



MEMORANDUM

DATE	August 7, 2022
TO	Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
FROM	Paul Sanchez, Executive Officer
SUBJECT	Agenda Item 5: Executive Officer Report

This report and the statistical information provided by staff is to update you on the current operations of the Board.

a) **Administration Update**

Staffing – The Board has experienced delays in backfilling the analyst position created by the Business Modernization project workload due to several administrative setbacks. We are in the process of reclassifying the position to help with recruitment.

b) **Outreach Update**

On July 18, 2022, the Executive Officer provided a presentation to students from Sacramento State's AuD program on the importance of licensing and the role of the Board. The presentation was given at the university's new, state-of-the art Audiology Clinic and a tour of the facilities was provided by faculty. Topics covered included an overview of the Board, the importance of a license, and the application process for licensure and examinations. The presentation concluded with a discussion on enforcement and how the Board conducts investigations and administers discipline when warranted.

c) **Budget Report**

Included in your Board materials is the most recent Expenditure Projection Report (Item 5c). This report reflects fiscal activity through May 31, 2022 and is based on data provided by DCA's Budgets Office. Budgets will reconcile the final figures in the expenditure report as they review and reconcile final budget reports. As of the date of

this report, the Board projects a significant surplus and reversion of over 22 percent, approximately \$800k. This surplus is mostly due to the funds awarded to the Board through the Technology Modernization Fund and savings related to the BizMod project.

Also included in your materials is the Board’s current fund condition report. This report is a snapshot of the fund condition and will continue to be adjusted to reflect this year’s complete revenue and expenditures.

d) Regulations Report

Below is a table with the Board’s pending rulemaking files that are either in the DCA Initial Review Process or in the Official Rulemaking Process with the Office of Administrative Law. A separate detailed report (Agenda Item 12) is provided in your materials and will be discussed during the full Board meeting.

Rulemaking File	Final OAL Filing Date	Status	Comments
AB 2138: Criminal Conviction Substantial Relationship and Rehabilitation Criteria	3/5/2021	5/7/2021 – Approved by OAL 11/18/2020 – Submitted to OAL 10/12/2020 – Submitted for Agency review 10/8/2020 – Submitted for DCA review 7/6/2020 – 15-day comment period 6/30/2020 – Board approved modified text 3/6/2020 – Initial 45-day comment period 12/31/2019 – Submitted for Agency review 7/30/2019 – Submitted for DCA review 4/30/2019 – Submitted for Legal review 4/11/2019 – Board approved language	Regulations effective 5/7/2021

Rulemaking File	Final OAL Filing Date	Status	Comments
Speech-Language Pathology and Audiology Fees	8/6/2021	6/29/2021 – Approved by OAL 4/7/2021 – Submitted to OAL 12/28/2020 – Submitted for Agency review 12/18/2020 – Submitted for DCA review 8/7/2020 – Initial 45-day comment period 6/1/2020 – Submitted for Agency review 1/23/2020 – Submitted for DCA review 10/8/2019 – Submitted for Legal review 7/19/2019 – Board approved language	Regulations effective 7/1/2021; new fees implemented 11/1/2021
Board Location		5/17/2022 – Approved by OAL 5/11/2022 – Board withdrew sections 1399.113, 1399.151.1, and 1399.170.13 4/8/2022 – Submitted to OAL 3/17/2022 – Submitted for Legal review 10/8/2021 – Board approved language	Regulations effective 7/1/2022
Required Professional Experience Direct Supervision Requirements and Tele-Supervision	8/4/2023	8/5/2022 – Initial 45-day comment period 6/13/2022 – Submitted for Agency review 4/5/2022 – Submitted for DCA review 5/17/2021 – Submitted for Legal review 5/14/2021 – Board approved language	Public comment period ends September 20, 2022
Uniform Standards Related to Substance-Abusing Licensees		3/24/2022 – Submitted for Legal review 8/13/2021 – Board approved language	
Notice to Consumer		3/24/2022 – Submitted for Legal review 2/25/2022 – Board approved language	
SLPA Supervision Requirements		5/13/2022 – Board approved language	Board staff drafting regulatory documents

Rulemaking File	Final OAL Filing Date	Status	Comments
Examination Requirements for Hearing Aid Dispensers and Dispensing Audiologists		5/13/2022 – Board approved language	Board staff drafting regulatory documents
Fingerprinting Requirements		5/13/2022 – Board approved language	Board staff drafting regulatory documents

e) Licensing Report

Licensing Cycle Times – The chart below provides a snapshot of Board’s current and past licensing cycle times. The Board is still in its peak licensing season and seeing an increase in cycle times for application processing. We expect these cycle times to continue for the next few months. The Board’s processing timeframes are regularly updated on the Board’s website under the Application/Registrant Tab.

Licensing Cycle Times	8/1/21	10/1/21	2/1/22	5/1/22	8/1/22
Speech-Language Pathologists (SLP) and Audiologists (AUD) Complete Licensing Applications	7 weeks	9 weeks	4 weeks	4 weeks	6 weeks
Review and Process SLP and AUD Supporting Licensing Documents	5 weeks	6 weeks	3 weeks	3 weeks	4 weeks
Review and Process RPE Applicant’s Verification Forms for Full Licensure	8 weeks	8 weeks	4 weeks	3 weeks	5 weeks
Hearing Aid Dispensers (HAD) Applications	Current	Current	Current	3 weeks	4 weeks

f) Practical Examination Report

Practical examinations were conducted in May and July 2022. The summary of May’s results is provided in the table below. Results for the July examination will be provided at the next Board meeting.

HAD Practical Examination Results for May 21, 2022					
Candidate Type	Number of Candidates	Passed	%	Failed	%
Applicants with Supervision (Temporary Trainee License)					
Hearing Aid Dispensers	4	2	50%	2	50%
Audiologists	2	0	0%	2	100%
Required Professional Experience					
Aide					
Applicants Licensed in Another State (Temporary License)					
Hearing Aid Dispenser	1	0	0%	1	100%
Audiologist					
Applicants without Supervision					
Hearing Aid Dispensers					
Audiologists	2	1	50%	1	50%
Required Professional Experience	4	3	75%	1	25%
Total Number of Candidates					
	13	6	46%	7	54%

g) Enforcement Report

The Board received 127 complaints and subsequent arrest notifications through the fourth quarter of the 2021-22 reporting year. During this same period the Board has issued seven (7) citations and fines. The number of complaints and subsequent arrest notifications have declined in the past two years compared to previous years.

There are currently ten (10) formal discipline cases pending with the Attorney General's Office. The Board is currently monitoring 18 probationers of which four (4) probationers require drug or alcohol testing and six (6) are in a tolled status. Included in your Board materials (Item 5g) is the Board's statistical Enforcement report.

The following disciplinary actions have been adopted by the Board during the past 12 months:

Name	License No.	License Type	Case No.	Effective Date	Action Taken
Arreola, Diana	SPA 5384	Speech-Language Pathology Assistant	11-2019-177	June 2, 2022	Voluntary Surrender of License
Brasier, Carley Amara Green	SP 20434	Speech-Language Pathologist	11-2018-222	May 28, 2022	Revocation Stayed, Five Years' Probation with Specified Terms and Conditions
Lilly, Alice Penelope	HA 8322	Hearing Aid Dispenser	1C-2018-168	May 6, 2022	Revocation Stayed, Three Years' Probation with Specified Terms and Conditions
Colbert, Michael	HA 5026	Hearing Aid Dispenser	1C-2018-081	May 1, 2022	Voluntary Surrender of License
Long, Wayne Erwin	HA 7793	Hearing Aid Dispenser	1C-2017-019	December 3, 2021	Revocation of License
Lindahl, Holli Jolette	SPA 1981	Speech-Language Pathologist	11-2019-154	December 2, 2021	Revocation of License
Avina, Arturo Frank	SP 27490	Speech-Language Pathologist	11-2019-032	September 26, 2021	Revocation Stayed, Five Years' Probation with Specified Terms and Conditions
Rios, Keith Eric	HA 5058	Hearing Aid Dispenser	1C-2010-155	September 10, 2021	Probation extended seven years, actual suspension, ordered to pay cost recovery.
Jackson, Alisa	SPA 6731	Speech-Language Pathology Assistant	11-2019-124	August 1, 2021	Revocation stayed, actual suspension, three years probation with specified terms and conditions.

Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board - 0376

FY 2021-22 BUDGET REPORT

August 12, 2022 Board Meeting

FM 11

OBJECT DESCRIPTION	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21	FY 2021-22				
	ACTUAL EXPENDITURES (MONTH 13)	ACTUAL EXPENDITURES (MONTH 13)	ACTUAL EXPENDITURES (MONTH 13)	ACTUAL EXPENDITURES (Prelim FM13)	GOVERNOR'S BUDGET 2021-22	CURRENT YEAR EXPENDITURES 05.31.2022	PERCENT SPENT	PROJECTIONS TO YEAR END	UNENCUMBERED BALANCE
PERSONNEL SERVICES									
Salary & Wages (Staff)	478,930	525,967	601,545	599,726	794,000	677,064	85%	748,177	45,823
Statutory Exempt (EO)	91,296	94,944	98,268	92,318	82,000	97,032	118%	105,879	(23,879)
Temp Help	8,446	224	64,729	38,449	1,000	46,994	4699%	52,082	(51,082)
Board Member Per Diem	5,100	4,700	4,600	1,700	6,000	5,100	85%	5,100	900
Overtime/Flex Elect	19,003	36,663	55,901	54,620	5,000	56,935	1139%	56,935	(51,935)
Staff Benefits	309,624	332,488	434,247	418,932	484,000	446,243	92%	493,300	(9,300)
TOTALS, PERSONNEL SVC	912,400	994,986	1,259,290	1,205,746	1,372,000	1,329,368	97%	1,461,472	89,472
OPERATING EXPENSE AND EQUIPMENT									
General Expense	42,122	34,923	48,858	67,144	68,000	63,387	93%	67,026	975
Sched. Reimb. - Fingerprints	(31,000)	(33,143)	(31,000)	(45,276)	28,000	30,853	110%	33,658	(5,658)
Printing	9,772	10,587	11,227	19,251	28,000	38,107	136%	38,268	(10,268)
Communication	6,228	5,986	7,072	7,482	21,000	2,709	13%	3,251	17,749
Postage	25,482	19,259	7,155	1,725	12,000	4,108	34%	4,108	7,892
Insurance	20	4,040	25	158	0	22	0%	24	(24)
Travel In State	15,163	5,210	13,115	9,148	30,000	10,853	36%	10,877	19,123
Training	0	0	7,088	0	9,000	0	0%	0	9,000
Facilities Operations	73,447	86,769	101,321	82,568	99,000	122,802	124%	133,892	(34,892)
C & P Services - Interdept.	38	49	52	70	75,000	82	0%	82	74,918
Attorney General	133,121	112,665	156,882	298,782	143,000	200,014	140%	200,014	(57,014)
Office Admin. Hearings	45,135	37,170	8,025	128,785	22,000	37,515	171%	37,515	(15,515)
C & P Services - External	82,277	71,696	73,529	79,957	768,000	59,560	8%	64,153	703,847
DCA Pro Rata	339,000	392,000	367,221	355,665	545,000	557,000	102%	557,000	(12,000)
DOI - Investigations	153,000	200,000	200,908	32,198	121,000	121,000	100%	121,000	0
Interagency Services	0	0	0	2,196	29,000	82	0%	82	28,918
IA w/ OPES	0	500	67,039	24,264	60,000	29,692	49%	47,009	12,991
Consolidated Data Center	3,258	195	4,971	14,553	17,000	16,889	99%	23,707	(6,707)
Information Technology	1,240	2,013	431	5,210	171,000	6,017	4%	6,017	164,983
Equipment	3,220	0	15,400	30,670	5,000	3,231	65%	3,231	1,769
Other - Clothing & Pers Supp		0			0	0	0%	0	0
Other Items of Expense		0	113,356	2,553	0	1,626	0%	1,626	(1,626)
Other (Vehicle Operations)		0		0	0	0	0%	0	0
TOTALS, OE&E	1,001,524	1,199,919	1,172,675	1,117,103	2,223,000	1,219,664	55%	1,318,881	904,119
TOTAL EXPENSE	1,913,924	2,194,905	2,431,965	2,322,849	3,595,000	2,549,032	71%	2,780,353	814,647
SURPLUS/(DEFICIT):									22.66%

	PY 2020-21	CY 2021-22	BY 2022-23	BY +1 2023-24	BY +2 2024-25
BEGINNING BALANCE	\$ 1,853	\$ 1,545	\$ 1,090	\$ 1,403	\$ 1,663
Prior Year Adjustment	\$ -35	\$ 0	\$ 0	\$ 0	\$ 0
Adjusted Beginning Balance	\$ 1,818	\$ 1,545	\$ 1,090	\$ 1,403	\$ 1,663
REVENUES, TRANSFERS AND OTHER ADJUSTMENTS					
Revenues					
4121200 - Delinquent fees	\$ 29	\$ 31	\$ 27	\$ 27	\$ 27
4127400 - Renewal fees	\$ 1,766	\$ 2,005	\$ 2,289	\$ 2,289	\$ 2,289
4129200 - Other regulatory fees	\$ 37	\$ 67	\$ 36	\$ 36	\$ 36
4129400 - Other regulatory licenses and permits	\$ 361	\$ 440	\$ 529	\$ 529	\$ 529
4163000 - Income from surplus money investments	\$ 10	\$ 4	\$ 6	\$ 25	\$ 27
4171400 - Escheat of unclaimed checks and warrants	\$ 5	\$ 4	\$ 8	\$ 8	\$ 8
4172500 - Miscellaneous revenues	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
Totals, Revenues	\$ 2,208	\$ 2,551	\$ 2,895	\$ 2,914	\$ 2,916
Totals, Transfers and Other Adjustments	\$ 0	\$ 0	\$ 0	\$ 0	\$ 0
TOTALS, REVENUES, TRANSFERS AND OTHER ADJUSTMENTS	\$ 2,208	\$ 2,551	\$ 2,895	\$ 2,914	\$ 2,916
TOTAL RESOURCES	\$ 4,026	\$ 4,096	\$ 3,985	\$ 4,317	\$ 4,579
Expenditures:					
1111 Department of Consumer Affairs Regulatory Boards, Bureaus, Divisions (State Operations)	\$ 2,304	\$ 2,728	\$ 2,400	\$ 2,472	\$ 2,546
Chapter 16, Statutes of 2020 (AB 84)	\$ 0	\$ 82	\$ 0	\$ 0	\$ 0
9892 Supplemental Pension Payments (State Operations)	\$ 38	\$ 38	\$ 38	\$ 38	\$ 38
9900 Statewide General Administrative Expenditures (Pro Rata) (State Operations)	\$ 139	\$ 158	\$ 144	\$ 144	\$ 144
TOTALS, EXPENDITURES AND EXPENDITURE ADJUSTMENTS	\$ 2,481	\$ 3,006	\$ 2,582	\$ 2,654	\$ 2,728
FUND BALANCE					
Reserve for economic uncertainties	\$ 1,545	\$ 1,090	\$ 1,403	\$ 1,663	\$ 1,851
Months in Reserve	6.2	5.1	6.3	7.3	8.1

NOTES:

Assumes workload and revenue projections are realized in BY +1 and ongoing.
Expenditure growth projected at 3% beginning BY +1.
Expenditures General Salary 4.55% increase.

Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board

LICENSES ISSUED	FY	FY	FY	FY	FY	FY	FY
	15/16	16/17	17/18	18/19	19/20	20/21	21/22
							QTR 4
AU	48	53	77	63	63	71	79
DAU	26	24	30	35	31	23	28
AUT	0	0	2	4	3	1	4
SLP	1,352	1,457	1,482	1,446	1,444	1,621	1,782
SPT	0	0	0	0	0	0	1
SLPA	606	501	558	602	615	505	649
RPE	834	897	945	977	1,059	1,039	1,177
AIDE	44	44	33	32	44	22	44
PDP	22	21	20	15	5	13	14
HAD Permanent	140	120	137	135	95	55	108
HAD Trainee	180	152	169	156	116	93	124
HAD Licensed in Another State	16	16	20	17	12	11	22
HAD Branch	407	315	341	333	312	249	263
TOTAL LICENSES ISSUED	3,675	3,600	3,814	3,815	3,799	3,703	4,295

LICENSEE POPULATION	FY	FY	FY	FY	FY	FY	FY
	15/16	16/17	17/18	18/19	19/20	20/21	21/22
							QTR 4*
AU	556	698	720	831	837	830	869
DAU	1,045	1,211	1,246	1,334	1,384	1,375	1,416
<i>Both License Types</i>	<i>1,601</i>	<i>1,909</i>	<i>1,966</i>	<i>2,165</i>	<i>2,221</i>	<i>2,205</i>	<i>2,285</i>
AUT	0	0	2	4	7	8	8
SLP	14,860	18,024	19,161	21,374	22,527	23,309	24,894
SPT	0	0	0	0	0	0	1
SLPA	2,795	3,752	4,118	4,822	5,297	5,538	5,962
RPE	806	1,174	1,232	1,364	1,595	1,626	1,740
AIDE	133	235	216	245	273	290	306
HAD	996	1,179	1,266	1,380	1,407	1,398	1,439
HAD Trainees	158	238	204	214	237	243	267
HAD Licensed in Another State	18	18	28	31	42	47	66
HAD Branch Office	963	1,409	1,297	1,347	1,401	1,411	1,429
TOTAL LICENSEES	22,330	27,938	29,490	32,946	35,007	36,075	38,397

* Data as of August 3, 2022

Legend:

AU = Audiologist

DAU = Dispensing Audiologist

AUT = Audiologist Temporary

HAD = Hearing Aid Dispenser

RPE = Required Professional Experience

PDP = Continuing Professional Development

SLP = Speech-Language Pathologist

SPT = Speech-Language Pathologist Temporary

SLPA = Speech-Language Pathology
Assistant

Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board
Enforcement Report

COMPLAINTS AND CONVICTIONS	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Complaints Received	329	158	164	91	79
Convictions Received	128	124	103	45	48
Average Days to Intake	2	1	1	5	7
Closed	10	5	17	2	0
Pending	1	1	1	6	0

INVESTIGATIONS Desk	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Assigned	446	273	260	131	131
Closed	388	188	189	193	178
Average Days to Complete	102	148	222	380	598
Pending	126	198	260	198	132

INVESTIGATIONS DOI	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Assigned	17	13	9	0	1
Closed	19	12	10	8	6
Average Days to Complete	462	752	770	839	1,372
Pending	19	20	19	11	2

ALL TYPES OF INVESTIGATIONS	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Closed w/o Discipline Referral	386	183	181	187	178
Cycle Time - No Discipline	115	184	251	368	491

CITATIONS/CEASE & DESIST	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Citations Issued	26	16	11	6	7
Avg Days to Citation & Fine	82	155	336	429	1,138
Cease & Desist Letters Issued	3	1	0	2	0

ATTORNEY GENERAL CASES	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Pending at the AG	22	21	23	21	10
Accusations Filed	5	4	8	8	5
Statement of Issue (SOI) Filed	2	5	1	2	0
Accusation Withdrawn, Dismissed, Declined	4	3	1	0	1
SOI Withdrawn, Dismissed, Declined	0	4	1	0	0
Average Days to Discipline	780	1,741	824	2,245	1,362

Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board
Enforcement Report

ATTORNEY GENERAL FINAL OUTCOME	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR	FISCAL YEAR
	2017-18	2018-19	2019-20	2020-21	Q4 2021-22
Probation Only	4	4	5	1	1
Surrender of License	3	1	3	3	2
License Denied (SOI)	3	2	1	0	1
Suspension & Probation	0	1	0	0	2
Revocation-No Stay of Order	3	1	3	2	4
Public Reprimand/Reproval	1	0	0	0	0

Note: All data provided uses complaint open date as the start to any "Days to" data provided in this report.