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To: Board Members

Date: November 4, 2016

From: Jessica Siefertman
Executive Officer

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Subject: Agenda Item 9 – Executive Officer’s Report

A. BreEZe Database

The Board continues to see positive BreEZe use, with 68% of applicants applying for an optometrist license (OPT) online. In addition, the Board has seen an increase in online applications submitted for other license types. Of applications received, 64% of Branch Office Licenses (BOL), 57% of Statement of Licensures (SOL), and 40% of Fictitious Name Permits (FNP) were submitted online.

Further, online renewals have also increased since the August meeting. Of the renewal applications received, 54% OPTs and 59% SOLs were renewed online. Since FNPs expire January 31 and BOLs expire February 1, most renewals are processed from November – February. However, of the six renewals processed last quarter, only one was submitted paper. Staff anticipates a significant increase in BOL and FNP renewals this quarter.

Registered Dispensing Optician (RDO) Program Integration

The BreEZe team and Board staff are working diligently to move the RDO Program from Medical Board’s domain to the Board. Kellie Flores has been instrumental in this process. With her assistance, the BreEZe team created detailed profile reports to ensure all transactions are captured properly and meet the Board’s needs. Soon, all registrants under the RDO Program will be able to apply and renew their registrations online. This will streamline the process for applicants, registrants, and the Board.

Board staff continues to educate applicants, licensees, and consumers on the benefits of accessing the BreEZe system. Any suggestions to improve the system and Board processes are always welcomed and encouraged.

B. Budget

The DCA Budgets Office will provide updated Fund Conditions and Expenditure Reports for the Optometry and RDO Funds prior to the Board meeting.

C. Personnel

Board Vacancies

The Board has made conditional offers for the two remaining vacancies (RDO Program - Management Services Technician and Board Enforcement Analyst) and is awaiting final clearance from the Division of Investigation’s Special Operations Unit. The Board anticipates these positions to be filled in early November.

Staff Professional Development

Last quarter, the Board's Lead Enforcement Analyst Cheree Kimball and Licensing Lead Charles McGirt attended an advanced week-long training course for the DCA's new Quality Business Interactive Reporting Tool (QBIRT). The course provided valuable demonstrations and hands on training of QBIRT and examples of how QBIRT can be used to create adhoc-type reports. Ms. Kimball and Mr. McGirt will be training the rest of enforcement and licensing staff on QBIRT in the coming weeks.

In September, several staff members attended DCA's customer service training course "Dealing with Difficult People," offered through DCA's SOLID Training Solutions unit. This course teaches techniques to ease tension, open constructive dialogue, and work towards solutions. In addition, staff members joined Toastmasters in order to strengthen communication in various settings. Several staff members also attend DCA's new Lunch and Learn sessions and have found them incredibly valuable for professional development.

In addition, DCA's Director Awet Kidane recognized Ms. Kimball, Robert Stephanopoulos, and Jessica Siefertman for their member contributions to the Disability Advisory Committee (DAC). Among other activities, the DAC aids the Director and DCA by addressing issues related to reasonable accommodation, fair employment practices, and the hiring, retaining, and promoting of qualified persons with disabilities.

Management Development

Management continues to participate in the DCA's mentorship pilot and Brown Bag events. These events are extremely valuable in developing Board management and improving Board processes. In addition, Ms. Siefertman mentors other DCA staff through the mentorship pilot program and looks forward to helping all DCA employees achieve their career goals.

D. Examination and Licensing Programs

Optometry Licensing Program

With the graduation season over, the Board's Licensing Unit's cycle times for optometrist applications reduced by over 30% last quarter. SOL application cycle times decreased; however BOL and FNP cycle times increased over the last quarter due to unanticipated need for medical leave. Paper renewal cycle times remain 1-2 weeks, but the online renewal cycle times are 1-7 days.

RDO Program

The RDO program saw a slight increase in RDO applications in August, but the cycle times were not greatly affected. The number of Contact and Spectacle Lens Dispenser applications received increased by 50% last quarter. Average cycle times for RDO Program renewals ranged from an average of 11-55 days. However, once registrants can renew online, these cycle times should drop dramatically.

The Board's licensing unit recently worked with DCA to identify licensing targets based on prior cycle times. With the unit's restructuring, process improvements, increased staff communication, and monthly meetings, the licensing unit set its targets to improve its cycle times by 5%. The Board will receive licensing performance measure at future meetings.

Board licensing statistics are attached for review (Attachment 1).

E. Enforcement Program

As previously reported, the enforcement unit currently consists of one lead Associate Governmental Program Analyst (AGPA), one Staff Services Analyst (SSA), and one Office Technician (OT). In addition, the Board's vacant enforcement position was reclassified to an AGPA classification in order to obtain a higher level analyst to process a more complex caseload. The Board's

enforcement staff continues to absorb the RDO enforcement workload until the RDO Program's fund condition can support filling the 0.6 Special Investigator position.

Enforcement staff met with special investigators from VSP to learn about VSP's fraud investigation process and gain insight into their work to reduce fraudulent billing. There was also discussion and brainstorming regarding reducing the amount of time it takes for the Board to be notified when VSP takes action against a licensee on their panel, as well as the best ways for VSP to find out when the Board takes action against a licensee on their panel. VSP investigators shared their frustration about an inability to take action regarding fraudulent billing submitted by non-panel licensees.

Fraudulent insurance billing negatively impacts consumers by increasing rates overall as well as potentially limiting insurance benefits. It also negatively impacts licensees by increasing the length of the billing verification process and requirements for submitting invoices for payment.

As of September 2016, the Enforcement Unit has 273 pending enforcement cases (213 optometrists, 60 RDO Program). Four of these pending cases are designated as high priority, while the remainders are routine priority cases.

Once the Enforcement Unit's restructuring process is complete and vacancies are filled, pending caseload and cycle times are anticipated to significantly decrease. In the meantime, licensing staff has teamed up with the Enforcement Unit to help with the pending caseload. This also serves as a cross-training opportunity for staff by allowing them to learn about enforcement processes and challenges.

Optometry Program Cases by Priority	Q1 – FY16/17			
	Routine	Expedite	High	FY Total
Received	79	0	0	79
Closed	49	0	0	49
Pending	209	0	4	213
Average Age (days) – Pending	264	0	681	272
Referred to AG	1	0	0	1
Pending at AG	8	0	0	8
Final Disciplinary Orders	1	0	0	1

RDO Program Cases by Priority	Q1 – FY16/17			
	Routine	Expedite	High	FY Total
Received	13	0	0	13
Closed	15	0	0	15
Pending	60	0	0	60
Average Age (days) - Pending	214	0	0	214
Referred to AG	3	0	0	3
Pending at AG	7	0	0	7
Final Disciplinary Orders	2	0	0	1

F. Strategic Plan

The Board has initiated the process to revise its strategic plan. The strategic planning session, facilitated by DCA's SOLID Training Solutions is scheduled for January 26, 2017.

Attachment:

1. Licensing Statistics

Optometrist License Applications FY 16/17

		Q1		
		Jul	Aug	Sep
OPTs	Received Apps (Paper) (1010)	4	4	6
	Received Apps (Online) (1010)	12	10	8
	Opened Licensure App (1020)	20	18	13
	Licenses Issued (1020)	107	25	11
	Approved Exam Apps (1010)	14	14	7
	Expired/Withdrawn/Canceled (incl. Exam Apps + License Apps)	1	0	4
	Avg. Cycle Time (Total Days)	96	59	60
	Avg. Cycle Time (Total Days) Exam Apps (1010)	11	7	13
	Avg. Cycle Time (Total Days) License Apps (1020)	107	87	89
	Pending Apps (incl. Exam Apps + License Apps)	128	121	126

		Q1		
		Jul	Aug	Sep
BOLs	Received (Paper)	2	1	2
	Received Online	2	3	4
	Issued	5	0	3
	Expired/Withdrawn/Canceled	0	1	0
	Avg. Cycle Time (Total Days)	21	NA	133
	Pending Apps	4	7	10

		Q1		
		Jul	Aug	Sep
SOLs	Received (Paper)	11	11	7
	Received Online	12	13	13
	Issued	21	14	25
	Expired/Withdrawn/Canceled	10	2	1
	Avg. Cycle Time (Total Days)	26	19	23
	Pending Apps	14	22	16

		Q1		
		Jul	Aug	Sep
FNPs	Received (Paper)	4	4	7
	Received Online	0	6	4
	Issued	11	1	10
	Expired/Withdrawn/Canceled	2	0	0
	Avg. Cycle Time (Total Days)	48	14	68
	Pending Apps	10	19	20

Optometrist License Renewals FY 16/17

		Q1		
		Jul	Aug	Sep
OPTs	Renewals Received (Paper)	127	157	148
	Renewals Received Online	171	166	178
	Renewals Approved	287	302	308
	Avg. Cycle Time (Total Days) Paper Renewals	13	9	15
	Avg. Cycle Time (Total Days) Online Renewals	8	6	7

		Q1		
		Jul	Aug	Sep
BOLs	Renewals Received (Paper)	0	0	0
	Renewals Received Online	0	0	2
	Renewals Approved	0	0	2
	Avg. Cycle Time (Total Days) Paper Renewals	N/A	N/A	N/A
	Avg. Cycle Time (Total Days) Online Renewals	N/A	N/A	1

		Q1		
		Jul	Aug	Sep
SOLs	Renewals Received (Paper)	12	15	19
	Renewals Received Online	26	21	18
	Renewals Approved	36	37	41
	Avg. Cycle Time (Total Days) Paper Renewals	10	9	6
	Avg. Cycle Time (Total Days) Online Renewals	5	1	1

		Q1		
		Jul	Aug	Sep
FNPs	Renewals Received (Paper)	0	0	1
	Renewals Received Online	1	0	2
	Renewals Approved	1	0	3
	Avg. Cycle Time (Total Days) Paper Renewals	0	N/A	4
	Avg. Cycle Time (Total Days) Online Renewals	1	N/A	1

Registered Dispensing Optician Applications FY 16/17

		Q1		
		Jul	Aug	Sep
RDOs	Received	9	23	4
	Issued	3	2	22
	Avg. Cycle Time (Total Days)	113	35	48
	Pending Apps	21	42	24

		Q1		
		Jul	Aug	Sep
CLDs	Received	8	6	12
	Issued	3	4	5
	Avg. Cycle Time (Total Days)	37	43	54
	Pending Apps	9	11	18

		Q1		
		Jul	Aug	Sep
SLDs	Received	28	36	41
	Issued	16	27	29
	Avg. Cycle Time (Total Days)	38	53	77
	Pending Apps	60	69	81

		Q1		
		Jul	Aug	Sep
NRCLDs	Received	0	1	0
	Issued	0	0	0
	Avg. Cycle Time (Total Days)	N/A	N/A	N/A
	Pending Apps	1	2	2

Registered Dispensing Optician Renewals FY 16/17

		Q1		
		Jul	Aug	Sep
RDOs	Renewals Received	42	28	37
	Renewals Approved	59	45	47
	Avg. Cycle Time (Total Days)	55	52	54
	Paper Renewals			

		Q1		
		Jul	Aug	Sep
CLDs	Renewals Received	34	49	42
	Renewals Approved	39	56	35
	Avg. Cycle Time (Total Days)	19	15	11
	Paper Renewals			

		Q1		
		Jul	Aug	Sep
SLDs	Renewals Received	75	93	101
	Renewals Approved	92	113	89
	Avg. Cycle Time (Total Days)	20	27	19
	Paper Renewals			

		Q1		
		Jul	Aug	Sep
NRCLDs	Renewals Received	0	0	1
	Renewals Approved	0	0	1
	Avg. Cycle Time (Total Days)	N/A	N/A	22
	Paper Renewals			