

**EXECUTIVE OFFICER'S REPORT.**

- a) OPERATIONAL REPORT.**
- b) FM 9 REVENUE AND EXPENDITURE REPORTS.**
- c) FUND CONDITION STATEMENT BASED ON FM 9.**
- d) LICENSING DATA FOR 1/1/2023 – 3/31/2023.**
- e) ENFORCEMENT DATA FOR 1/1/2023 – 3/31/2023**
- f) FUTURE AGENDA ITEMS.**
- g) DATA OR INFORMATION REQUESTED AT PRIOR MEETING.**
- h) OTHER INFORMATIONAL ITEMS.**

# CBOT Revenue Report

Fiscal Year: 2022-2023, Fiscal Month 9

	Current Month	YTD
<b>Delinquent Fees</b>	<b>\$3,300</b>	<b>\$31,770</b>
Delinquent Renewal OT	\$2,565	\$25,785
Delinquent Renewal OTA	\$735	\$5,985
<b>Other Regulatory Fees</b>	<b>\$6,790</b>	<b>\$47,534</b>
Cite & Fine	\$4,715	\$38,045
Duplicate License OT	\$1,275	\$4,975
Duplicate License OTA	\$200	\$1,150
Franchise Tax Board - Cite Fine Collection	\$600	\$3,364
<b>Other Regulatory License and Permits</b>	<b>\$40,433</b>	<b>\$347,933</b>
Initial License OT	\$24,289	\$206,238
Initial License OTA	\$4,844	\$55,606
Limited Permit OT	\$0	\$4,700
Limited Permit OTA	\$200	\$1,300
Retired Status OT	\$225	\$2,675
Retired Status OTA	\$100	\$625
Application Fee OT	\$7,600	\$56,650
Application Fee OTA	\$3,100	\$19,150
Refunded Reimbursements	\$0	-\$196
Suspended Revenue	\$75	\$2,725
Prior Year Revenue Adjustment	\$0	-\$1,540
<b>Other Revenue</b>	<b>\$2,800</b>	<b>\$37,838</b>
Misc Service To Public General	\$2,800	\$22,330
Investment Income-Surplus Money Investment	\$0	\$15,261
Canceled Warrants Revenue	\$0	\$247
<b>Renewal Fees</b>	<b>\$238,010</b>	<b>\$2,110,004</b>
Renewal OT	\$189,980	\$1,732,970
Renewal OTA	\$40,050	\$315,870
Restore License To Active OT	\$1,080	\$1,890
Restore License To Active OTA	\$0	\$210
Inactive Renewal OT	\$6,060	\$49,820
Inactive Renewal OTA	\$840	\$9,240
Over/Short Fees Renewals	\$0	\$4
<b>TOTAL Revenue</b>	<b>\$260,910</b>	<b>\$2,575,079</b>
<b>Scheduled Reimbursements</b>	<b>\$3,528</b>	<b>\$24,794</b>
Fingerprint Reports	\$3,528	\$24,794
<b>Unscheduled Reimbursements</b>	<b>\$1,158</b>	<b>\$17,430</b>
US Cost Recovery	\$1,158	\$17,430
<b>TOTAL Reimbursements</b>	<b>\$4,686</b>	<b>\$42,224</b>

# CBOT Expenditure Report

Fiscal Year: 2022 - 2023

FM: 9

<b>PERSONAL SERVICES</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5100 PERMANENT POSITIONS</b>	<b>\$1,151,000</b>	<b>\$80,254</b>	<b>\$658,018</b>	<b>\$0</b>	<b>\$658,018</b>
Earnings - Permanent Civil Service Employee	\$1,069,000	\$71,301	\$577,948	\$0	\$577,948
Earnings - Exempt/Statutory Employee	\$82,000	\$8,953	\$80,070	\$0	\$80,070
<b>5100 TEMPORARY POSITIONS</b>	<b>\$4,000</b>	<b>\$6,671</b>	<b>\$41,331</b>	<b>\$0</b>	<b>\$41,331</b>
Temp Help	\$4,000	\$6,671	\$41,331	\$0	\$41,331
<b>5105-5108 PER DIEM, OVERTIME, &amp; LUMP SUM</b>	<b>\$20,000</b>	<b>\$0</b>	<b>\$10,596</b>	<b>\$0</b>	<b>\$10,596</b>
Board Members	\$20,000	\$0	\$3,100	\$0	\$3,100
OT Earnings Other than Temp Help	\$0	\$0	\$7,496	\$0	\$7,496
<b>5150 STAFF BENEFITS</b>	<b>\$753,000</b>	<b>\$50,543</b>	<b>\$393,449</b>	<b>\$0</b>	<b>\$393,449</b>
Dental Insurance	\$2,000	\$492	\$4,392	\$0	\$4,392
Disability Leave - Nonindustrial	\$2,000	\$0	\$0	\$0	\$0
Employee Assistance PGM Fee	\$0	\$23	\$155	\$0	\$155
Health Insurance	\$256,000	\$7,354	\$67,174	\$0	\$67,174
Life Insurance	\$0	\$15	\$98	\$0	\$98
Medicare Taxation	\$6,000	\$1,192	\$9,718	\$0	\$9,718
OASDI	\$81,000	\$4,685	\$38,989	\$0	\$38,989
Retirement - General	\$354,000	\$24,669	\$204,145	\$0	\$204,145
Unemployment Insurance	\$3,000	\$0	\$0	\$0	\$0
Vision Care	\$1,000	\$116	\$893	\$0	\$893
Workers' Compensation	\$28,000	\$0	\$0	\$0	\$0
SCIF Allocation Cost	\$0	\$5,461	\$21,844	\$0	\$21,844
Other Post-Employment Benefits	\$20,000	\$2,603	\$21,456	\$0	\$21,456
Staff Benefits - Other	\$0	\$3,933	\$24,584	\$0	\$24,584
<b>PERSONAL SERVICES</b>	<b>\$1,928,000</b>	<b>\$137,468</b>	<b>\$1,103,394</b>	<b>\$0</b>	<b>\$1,103,394</b>

<b>OPERATING EXPENSES &amp; EQUIPMENT</b>					
	Budget	Current Month	YTD	Encumb	YTD + Encumb
<b>5301 GENERAL EXPENSE</b>	<b>\$59,000</b>	<b>\$1,421</b>	<b>\$18,650</b>	<b>\$1,363</b>	<b>\$20,013</b>
Fingerprint Reports	\$22,000	\$1,421	\$14,700	\$0	\$14,700
Conferences	\$0	\$0	\$53	\$0	\$53
Freight and Drayage	\$0	\$0	\$1,137	\$1,363	\$2,500
Goods - Other	\$37,000	\$0	\$0	\$0	\$0
Office Supplies	\$0	\$0	\$2,697	\$0	\$2,697
Subscriptions	\$0	\$0	\$63	\$0	\$63
<b>5302 PRINTING</b>	<b>\$19,000</b>	<b>\$1,428</b>	<b>\$9,213</b>	<b>\$11,213</b>	<b>\$20,425</b>
Office Copiers - Maintenance	\$0	\$0	\$334	\$876	\$1,210
Pamphlets, Leaflets, Brochures	\$0	\$1,428	\$8,879	\$8,400	\$17,279
Printing - Other	\$19,000	\$0	\$0	\$1,936	\$1,936
<b>5304 COMMUNICATIONS</b>	<b>\$14,000</b>	<b>\$70</b>	<b>\$2,033</b>	<b>\$0</b>	<b>\$2,033</b>
Central Communication - ATSS	\$0	\$0	\$294	\$0	\$294
Central Communication - CALNET	\$0	\$0	\$55	\$0	\$55
Telephone Services	\$0	\$70	\$1,684	\$0	\$1,684
Communications - Other	\$14,000	\$0	\$0	\$0	\$0
<b>5306 POSTAGE</b>	<b>\$18,000</b>	<b>\$1,326</b>	<b>\$3,154</b>	<b>\$0</b>	<b>\$3,154</b>
DCA Postage Allocation	\$0	\$1,326	\$3,154	\$0	\$3,154
Postage - Other	\$18,000	\$0	\$0	\$0	\$0
<b>5308 INSURANCE</b>	<b>\$0</b>	<b>\$24</b>	<b>\$24</b>	<b>\$0</b>	<b>\$24</b>
Insurance - Other	\$0	\$24	\$24	\$0	\$24
<b>53202-204 IN STATE TRAVEL</b>	<b>\$25,000</b>	<b>\$2,688</b>	<b>\$4,597</b>	<b>\$0</b>	<b>\$4,597</b>
Travel-In State-Per Diem Lodging	\$0	\$2,170	\$2,878	\$0	\$707.88
Travel-In St-Trav Agcy Mgt Fee	\$0	\$26	\$65	\$0	\$39.00
Travel-In State-Commercial Air	\$0	\$492	\$1,654	\$0	\$1,162.30
Travel - In State - Other	\$25,000	\$0	\$0	\$0	\$0.00
<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>\$11,455</b>	<b>\$102,005</b>	<b>\$33,754</b>	<b>\$135,759</b>
Facilities Operations	\$18,000	\$0	\$0	\$0	\$0
Facilities Planning -Gen Svcs	\$0	\$365	\$2,189	\$0	\$2,189
Rents and Leases	\$129,000	\$0	\$0	\$0	\$0
Rent -Bldgs&Grounds(Non State)	\$0	\$11,091	\$99,815	\$33,754	\$133,569
<b>53402-53403 C/P SERVICES (INTERNAL)</b>	<b>\$243,000</b>	<b>\$25,140</b>	<b>\$79,854</b>	<b>\$0</b>	<b>\$79,854</b>
Legal - Attorney General	\$197,000	\$16,290	\$67,583	\$0	\$67,583
Office of Adminis Hearings	\$46,000	\$8,850	\$12,271	\$0	\$12,271
<b>53404-53405 C/P SERVICES (EXTERNAL)</b>	<b>\$58,000</b>	<b>\$4,197</b>	<b>\$33,448</b>	<b>\$24,961</b>	<b>\$58,409</b>
Administrative	\$0	\$0	\$1,688	\$0	\$1,688
Subject Matter Experts	\$0	\$413	\$2,100	\$0	\$2,100
Credit Card Service Fee	\$0	\$3,334	\$28,351	\$24,961	\$53,312
Legal - Witness Fees	\$7,000	\$0	\$0	\$0	\$0
Consult & Prof Svcs Extern Oth	\$44,000	\$0	\$365	\$0	\$365
Court Reporter Servs	\$7,000	\$450	\$944	\$0	\$944
<b>5342 DEPARTMENT PRORATA</b>	<b>\$911,000</b>	<b>\$0</b>	<b>\$647,250</b>	<b>\$0</b>	<b>\$647,250</b>
Division of Investigation DOI	\$287,000	\$0	\$194,250	\$0	\$194,250
Consumer Client Services Division CCSD	\$624,000	\$0	\$453,000	\$0	\$453,000
<b>5342 DEPARTMENTAL SERVICES</b>	<b>\$0</b>	<b>\$153</b>	<b>\$460</b>	<b>\$0</b>	<b>\$460</b>
Departmental Services - Other	\$0	\$153	\$460	\$0	\$460
<b>5344 CONSOLIDATED DATA CENTERS</b>	<b>\$14,000</b>	<b>\$1,085</b>	<b>\$11,805</b>	<b>\$0</b>	<b>\$11,805</b>
Consolidated Data Centers	\$14,000	\$1,085	\$11,805	\$0	\$11,805
<b>5346 INFORMATION TECHNOLOGY</b>	<b>\$4,000</b>	<b>\$2,205</b>	<b>\$2,285</b>	<b>\$4,323</b>	<b>\$6,608</b>
IT Services - Hardware Maint	\$0	\$2,200	\$2,261	\$0	\$2,261
IT Services - Software Maint	\$0	\$0	\$14	\$0	\$14
IT Supplies (Paper, Toner, etc	\$0	\$0	\$0	\$4,323	\$4,323
E-Waste Recycl & Disposal Fees	\$0	\$5	\$10	\$0	\$10
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>\$1,198</b>	<b>\$3,818</b>	<b>\$2,645</b>	<b>\$6,463</b>
Furniture	\$0	\$0	\$131	\$0	\$131
Computers & Computer Equipment	\$0	\$348	\$2,764	\$2,240	\$5,004
Office Equipment	\$0	\$0	\$0	\$0	\$0
Software	\$0	\$850	\$923	\$405	\$1,328
<b>54 SPECIAL ITEMS OF EXPENSE</b>	<b>\$0</b>	<b>\$0</b>	<b>\$105</b>	<b>\$0</b>	<b>\$105</b>
Other Special Items of Expense	\$0	\$0	\$105	\$0	\$105
<b>OPERATING EXPENSES &amp; EQUIPMENT</b>	<b>\$1,521,000</b>	<b>\$52,391</b>	<b>\$918,699</b>	<b>\$78,259</b>	<b>\$996,958</b>
<b>OVERALL TOTALS</b>	<b>\$3,449,000</b>	<b>\$189,859</b>	<b>\$2,022,093</b>	<b>\$78,259</b>	<b>\$2,100,351</b>

**Analysis of Fund Condition (Dollars in Thousands)**

**2023-24 Governor's Budget with FM9 (Inc Projections)**

	<b>Actual 2021-22</b>	<b>CY 2022-23</b>	<b>BY 2023-24</b>	<b>BY +1 2024-25</b>	<b>BY +2 2025-26</b>	<b>BY +3 2026-27</b>
<b>BEGINNING BALANCE</b>	\$ 1,533	\$ 1,438	\$ 1,067	\$ 579	\$ -8	\$ -654
Prior Year Adjustment	\$ 71	\$ -	\$ -	\$ -	\$ -	\$ -
Adjusted Beginning Balance	\$ 1,604	\$ 1,438	\$ 1,067	\$ 579	\$ -8	\$ -654
 <b>REVENUES, TRANSFERS AND OTHER ADJUSTMENTS</b>						
Revenues						
4121200 - Delinquent fees	\$ 43	\$ 43	\$ 45	\$ 45	\$ 45	\$ 45
4127400 - Renewal fees	\$ 2,298	\$ 2,343	\$ 2,453	\$ 2,453	\$ 2,453	\$ 2,453
4129200 - Other regulatory fees	\$ 52	\$ 52	\$ 52	\$ 52	\$ 52	\$ 52
4129400 - Other regulatory licenses and permits	\$ 437	\$ 444	\$ 460	\$ 460	\$ 460	\$ 460
4143500 - Miscellaneous Services to the Public	\$ 28	\$ 28	\$ 29	\$ 29	\$ 29	\$ 29
4163000 - Income from surplus money investments	\$ 7	\$ 20	\$ 2	\$ -	\$ -	\$ -
4171400 - Escheat of unclaimed checks and warrants	\$ 1	\$ 0	\$ 1	\$ 1	\$ 1	\$ 1
Totals, Revenues	\$ 2,866	\$ 2,930	\$ 3,042	\$ 3,040	\$ 3,040	\$ 3,040
Operating Transfers To General Fund 0001 (AB84)	\$ -140	\$ -	\$ -	\$ -	\$ -	\$ -
Totals, Transfers and Other Adjustments	\$ -140	\$ -	\$ -	\$ -	\$ -	\$ -
<b>TOTALS, REVENUES, TRANSFERS AND OTHER ADJUST</b>	\$ 2,726	\$ 2,930	\$ 3,042	\$ 3,040	\$ 3,040	\$ 3,040
<b>TOTAL RESOURCES</b>	\$ 4,330	\$ 4,368	\$ 4,109	\$ 3,619	\$ 3,032	\$ 2,386

	<b>Actual 2021-22</b>	<b>CY 2022-23</b>	<b>BY 2023-24</b>	<b>BY +1 2024-25</b>	<b>BY +2 2025-26</b>	<b>BY +3 2026-27</b>
Expenditures:						
1111 Department of Consumer Affairs Regulatory Boards, Bureaus, Divisions (State Operations)	\$ 2,695	\$ 3,019	\$ 3,248	\$ 3,345	\$ 3,446	\$ 3,446
9892 Supplemental Pension Payments (State Operations)	\$ 42	\$ 42	\$ 42	\$ 42	\$ 0	\$ 0
9900 Statewide General Administrative Expenditures (Pro Rata) (State Operations)	\$ 155	\$ 240	\$ 240	\$ 240	\$ 240	\$ 240
<b>TOTALS, EXPENDITURES AND EXPENDITURE ADJUST</b>	<b>\$ 2,892</b>	<b>\$ 3,301</b>	<b>\$ 3,530</b>	<b>\$ 3,627</b>	<b>\$ 3,686</b>	<b>\$ 3,686</b>
<b>FUND BALANCE</b>						
Reserve for economic uncertainties	\$ 1,438	\$ 1,067	\$ 579	\$ -8	\$ -654	\$ -1,300
Months in Reserve	5.2	3.6	1.9	0.0	-2.1	-4.2

**NOTES:**

Assumes workload and revenue projections are realized in BY and ongoing.  
Expenditure growth projected at 3% beginning BY+1.



**CA Board of Occupational Therapy**  
**Applications Data: January 1, 2023 – March 31, 2023**

Transaction Type	Jan		Feb		Mar		Total Received 3Q	Total Approved 3Q	Average Received per Month	Average Approved per Month
	Received	Approved	Received	Approved	Received	Approved	Received	Approved	Received	Approved
OT License Apps	134	113	96	104	154	104	384	321	128	107
OT License Issued	115	115	99	99	110	109	324	323	108	108
OT LP Apps	5	4	2	3	1	1	8	8	3	3
OT LP Issued	3	3	4	4	0	0	7	7	2	2
OTA License Apps	41	38	32	33	34	27	107	98	36	33
OTA License Issued	37	37	34	34	26	25	97	96	32	32
OTA LP Apps	1	1	3	1	1	2	5	4	2	1
OTA LP Issued	2	1	1	1	2	2	5	4	2	1
A/P – Hand Therapy	6	1	7	5	7	13	20	19	7	6
A/P – PAMs	8	3	17	1	12	20	37	24	12	8
A/P - Swallowing	4	2	3	0	1	4	8	6	3	2
Duplicate License	39	38	34	35	79	52	152	125	51	42
Set Inactive to Active	5	3	2	3	6	3	13	9	4	3
Name Changes	33	7	69	82	44	46	146	135	49	45
Address Changes	249	249	230	230	224	224	703	703	234	234
Verifications	78	61	64	74	87	74	229	209	76	70
Set to Retired	8	7	11	12	13	12	32	31	11	10
Set Retired to Active	2	3	0	0	4	4	6	7	2	2
<b>Totals</b>	<b>770</b>	<b>686</b>	<b>708</b>	<b>721</b>	<b>805</b>	<b>722</b>	<b>2,283</b>	<b>2,129</b>	<b>761</b>	<b>710</b>
Transaction Type		Jan		Feb		Mar		Total Approved 3Q		Average Approved per Month
OT Renewals		681		542		711		1,943		645
OTA Renewals		171		160		185		518		172
<b>Totals</b>		<b>852</b>		<b>702</b>		<b>896</b>		<b>2,461</b>		<b>817</b>

## CBOT CASES/COMPLAINTS DATA

**January 1, 2023 – March 31, 2023**

CATEGORY	QUANTITY
<b><i>Total Complaints Opened/Received:</i></b>	<b>198</b>
Conviction/Arrest Investigations:	24
Complaints Opened/Received:	174
Petition for Reinstatement Received	0
Applications Denied per BPC 480:	2
Complaints Closed	181
<b><i>Total Complaints/Cases Pending:</i></b>	<b>434</b>
DOI Investigations Initiated:	2
DOI Investigation Reports Received:	1
<b><i>DOI Investigations Pending:</i></b>	<b>3</b>
Cases Transmitted to AGO:	8
Accusations Filed:	1
Statement of Issues Filed:	0
PC 23 Issued:	0
ISO Issued:	0
Petition to Revoke Probation (PTR) Filed:	0
Accusation and PTR Filed:	0
Case(s) Withdrawn:	0
Case(s) Dismissed	0
<b><i>Total Cases Pending at Office of the Attorney General</i></b>	<b>14</b>
Cease Practice Order(s) Issued:	0
Cease Practice Order(s) Lifted:	0
Final Decisions Effective:	1

**OT CITATIONS**  
**January 1, 2023 - March 31, 2023**

#	VIOLATION						FINE	FINE REDUCE	TOTAL FINE DUE	DATE ISSUED	ABATE	APPEAL RECEIVED				PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER						ICRC	ADMIN	DISMISSED	WITHDRAW	Payment Date	Paid in Full	Payment Amount	Balance (OT)
1			1				\$150	\$0	\$150	01/19/23	0					01/20/23	1	\$150	\$0
1			1				\$150	\$0	\$150	01/19/23	0					01/30/23	1	\$150	\$0
1			1				\$150	\$0	\$150	01/19/23	0					02/12/23	1	\$150	\$0
1			1				\$300	\$0	\$300	01/19/23	0								\$300
1			1				\$225	\$0	\$225	01/23/23	0					02/07/23	1	\$225	\$0
1			1				\$225	\$0	\$225	01/23/23	0					01/21/23	1	\$225	\$0
1				1			\$600	\$0	\$600	01/26/23	1								\$600
1					1		\$800	\$800	\$0	01/27/23	0	1		1					\$0
1			1				\$375	\$0	\$375	01/27/23	0					02/26/23	1	\$375	\$0
1			1				\$225	\$0	\$225	01/27/23	0								\$225
1	1						\$600	\$0	\$600	01/27/23	1								\$600
1					1		\$85	\$0	\$85	01/30/23	0					02/06/23	1	\$85	\$0
1			1				\$225	\$0	\$225	01/24/23	0					01/30/23	1	\$225	\$0
1			1				\$900	\$0	\$900	02/23/23	0					03/17/23	1	\$900	\$0
1			1				\$375	\$0	\$375	02/23/23	0					03/10/23	1	\$375	\$0
1			1				\$300	\$0	\$300	03/14/23	0					03/22/23	1	\$300	\$0
1			1				\$300	\$0	\$300	03/20/23	0					04/05/23	1	\$300	\$0
1			1				\$300	\$0	\$300	03/16/23	0								\$300
1			1				\$300	\$0	\$300	03/20/23	0					03/24/23	1	\$300	\$0
1			1				\$300	\$0	\$300	03/20/23	0					03/22/23	1	\$300	\$0
1			1				\$225	\$0	\$225	03/22/23	0					03/27/23	1	\$225	\$0

**OT CITATIONS**  
**January 1, 2023 - March 31, 2023**

#	VIOLATION						FINE	FINE REDUCE	TOTAL FINE DUE	DATE ISSUED	ABATE	APPEAL RECEIVED				PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER						ICRC	ADMIN	DISMISSED	WITHDRAW	Payment Date	Paid in Full	Payment Amount	Balance (OT)
1	1						\$600	\$0	\$600	03/22/23	1								\$600

**OTA CITATIONS**  
**January 1, 2023 - March 31, 2023**

#	VIOLATION						FINE	FINE REDUCED	TOTAL FINE DUE	DATE ISSUED	ABATE	APPEAL RECEIVED				PAYMENT			
	FTC	UPC	ULP	PDU	ADC	OTHER						ICRC	ADMIN	DISMISSED	WITHDRAWN	Payment Date	Paid in Full	Payment Amount	Balance (OTA)
1	1						\$600	\$0	\$600	1/19/23	1							\$600	
1			1				\$1,300	\$0	\$1,300	1/19/23					02/17/23	1	\$1,300	\$0	
1			1				\$300	\$0	\$300	1/19/23					02/06/23	1	\$300	\$0	
1			1				\$225	\$0	\$225	1/19/23					02/07/23	1	\$225	\$0	
1	1						\$600	\$0	\$600	1/23/23	1							\$600	
1			1				\$375	\$275	\$100	1/27/23		1	1		03/28/23	1	\$100	\$0	
1			1				\$225	\$0	\$225	2/24/23					03/01/23	1	\$225	\$0	
1	1						\$600	\$0	\$600	3/22/23	1							\$600	
<b>8</b>	<b>3</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>\$4,225</b>	<b>\$275</b>	<b>\$3,950</b>		<b>3</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>		<b>5</b>	<b>\$2,150</b>	<b>\$1,800</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.)

## CASES PENDING WITH THE OFFICE OF THE ATTORNEY GENERAL

Date Transmitted	Case #	Case Type	Case Status
12/31/2021	2019-231	ACC	Accusation served 5/13/2022; Notice of Defense received 5/27/2022; Hearing held 2/21/2023; Proposed Decision received 3/13/2023; to Board for mail vote on 4/14/2023.
2/25/2022	2020-426	ACC	Accusation re-served 4/5/2023; Notice of Defense received 4/12/2023. Hearing to be scheduled.
9/12/2022	2020-531	PTR	Petition to revoke served 9/12/2022; Hearing held on 2/2/2023; new 3-year probation period imposed effective 5/31/2023.
10/13/2022	2023-161	ACC	Accusation served 11/22/2022 for failing to undergo an examination as ordered; Default Decision received 12/30/2022; to Board for vote on 2/9/2023; Revocation effective 5/8/2023.
11/28/2022	2023-153	ACC	Accusation served 5/8/2023.
11/30/2022	2023-462	ACC	Accusation served 2/28/2023.
12/23/2022	2021-976	ACC	Transmittal accepted on 1/4/2023; Accusation received on 4/7/2023 under review.
12/30/2022	2023-263	820	Order to undergo a Physical or Psychological Examination served 1/18/2023.
2/15/2023	2021-280	ACC	Accusation served 4/27/2023.
2/23/2023	2021-953	ACC	Accusation served 4/7/2023.
2/24/2023	2022-030	ACC	Transmittal accepted on 2/28/2023.
3/02/2023	2022-505	ACC	Transmittal accepted on 3/8/2023.
3/06/2023	2021-632	ACC	Transmittal accepted on 3/8/2023.

<b>Date Transmitted</b>	<b>Case #</b>	<b>Case Type</b>	<b>Case Status</b>
3/13/2023	2023-428	ACC	Transmittal accepted on 03/15/2023.
3/16/2023	2019-539	ACC	Accusation served 4/27/2023.

### **FINAL DECISIONS**

<b>Effective</b>	<b>Name</b>	<b>Type</b>	<b>Violation(s)</b>
03/07/2023	Martinez, Steven	License Revoked	Unprofessional Conduct
03/15/2023	De Jesus, Geraldine	License Surrender	Unprofessional Conduct
03/25/2023	Truckenbrodt, Jennifer	License Revoked	Criminal Convictions

## LICENSEES CURRENTLY ON PROBATION

**January 1, 2023 – March 31, 2023**

NAME	LICENSE #	LENGTH OF PROBATION	EFFECTIVE DATE	COMPLETION DATE
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 *	Surrendered 3/13/2023
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 *	
Jaghlassian, Linda	OTA 3079	3 years	03/30/2023 *	
Jordan, Laura	OT 5826	3 years	08/29/2021 *	
Kelley, Anjuli	OT 11186	3 years	01/16/2014 *	3/11/2023
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	OTA1436	3 years	07/16/2020 *	

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

Report updated 4/14/2023



# Listing of Future Agenda Items Approved at Previous Meetings

## Items Prioritized for May Meeting

1. Keep Fee Increase as a standing item for continued updates.
2. Keep OT Compact as a standing item if any movement.
3. Board staff to gather information/publications regarding OT roles in Disaster Preparedness.
4. Identify committee member appointment criteria for non-licensee/public member to serve on Board committees.
5. Consider appointing Disaster Preparedness/Disaster Response ad Hoc committee.
6. Consideration and possible action on determining the maximum number of students completing a clinical entry-level doctoral capstone that can be supervised by an occupational therapist who is concurrently supervising occupational therapy assistants, limited permit holders or students completing their fieldwork.
7. Discussion and possible action on whether occupational therapists working in pelvic health can perform internal (digital) examinations and provide various treatments.

## Future Agenda Items Not Yet Prioritized

1. Discuss the potential to cost sharing with California occupational therapy programs for the 'employer' letter.
2. Action Item brought to the board meeting directly following the first meeting of the Ad hoc committee that will discuss non-licensee/public members serving on committees. Committee focus will be:
  - *Address the student issue*
  - *The issue specific to those non-licensees and their disciplinary background*
  - *The retiree*
3. Combined 2, 3 & 4 from previous list.
  - Develop FAQs to explain revenue and expenditures to licensees in a narrative format to explain the data that pertains to the public comments.
  - Discuss and decide on methods of education and outreach for the fee increase.
  - Provide a report detailing:
    - Explain why fee increase needed
    - Develop outreach plan to educate
4. ~~Consider appointing Disaster Preparedness/Disaster Response ad Hoc committee.~~
5. ~~Make appointments to other committees, as appropriate.~~
6. Schedule a townhall/meeting with the California OT and OTA programs to share the Occupational Therapy Assistant Workforce Needs Assessment and seek further feedback.
7. Discussion on Corporation Name language for future agenda.
8. Practice Committee's consideration of the following:
  - Consider whether suture removal is within OT scope of practice.
  - 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.



# MEMORANDUM

<b>DATE</b>	April 28, 2023
<b>TO</b>	Department of Consumer Affairs (DCA) Leaders
<b>FROM</b>	<i>Kimberly Kirchmeyer</i> Kimberly Kirchmeyer, Director
<b>SUBJECT</b>	<b>Leadership's Role in Diversity, Equity and Inclusion</b>

I am pleased to share with you an update on the department's work related to diversity, equity and inclusion (DEI), and emphasize the importance of your role as a DCA leader.

In November 2022, we established the department's first DEI Steering Committee and appointed 12 executive leaders from the boards, bureaus, and department. The DEI Steering Committee meets quarterly and has been working on many items including training, updating the strategic planning process, and the development of an informational DEI fact sheet.

All employees will receive the attached memo outlining available DEI trainings and the work happening to advance the training and education of the SOLID trainers and leadership. Training plays a vital role in creating a culture of inclusion where all individuals feel recognized, understood, and valued. As leaders, we must all do our part by taking trainings related to DEI and regularly encouraging staff to also do so.

Specific to strategic planning, the department has embedded DEI into the planning and development phases and is also incorporating video messages from leadership. Further, to expand public input and access, a centralized [Strategic Planning webpage](#) was created and is now available on the DCA website.

Lastly, also attached to this memo is DCA's first DEI fact sheet. The fact sheet was developed as an informational tool and includes the department's three DEI initiatives, DCA services that support DEI efforts, and DEI terminology as it applies to DCA. Please take the time to familiarize yourself with the information contained in this informative fact sheet.

The DEI Steering Committee's work continues, and we can expect that further actions and recommendations are forthcoming. My vision is that the DEI Steering Committee remains permanent within the department and that through the Committee, our collective goals for DEI will be achieved through new program policies.

If you have questions or suggestions for the DEI Steering Committee, please contact Tonya Corcoran, Compliance and Equity Officer, who serves as the DEI Steering Committee Coordinator, at [Tonya.Corcoran@dca.ca.gov](mailto:Tonya.Corcoran@dca.ca.gov).

Attachments

# California Department of Consumer Affairs

## DIVERSITY, EQUITY, AND INCLUSION

### FACT SHEET

MISSION STATEMENT: TO ADVANCE A DIVERSE, EQUITABLE, AND INCLUSIVE CALIFORNIA DEPARTMENT OF CONSUMER AFFAIRS FOR ALL

#### WHAT DOES DIVERSITY, EQUITY, AND INCLUSION (DEI) MEAN?

##### DIVERSITY

The inherent and acquired qualities, characteristics, and experiences that make us unique as individuals and the groups to which we belong.

##### EQUITY

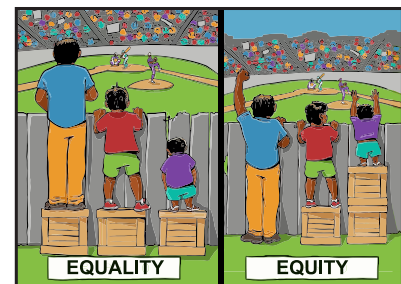
Creates paths to equal outcomes by recognizing that some people and communities have unequal starting points driven by different histories, historical treatment, circumstances, strengths, and needs.

##### INCLUSION

A practice to maintain a positive environment where all individuals feel recognized, understood, and valued.

#### UNDERSTANDING THE DIFFERENCE BETWEEN EQUALITY AND EQUITY

Do equality and equity mean the same thing? Though they sound similar, equality and equity are different and it's important to understand the difference between the two. As demonstrated in the image to the right, equality is providing someone the same, equal treatment. Whereas equity is creating paths to equal outcomes by recognizing that some people and communities have unequal starting points.



#### WHAT ARE THE CALIFORNIA DEPARTMENT OF CONSUMER AFFAIRS' (DCA) 2023 DEI INITIATIVES?

**1** Support Workplace Inclusion and Diversity

**2** Expand Culturally Competent Communications

**3** Provide DEI-Related Training to All Staff

#### WHAT DCA SERVICES SUPPORT DEI EFFORTS?

##### *Diversity, Equity, and Inclusion Steering Committee*

In 2022, Director Kimberly Kirchmeyer established the Diversity, Equity, and Inclusion Steering Committee, which is the primary deliberative body for DEI initiatives within the Department. The role of the committee is to spearhead DEI initiatives that build a diverse workforce and create a work environment that is equitable and inclusive for everyone.

**Contact:** *Tonya Corcoran, DCA Compliance and Equity Officer, [Tonya.Corcoran@dca.ca.gov](mailto:Tonya.Corcoran@dca.ca.gov)*



*From left: Christine Lally, Reji Varghese, Angela Jemmott, Melissa Gear, Nicole Le, Marlon McManus, Monica Vargas, Paul Sanchez, Yeaphana La Marr, and Tonya Corcoran. Not pictured: Yvonne Dorantes and Ken Garcia.*

#### *Tribal Consultation*



Yeaphana "Phana" La Marr serves as the DCA tribal liaison to facilitate effective communication between the Department and Native American tribes and tribal communities and to provide meaningful input into the development of regulations, rules, policies, programs, projects, plans, and activities that may affect tribal communities. La Marr is Pit River and Paiute and an enrolled member of the Susanville Indian Rancheria.

**Contact:** *Phana La Marr, DCA Tribal Liaison, [Yeaphanna.LaMarr@dca.ca.gov](mailto:Yeaphanna.LaMarr@dca.ca.gov)*  
Additional resource: [DCA Tribal Policy](#)

## Multilingual Language Assistance

DCA provides language access services that are available to all DCA programs:

- The Equal Employment Opportunity (EEO) Office administers the American Sign Language and real-time captioning services contract.
- The EEO Office conducts the Departmentwide language survey to identify the public it serves, the language(s) spoken, and the bilingual resources available to ensure equal access to DCA services is provided for all consumers.
- The Office of Human Resources administers the bilingual pay program including the establishment of bilingual positions.
- The EEO Office administers the contract for over-the-phone interpreter services to non-English speaking consumers in over 200 languages.
- The Office of Publications, Design and Editing coordinates requests for the translation of written materials.

---

## DEI-Related Training/Strategic Planning Services

DCA's Strategic Organizational Leadership and Individual Development (SOLID) Training and Planning Solutions offers DEI-related trainings to all Department staff at no cost. The current trainings include:

- Understanding Diversity, Equity, and Inclusion.
- Unconscious Bias.
- Generational Differences.
- Color Lingo: Communication Styles.

DCA strategic planning services include surveying stakeholders, planning sessions and facilitation, and drafting strategic plans.

Contact: [SOLID@dca.ca.gov](mailto:SOLID@dca.ca.gov)

---

## Disability Advisory Committee



The Department's Disability Advisory Committee currently consists of 10 employees who have an interest in increasing the hiring and retention opportunities for people with disabilities. The committee promotes its mission of inclusion by developing and sponsoring employee awareness programs and events.

Contact: *Shamekia McBride, DAC Coordinator and EEO Investigator, [Shamekia.McBride@dca.ca.gov](mailto:Shamekia.McBride@dca.ca.gov)*

---

## THINGS TO CONSIDER

### ✓ Include feedback from the public in strategic planning.

- Identify organizations and communities that utilize your Board's services to garner input from all Californians.
- Review information collected through the new environmental scans that incorporate diversity, equity, and inclusion questions.
- Develop objectives that guide the Board to achieving the goal of embedding equity in policies and processes of the Board.

### ✓ Review policy decisions including regulatory, statutory, and continuing education requirements with equity in mind.

#### Consider:

- Who will benefit from or be burdened by the particular decision/proposal?
- Are there needs that may be different for demographic or geographic groups? Once implemented, how will boards measure impacts on impacted populations?
- What data/metrics will be used to evaluate the impacts?

### ✓ Other common terminology in DEI:

- **Belonging:** From the [Othring and Belonging Institute at U.C. Berkeley](#), "[B]elonging describes values and practices where no person is left out of our circle of concern. Belonging means more than having just access, it means having a meaningful voice and the opportunity to participate in the design of political, social, and cultural structures. Belonging includes the right to both contribute and make demands upon society and political institutions."
- **Accessibility:** From the [U.S. Department of Justice Civil Rights Division](#) in relation to the [American with Disabilities Act](#), "Title II requires that state and local governments give people with disabilities an equal opportunity to benefit from all of their programs, services, and activities (e.g., public education, employment, transportation, recreation, health care, social services, courts, voting, and town meetings)."

### ✓ For consistency across DCA, boards, and bureaus, the standard terminology is "Diversity, Equity, and Inclusion."



---

# Policy E.18: Interventions to Support Occupations

## Purpose

- AOTA asserts that interventions to support occupations including but not limited to physical agent modalities (PAMs), dry needling, and other techniques may be used in preparation for, or concurrently with occupations and activities or interventions that ultimately enhance a client's engagement in occupation.
- Occupational therapists and occupational therapy assistants are members of interdisciplinary teams and require access to provide interventions necessary to support client care. Loss of care provided or referral to other providers for specific techniques may compromise or restrict consumer access to occupational therapy services and could result in duplication of services and increased costs of care.
- Clinical research on intervention effectiveness in occupational therapy for new and emerging techniques should not be limited by restrictions on practice to provide responsive care as health conditions and health care technologies continue to evolve.
- Occupational therapy practitioners, as experts in various areas of practice, are placed at a disadvantage when there is not a defined policy or guidance for the use of existing and emerging interventions to support occupations.

## Policy

1. Interventions to support occupations, including but not limited to PAMs, are utilized by occupational therapy practitioners as part of occupation-based practice. Use of these techniques is designed to prepare the client for occupational performance to support clients' engagement and independent participation in meaningful occupations (e.g., ADLs, IADLs).
2. Interventions to support occupations should not be used in isolation or in the absence of occupation-based assessment and intervention.
3. Use of interventions to support occupations may include the application of PAMs, mechanical modalities, instrument-assisted (manual) modalities (e.g., dry needling), and other new and emerging techniques. It is important to differentiate that little or no published evidence for new and emerging techniques does not equate to a lack of effectiveness. It is an indicator that further research is needed.
4. In the case of new and emerging techniques in which there is not a strong body of evidence, it is essential that practitioners fully disclose the benefits, risks, and potential outcomes of an intervention and reasonable alternatives. Informed consent should be obtained after disclosing information and answering questions to ensure autonomous and voluntary participation in the treatment plan or research study.
5. Decisions on whether to continue or discontinue use of new and emerging techniques should be based on professional reasoning and outcomes including documented progress toward clients' goals to ensure the client is receiving benefit to engage and participate in meaningful occupation.
6. Interventions to support occupations may not be entry-level skills and may require advanced training and/or certification. New treatment techniques and interventions are routinely developed based on currently available evidence. Practitioners are responsible for maintaining their awareness of these developments as well as their competency in the safe and effective application of new treatment approaches.
7. States vary in the inclusion of interventions to support occupations within the defined scope of practice and requirements for training and continuing education for these techniques. There is no consensus from state to state on the minimum standards for evaluating competency or certification in the use of interventions to support occupations.

8. Some states have additional regulatory requirements for demonstrating competence beyond entry-level education and for specific types of PAMs. Occupational therapy practitioners need to be aware of and comply with these requirements, which may include, but are not limited to, continuing professional education, institution-specific procedures for ascertaining service competence, and supervised contact hours by a qualified practitioner in the respective state.
9. Competency is outlined by standards of conduct in the Occupational Therapy Code of Ethics. It is the responsibility of occupational therapy personnel to maintain credentials, licenses, and other certifications to develop, demonstrate, and maintain competent, evidence-based practice and supervision requirements.
10. Occupational therapy practitioners should review continuing education and advanced certification courses in advance to ensure quality and alignment with state and site/facility specific law, regulation, policy and requirements prior to participation and application of any techniques with clients.
11. Occupational therapy assistants may utilize PAMs and other interventions to support occupations with appropriate supervision in accordance with local and state policies, rules, and regulations.

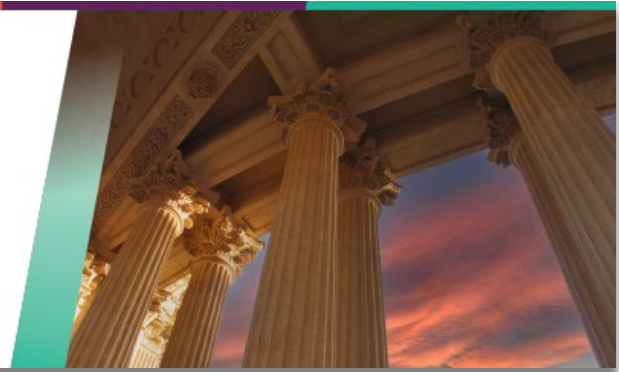
## Resources

American Occupational Therapy Association. (2020). AOTA 2020 occupational therapy code of ethics. *American Journal of Occupational Therapy*, 74(Suppl. 3), 7413410005.  
<https://doi.org/10.5014/ajot.2020.74S3006>

American Occupational Therapy Association. (2020). Occupational therapy practice framework: Domain and process (4th ed.). *American Journal of Occupational Therapy*, 74(Suppl. 2), 7412410010.  
<https://doi.org/10.5014/ajot.2020.74S2001>

Approval Date:	4/2023
Date of Last Revision:	

# State Affairs Newsletter



**Spring 2023**

**Arkansas, South Dakota, and Mississippi Join Occupational Therapy Licensure Compact**  
[Arkansas](#), [South Dakota](#), and [Mississippi](#) have become the latest states to join the Occupational Therapy Licensure Compact. With Mississippi becoming the 25<sup>th</sup> state to join, half of the United States is now part of the Compact. Legislation is [pending in 10 other states](#). We thank our state association leaders in these states for their tireless advocacy efforts in support of the Compact.

### **New DEI Continuing Education Course Available**

AOTA is leading the profession to be more diverse, equitable, and inclusive through its commitment to developing DEI resources and tools to strengthen occupational therapy practitioners' contribution to a healthy and engaged community. To answer the call to support continuing education requirements for topics on DEI and justice, [this course](#) provides learning modules and other AOTA resources on implicit bias, unconscious bias, microaggressions, and having difficult conversations. Learners receive a certificate of completion after finishing the corresponding exam.

### **Upcoming State Affairs Sessions at AOTA INSPIRE 2023**

AOTA State Affairs staff is hard at work planning informative sessions for attendees of AOTA INSPIRE 2023 in Kansas City. These include:

- AOTA-NBCOT Compact Initiative—Friday, April 21, at 8:30 a.m.
- State Policy Forum—Saturday, April 22, at 10:00 a.m.

This year's State Policy Forum will focus on growing caseloads/workloads faced by school-based occupational therapy practitioners. The AOTA State Affairs team will moderate a panel discussion with speakers including researchers, state association leaders, and a lawmaker. The Forum is a session organized annually by the AOTA State Affairs team on topics of interest to state association leaders and regulators.

The State Affairs team will also be available at the AOTA Experience to answer questions about state advocacy, licensure and scope of practice, Medicaid, the Occupational Therapy Licensure Compact, and more. Visit us to get your questions answered or come say hi!

### **Updated Model Continuing Competence Requirements Available**

AOTA's Model Continuing Competence Requirements, last updated in 2019, is now available for download on [AOTA's website](#). The goal of this document is to provide a template for



occupational therapy licensing agencies when drafting or amending their continuing competence requirements and to protect the public health, safety, and welfare through the establishment of minimum standards that are consistent with the [Standards for Continuing Competence in Occupational Therapy](#), which was last updated in 2021.

### **New State Affairs Email Address**

AOTA State Affairs has a new email address: [state@aota.org](mailto:state@aota.org). Members and non-members alike can use this email address to ask questions about state-level policy that could impact occupational therapy, state licensing policy, Medicaid or state-level commercial payer policies, or just to let us know how we are doing serving occupational therapy providers.

### **HHS Secretary Renews Public Health Emergency Through May 11**

On February 6, 2023, President Biden announced to Congress that Department of Health and Human Services (HHS) Secretary Xavier Becerra would renew the federal public health emergency (PHE) one final time as of February 11, 2023, with an expiration date of May 11, 2023. This provides states with 90 days to unwind many of the Medicaid flexibilities.

However, some of the federal waivers that were instituted at the beginning of the pandemic may continue past the end of the PHE due to subsequent federal legislation including the Consolidated Appropriations Act for FY2023. This extended the current Medicare telehealth waivers through the end of 2024, including a specific extension for occupational therapists and occupational therapy assistants to provide services via telehealth to Medicare beneficiaries.

States with COVID-19 emergencies still in place: Delaware, Colorado, Illinois, New Mexico, Rhode Island, and Texas.

### **AOTA State Affairs Group Contacts**

#### **Chuck Willmarth**

Vice President, State Affairs & Health Policy

[cwillmarth@aota.org](mailto:cwillmarth@aota.org)

#### **Laura Hooper**

Manager, Health Policy

[lhooper@aota.org](mailto:lhooper@aota.org)

#### **Kristen Neville**

Manager, State Affairs

[kneville@aota.org](mailto:kneville@aota.org)

#### **General Inquiries**

[state@aota.org](mailto:state@aota.org)