

2450 Del Paso Road, Suite 105  
Sacramento, CA 95834  
(916) 575-7170, (916) 575-7292 Fax  
[www.optometry.ca.gov](http://www.optometry.ca.gov)

**To:** Board Members

**Date:** August 26, 2016

**From:** Jessica Siefertman  
Executive Officer

**Telephone:** (916) 575-7184

**Subject:** Agenda Item 8 – Executive Officer’s Report

## A. BreEZe Database

Licensing Statistics demonstrates the Board’s growing success with applicants and licensees using BreEZe (Attachment 1). As demonstrated below, the majority of initial optometrist applications are received online. This success may be credited to the annual outreach provided to the California schools of optometry, encouraging students to take full advantage of the BreEZe system.

Online Initial Application Percentages	
Optometrist	84%
Statement of Licensure	42%
Branch Office License	27%
Fictitious Name Permits	16%

Online Renewal Application Percentages	
Optometrist	40%
Statement of Licensure	33%
Branch Office License	8%
Fictitious Name Permits	6%

Since BreEZE implementation, cycle times for optometrist and BOL applications as well as FNP renewals have decreased. Unfortunately, all other licensing cycle times have increased. Staff is currently investigating causes and will work quickly to identify process improvements to address this issue.

Staff is also developing an outreach plan that includes additional contact with licensees and partnering with COA and local optometric societies to increase BreEZe awareness. Staff is developing a monthly report to identify licenses eligible to renew within 90 days and email the BreEZe link to those licensees.

## B. Budget Optometry

Fund Condition: (Updated August 11, 2016)

According to the Fund Condition Analysis (Attachment 2), the Board’s revenues were more than its expenditures in the prior year (PY 15/16). For the current year (CY 2016-17), the analysis does factor in repayment of the \$1,000,000 general fund loan this, pursuant to item

1110-001-0763 Budget Act of 2011. This could potentially increase the reserve to 17.4 months. However, with expenditures projected to exceed revenues in the future budget years (BY 2017-18 and BY 2018-19), the reserve will continually decrease.

Expenditure Report: *(Based on Fiscal Month 12, Updated August 11, 2015)*  
Attachment 3

Attorney General Cost Breakdown: Attachment 4

Registered Dispensing Optician Program:

The RDO Program Fund Condition and Expenditure Report will be provided during the meeting.

Attorney General Cost Breakdown: Attachment 5

**C. Personnel**

Board Vacancies

The Board has filled the licensing and enforcement lead positions as well as the vacant enforcement position.

Charles McGirt has accepted the licensing lead position, taking over for Jeff Robinson. Originally serving as the Board of Registered Nursing's (BRN) lead probation technician, Charles brings extensive BreEZe knowledge and experience in developing training and procedure manuals and preparing/maintaining monthly reports. He was BRN's main point of contact for the probation unit and gained licensing experience through cross training at BRN. We are excited to have him leading the Board's licensing unit and serving as the main point of contact for applicants.

Kellie Flores was promoted to the vacant enforcement analyst/board liaison position previously held by Lydia Bracco. Kellie served as the RDO Program's Management Services Technician since January and temporarily assisted the Board with some of Lydia's responsibilities upon Lydia's retirement. Kellie has been a standout employee with the Board and has been the single point of contact for over 4000 RDO registration holders. As a truly independent worker, she has been actively observing, documenting, and suggesting changes to improve efficiency within the RDO Program. Further, Kellie will be an invaluable resource when the Board begins to design and configure the RDO program in the BreEZe system early next calendar year.

Kellie will continue to assist Board members and staff with travel arrangements, reimbursement, and per diems in her new position. Her work ethic and demeanor make her a great addition to the enforcement unit and a dependable point of contact for Board member needs.

Cheree Kimball was promoted to the enforcement lead position, previously held by Robert Stephanopoulos. With over 12 years of enforcement experience (seven years with the Board), Cheree has proven to be an invaluable resource. She has used her extensive knowledge of Board statutes, regulations, and procedures to train new enforcement staff throughout the years. In addition, Cheree participated in the BreEZe data validation and user acceptance testing for enforcement and gained a wealth of exposure to the inner-workings of the system. Cheree reviews case recommendations from other analysts and the enforcement technician, compiles enforcement statistics and reports, and represents the Board at BreEZe user group meetings.

Interviews for the positions previously held by Kellie and Cheree will be held in mid-August, and offers will be made to candidates at the end of the month. Once these positions are filled, Kellie and Cheree will train their respective successors. Once filled, the Board will be fully staffed and ready to tackle pending caseload, exceed performance measures and expand its scope of work to include additional outreach, proactive enforcement, and internal projects.

Staff Professional Development

Board management continues its involvement with DCA's mentorship pilot program. Ms. Siefertman has been contacted by some DCA employees seeking a mentor. Management has highly encouraged Board staff to fully utilize the mentorship program, resulting in several staff members finding additional DCA mentors. Ms. Siefertman has also found a few seasoned Executive Officers to serve as her mentors.

In addition to monthly staff meetings, management started conducting one-on-one interviews with staff. An idea borrowed from the Physical Therapy Board's Executive Officer, these meetings provide management a "state of the union" picture of staff work life. This involves them answering questions regarding what gets them up in the morning, what they like about the Board, what they don't like about the Board, etc. In addition, staff is asked what they like and don't like about management. These answers provide light to the differences between each staff member's motivations, allowing management to effectively tailor their management style to meet individual staff needs. Further, staff can provide suggestions for the management improvement.

A "kudos wall" is now located in the office. This wall is a place where staff can provide recognition for their colleagues by filling out small cards and attaching them to the wall for posterity. In addition, the wall will be used for exceptional surveys and positive letters received from consumers and licensees recognizing individual employees.

#### Management Development

Board management continues its participation in the extensive DCA management trainings and has nearly completed DCA's Management Academy. Once completed, management will search for additional management trainings offered by DCA and outside sources in order to continuously improve their skills. Board management will continue to actively participate in DCA events and network with management from other Boards, Bureaus, and Departments.

### **D. Examination and Licensing Programs**

#### Examination Workshops

As previously reported, the Board has experienced a difficult time recruiting for subject matter experts (SME) to participate in the California Laws and Regulation Examination (CLRE) Workshops. Staff and the Office of Professional Examination Services (OPES) attributed the increased difficulty to not being able to offer continuing education credit to participants.

However, due to staff efforts, recent workshops have seen a 100% increase in the number of SMEs participating. By increasing the number and SME diversity, OPES will be able to create a test that will better assess the applicants who want to practice in California. Participation will increase even further once the Board's regulation packet which provides CE credit for participation in the workshops is approved.

Additionally, staff devised a more efficient system to track and monitor the SME contracts. The previous method made it difficult to determine the running totals of SME costs. The improved system allows staff to keep the workshop expenses up to date.

#### Optometry Licensing Program

This year's graduation season met with a sharp increase in calls from anxious applicants checking on the status of their applications (70-80 calls per week). While Board staff is happy to assist these callers, it did take valuable time away from processing applications. With the majority of recent graduates now licensed, calls have slowed and we are making attempts to streamline application processing to maximize the analyst's time, while still providing timely assistance to callers. The addition of a full-time Lead Licensing Analyst will allow the Board to field calls and permit the licensing unit to continue to process applications in a timely manner.

#### RDO Registration Program

The RDO program currently receives an average of 15 phone calls per day; a drastic increase from the average of 3 calls per day reported by the Medical Board of California. Once the RDO Program's fund improves, the Board will fill the vacant 0.5 Office Technician to field these calls.

Currently, the Board maintains over 4000 RDO registrations and received 426 paper applications in the past fiscal year. The Board will begin designing the RDO program in BreZE later this year, which will allow applicants/registrants the option to apply/renew online.

#### E. Enforcement Program

The enforcement unit currently consists of one lead associate governmental program analyst (AGPA), one staff services analyst (SSA), and one office technician (OT). However, the staff services analyst is still the RDO Program until the MST Vacant position is filled. RDO Program complaints increased every quarter of the last fiscal year, a trend that is anticipated to continue. As previously reported, the Board's enforcement staff will continue to absorb the RDO enforcement workload until the RDO Program's fund condition can support filling the 0.6 Special Investigator position.

In order to handle the increased caseload which is expanding in both number and complexity, the SSAs positions were reclassified to AGPA position. This position demands the incumbent to work more independently than a SSA and requires higher level analytical skillset. Duty statements for all enforcement staff were revised to reflect accurate and increased responsibilities

Further, enforcement has partnered with the California Department of Public Health and the Food and Drug Administration in a joint effort to combat the ever-increasing issue of unlicensed contact lens sales. This is typically a large problem during Halloween season; however, due to the increased popularity of movies and shows adapted from comics and their related conventions, the problem has become a year-round issue.

Moreover, Board enforcement continues its efforts to partner with the Medical Board of California regarding issues which crossover between the respective licensees.

The Enforcement Unit currently has 258 pending enforcement cases (195 optometrists, 63 RDO Program). With the majority of RDO cases received since its transfer from the Medical Board of California to the Board of Optometry.

Optometry Program	FY15/16				
	Jul-Sept	Oct-Dec	Jan-Mar	Apr-Jun	Total
Received	62	54	53	94	263
Closed	57	57	64	30	208
Pending	167	155	142	206	206
Referred to AG	0	1	2	2	5
Final Disciplinary Orders	0	2	0	1	3

RDO Program	FY15/16				
	Jul-Sept	Oct-Dec	Jan-Mar	Apr-Jun	Total
Received	7	12	27	38	84
Closed	13	17	16	25	71
Pending*					
Referred to AG*					
Final Disciplinary Orders	0	2	0	0	2

#### F. Strategic Plan

During the May 2016 Board meeting, the Board directed staff to research what creating a new strategic plan would entail and provide a potential timeline to the Board. Board staff contacted DCA's SOLID Training Solutions, who agreed that given all of recent changes to the Board in the past year, a new Strategic Plan should be created. With that, SOLID provided the attached project

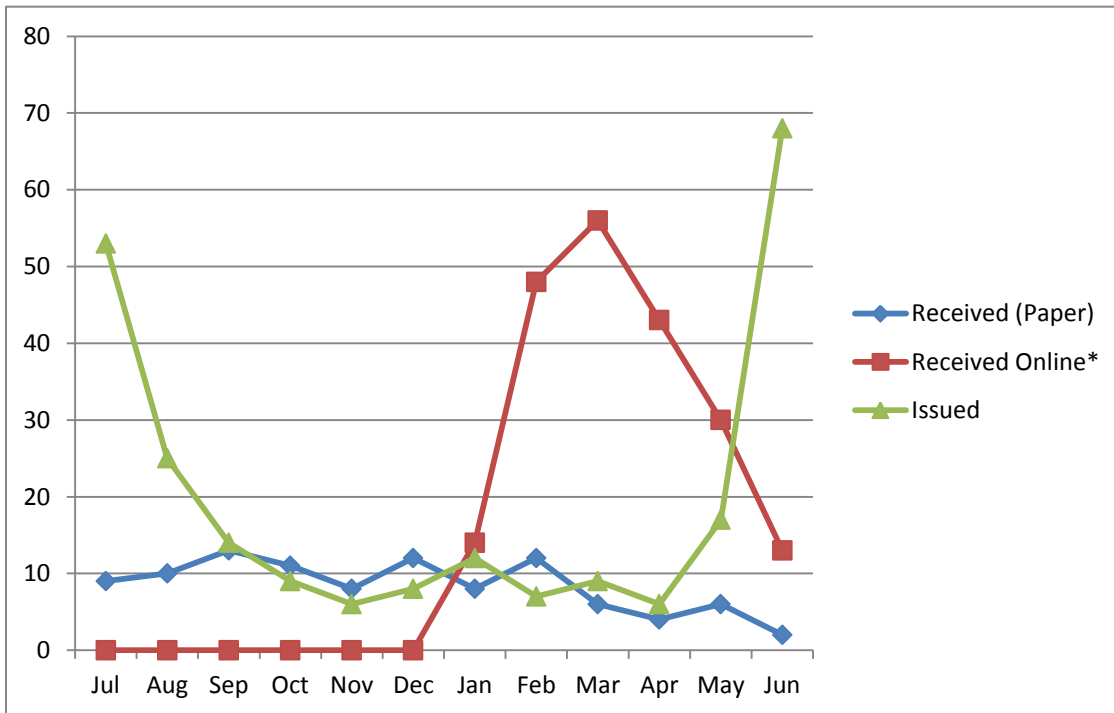
plan (Attachment 6) and offered to hold the all-day Board Member Session the day before the Board's January 2017 meeting.

**Attachments**

1. Licensing Statistics
2. Optometry Fund Condition
3. Optometry Expenditure Report
4. Optometry AG Cost Breakdown
5. RDO AG Cost Breakdown
6. Strategic Plan Timeline

### Optometrist License Applications

		FY 2015-16												
		Q1			Q2			Q3			Q4			FY
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	TOTAL
OPTs	Received (Paper)	9	10	13	11	8	12	8	12	6	4	6	2	101
	Received Online*	N/A	N/A	N/A	N/A	N/A	N/A	14	48	56	43	30	13	204
	Issued	53	25	14	9	6	8	12	7	9	6	17	68	220
	Avg. Cycle Time (Total Days)**	108	172	122	194	332	262	217	196	123	59	74	105	134
	Pending Apps	120	105	104	106	108	112	122	175	228	269	288	235	235

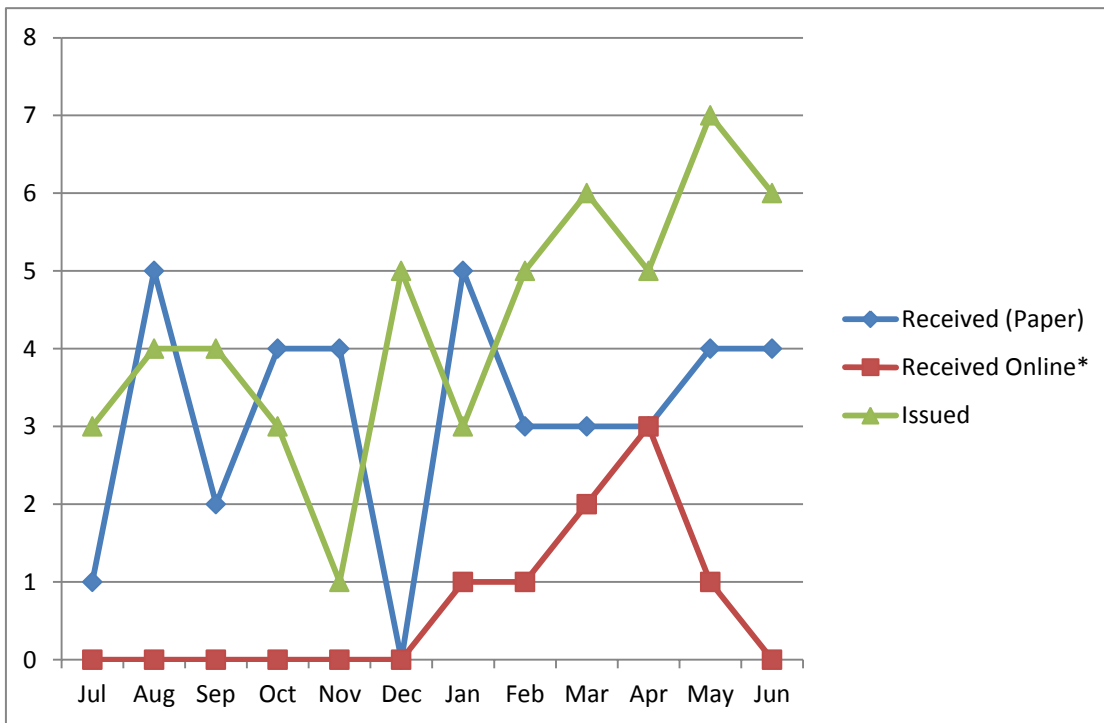


\*BreEZe was not available for online optometry applications until January 19, 2016

\*\*Once applicant is approved to sit for California Laws and Regulations Exam

### Branch Office License Applications

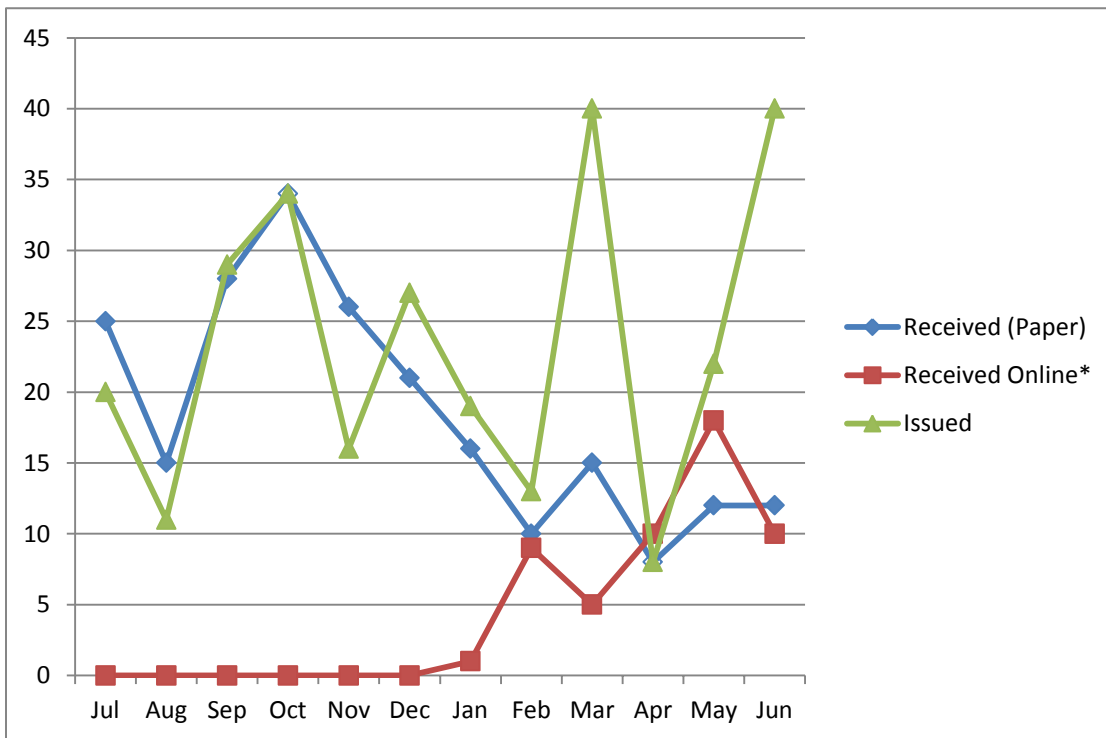
		FY 2015-16												
		Q1			Q2			Q3			Q4			FY TOTAL
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
<b>BOLS</b>	<b>Received (Paper)</b>	1	5	2	4	4	0	5	3	3	3	4	4	<b>39</b>
	<b>Received Online*</b>	N/A	N/A	N/A	N/A	N/A	N/A	1	1	2	3	1	0	<b>8</b>
	<b>Issued</b>	3	4	4	3	1	5	3	5	6	5	7	6	<b>42</b>
	<b>Avg. Cycle Time (Total Days)</b>	291	65	61	76	60	176	71	22	24	58	50	25	<b>73</b>
	<b>Pending Apps</b>	9	10	8	9	12	7	10	9	8	9	7	5	<b>5</b>



\*BreZE was not available for online optometry applications until January 19, 2016

### Statement of Licensure Applications

		FY 2015-16												FY TOTAL
		Q1			Q2			Q3			Q4			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
<b>SOLS</b>	<b>Received (Paper)</b>	25	15	28	34	26	21	16	10	15	8	12	12	<b>221</b>
	<b>Received Online*</b>	N/A	N/A	N/A	N/A	N/A	N/A	1	9	5	10	18	10	<b>53</b>
	<b>Issued</b>	20	11	29	34	16	27	19	13	40	8	22	40	<b>236</b>
	<b>Avg. Cycle Time (Total Days)</b>	46	45	31	20	12	51	16	25	32	22	35	25	<b>30</b>
	<b>Pending Apps</b>	23	27	26	26	36	30	28	34	14	24	32	14	<b>14</b>

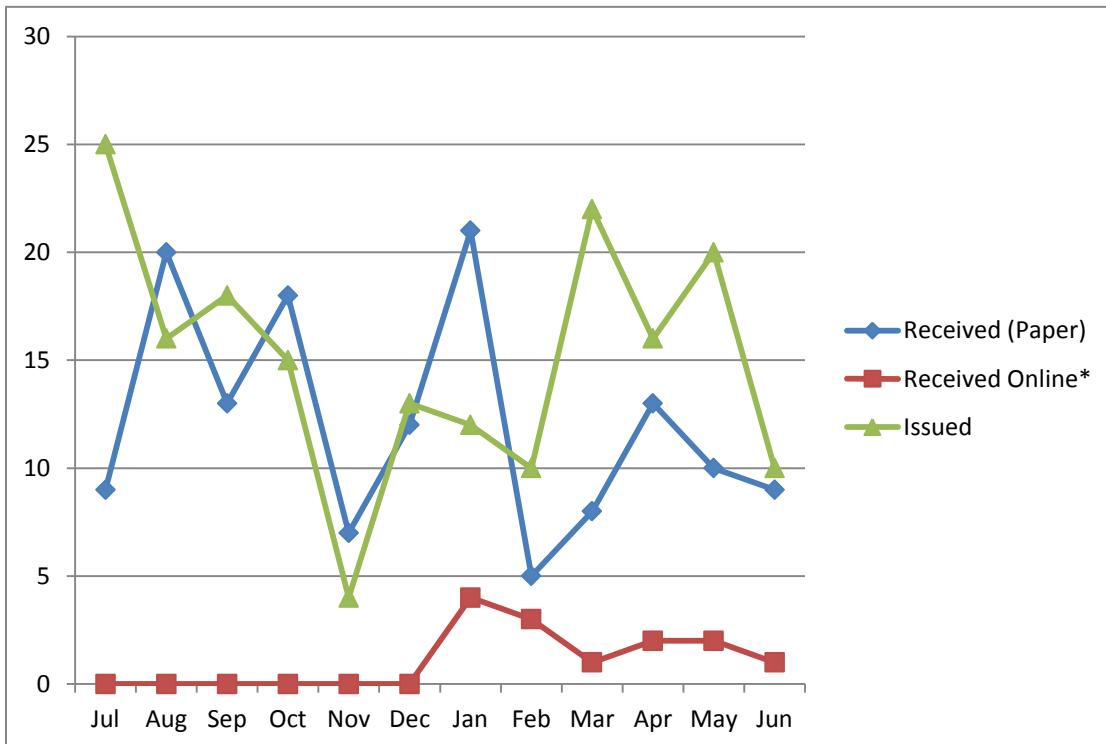


\*BreEZe was not available for online optometry applications until January 19, 2016



### Fictitious Name Permit Applications

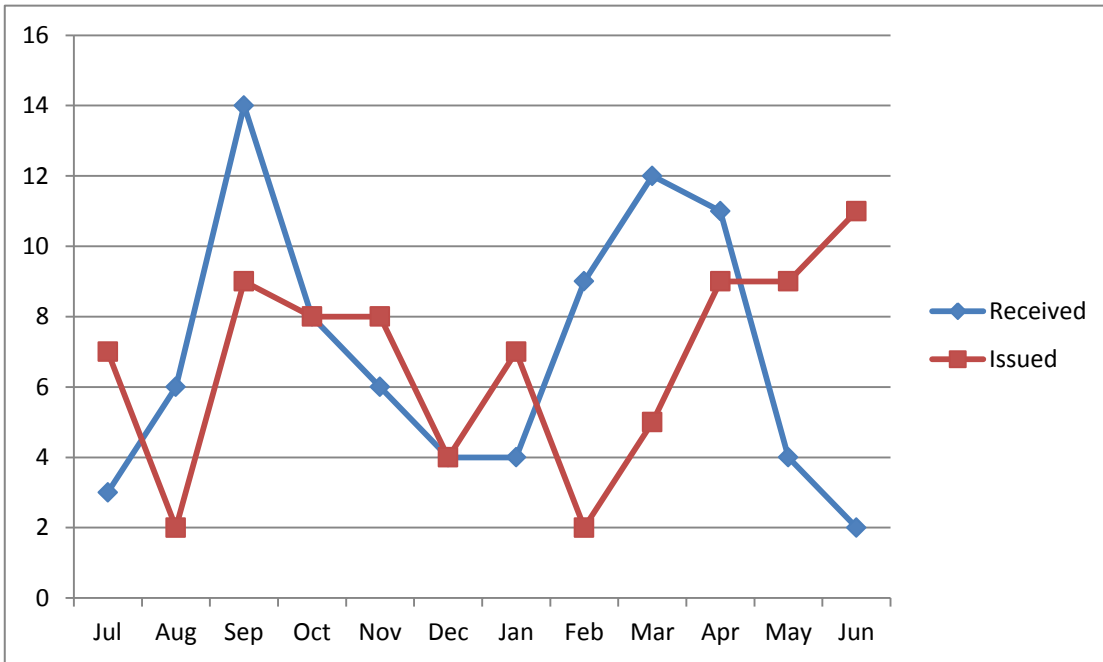
FY 2015-16															
			Q1			Q2			Q3			Q4			FY TOTAL
			Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
<b>FNPS</b>	Received (Paper)		9	20	13	18	7	12	21	5	8	13	10	9	<b>127</b>
	Received Online*		N/A	N/A	N/A	N/A	N/A	N/A	4	3	1	2	2	1	<b>13</b>
	Issued		25	16	18	15	4	13	12	10	22	16	20	10	<b>161</b>
	Avg. Cycle Time (Total Days)		199	76	75	88	52	57	19	11	39	55	45	65	<b>74</b>
	Pending Apps		25	29	24	27	30	29	42	40	27	26	18	18	<b>18</b>



\*BreEZe was not available for online optometry applications until January 19, 2016

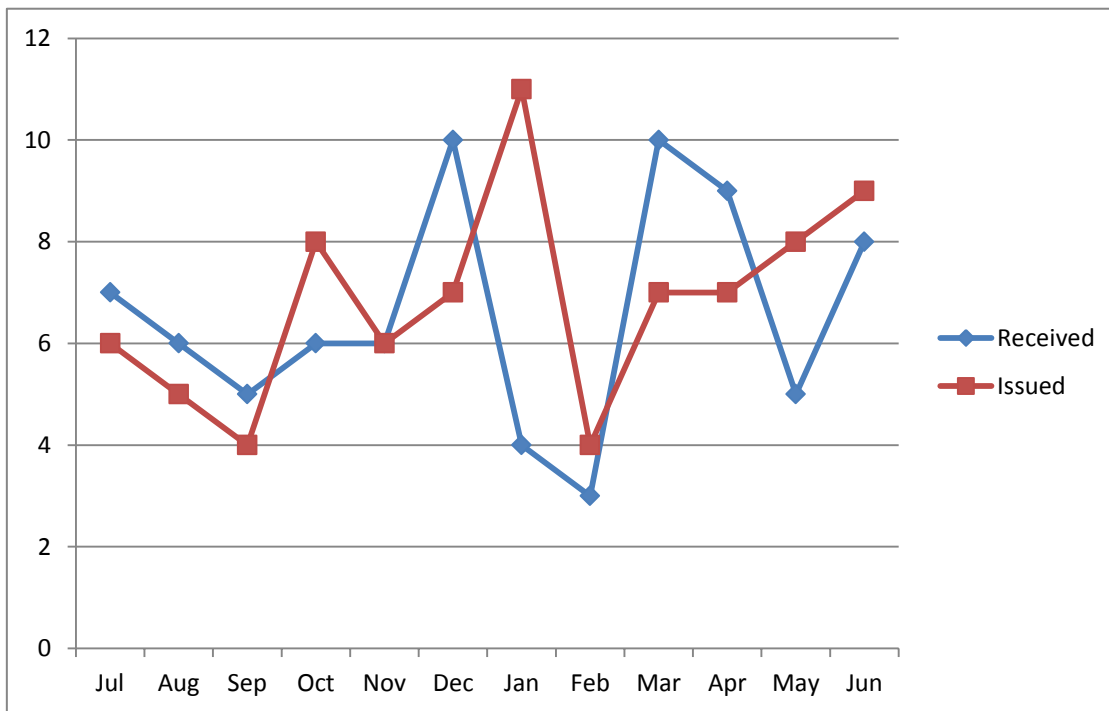
**Registered Dispensing Optician Applications**

		FY 2015-16												FY TOTAL
		Q1			Q2			Q3			Q4			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
RDOs	Received	3	6	14	8	6	4	4	9	12	11	4	2	83
	Issued	7	2	9	8	8	4	7	2	5	9	9	11	81
	Avg. Cycle Time (Days)	33	12	29	14	19	17	27	41	141	43	55	69	43
	Pending Apps	11	15	20	20	18	18	15	22	29	31	26	17	17



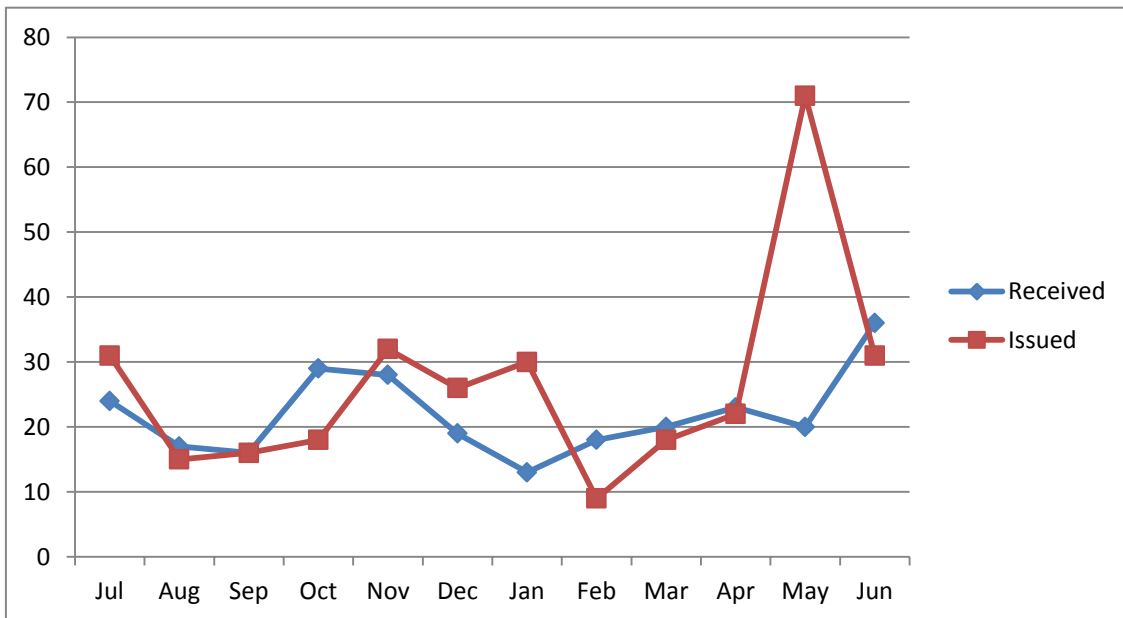
### Contact Lens Dispenser Applications

		FY 2015-16												FY TOTAL
		Q1			Q2			Q3			Q4			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
CLDs	Received	7	6	5	6	6	10	4	3	10	9	5	8	<b>79</b>
	Issued	6	5	4	8	6	7	11	4	7	7	8	9	<b>82</b>
	Avg. Cycle Time (Days)	96	19	30	34	13	15	36	26	27	32	36	43	<b>35</b>
	Pending Apps	14	15	16	14	14	17	10	9	12	14	11	10	<b>10</b>



### Spectacle Lens Dispenser Applications

FY 2015-16														
Q1			Q2			Q3			Q4			FY TOTAL		
Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun			
SLDs	Received	24	17	16	29	28	19	13	18	20	23	20	36	263
	Issued	31	15	16	18	32	26	30	9	18	22	71	31	319
	Avg. Cycle Time (Days)	50	21	47	52	13	16	60	26	48	44	25	51	40
	Pending Apps	112	114	114	125	121	114	97	106	108	109	58	63	63



### Non-Resident Contact Lens Dispenser Applications

FY 2015-16													
Q1			Q2			Q3			Q4			FY TOTAL	
Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun		
NRCLDS	Received	0	0	0	0	0	0	1	0	0	0	0	1
	Issued	0	0	0	0	0	0	0	0	1	0	0	1
	Avg. Cycle Time (Days)	0	0	0	0	0	0	0	0	63	0	0	63
	Pending Apps	1	1	1	1	1	1	1	2	2	1	1	1

### Optometrist License Renewals

Expire biannually on the last day of OD's birth month

		3rd Quarter (starting Jan. 19, 2016)			4th Quarter			FY Total
		Jan	Feb	Mar	Apr	May	Jun	
<b>OPT Renewals</b>	Received Paper	89	284	206	167	158	137	1041
	Received Online	15	64	122	138	161	188	688
	Avg. Cycle Time Paper(Days)	5	10	10	16	11	11	11
	Avg. Online Cycle Time (Days)	2	1	3	5	6	7	5

### Branch Office License Renewals

Expire annually on February 1.

		3rd Quarter (starting Jan. 19, 2016)			4th Quarter			FY Total
		Jan	Feb	Mar	Apr	May	Jun	
<b>BOL Renewals</b>	Received Paper	48	43	10	8	0	1	110
	Received Online	1	1	6	0	1	0	9
	Avg. Cycle Time Paper (Days)	5	14	10	32	0	19	11
	Avg. Online Cycle Time (Days)	1	1	1	0	1	0	1

### Statement of Licensure Renewals

Expire biannually on the last day of OD's birth month

		3rd Quarter (starting Jan. 19, 2016)			4th Quarter			FY Total
		Jan	Feb	Mar	Apr	May	Jun	
<b>SOL Renewals</b>	Received Paper	18	35	14	19	13	26	125
	Received Online	3	3	1	8	16	31	62
	Avg. Cycle Time Paper (Days)	5	10	6	6	7	8	7
	Avg. Online Cycle Time (Days)	2	1	13	29	12	35	25

### Fictitious Name Permit Renewals

Expire annually on January 31.

		3rd Quarter (starting Jan. 19, 2016)			4th Quarter			FY Total
		Jan	Feb	Mar	Apr	May	Jun	
<b>FNP Renewals</b>	Received Paper	146	67	125	7	1	1	347
	Received Online	4	2	12	3	0	0	21
	Avg. Cycle Time Paper (Days)	5	10	17	14	91	2	11
	Avg. Online Cycle Time (Days)	1	1	1	1	0	0	1

**Registered Dispensing Optician Renewals**

		1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FY Total
RDO	Received	51	23	37	15	11	26	23	22	24	39	46	59	376
	Avg. Cycle Time	37	88	49	51	68	126	82	47	85	51	55	31	66

**Contact Lens Dispenser Renewals**

		1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FY Total
CLD	Received	31	32	32	30	39	23	28	32	36	41	37	45	406
	Avg. Cycle Time	19	14	15	21	39	18	13	14	11	21	16	12	18

**Spectacle Lens Dispenser Renewals**

		1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FY Total
SLD	Received	68	70	70	68	88	72	76	70	83	89	61	118	933
	Avg. Cycle Time	27	18	11	14	24	15	15	29	15	33	29	11	21

**Non-Resident Contact Lens Dispenser Renewals**

		1st Quarter			2nd Quarter			3rd Quarter			4th Quarter			
		Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	FY Total
NRCLD	Received	0	0	0	0	0	0	1	0	1	0	1	0	3
	Avg. Cycle Time	0	300	0	0	0	0	0	13	3	0	0	0	124

# 0763 - State Board of Optometry

## Analysis of Fund Condition

8/11/2016

(Dollars in Thousands)

**2016 Budget Act****NOTE: \$1 Million Dollar General Fund Repayment Outstanding**

	*PY 2015-16	Budget Act CY 2016-17	BY 2017-18	BY + 1 2018-19
<b>BEGINNING BALANCE</b>	\$ 1,518	\$ 1,908	\$ 2,827	\$ 2,714
Prior Year Adjustment	\$ -	\$ -	\$ -	\$ -
Adjusted Beginning Balance	\$ 1,518	\$ 1,908	\$ 2,827	\$ 2,714
<b>REVENUES AND TRANSFERS</b>				
Revenues:				
125600 Other regulatory fees	\$ 28	\$ 63	\$ 63	\$ 63
125700 Other regulatory licenses and permits	\$ 160	\$ 152	\$ 152	\$ 152
125800 Renewal fees	\$ 1,687	\$ 1,597	\$ 1,597	\$ 1,597
125900 Delinquent fees	\$ 10	\$ 10	\$ 10	\$ 10
141200 Sales of documents	\$ -	\$ -	\$ -	\$ -
142500 Miscellaneous services to the public	\$ -	\$ -	\$ -	\$ -
150300 Income from surplus money investments	\$ 9	\$ 5	\$ 8	\$ 8
160400 Sale of fixed assets	\$ -	\$ -	\$ -	\$ -
161000 Escheat of unclaimed checks and warrants	\$ 2	\$ 2	\$ 2	\$ 2
161400 Miscellaneous revenues	\$ -	\$ -	\$ -	\$ -
Totals, Revenues	\$ 1,896	\$ 1,829	\$ 1,832	\$ 1,832
Transfers from Other Funds				
GF loan per item 1110-001-0763 BA of 2011 (repay)	\$ -	\$ 1,000	\$ -	\$ -
Totals, Revenues and Transfers	\$ 1,896	\$ 2,829	\$ 1,832	\$ 1,832
Totals, Resources	\$ 3,414	\$ 4,737	\$ 4,659	\$ 4,546
<b>EXPENDITURES</b>				
Disbursements:				
0840 State Controller (State Operations)	\$ -	\$ -	\$ -	\$ -
8880 Financial Information System for CA (State Operations)	\$ 3	\$ 3	\$ -	\$ -
1110 Program Expenditures (State Operations)	\$ 1,503	\$ -	\$ -	\$ -
1111 Program Expenditures (State Operations)	\$ -	\$ 1,907	\$ 1,945	\$ 1,984
Total Disbursements	\$ 1,506	\$ 1,910	\$ 1,945	\$ 1,984
<b>FUND BALANCE</b>				
Reserve for economic uncertainties	\$ 1,908	\$ 2,827	\$ 2,714	\$ 2,562
<b>Months in Reserve</b>	12.0	17.4	16.4	15.2

## NOTES:

- ASSUMES WORKLOAD AND REVENUE PROJECTIONS ARE REALIZED IN BY+1 AND ON-GOING.
- ASSUMES APPROPRIATION GROWTH OF 2% PER YEAR BEGINNING IN BY+1.
- ASSUMES INTEREST RATE AT 0.3%.
- BASED ON PRELIMINARY FISCAL MONTH 13\*

**BOARD OF OPTOMETRY - FUND 0763  
BUDGET REPORT  
FY 2015-16 EXPENDITURE PROJECTION**

**FM 12**

OBJECT DESCRIPTION	FY 2014-15		FY 2015-16				
	ACTUAL EXPENDITURES	PRIOR YEAR EXPENDITURES	BUDGET STONE	CURRENT YEAR EXPENDITURES	PERCENT SPENT	PROJECTIONS TO YEAR END	UNENCUMBERED BALANCE
	(MONTH 13)	6/30/2015	15-16	6/30/2016			
<b>PERSONNEL SERVICES</b>							
Salary & Wages (Staff)	434,990	434,990	464,000	373,947	81%	374,416	89,584
Statutory Exempt (EO)	71,550	71,550	82,000	65,840	80%	65,840	16,160
Temp Help Reg (907)	72,094	68,314	41,000	43,830	107%	97,813	(56,813)
Temp Help (Exam Proctors)							0
Board Member Per Diem	13,900	12,500	7,000	7,300	104%	13,000	(6,000)
Committee Members (DEC)							0
Overtime	4,830	4,830		2,348		3,400	(3,400)
Staff Benefits	244,711	244,388	303,000	214,492	71%	214,761	88,239
<b>TOTALS, PERSONNEL SVC</b>	<b>842,075</b>	<b>836,572</b>	<b>897,000</b>	<b>707,757</b>	<b>79%</b>	<b>769,230</b>	<b>127,770</b>
<b>OPERATING EXPENSE AND EQUIPMENT</b>							
General Expense	8,909	8,907	16,000	9,497	59%	10,400	5,600
Fingerprint Report	4,009	3,308	5,000	4,389	88%	5,000	0
Minor Equipment	2,989	2,989	12,000	1,146	10%	1,146	10,854
Printing	1,808	1,803	8,000	5,946	74%	5,946	2,054
Communications	3,665	3,665	5,000	2,549	51%	2,800	2,200
Postage	16,336	15,066	11,000	9,547	87%	10,400	600
Insurance			0				0
Travel In State	41,225	38,273	8,000	28,191	352%	40,000	(32,000)
Travel, Out-of-State			0	589		2,000	(2,000)
Training	350	0	1,000	563	56%	563	437
Facilities Operations	111,133	111,105	59,000	111,349	189%	112,000	(53,000)
Utilities			0				0
C & P Services - Interdept.	2	2	3,000	97	3%	97	2,903
C & P Services - External	16,205	30,465	15,000	11,118		17,438	(2,438)
<b>DEPARTMENTAL SERVICES:</b>							
OIS Pro Rata	176,558	180,901	246,000	246,000	100%	246,000	0
Admin Pro Rata	118,209	118,209	128,000	128,000	100%	128,000	0
Interagency Services	0	0	0			0	0
IA w/ OPES	24,784	24,784	0	24,784		24,784	(24,784)
DOI-Pro Rata	3,562	4,128	3,000	3,000	100%	3,000	0
Public Affairs Pro Rata	3,131	3,131	8,000	8,000	100%	8,000	0
PPRD Pro Rata	3,993	4,119	0			0	0
<b>INTERAGENCY SERVICES:</b>							
Consolidated Data Centers	335	315	5,000	613	12%	613	4,387
DP Maintenance & Supply	1,990	1,990	1,000	3,378	338%	3,378	(2,378)
Statewid Pro Rata	82,909	82,909	101,000	101,246	100%	101,000	0
<b>EXAM EXPENSES:</b>							
Exam Supplies			0				0
Exam Freight	0	0	484	0	0%	0	484
Exam Site Rental			0				0
C/P Svcs-External Expert Administrative	98	98	0	49		49	(49)
C/P Svcs-External Expert Examiners	0	0	20,516	0	0%	0	20,516
C/P Svcs-External Subject Matter	15,200	14,700	0	1,344		15,200	(15,200)
<b>ENFORCEMENT:</b>							
Attorney General	149,353	149,353	229,000	74,098	32%	150,000	79,000
Office Admin. Hearings	32,318	32,318	38,000	17,570	46%	32,500	5,500
Court Reporters	3,098	2,298		572		3,000	(3,000)
Evidence/Witness Fees	8,904	8,404	16,000	920	6%	9,000	7,000
DOI - Investigations	149,358	153,458	0			0	0
Major Equipment	0		5,000		0%	0	5,000
Other Items of Expense	58	58	0			20,000	(20,000)
Vehicle Operations			0				0
<b>TOTALS, OE&amp;E</b>	<b>980,489</b>	<b>996,755</b>	<b>944,000</b>	<b>794,555</b>	<b>84%</b>	<b>952,314</b>	<b>(8,314)</b>
<b>TOTAL EXPENSE</b>	<b>1,822,564</b>	<b>1,833,327</b>	<b>1,841,000</b>	<b>1,502,312</b>	<b>163%</b>	<b>1,721,544</b>	<b>119,456</b>
Reimb. - State Optometry Fund							0
Sched. Reimb. - Fingerprints	(3,871)	(3,871)	(6,000)	(4,966)	83%	(6,000)	0
Sched. Reimb. - Other	(3,760)	(3,760)		(2,350)			0
Probation Monitoring Fee - Variable	(17,633)	(17,633)		(9,700)			0
Unsched. Reimb. - Investigative Cost Recovery	(43,913)	(43,913)		(22,875)			0
Unsch. - DOI ICR Administrative Case				(32)			0
Unsched. Reimb. - ICR - Prob Monitor							0
<b>NET APPROPRIATION</b>	<b>1,753,387</b>	<b>1,764,150</b>	<b>1,835,000</b>	<b>1,462,389</b>	<b>80%</b>	<b>1,715,544</b>	<b>119,456</b>
<b>SURPLUS/(DEFICIT):</b>							<b>6.5%</b>



Board of Optometry - OPT  
 Attorney General Expenditures - FY 2015-2016  
 DOJ Customer Number 003581 - Enforcement (Group Code 9077)

		<u>Number of Hours</u>	<u>Rate</u>	<u>Amount</u>
July	Attorney Services	19.75	\$170.00	\$3,357.50
	Paralegal Services	2.75	\$120.00	\$330.00
				<u>\$3,687.50</u>
August	Attorney Services	8.00	\$170.00	\$1,360.00
	Paralegal Services	0.00	\$120.00	\$0.00
				<u>\$1,360.00</u>
September	Attorney Services	57.50	\$170.00	\$9,775.00
	Paralegal Services	0.25	\$120.00	\$30.00
				<u>\$9,805.00</u>
October	Attorney Services	65.25	\$170.00	\$11,092.50
	Paralegal Services	2.75	\$120.00	\$330.00
				<u>\$11,422.50</u>
November	Attorney Services	37.75	\$170.00	\$6,417.50
	Paralegal Services	2.75	\$120.00	\$330.00
				<u>\$6,747.50</u>
December	Attorney Services	49.00	\$170.00	\$8,330.00
	Paralegal Services	0.75	\$120.00	\$90.00
				<u>\$8,420.00</u>
January	Attorney Services	53.00	\$170.00	\$9,010.00
	Paralegal Services	1.75	\$120.00	\$210.00
				<u>\$9,220.00</u>
February	Attorney Services	7.75	\$170.00	\$1,317.50
	Paralegal Services	3.50	\$120.00	\$420.00
				<u>\$1,737.50</u>
March	Attorney Services	45.75	\$170.00	\$7,777.50
	Paralegal Services	1.00	\$120.00	\$120.00
				<u>\$7,897.50</u>
April	Attorney Services	25.00	\$170.00	\$4,250.00
	Paralegal Services	4.75	\$120.00	\$570.00
				<u>\$4,820.00</u>

May	Attorney Services	26.50	\$170.00	\$4,505.00
	Paralegal Services	1.25	\$120.00	<u>\$150.00</u>
				<u>\$4,655.00</u>
June	Attorney Services	23.50	\$170.00	\$3,995.00
	Paralegal Services	2.75	\$120.00	<u>\$330.00</u>
				<u>\$4,325.00</u>
<b>FYTD Total =</b>				<b>\$74,097.50</b>

Board of Optometry - RDO Program  
Attorney General Expenditures - FY 2015-2016  
DOJ Customer Number 003577 - Enforcement (Group Code 9188)

		<u>Number of Hours</u>	<u>Rate</u>	<u>Amount</u>
July	Attorney Services	18.75	\$170.00	\$3,187.50
	Paralegal Services	1.75	\$120.00	\$210.00
				<u>\$3,397.50</u>
August	Attorney Services	21.25	\$170.00	\$3,612.50
	Paralegal Services	0.25	\$120.00	\$30.00
	Auditor/Analyst Services	1.25	\$99.00	\$123.75
				<u>\$3,766.25</u>
September	Attorney Services	21.50	\$170.00	\$3,655.00
	Paralegal Services	0.00	\$120.00	\$0.00
	Auditor/Analyst Services	2.25	\$99.00	\$222.75
				<u>\$3,877.75</u>
October	Attorney Services	5.50	\$170.00	\$935.00
	Paralegal Services	0.25	\$120.00	\$30.00
				<u>\$965.00</u>
November	Attorney Services	2.25	\$170.00	\$382.50
	Paralegal Services	0.00	\$120.00	\$0.00
	Auditor/Analyst Services	0.50	\$99.00	\$49.50
	Special Agent	0.00	\$120.00	\$0.00
	Cost of Suit			\$0.00
				<u>\$432.00</u>
December	Attorney Services	2.50	\$170.00	\$425.00
	Paralegal Services	0.25	\$120.00	\$30.00
				<u>\$455.00</u>
January	Attorney Services	19.50	\$170.00	\$3,315.00
	Paralegal Services	0.00	\$120.00	\$0.00
	Auditor/Analyst Services	0.50	\$99.00	\$49.50
				<u>\$3,364.50</u>
February	Attorney Services	12.25	\$170.00	\$2,082.50
	Paralegal Services	0.50	\$120.00	\$60.00
				<u>\$2,142.50</u>
March	Attorney Services	12.50	\$170.00	\$2,125.00

	Paralegal Services	0.25	\$120.00	<u>\$30.00</u>
				\$2,155.00
April	Attorney Services	12.25	\$170.00	\$2,082.50
	Paralegal Services	0.00	\$120.00	<u>\$0.00</u>
				\$2,082.50
May	Attorney Services	12.50	\$170.00	\$2,125.00
	Paralegal Services	3.25	\$120.00	<u>\$390.00</u>
				\$2,515.00
June	Attorney Services	7.75	\$170.00	\$1,317.50
	Paralegal Services	0.25	\$120.00	<u>\$30.00</u>
				\$1,347.50
			<b>FYTD Total =</b>	<b>\$26,500.50</b>

## Board of Optometry Strategic Plan Schedule

Approved on \_\_\_\_\_

Task		Due Dates
<b>Preliminary Meeting</b>	SOLID works with EO to gather information about the Board of Optometry and discuss the strategic planning methodology.	<b>1 hour meeting week of 9/26/16</b>
<b>Determine stakeholders</b>	Board to determine stakeholders and create an email contact list for the online survey. Board to send online survey invitation to all stakeholders. SOLID to draft email invitation to stakeholders for use by the Board.	<b>Weeks of 9/26/16 and 10/3/16</b>
<b>Board Member Interviews</b>	SOLID will send EO a draft of the email invitation to be sent to Board members in preparation for the individual phone interviews.	<b>10/3/16 – 10/14/16</b>
<b>EO Interview</b>	SOLID interviews EO.	<b>1 hour meeting week of 10/3/16</b>
<b>Staff Focus Group (or online survey)</b>	SOLID conducts on one 4-hour staff focus group in HQ2 training room.	<b>Week of 10/10/16</b>
<b>Compile Results for Review</b>	Upon completion of interviews, focus group, and survey, SOLID will compile and analyze the data and produce an environmental scan outlining the Board's strengths, weakness, opportunities, and threats. The final Environmental Scan will be the foundation during the strategic planning session to develop objectives within each of the Board's goal areas.	<b>10/17/16 – 10/28/16</b>
<b>Send Draft Environmental Scan to EO</b>	SOLID will email a DRAFT of the Scan to EO for review. SOLID makes edits as needed	<b>10/31/16 – 11/4/16</b>
<b>EO Emails Scan to Board and Legal</b>	Scan and worksheet will be emailed from EO to Board with suggested email text from SOLID. Board of Optometry Legal Counsel should also receive a copy and a meeting invite to the session.	<b>One week prior to planning session</b>
<b>Pre-Session Review</b>	EO meets with planner to review materials, sequence of PowerPoint, and seating chart in the room where session will be held.	<b>Mid November</b>
<b>Planning Session</b>	SOLID will facilitate the strategic plan development session with Board members. Through discussion, our purpose is to highlight review the trends identified from the surveys, interviews, and focus group to establish objectives for the Board's new strategic plan. During the planning session the Board will also develop/revise the Board's mission statement, vision statement, and values.	<b>Full day in December 2016</b>
<b>Update Strategic Plan</b>	SOLID will use information gathered at planning session to update Board's strategic plan. A comprehensive draft will be sent to EO for review by target due date.	<b>December 2016</b>
<b>Present Strategic Plan</b>	Strategic plan is reviewed and adopted by Board. Board may decide to work with DCA's Publications, Design, and Editing (PDE) team to have the plan professionally designed.	<b>TBD</b>
<b>Action Planning Session</b>	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.	<b>TBD</b>