT	\$325	\$800
Duplicate License OTA	\$150	\$250
Franchise Tax Board - Cite Fine Collection	\$85	\$85
<b>Other Regulatory License and Permits</b>	<b>\$47,864</b>	<b>\$87,814</b>
Initial License OT	\$26,706	\$51,220
Initial License OTA	\$7,848	\$13,864
Limited Permit OT	\$900	\$1,500
Limited Permit OTA	\$300	\$500
Retired Status OT	\$425	\$825
Retired Status OTA	\$100	\$125
Application Fee OT	\$8,550	\$14,950
Application Fee OTA	\$2,900	\$4,650
Suspended Revenue	\$135	\$180
<b>Other Revenue</b>	<b>\$2,975</b>	<b>\$5,985</b>
Misc Service To Public General	\$2,975	\$5,985
<b>Renewal Fees</b>	<b>\$236,610</b>	<b>\$412,150</b>
Renewal OT	\$196,630	\$344,090
Renewal OTA	\$32,550	\$54,810
Restore License To Active OT	\$0	\$0
Restore License To Active OTA	\$210	\$210
Inactive Renewal OT	\$6,380	\$11,780
Inactive Renewal OTA	\$840	\$1,260
<b>TOTAL Revenue</b>	<b>\$260,910</b>	<b>\$524,734</b>
<b>Scheduled Reimbursements</b>	<b>\$3,136</b>	<b>\$6,027</b>
Fingerprint Reports	\$3,136	\$6,027
<b>Unscheduled Reimbursements</b>	<b>\$1,641</b>	<b>\$3,639</b>
US Cost Recovery	\$1,641	\$3,639
<b>TOTAL Reimbursements</b>	<b>\$4,777</b>	<b>\$9,666</b>

**CBOT Expenditure Report**

Fiscal Year: 2022 - 2023

FM: 2

<b>PERSONAL SERVICES</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5100 PERMANENT POSITIONS</b>	<b>\$1,126,000</b>	<b>\$70,951</b>	<b>\$139,311</b>	<b>\$0</b>	<b>\$139,311</b>
Earnings - Permanent Civil Service Employee	\$1,044,000	\$62,022	\$121,739	\$0	\$121,739
Earnings - Exempt/Statutory Employee	\$82,000	\$8,928	\$17,572	\$0	\$17,572
<b>5100 TEMPORARY POSITIONS</b>	<b>\$4,000</b>	<b>\$3,925</b>	<b>\$3,925</b>	<b>\$0</b>	<b>\$3,925</b>
Temp Help	\$4,000	\$3,925	\$3,925	\$0	\$3,925
<b>5105-5108 PER DIEM, OVERTIME, &amp; LUMP SUM</b>	<b>\$20,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Board Members	\$20,000	\$0	\$0	\$0	\$0
OT Earnings Other than Temp Help	\$0	\$0	\$0	\$0	\$0
Lump Sum Payout	\$0	\$0	\$0	\$0	\$0
<b>5150 STAFF BENEFITS</b>	<b>\$711,000</b>	<b>\$40,589</b>	<b>\$80,905</b>	<b>\$0</b>	<b>\$80,905</b>
Dental Insurance	\$2,000	\$500	\$1,000	\$0	\$1,000
Disability Leave - Nonindustrial	\$2,000	\$0	\$0	\$0	\$0
Employee Assistance PGM Fee	\$0	\$18	\$18	\$0	\$18
Health Insurance	\$252,000	\$8,354	\$16,707	\$0	\$16,707
Life Insurance	\$0	\$10	\$20	\$0	\$20
Medicare Taxation	\$6,000	\$1,019	\$1,944	\$0	\$1,944
OASDI	\$80,000	\$4,115	\$8,070	\$0	\$8,070
Retirement - General	\$317,000	\$21,875	\$43,751	\$0	\$43,751
Unemployment Insurance	\$3,000	\$0	\$0	\$0	\$0
Vision Care	\$1,000	\$99	\$198	\$0	\$198
Workers' Compensation	\$28,000	\$0	\$0	\$0	\$0
SCIF Allocation Cost	\$0	\$0	\$0	\$0	\$0
Other Post-Employment Benefits	\$20,000	\$2,298	\$4,595	\$0	\$4,595
Staff Benefits - Other	\$0	\$2,300	\$4,601	\$0	\$4,601
<b>PERSONAL SERVICES</b>	<b>\$1,861,000</b>	<b>\$115,465</b>	<b>\$224,141</b>	<b>\$0</b>	<b>\$224,141</b>

<b>OPERATING EXPENSES &amp; EQUIPMENT</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5301 GENERAL EXPENSE</b>	<b>\$59,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Fingerprint Reports	\$22,000	\$0	\$0	\$0	\$0
Goods - Other	\$37,000	\$0	\$0	\$0	\$0
<b>5302 PRINTING</b>	<b>\$19,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$780</b>	<b>\$780</b>
Office Copiers - Maintenance	\$0	\$0	\$0	\$780	\$780
Printing - Other	\$19,000	\$0	\$0	\$0	\$0
<b>5304 COMMUNICATIONS</b>	<b>\$14,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Central Communication - CALNET	\$0	\$0	\$0	\$0	\$0
Communications - Other	\$14,000	\$0	\$0	\$0	\$0
<b>5306 POSTAGE</b>	<b>\$18,000</b>	<b>\$9</b>	<b>\$9</b>	<b>\$0</b>	<b>\$9</b>
DCA Postage Allocation	\$0	\$9	\$9	\$0	\$9
Postage - Other	\$18,000	\$0	\$0	\$0	\$0
<b>5308 INSURANCE</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Insurance - Other	\$0	\$0	\$0	\$0	\$0
<b>53202-204 IN STATE TRAVEL</b>	<b>\$25,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Travel - In State - Other	\$25,000	\$0	\$0	\$0	\$0
<b>5322 TRAINING</b>	<b>\$9,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Training - Tuition & Registration	\$9,000	\$0	\$0	\$0	\$0
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5324 FACILITIES</b>	<b>\$147,000</b>	<b>\$11,091</b>	<b>\$11,091</b>	<b>\$122,479</b>	<b>\$133,569</b>
Facilities Operations	\$18,000	\$0	\$0	\$0	\$0
Rents and Leases	\$129,000	\$0	\$0	\$0	\$0
Rent - Buildings & Grounds (Non State)	\$0	\$11,091	\$11,091	\$122,479	\$133,569
<b>53402-53403 C/P SERVICES (INTERNAL)</b>	<b>\$243,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Legal - Attorney General	\$197,000	\$0	\$0	\$0	\$0
Office of Adminis Hearings	\$46,000	\$0	\$0	\$0	\$0



	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>53404-53405 C/P SERVICES (EXTERNAL)</b>	<b>\$58,000</b>	<b>\$3,616</b>	<b>\$3,616</b>	<b>\$41,384</b>	<b>\$45,000</b>
Administrative	\$0	\$314	\$314	\$4,686	\$5,000
Credit Card Service Fee	\$0	\$3,302	\$3,302	\$36,698	\$40,000
Legal - Witness Fees	\$7,000	\$0	\$0	\$0	\$0
Consultation & Professional Services External - Other	\$44,000	\$0	\$0	\$0	\$0
Court Reporter Services	\$7,000	\$0	\$0	\$0	\$0
<b>5342 DEPARTMENT PRORATA</b>	<b>\$863,000</b>	<b>\$0</b>	<b>\$215,750</b>	<b>\$0</b>	<b>\$215,750</b>
Division of Investigation DOI	\$605,000	\$0	\$64,750	\$0	\$64,750
Consumer Client Services Division CCSD	\$258,000	\$0	\$151,000	\$0	\$151,000
<b>5344 CONSOLIDATED DATA CENTERS</b>	<b>\$14,000</b>	<b>\$1,492</b>	<b>\$1,492</b>	<b>\$0</b>	<b>\$1,492</b>
Consolidated Data Centers	\$14,000	\$1,492	\$1,492	\$0	\$1,492
<b>5346 INFORMATION TECHNOLOGY</b>	<b>\$4,000</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Information Technology - Other	\$4,000	\$0	\$0	\$0	\$0
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5362-5368 EQUIPMENT</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>
Office Equipment	\$0	\$0	\$0	\$0	\$0
<b>OPERATING EXPENSES &amp; EQUIPMENT</b>	<b>\$1,473,000</b>	<b>\$16,208</b>	<b>\$231,958</b>	<b>\$164,642</b>	<b>\$396,601</b>
<b>OVERALL TOTALS</b>	<b>\$3,334,000</b>	<b>\$131,673</b>	<b>\$456,100</b>	<b>\$164,642</b>	<b>\$620,742</b>

## **AGENDA ITEM 21d**

**Current fund condition statement.**

**3017 - Board of Occupational Therapy Fund Analysis of Fund Condition  
(Dollars in Thousands)**

**2022 Budget Act w\_FM2 Projections**

	<b>CY 2021-22</b>	<b>BY 2022-23</b>	<b>BY +1 2023-24</b>	<b>BY +2 2024-25</b>	<b>BY +3 2025-26</b>
<b>BEGINNING BALANCE</b>					
Prior Year Adjustment	\$ 1,533	\$ 1,439	\$ 979	\$ 387	\$ -318
Adjusted Beginning Balance	\$ 71	-	-	-	-
	<u>\$ 1,604</u>	<u>\$ 1,439</u>	<u>\$ 979</u>	<u>\$ 387</u>	<u>\$ -318</u>
<b>REVENUES, TRANSFERS AND OTHER ADJUSTMENTS</b>					
Revenues					
4121200 - Delinquent fees	\$ 43	\$ 43	\$ 47	\$ 47	\$ 47
4127400 - Renewal fees	\$ 2,298	\$ 2,320	\$ 2,522	\$ 2,522	\$ 2,522
4129200 - Other regulatory fees	\$ 52	\$ 51	\$ 41	\$ 41	\$ 41
4129400 - Other regulatory licenses and permits	\$ 437	\$ 432	\$ 427	\$ 427	\$ 427
4143500 - Miscellaneous Services to the Public	\$ 28	\$ 28	\$ 30	\$ 30	\$ 30
4163000 - Income from surplus money investments	\$ 7	\$ 5	\$ 11	\$ -	\$ -
4171400 - Escheat of unclaimed checks and warrants	\$ -	\$ 2	\$ 2	\$ 2	\$ 2
4172500 - Miscellaneous revenues	\$ 1	\$ 5	\$ 5	\$ 5	\$ 5
Totals, Revenues	<u>\$ 2,866</u>	<u>\$ 2,886</u>	<u>\$ 3,085</u>	<u>\$ 3,074</u>	<u>\$ 3,074</u>
Operating Transfers To General Fund 0001 (AB84)	\$ -140	\$ -	\$ -	\$ -	\$ -
Totals, Transfers and Other Adjustments	<u>\$ -140</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>	<u>\$ -</u>
<b>TOTALS, REVENUES, TRANSFERS AND OTHER ADJUSTMENTS</b>	<u>\$ 2,726</u>	<u>\$ 2,886</u>	<u>\$ 3,085</u>	<u>\$ 3,074</u>	<u>\$ 3,074</u>
<b>TOTAL RESOURCES</b>	<u>\$ 4,330</u>	<u>\$ 4,325</u>	<u>\$ 4,064</u>	<u>\$ 3,461</u>	<u>\$ 2,756</u>

Expenditures:					
1111 Department of Consumer Affairs Regulatory Boards, Bureaus, Divisions (State Operations)	\$ 2,694	\$ 3,064	\$ 3,395	\$ 3,497	\$ 3,602
9892 Supplemental Pension Payments (State Operations)	\$ 42	\$ 42	\$ 42	\$ 42	\$ 42
9900 Statewide General Administrative Expenditures (Pro Rata) (State Operations)	\$ 155	\$ 240	\$ 240	\$ 240	\$ 240
<b>TOTALS, EXPENDITURES AND EXPENDITURE ADJUSTMENTS</b>	<b>\$ 2,891</b>	<b>\$ 3,346</b>	<b>\$ 3,677</b>	<b>\$ 3,779</b>	<b>\$ 3,884</b>
<b>FUND BALANCE</b>					
Reserve for economic uncertainties	\$ 1,439	\$ 979	\$ 387	\$ -318	\$ -1,127
Months in Reserve	5.2	3.2	1.2	-1.0	-3.5

**NOTES:**

Assumes workload and revenue projections are realized in BY and ongoing.  
Expenditure growth projected at 3% beginning BY.  
CY and BY revenue and expenditure adjustments pending Gov. Budget release January 2023.

## **AGENDA ITEM 21e**

**Licensing data for 7/1/2022 – 9/30/2022.**

**CA Board of Occupational Therapy**  
**Applications Data: July 1, 2022 – September 30, 2022**

Transaction Type		July		Aug		Sept	Total Received 1Q	Total Approved 1Q	Average Received per Month	Average Approved per Month
	Received	Approved	Received	Approved	Received	Approved	Received	Approved	Received	Approved
OT License Apps	130	123	123	138	123	116	376	377	125	126
OT License Issued	122	122	134	132	117	114	373	368	124	123
OT Limited Permit Apps	4	6	24	9	9	16	37	31	12	10
OT Limited Permit Issued	5	6	10	8	14	13	29	27	10	9
OTA License Apps	39	29	50	60	47	49	136	138	45	46
OTA License Issued	32	32	51	51	54	53	137	136	46	45
OTA Limited Permit Apps	4	3	3	3	2	2	9	8	3	3
OTA Limited Permit Issued	2	2	3	3	2	2	7	7	2	2
A/P – Hand Therapy	8	0	6	1	9	8	23	9	8	3
A/P – PAMs	5	1	10	0	12	6	27	7	9	2
A/P - Swallowing	5	0	2	0	3	4	10	4	3	1
Duplicate License	18	18	17	17	21	15	56	50	19	17
Set Inactive to Active	3	1	3	5	6	5	12	11	4	4
Name Changes	41	30	31	39	39	35	111	104	37	35
Address Changes	293	293	295	295	264	264	852	852	284	284
Verifications	97	87	83	86	84	87	264	260	88	87
Set to Retired	17	17	20	21	16	14	53	52	18	17
Set Retired to Active	1	0	0	1	0	0	1	1	0	0
<b>Totals</b>	<b>826</b>	<b>770</b>	<b>865</b>	<b>869</b>	<b>822</b>	<b>803</b>	<b>2,513</b>	<b>2,442</b>	<b>838</b>	<b>814</b>
Transaction Type		July		Aug		Sept	Total Approved 1Q		Average Approved per Month	
OT Renewals		628		682		639	1949		650	
OTA Renewals		123		144		150	417		139	
<b>Totals</b>		<b>751</b>		<b>826</b>		<b>789</b>	<b>2366</b>		<b>789</b>	

## **AGENDA ITEM 21f**

**Enforcement data for 7/1/2022 – 9/30/2022.**

## OT CITATIONS

**July 1, 2022 - September 30, 2022**

#	VIOLATION						FINE	FINE REDUCE	TOTAL FINE DUE	DATE ISSUED	APPEAL RECEIVED					PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER					ABATE	ICRC	ADMIN	DISMISSED	WITHDRAWN	Payment Date	Paid in Full	Payment Amount	Balance (OT)
1				1			\$400	\$0	\$400	7/19/2022						8/16/2022	1	\$400	\$0
1	1				1		\$685	\$0	\$685	7/25/2022	1						1	\$0	\$685
1				1			\$500	\$0	\$500	8/15/2022	1						1	\$0	\$500
1	1						\$600	\$0	\$600	8/26/2022	1						0	\$0	\$600
1				1			\$750	\$0	\$750	8/31/2022	1						0	\$0	\$750
1			1				\$700	\$0	\$700	9/1/2022		1					1	\$0	\$700
1						1	\$700	\$0	\$700	9/1/2022		1					1	\$0	\$700
1			1				\$150	\$0	\$150	9/1/2022							1	\$0	\$150
1				1			\$600	\$0	\$600	9/9/2022	1						0	\$0	\$600
<b>9</b>	<b>2</b>	<b>0</b>	<b>2</b>	<b>3</b>	<b>1</b>	<b>1</b>	<b>\$5,085</b>	<b>\$0</b>	<b>\$5,085</b>		<b>4</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>		<b>6</b>	<b>\$400</b>	<b>\$4,685</b>

**Violation Key:**

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

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



## OTA CITATIONS

**July 1, 2022 - September 30, 2022**

#	VIOLATION						FINE	FINE REDUCED	TOTAL FINE DUE	DATE ISSUED	APPEAL REC'D					PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER					ABATE	ICRC	ADMIN	DISMISSED	WITHDRAWN	Payment Date	Paid in Full	Payment Amount	Balance (OTA)
1				1			\$325	\$125	\$200	7/18/2022	1					10/30/2022	0	\$0	\$200
1			1				\$300	\$0	\$300	7/18/2022						8/8/2022	1	\$300	\$0
1			1				\$300	\$0	\$300	7/18/2022						7/21/2022	1	\$300	\$0
1			1				\$375	\$0	\$375	7/28/2022						8/9/2022	1	\$375	\$0
1				1			\$600	\$0	\$600	7/28/2022	1						0	\$0	\$600
<b>5</b>	<b>0</b>	<b>0</b>	<b>3</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>\$1,900</b>	<b>\$125</b>	<b>\$1,775</b>		<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>		<b>3</b>	<b>\$975</b>	<b>\$800</b>

**Violation Key:**

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

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

## CBOT CASES/COMPLAINTS DATA

**July 1, 2022 – September 30, 2022**

CATEGORY	QUANTITY
<b><i>Total Complaints Opened/Received:</i></b>	151
Conviction/Arrest Investigations:	29
Complaints Opened/Received:	122
Applications Denied per BPC 480:	1
Complaints Closed	99
<b><i>Total Complaints/Cases Pending:</i></b>	394
DOI Investigations Initiated:	1
DOI Investigation Reports Received:	2
<b><i>DOI Investigations Pending:</i></b>	3
Accusations Filed:	0
Statement of Issues Filed:	0
PC 23 Issued:	0
ISO Issued:	0
Petition to Revoke Probation (PTR) Filed:	1
Accusation and PTR Filed:	0
Case(s) Withdrawn:	0
Case(s) Dismissed	0
<b><i>Total Cases Pending at Office of the Attorney General</i></b>	8
Cease Practice Order(s) Issued:	1
Cease Practice Order(s) Lifted:	1
Final Decisions Effective:	2

**CASES PENDING WITH THE OFFICE OF THE ATTORNEY GENERAL (AGO):  
July 1, 2022 – September 30, 2022**

<b>Date Transmitted</b>	<b>Complaint Number</b>	<b>Case Type</b>	<b>Current Status</b>
4/15/2021	2021-263	ACC	Accusation served 9/21/2021; Board voted to adopt Proposed Decision dismissing Accusation effective 10/9/2022
6/23/2021	2021-219	ACC	Accusation served 12/22/2021; Hearing set for 11/7/2022
12/31/2021	2019-231	ACC	Accusation served 5/13/2022; Hearing set for 2/21/2023
1/20/2022	2021-284	ACC	Accusation received from AGO on 9/29/2022, under review
2/25/2022	2020-426	ACC	Accusation received from AGO on 7/18/2022, under review
3/30/2022	2021-349	ACC	Ordered Compelling Mental or Physical Exam served 8/3/2022. Will be transmitted to AGO for failure to comply.
6/01/2022	2021-307	ACC	Citation Administrative Hearing held 9/6/2022; Proposed Decision Received 9/26/2022; to Board for vote 11/3/2022
9/12/2022	2020-531	PTR	Petition to revoke probation served 9/12/2022

**FINAL DECISIONS  
July 1, 2022 – September 30, 2022**

<b>Effective Date</b>	<b>Name</b>	<b>Decision</b>	<b>Violation</b>
8/19/2022	Dawson, Christine	Surrender (Stip Settlement)	Unprofessional Conduct/Sexually related crime
8/26/2022	Concepcion, Roderick	Surrender (Stip Settlement)	Unprofessional Conduct/Heath Care Fraud/Falsifying records

## PRACTITIONERS CURRENTLY ON PROBATION

**July 1, 2022 – September 30, 2022**

<b>NAME</b>	<b>LICENSE #</b>	<b>LENGTH OF PROBATION</b>	<b>EFFECTIVE DATE</b>
Alvarado, Francisco	OT 4563	3 years	09/19/2019*
Bastianelli, Nachele	OT 11457	3 years	04/17/2022
Campbell, Steven	OTA 183	3 years	07/26/2019 *
De Jesus, Geraldine	OT 4769	3 years	10/22/2021 *
Deras, Carlos	OTA 3975	4 years	12/17/2018 *
Dowd, Joshua	OT 18574	3 years	03/27/2018 *
Edwards, Anna	OTA 2453	3 years	04/26/2019 *
Gonzalez, Susana	OTA 1298	3 years	07/23/2021
Harding III, Jack	OT 11707	3 years	06/03/2021
Heng, Sonny	OT 18476	3 years	11/03/2021 *
Jordan, Laura	OT 5826	3 years	08/29/2021 *
Kelley, Anjuli	OT 11186	3 years	01/16/2014 *
Lopez (Kozina), Lindsay	OTA 3469	3 years	11/27/2021 *
McCoy-Guzman, Tracy	OTA 2109	3 years	03/17/2022 *
Morrison, Crystal	OTA 1561	3 years	04/16/2021
Pompanescu, Duane	OT 3017	3 years	06/03/2021
Powell, Diana C.	OT 6367	3 years	06/03/2016 *
Provost, Ericka	OT 16010	3 years	12/26/2021 *
Ryskalczyk, Roxanne	OT 5654	3 years	08/29/2021 *
Schmidt, Rebecca	OT 8291	3 years	11/27/2009 *
Shin, Judy	OT 5682	4 years	12/02/2019
Suggs, Monica	OTA 1101	2.5 years	03/30/2019 *
Tolbert, Kristine	OT 4410	4 years	03/29/2019 *
Wilson, Candice	OTA 1436	3 years	07/16/2020 *

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

**Future Agenda items.**

# **Listing of future agenda items approved at previous meetings**

## **Items prioritized for November meeting**

1. ~~Discuss Mail Vote policy on disciplinary matters as not being optimal as it pertains to the “discharge of Board duties.”~~
2. ~~Invite representative from the Accreditation Council for Occupational Therapy Education to discuss the 2018 Standards regarding entry level and post professional programs and the effect on consumer safety.~~
3. ~~Asset Management Process Audit report.~~
4. Keep Fee Study as a standing item for continued updates.
5. Provide a report detailing:
  - Explain why fee increase needed
  - ~~Identify expenditures by program area~~
  - ~~Identify salary savings~~
  - Develop outreach plan to educate licensees (why fee increases needed)

## **Future agenda items not yet prioritized**

1. Discuss the potential to cost sharing with California occupational therapy programs for the ‘employer’ letter.
2. Develop FAQs to explain revenue and expenditures to licensees in a narrative format to explain the data that pertains to the public comments.
3. Discuss and decide on methods of education and outreach for the fee increase.
4. Provide a report detailing:
  - Explain why fee increase needed
  - Develop outreach plan to educate
5. Identify committee member appointment criteria for non-licensee/public member to serve on Board committees.
6. Consider appointing Disaster Preparedness/Disaster Response ad Hoc committee.
7. Make appointments to other committees, as appropriate.
8. Schedule a townhall/meeting with the California OT and OTA programs to share the Occupational Therapy Assistant Workforce Needs Assessment and seek further feedback.
9. Practice Committee’s consideration of the following:
  - Consider whether suture removal is within OT scope of practice.
  - Consider whether Advanced Practice approval in Hand Therapy is required to treat tunnel syndrome, repetitive motion injuries, or finger/hand pain, wrist pain, or elbow pain that is not due to trauma or surgery.
  - Review of ACOTE Guidelines and consider reducing advanced practice education and training requirements for students graduating after a certain date (date TBD).
  - Review of education and training requirements for licensees demonstrating competence in advanced practice areas and consideration of reducing education/training hours needed.
  - Recommendation on records retention requirement for an occupational therapy business that closes or is sold or if the practitioner is no longer in private practice.
  - ~~Discussion on the public comment asking for Board position on whether Advanced Practice approval in Hand Therapy is required for non-complicated, non-surgical carpal tunnel syndrome.~~

## **Table for now**

Update Board Member Disciplinary Resource Manual (once Disciplinary Guidelines and other enforcement-related regulations are updated).