



## MEMORANDUM

DATE	June 30, 2020
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.

### **Administration/Personnel/Staffing**

Since late February, Board staff began working with DCA's IT department to create a platform and structure for staff to telework. All staff have worked on staggered in-office schedules and/or teleworked.

The Board office at 2005 Evergreen in Sacramento was closed to the public from March 20, 2020 to June 15, 2020. During that time more emphasis was placed on emails and telephone communications. In addition, Board staff developed and continue to maintain COVID-19 FAQs <https://www.speechandhearing.ca.gov/licensees/covid19.shtml>. Board staff also have developed interested party lists and are sending these groups email communications as needed. Board officer leadership has maintained communication channels with professional organizations and leaders in the professions we license including California Speech-Language Hearing Association, California Academy of Audiology, Hearing Healthcare Providers of California, California Council of Academic Programs in Communication Sciences and Disorders, California Special Education Local Plan Areas, and individual school program directors.

**Staffing** – The Board is recruiting for an Associate Governmental Program Analyst to handle legislation and regulations coordination. The recruitment of this position was delayed due to COVID-19 workload but will begin again in the coming weeks.

**New Board Member** – On May 14, 2020 the Governor appointed Holly Kaiser to the Board to fill the Speech-Language Pathologist position previously held by Patti Solomon-Rice. We are pleased to have Holly Kaiser on the Board. With her

appointment and the appointment of Tod Borges last Fall, the Board's vacant positions have been filled.

## **Budget**

Included in your Board materials is the most recent Expenditure Projection Report. This report reflects fiscal activity through May 31, 2020 and is based on data provided by DCA's Budgets Office. Based on this report, we project that the Board is on course to expend almost its entire budget with a reversion of less than two percent.

We will continue to monitor the budget closely and work with DCA Budgets to have more information on final projections and reversion amounts as we get closer to the end of the fiscal year.

**Budget Letter 20-11** – On April 30, 2020, the Department of Finance issued Budget Letter 20-11 which requires all state agencies and departments to take actions to reduce expenditures and identify operating savings. These required actions consist of the following:

- Leave Buy-Back – Cancellation of the annual leave buy back of accumulated vacation or annual leave in 2019-20 due to the fiscal emergency, including for excluded employees.
- New Goods and Services Contracts – Departments may not enter into any new service contracts, contracts or agreements to lease or purchase equipment, issue purchase orders for goods or services, or make changes to an existing contract if the change would increase costs, except purchases that directly support teleworking strategies, personal protective equipment and hand sanitizer, or other purchases necessary to reduce the spread of COVID-19, to respond to COVID-19, and to meet other time-sensitive critical needs.
- Travel – All non-essential travel has already been cancelled to prevent the spread of COVID-19. These restrictions will remain in place until further notice. State agencies and departments shall cancel all plans for non-essential travel, such as participation in seminars, conferences, and training both in state and out-of-state. Additional restrictions are under consideration.
- Hiring – Departments should use discretion when filling vacancies and assessing staffing needed to fill essential positions given the need to maintain flexibility in an environment of severely constrained resources.

Board staff have complied with the above referenced Budget Letter and will continue to work with DCA's Budgets Office to make necessary reductions in the coming fiscal year.

## Licensing and Examinations

Licensing Cycle Times – The chart below provides a snapshot of Board’s current and past licensing cycle times. Through the coordination efforts of Board staff we have been able to maintained licensing processing cycle times to less than 30 days for “complete” license applications.

Licensing Cycle Times	3/1/19	8/1/19	10/1/19	2/1/20	6/1/2020
SLP and Audiologists Complete Licensing Applications	1 week	4 weeks	4 weeks	2 weeks	3 weeks
Review and Process SLP and Audiologist Supporting Licensing Documents	1 week	2 weeks	9 weeks	3 weeks	1 weeks
Review and Process RPE Applicant’s Verification Forms for Full Licensure	1 week	3 weeks	4 weeks	3 weeks	2 weeks
Hearing Aid Dispensers Applications	Current	Current	Current	Current	Current

Practical Examination – The Practical Examination for April 25, 2020 and July 25, 2020 were postponed due to COVID-19 safety measures. Board staff is looking at ways to conduct examinations beginning late July 2020. We are currently working with Office of Professional Examinations and the Department of Consumer Affairs to ensure that we follow best practices and meet state and local COVID-19 safety guidelines.

## Enforcement

The Board has received 215 complaints and subsequent arrest notifications through the third quarter of the 2019-20 fiscal year. During this same period the Board has issued eight (8) citations and fines for mainly violations including unlicensed activity and false advertising. There are currently 17 formal discipline cases pending with the Attorney General’s Office. The Board is currently monitoring 26 probationers of which eight (8) probationers require drug or alcohol testing and five (5) are in a tolled status.

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
Hopkins, Dawn Marie	SP 12177	Speech-Language Pathologist	11-2015-063	May 15, 2020	Voluntary Surrender of License

<b>Name</b>	<b>License No.</b>	<b>License Type</b>	<b>Case No.</b>	<b>Effective Date</b>	<b>Action Taken</b>
Romero, Florence	SPA 1242	Speech-Language Pathology Assistant	11-2019-163	April 30, 2020	Revocation: Default Decision and Order
Geraci- Staub, Julianne	HA 7587	Hearing Aid Dispenser	1C-2019-76	March 7, 2020	Revocation: Default Decision and Order
Godinez, Andres	AU 2267	Audiologist	11-2015-077	November 1, 2019	Revocation stayed, five years probation with specified terms and conditions.
Korngut, Hershel Louis	AU 3177	Audiologist	11-2018-002	October 23, 2019	Revocation of license.
LaFavre, Scott Alexander	RPE 14058	Required Professional Experience	11-2018-248	September 29, 2019	Revocation stayed, four years probation with specified terms and conditions.
Trythall, Michael Ryan	AU 2225	Audiologist	11-2019-57	September 19, 2019	Reinstatement of surrendered license granted. Revocation stayed, seven years probation with specified terms and conditions.
Majdi, Shawn	HA 2653	Hearing Aid Dispenser	D1-2007-99	September 16, 2019	Voluntary surrender of license.
Kahlon, Jassica Kaur	SPA 4191	Speech-Language Pathology Assistant	11-2016-117	August 26, 2019	Revocation stayed, four years probation with specified terms and conditions.
Hopkins, Dawn Marie	SP 12177	Speech-Language Pathologist	11-2015-063	July 20, 2019	Revocation stayed, three years probation with specified terms and conditions.
Lee, Kwang Ho (Ken)	HA 7552	Hearing Aid Dispenser	1C-2012-062	June 12, 2019	Voluntary surrender of license.
Hernandez, Rachel V.	SP 24843	Speech-Language Pathologist	11-2018-013	March 20, 2019	Revocation stayed, five years probation with specified terms and conditions.
Hunter-Glover, Regina	SPA 5388	Speech-Language	11-2017-112	February 1, 2019	Revocation stayed, five years probation

Name	License No.	License Type	Case No.	Effective Date	Action Taken
		Pathology Assistant			with specified terms and conditions.
Vega, Paige Roschelle	SP 21885	Speech-Language Pathologist	D1-2014-070	September 10, 2018	Probation extended six months and ordered to pay prosecution costs.
Swanson, Robin	HA 3104	Hearing Aid Dispenser	D1-2012-98	September 13, 2018	Revocation stayed, actual suspension, four years probation with specified terms and conditions.
Krone, Elizabeth	HA 2662	Hearing Aid Dispenser	D1-2012-85	August 20, 2018	Revocation of license.
Geraci-Staub, Julianne	HA 7587	Hearing Aid Dispenser	1C 2015 006	July 18, 2018	Revocation stayed, three years probation with specified terms and conditions.

## Regulations

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.

Rulemaking File	Final Filing Date	Status	Comments
Criminal Conviction Substantial Relationship and Rehabilitation Criteria		<p>4/20/2020 – Public comment period ended</p> <p>3/6/2020 – Notice of Proposed Regulatory Action filed – Public comment period began.</p> <p>12/31/2019 – Submitted for Agency review</p> <p>7/30/2019 – Submitted for DCA review</p> <p>4/30/2019 – Submitted for Legal review</p> <p>4/15/2019 – Drafting Notice and ISOR</p> <p>4/11/2019 – Board approved language<sup>190</sup></p>	

Rulemaking File	Final Filing Date	Status	Comments
Speech-Language Pathology and Audiology Fees		6/1/2020 – Submitted to Agency for review 1/23/2020 – Submitted for DCA review 10/8/2019 – Submitted for Legal review 9/16/2019 – Drafting Notice and ISOR 7/19/2019 – Board approved language	Requires DCA and Agency review before publishing for 45-day comment period

**Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board - 0376**  
**FY 2019-20 BUDGET REPORT**  
 June 30, 2020 Board Meeting

FM 11

OBJECT DESCRIPTION	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20				
	ACTUAL EXPENDITURES (MONTH 13)	ACTUAL EXPENDITURES (MONTH 13)	ACTUAL EXPENDITURES (Prelim FM12)	Governor's BUDGET 2019-20	CURRENT YEAR EXPENDITURES 1.10.2020	PERCENT SPENT	PROJECTIONS TO YEAR END	UNENCUMBERED BALANCE
<b>PERSONNEL SERVICES</b>								
Salary & Wages (Staff)	463,473	478,930	525,967	645,000	549,805	85%	601,114	43,886
Temp Help	4,851	8,446	224	1,000	63,735	6374%	63,735	(62,735)
Statutory Exempt (EO)	87,141	91,296	94,944	82,000	90,079	110%	98,268	(16,268)
Board Member Per Diem	5,200	5,100	4,700	6,000	4,000	0%	4,000	2,000
Overtime/Flex Elect	17,204	19,003	36,663	5,000	49,609	992%	49,609	(44,609)
Staff Benefits	268,732	309,624	332,488	414,000	397,695	96%	431,542	(17,542)
<b>TOTALS, PERSONNEL SVC</b>	<b>846,601</b>	<b>912,400</b>	<b>994,986</b>	<b>1,153,000</b>	<b>1,154,923</b>	<b>100%</b>	<b>1,248,268</b>	<b>(95,268)</b>
<b>OPERATING EXPENSE AND EQUIPMENT</b>								
General Expense	53,024	42,122	34,923	74,000	41,462	56%	42,402	31,598
Printing	7,410	9,772	10,587	25,000	267	1%	11,227	13,773
Communication	5,297	6,228	5,986	20,000	4,599	23%	8,341	11,659
Postage	22,650	25,482	19,259	24,000	7,155	30%	7,155	16,845
Insurance	0	20	4,040	0	25	0%	4,040	(4,040)
Travel In State	36,347	15,163	5,210	24,000	12,005	50%	13,000	11,000
Training	450	0	0	9,000	460	5%	2,860	6,140
Facilities Operations	64,118	73,447	86,769	85,000	94,887	112%	102,280	(17,280)
Architect Revolving Fund	0	100,000	250,000	0	0	0%	0	0
C & P Services - Interdept.	0	38	49	24,000	57	0%	500	23,500
Attorney General	144,505	133,121	112,665	135,000	144,500	107%	171,144	(36,144)
Office Admin. Hearings	35,406	45,135	37,170	22,000	7,875	36%	8,973	13,027
C & P Services - External	104,386	82,277	71,696	70,000	49,909	71%	57,835	12,165
DCA Pro Rata	317,595	339,000	392,000	379,000	334,242	88%	379,000	0
DOI - Investigations	139,190	153,000	200,000	242,000	178,964	74%	223,877	18,123
Interagency Services	0	0	0	29,000	356	1%	356	28,644
IA w/ OPES	117,441	0	500	60,000	39,036	65%	66,672	(6,672)
Consolidated Data Center	484	3,258	195	10,000	4,971	50%	5,423	4,577
Information Technology	2,214	1,240	2,013	17,000	427	3%	470	16,530
Equipment	4,400	3,220	0	0	15,395	0%	15,400	(15,400)
<b>TOTALS, OE&amp;E</b>	<b>1,054,917</b>	<b>1,032,524</b>	<b>1,233,062</b>	<b>1,249,000</b>	<b>936,592</b>	<b>75%</b>	<b>1,120,955</b>	<b>128,045</b>
<b>TOTAL EXPENSE</b>	<b>1,901,518</b>	<b>1,944,924</b>	<b>2,228,048</b>	<b>2,402,000</b>	<b>2,091,515</b>	<b>87%</b>	<b>2,369,223</b>	<b>32,777</b>
Sched. Reimb. - Fingerprints	(31,000)	(31,000)	(33,143)	(31,000)	(27,508)	89%	(31,000)	0
Sched. Reimb. - Other	(2,000)	(2,000)	(3,055)	(2,000)	(19,279)	964%	(2,000)	0
Unsched. Reimb. - Other	(30,846)	0	(17,398)	0	0	0%	0	0
<b>NET APPROPRIATION</b>	<b>1,837,672</b>	<b>1,911,924</b>	<b>2,174,452</b>	<b>2,369,000</b>	<b>2,044,728</b>	<b>86%</b>	<b>2,336,223</b>	<b>32,777</b>
<b>SURPLUS/(DEFICIT):</b>								<b>1.4%</b>

Speech-Language Pathology & Audiology & Hearing Aid Dispensers Board

LICENSES ISSUED	FY14/15	FY15/16	FY16/17	FY17/18	FY 18/19	FY 19/20
						QTR 3
AU	89	48	53	77	63	42
DAU	UA	26	24	30	35	28
AUT	0	0	0	2	4	2
SLP	1,143	1,352	1,457	1,482	1,446	1,123
SPT	0	0	0	0	0	0
SLPA	550	606	501	558	602	517
RPE	836	834	897	945	977	936
AIDE	48	44	44	33	32	37
CPD	17	22	21	20	15	0
HAD Permanent	92	140	120	137	135	92
HAD Trainee	145	180	152	169	156	100
HAD Licensed in Another State	9	16	16	20	17	10
HAD Branch	426	407	315	341	333	271
<b>TOTAL LICENSES ISSUED</b>	<b>3,355</b>	<b>3,675</b>	<b>3,600</b>	<b>3,814</b>	<b>3,815</b>	<b>3,158</b>

LICENSEE POPULATION	FY14/15	FY15/16	FY16/17	FY17/18	FY 18/19	FY 19/20
			*	*	*	*QTR 3
AU	612	556	698	720	831	828
DAU	988	1,045	1,211	1,246	1,334	1,382
<i>Both License Types</i>	<i>1,600</i>	<i>1,601</i>	<i>1,909</i>	<i>1,966</i>	<i>2,165</i>	<i>2,210</i>
AUT	0	0	0	0	0	7
SLP	13,967	14,860	18,024	19,161	21,374	22,411
SPT	0	0	0	0	0	0
SLPA	2,343	2,795	3,752	4,118	4,822	5,229
RPE	802	806	1,174	1,232	1,364	1,542
AIDE	124	133	235	216	245	275
HAD	948	996	1,179	1,266	1,380	1,414
HAD Trainees	160	158	238	204	214	227
HAD Licensed in Another State	7	18	18	28	31	39
HAD Branch Office	821	963	1,409	1,297	1,347	1,387
<b>TOTAL LICENSEES</b>	<b>20,772</b>	<b>22,330</b>	<b>27,938</b>	<b>29,488</b>	<b>32,942</b>	<b>34,741</b>



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

	FISCAL YEAR 2016 - 2017		FISCAL YEAR 2017 - 2018		FISCAL YEAR 2018 - 2019		Quarter 3 2019 - 2020	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
<b>COMPLAINTS AND CONVICTIONS</b>								
Complaints Received	75	59	154	157	68	78	48	73
Convictions Received	15	84	24	101	31	90	10	84
Average Days to Intake	3	2	2	2	1	1	1	1
Closed	76	124	121	214	72	114	32	94
Pending	56	51	117	100	147	156	129	209

	FISCAL YEAR 2016 - 2017		FISCAL YEAR 2017 - 2018		FISCAL YEAR 2018 - 2019		Quarter 3 2019 - 2020	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
<b>INVESTIGATIONS Desk</b>								
Assigned	90	143	178	257	99	169	58	157
Closed	71	118	113	205	65	110	32	90
Average Days to Complete	132	91	201	73	164	137	228	159
Pending	45	39	104	89	139	142	115	193

	FISCAL YEAR 2016 - 2017		FISCAL YEAR 2017 - 2018		FISCAL YEAR 2018 - 2019		Quarter 3 2019 - 2020	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
<b>INVESTIGATIONS DOI</b>								
Assigned	11	9	10	7	2	8	5	4
Closed	5	6	8	9	7	4	0	4
Average Days to Complete	148	709	442	497	747	766	0	1160
Pending	11	12	13	10	8	14	14	16

	FISCAL YEAR 2016 - 2017		FISCAL YEAR 2017 - 2018		FISCAL YEAR 2018 - 2019		Quarter 3 2019 - 2020	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
<b>ALL TYPES OF INVESTIGATIONS</b>								
Closed Without Discipline	69	111	116	197	68	105	31	81
Cycle Time - No Discipline	125	69	210	73	212	145	235	167

	FISCAL YEAR 2016 - 2017		FISCAL YEAR 2017 - 2018		FISCAL YEAR 2018 - 2019		Quarter 3 2019 - 2020	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
<b>CITATIONS/ Cease&amp;Desist</b>								
Issued	8	8	9	12	5	11	5	3
Avg Days to Complete Cite	98	44	7	169	138	162	237	136
Cease & Desist Letter	1	1	2	1	1	1	0	0

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

<b>ATTORNEY GENERAL CASES</b>	<b>FISCAL YEAR 2016 - 2017</b>		<b>FISCAL YEAR 2017 - 2018</b>		<b>FISCAL YEAR 2018 - 2019</b>		<b>Quarter 3 2019 - 2020</b>	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
Pending at the AG	8	6	7	11	6	12	5	12
Accusations Filed	2	3	3	2	0	4	2	6
SOI Filed	0	0	1	1	2	3	0	1
Acc Withdrawn, Dismissed, Declined	2	1	2	1	0	3	1	0
SOI Withdrawn, Dismissed, Declined	1	1	0	0	2	1	0	1
Average Days to Discipline	1260	979	780	723	745	449	669	730

<b>ATTORNEY GENERAL FINAL OUTCOME</b>	<b>FISCAL YEAR 2016 - 2017</b>		<b>FISCAL YEAR 2017 - 2018</b>		<b>FISCAL YEAR 2018 - 2019</b>		<b>Quarter 3 2019 - 2020</b>	
	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU	HAD	SP/AU
Probation	6	7	2	1	1	2	0	5
Surrender of License	3	1	1	2	0	0	0	0
License Denied (SOI)	0	0	0	0	0	0	0	0
Suspension & Probation	0	0	0	0	0	0	0	0
Revocation-No Stay of Order	0	2	1	0	0	0	1	1
Public Reprimand/Reproval	0	0	0	1	0	0	0	0