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To: Board Members

Date: January 26, 2018

From: Jessica Sieferman
Executive Officer

Telephone: (916) 575-7184

Subject: Agenda Item 6 – Executive Officer’s Report

A. Retention Schedule

During the November 2017 meeting, questions were raised regarding how long the Board maintains records. All records are maintained based on the Board’s Record Retention Schedule (RRS). The RRS is required to be renewed every five years. The Board last reviewed and approved the RRS in April 2014 (Attachment 1).

Since then, the Board acquired the Registered Dispensing Optician (RDO) Program from the Medical Board of California – and its records. That, coupled with BreEZe implementation and the paperless progression, the RRS should be reviewed by the Board and renewed with the Department of Consumer Affairs (DCA), California State Archives and Department of General Services.

Staff recommends adding the RDO Program records and reconsidering some destruction methods (i.e., Recycled vs. Confidential Destruct). In addition, Staff is working with DCA’s Records Management Coordinator to identify additional areas requiring updating.

Requested Action

After discussing the 2014 RRS, please vote to renew the RRS with any amendments made during the meeting.

B. Strategic Plan Update

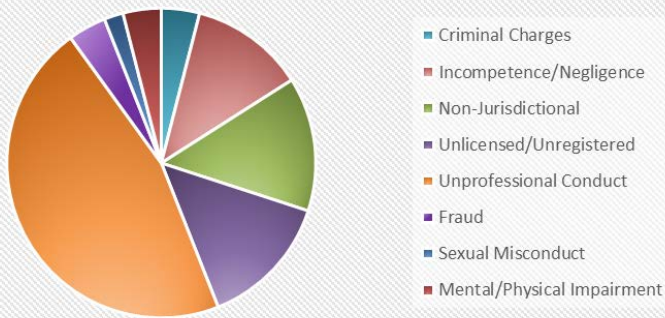
Many Strategic Plan goals and objectives are in progress. Each Board committee is assisting and monitoring progress for each item. Please see Attachment 2 for detailed updates on each strategic plan objective.

C. Enforcement Program

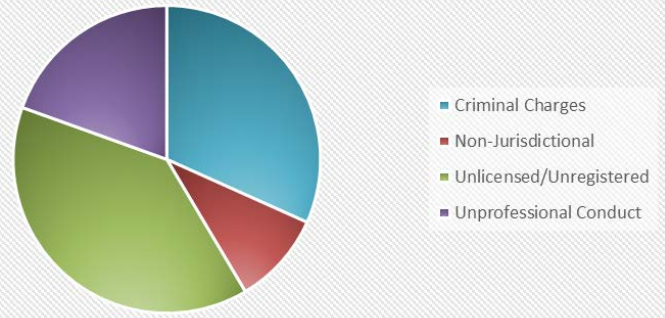
The Enforcement Program continues to work through its pending caseload, focusing on oldest cases (cases older than one year) first. These cases often require additional resources (e.g., Division of Investigation, Subject Matter Expert review, etc.). As these cases close, staff anticipates longer cycle times and a decrease in closed cases. However, by the end of next quarter, the majority of cases older than a year should be resolved. Thus, staff anticipates improved cycle times and decreased caseload by the April Board meeting.

Cases by Priority	Q1 – FY17/18						Q2 – FY17/18						FY Total	
	Routine		Expedite		High		Routine		Expedite		High		OPT	RDO
	OPT	RDO	OPT	RDO	OPT	RDO	OPT	RDO	OPT	RDO	OPT	RDO	OPT	RDO
Received	42	50	0	0	6	1	45	41	0	0	3	0	96	92
Closed	63	37	0	0	2	0	41	36	0	0	0	0	104	73
Average Age (days) - Closed	249	82	0	0	22	0	271	260	0	0	0	0	242	82
Pending	149	69	0	0	6	0	153	74	0	0	7	0	155	69
Average Age (days) - Pending	346	278	0	0	81	0	337	217	0	0	127	0	346	278
Referred to AG	1	1	0	0	0	1	2	19	0	0	0	0	3	21
Pending at AG	8	13	0	0	0	1	9	31	0	0	0	1	8	14
Final Disciplinary Orders	3	1	0	0	0	0	0	1	0	0	0	0	3	2

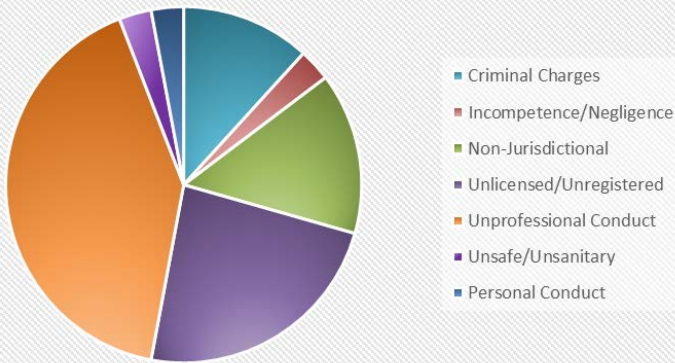
OPT Cases Received - Quarter 2



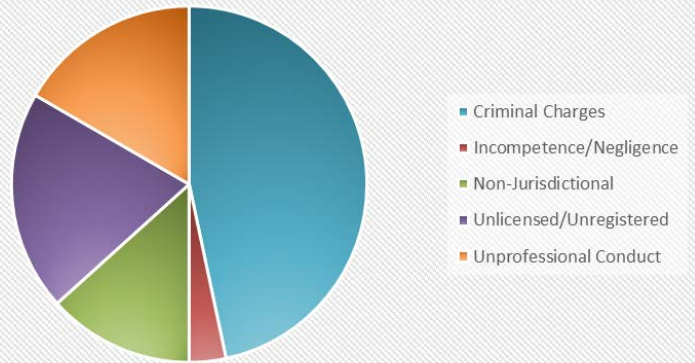
RDO Cases Received - Quarter 2



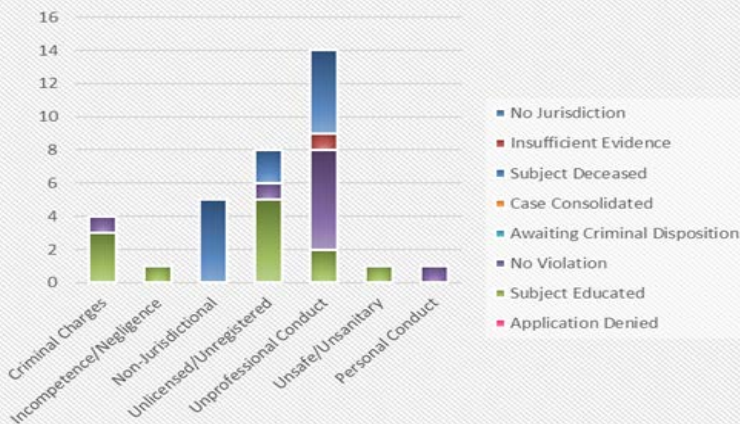
OPT Cases Closed - Quarter 1



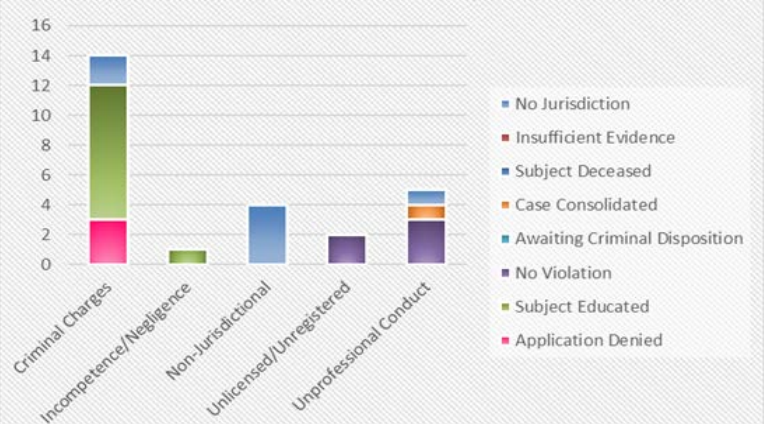
RDO Cases Closed - Quarter 1



OPT Cases Closed - Quarter 1



RDO Cases Closed - Quarter 1



D. Examination and Licensing Programs

Examination Update

Provided by Todd Kerrin, Policy Analyst

After implementing the advice offered by OPES, subject matter expert recruiting seems to be moving in the right direction. The first Item Writing workshop of 2018 was completed successfully on Monday, 1/22. Participation in upcoming workshops should be helped further by staff's recent collaboration with DCA's publications team to create print materials for distribution at professional gatherings and continuing education events, as well as a potential increase to the per diem dollar amount offered to volunteers. These updates combined with a more consistent and focused campaign of telephone calls and e-mail contact with the licensee population should help to ensure that exam workshops and the current Occupational Analysis are filled as necessary going forward.

Licensing Program

To promote BreEZe utilization, all paper applications have been removed from the Board's website. Applicants, licensees, or registrants seeking to obtain paper applications are directed to contact the Board. In addition, they are notified that paper applications will experience longer processing times than applying online.

In addition, starting in January 2018, all licensees and registrants eligible to renew licenses, registrations and permits are emailed renewal reminders and encouraged to renew online by accessing the BreEZe link provided. Staff anticipates this creating an increase in online activity in the next year and will provide status updates at the next meeting.

The Licensing Program is creating "How To" videos and written procedures for all licensing processes. Once finalized, these videos will be used to complement written procedures and provide visual learners another method to retain information.

As anticipated, the RDO Program is experiencing a backlog due to the sole RDO Coordinator taking a one-year leave of absence to pursue her education. However, as indicated in more detail below, with the creation and filling of a limited term position, staff is confident this back log will significantly decrease. In addition, staff and Board leadership have worked nights and weekends to help process the pending workload.

Licensing Statistics are attached (Attachment 3).

E. Personnel

While the Board's receptionist is on maternity leave for a year, the Department of Consumer Affairs (DCA) graciously loaned us a staff member, Ms. Abby LeCureux, from the Consumer Information Center (CIC). This was a month-to-month arrangement based on CIC resources. Unfortunately, CIC needed Ms. LeCureux back as of January. Board staff will cover receptionist duties until May 2018 when the Board's receptionist returns.

Brad Garding was promoted to the newly created limited term position in the RDO Program. As reported in the November meeting, this position was created in response to the RDO Coordinator's leave of absence. Mr. Garding, with years of experience in the Board's enforcement program, brings a wealth of knowledge to the RDO Program and will be a huge asset to the RDO Program.

In addition, the vacant 0.5 Office Technician and 0.6 Special Investigator positions in the RDO Program were combined and reclassified to a 1.0 Staff Services Analyst position. This position will be responsible for all RDO enforcement cases, which will significantly help the Board's enforcement program. The Board made a final offer of employment and the position will be filled effective January 31.

F. Budget

The DCA Budget Office will present updates on the Optometry and RDO budget during the meeting. Any documents provided during the meeting will be subsequently posted online when available.

Attachments:

1. 2014 Records Retention Schedule
2. Strategic Plan Update
3. Licensing Statistics

Submit three copies to: Department of General Services, California Records and Information Management, 707 Third St. 2nd Fl., W. Sacramento, CA 95605.

A CalRIM Consultant may be reached by phone at (916) 375-4404, by fax at (916) 375-4408 or by email at CalRIM@dgs.ca.gov

(1) DEPARTMENT, BOARD OR COMMISSION Department of Consumer Affairs		(2) AGENCY BILLING CODE 57190		(3) PAGE 1 OF 7 PAGES		
(4) DIVISION/ BRANCH/ SECTION Board of Optometry		(5) ADDRESS 2450 Del Paso Rd., Suite 105, Sacramento, CA 95834				
CHECK THE APPROPRIATE BOX						
(6) <input type="checkbox"/> New schedule of records that have never been scheduled. [Complete boxes (9) – (12)]						
(7) <input type="checkbox"/> Revising a previous schedule. [Complete boxes (13) – (16)] (A new approval number will be assigned)						
(8) <input checked="" type="checkbox"/> Amending some pages of a previous schedule. [Complete boxes (13) – (16)] (The original approval number will remain in effect.)						
NEW SCHEDULE INFORMATION (If applicable)		(9) SCHEDULE NUMBER BO-4 A3	(10) SCHEDULE DATE 4/11/14	(11) NUMBER OF PAGES 7	(12) CUBIC FEET (Total Schedule) 566.75	
PREVIOUS SCHEDULE INFORMATION (If applicable)		(13) SCHEDULE NUMBER BO-4 A2	(14) APPROVAL NUMBER 11-051	(15) APPROVAL DATE (S) 1/10/13	(16) PAGE NUMBER(S) REVISED 1, 2, 3, 4, 5, 6, 7	
(17) MISSION/FUNCTIONAL STATEMENT : The mission of the California State Board of Optometry is to serve the public and optometrists by promoting and enforcing laws and regulations which protect the health and safety of California's consumers and to ensure high quality care.						
PART I – AGENCY STATEMENTS						
As the program manager (or person authorized to sign for the program manager) directly responsible for the records listed on this records retention schedule, I certify that all records listed are necessary and that each retention period is correct. For revisions, all items on the previous schedule are included or accounted for on the recapitulation. Vital records identified by this schedule are protected. If protection is not currently provided but plans are underway, the details of such plans are shown in Column 45, Remarks.						
(18) SIGNATURE - MANAGER RESPONSIBLE FOR THE RECORDS		(19) TITLE		(20) PHONE NUMBER	(21) DATE SIGNED	
In accordance with Government Code 14755, approval of this Records Retention Schedule by the Department of General Services is hereby requested. Retention periods shown have been established in accordance with the criteria set forth by Section 1667 of the State Administrative Manual.						
(22) SIGNATURE- RECORDS MGMT. ANALYST		(23) CLASSIFICATION		(24) NAME (Printed or Typed)	(25) PHONE NUMBER	(26) DATE SIGNED
PART II – DEPARTMENT OF GENERAL SERVICES APPROVAL (Per Government Code Section 14755)						
(27) SIGNATURE –CalRIM CONSULTANT			(28) APPROVAL NUMBER		(29) DATE SIGNED	(30) EXPIRATION DATE
PART III – ARCHIVAL SELECTION (Per Government Code Section 14755)					FOR ARCHIVES' STAMP	
THE ATTACHED RECORDS RETENTION SCHEDULE:						
(31) <input type="checkbox"/> Contains no material subject to further review by the California State Archives						
(32) <input type="checkbox"/> Contains material subject to archival review. Items stamped "NOTIFY ARCHIVES" may not be destroyed without clearance by the California State Archives. (Per Section 1671 of the State Administrative Manual.)						
(33) SIGNATURE – CHIEF OF ARCHIVES OR DESIGNATED REPRESENTATIVE			5		(34) DATE SIGNED	

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						OFFICE	DEPT.	SRC	TOTAL		
(37)	(38)	(39)	(40)	(41)	(42)	(43)	(44)	(45)	(46)	(47)	(48)

PROGRAM MANAGEMENT

1	3		Application License File (applications, (abandoned, withdrawn, denied, etc.), forms, letters, transcripts, score reports, requests))	PM		C+2			C+2	X,I	PRA; IPA - GC6254 – Law requires these records remain confidential. Confidential Destruct (CD). Current (C) until licensed then merge into Licensed Optometrist File. If not licensed after 2 years from the date application is received, then destroy. Scores are only applicable for 5 years per B & P Code 3054
2	4		Foreign Optometry School/College Graduate Sponsorship File (letters, diplomas, transcripts, score reports/results, requests)	PM		A+10			A+10	X,I	PRA; IPA - GC6254 – Law requires these records remain confidential. CD Active for 10 years from date the application was received then destroy.
3	6		California Laws & Regulations Examination (CLRE) Materials (booklets, answer keys, reports, results)	PM		A			A	X	PRA - GC6254 – Law requires these records remain confidential. CD Active for historical reference until policy change.
4	331		Licensed Optometrist File (applications, certificates, approval documents, Fingerprint forms, Nat'l Bd. of Examiners in Optometry score reports)	P		A			A	X,I	PRA, IPA - GC6254 – Law requires these records remain confidential. CD Active until licensee is deceased, after Board is notified of death, move to deceased file storage.
5	8		License Renewal Receipts	P		C+5			C+5		Current for 5 years from renewal year. Recycle (R)
6	4		Licensed Optometrist File (deceased) (application, license, correspondence)	P		C			C	X	PRA - GC6254 – Law requires these records remain confidential. CD Current, combine with Licensed Optometrist File and destroy.
7	15.5		Fictitious Name Permit File (application, correspondence)	P		A			A	X	PRA - GC6254 – Law requires these records remain confidential.

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											Active until licensee is deceased then combine with Licensed Optometrist File until destruction.
8	.5		Statement of Licensure	P		A			A	X	PRA - GC6254 – Law requires these records remain confidential. Active, combine with Licensed Optometrist File until destruction.
9	6.5		Branch Office License File (application, correspondence)	P		A			A	X	PRA - GC6254 – Law requires these records remain confidential. Active until licensee is deceased then combine with Licensed Optometrist File until destruction.
10	21		Licensed Optometrist File (cancelled)	P		C+25			C+25	X,I	PRA - GC6254 – Law requires these records remain confidential. CD Current for 25 years from date of cancellation then destroy.
11	.5		Fictitious Name Permit File (cancelled) Cancels after 3 years	P		C+2			C+2	X,I	PRA - GC6254 – Law requires these records remain confidential. CD Current for 2 years from date of cancellation then destroy.
12	1.5		Branch Office License File (cancelled) Cancels after 3 years	P		C+2			C+2	X,I	PRA - GC6254 – Law requires these records remain confidential. CD Current for 2 years from date of cancellation then destroy.
13	.5		Statement of Licensure (cancelled) Cancels after 3 years	P		C+2			C+2	X,I	PRA - GC6254 – Law requires these records remain confidential. CD Current for 2 years from date of cancellation then destroy.
14	.75		Corporation License File (cancelled)	P		C+2			C+2	X,I	PRA - GC6254 – Law requires these records remain confidential. CD Current for 2 years from date of cancellation.

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15	63		Disciplinary File (Dept. of Investigation (D of I) or other investigation court/hearing documents, related correspondence, mail votes))	PM		C+75			C+75	X	PRA - GC6254 – Law requires these records remain confidential. CD Current for 75 years from date of closure or until board is notified of death then destroy.
16	21		Criminal Cases (Dept. of Investigation (D of I) or other investigation police/court documents, related correspondence)	PM		C+25			C+25	XI	PRA - GC6254 – Law requires these records remain confidential. CD Current for 25 years from date of closure then destroy.
17	4		Open Complaint File (original complaint, requests for DOI/other investigation documents & resulting findings, related correspondence)	PM		A			A	X	PRA - GC6254 – Law requires these records remain confidential. Active until investigation is complete. Outcome of investigation will determine placement of file in other category.
18	16		Non-jurisdictional, Referred to Another Agency Complaint File and similar types of closure (original complaint, complaint opening/closing documents)	PM		C+2			C+2		Current for 2 years from date of closure then destroy. R
19	10		No Violation, Closed Without Merit Complaint File and similar types of closure (original complaint, complaint opening/closing documents)	PM		C+5			C+5		Current for 5 years from date of closure then destroy. R
20	23		Non-Disciplinary Action Taken, Insufficient Evidence, Administrative Action Taken Complaint File and similar types of closure (original complaint, D of I investigation document, possibly court documents)	PM		C+5			C+5		Current for 5 years from date of closure then destroy. R
21	2		Consumer Complaint Statistics (surveys, logs, reports)	PM		A			A		Active for historical reference until policy change. R
22	4		Board Statistics (reports, license information)	PM		A			A		Active for historical reference until policy change. R
23	4		Continuing Education Course File (approvals/denials)	PM		A+3			A+3		Active for 3 years from course date then destroy. R
24	1		License verification letters from applicants	P		C+3			C+3		Current for 3 years from verification request date then destroy. R

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25	2		License Print Audit Control Reports	PM		A+3			A+3		Active for 3 years from course date then destroy. CD
26	3		Rules & Regulations (rulemaking files, amended/changed regulations)	PM		A			A		Active for historical reference until policy change.
27	2		Legislative Analysis & Proposed Legislation	PM		A			A	X	PRA - GC6254 – Law requires these records remain confidential. CD Active for historical reference until policy change.

ADMINISTRATIVE MANAGEMENT

28	1		Executive Officer general correspondence	PM		A			A		Active for historical reference until policy change.
29	6		Board/Committee meeting minutes	PM		A			A	X	PRA - GC6254 – Law requires these records remain confidential. CD Active for historical reference until policy change.
30	2		Board Policy	PM		A			A		Active for historical reference until policy change.
31	1		Legal Opinions (Attorney General and DCA legal)	PM		A			A		Active for historical reference until policy change.
32	6		Budget (Dept. of Finance/DCA submissions, Annual Financial Plans, CALSTARS reports)	PM		A			A		Active for historical reference until policy change. R
33	4		Reports of Revenue Collection (checks/payments, audit reports; payroll records)	P		C+5			C+5		Current for 5 years, retain in office until after attributed fiscal year, then destroy. R
34	2		Claims (travel expense/per diem, witness, subject matter expert; contracts, purchase requests/orders, vouchers, vendor invoices/payment records, direct payment transfers, property transactions)	PM		A+2			A+2		Active until person/witness/expert separates, retires or transfers. Retain additional 2 years then destroy. CD Other records not associated with person/witness/expert: retain for 5 years after attributed fiscal year then destroy. R
35	3		Personnel Records (board member/staff personnel files; attendance records; miscellaneous transactions (appointment notices, etc.))	PM		A+2			A+2	X,I	PRA, IPA - GC6254 – Law requires these records remain confidential. CD Active until person separates, retires,

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											or transfers. Retain additional 2 years then destroy.																																																						
36			Records Management (Records Retention Schedule Approval Request and Records Retention Schedules (RRS) (Std. 72 and 73)	PM		C			C																																																								
37			Std. 70-records inventory worksheet	PM		A			A		Retain as current until superseded. R Retain as current until next inventory. R																																																						
	*582.75																																																																
			<p><u>SUMMARY OF CHANGES</u> This RRS BO-4 A3 revises BO-4 A2 (approval date 4/13/2011). The item number (not page number, unless indicated by "Page") changes are as follows:</p> <table border="0"> <thead> <tr> <th><u>BO-4 A2 (amended)</u></th> <th><u>BO-4 A3</u></th> </tr> </thead> <tbody> <tr><td>#5</td><td>6</td></tr> <tr><td>#6</td><td>7</td></tr> <tr><td>#7</td><td>10</td></tr> <tr><td>#8</td><td>11</td></tr> <tr><td>#9</td><td>12</td></tr> <tr><td>#10</td><td>14</td></tr> <tr><td>#11</td><td>15</td></tr> <tr><td>#12</td><td>16</td></tr> <tr><td>#13</td><td>17</td></tr> <tr><td>#14</td><td>18</td></tr> <tr><td>#15</td><td>19</td></tr> <tr><td>#16</td><td>20</td></tr> <tr><td>#17</td><td>21</td></tr> <tr><td>#18</td><td>22</td></tr> <tr><td>#19</td><td>23</td></tr> <tr><td>#20</td><td>24</td></tr> <tr><td>#21</td><td>25</td></tr> <tr><td>#22</td><td>26</td></tr> <tr><td>#23</td><td>27</td></tr> <tr><td>#24</td><td>28</td></tr> <tr><td>#25</td><td>29</td></tr> <tr><td>#26</td><td>30</td></tr> <tr><td>#27</td><td>31</td></tr> <tr><td>#28</td><td>32</td></tr> <tr><td>#29</td><td>33</td></tr> <tr><td>#30</td><td>34</td></tr> </tbody> </table>	<u>BO-4 A2 (amended)</u>	<u>BO-4 A3</u>	#5	6	#6	7	#7	10	#8	11	#9	12	#10	14	#11	15	#12	16	#13	17	#14	18	#15	19	#16	20	#17	21	#18	22	#19	23	#20	24	#21	25	#22	26	#23	27	#24	28	#25	29	#26	30	#27	31	#28	32	#29	33	#30	34								
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			#31 35 #32 36 #33 37								
			*5 new *8 new *9 new *13 new								
			Item #4, 11, 12 – change in language/verbiage # - indicates items moved * - indicates items that are new								

INSTRUCTIONS FOR FILLING OUT MS Word ELECTRONIC FORM

The California Records and Information Management (CalRIM) Program of the Department of General Services will review schedules for compliance with their Records Retention Handbook, Records Retention Schedule Guidelines and the records retention section of the California Acquisition Manual. The Chief of State Archives in the Office of the Secretary of State will review schedules for records series worthy of preservation for historical or research purposes. Titles, and descriptions of records listed on the schedule must be sufficiently detailed to insure understanding by persons unfamiliar with the business process of the department. For additional information concerning the scheduling of records refer to the aforementioned publications available on the DGS website (www.dgs.ca.gov).

* The attached form is formatted as a table; therefore, to add line items after page two, add additional rows to make formatting easier and consistent.

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| <ol style="list-style-type: none"> 1. Department that the schedule belongs to. 2. Enter the appropriate billing code of the department. 3. Enter page numbers and total pages (e.g. 1 of 3, 2 of 3) 4. Division/ branch/ section within the department. 5. Address of the division/ branch/ section. 6. Double Click on the box if submitting a new schedule. 7. Double Click on the box if submitting a revision to previous schedule. 8. Double Click on the box if amending pages of a previous schedule. 9. Each department should establish its own system of numbering schedules. Enter the assigned number on each page. 10. Enter the date schedule was prepared. 11. Enter total number of pages of the schedule. 12. Enter the total number of cubic feet for all items scheduled (round off to nearest cubic foot). 13. If applicable, enter the schedule number from the previous schedule. 14. If applicable, enter the approval number assigned to the previous schedule. 15. If applicable, enter the CalRIM approval date shown in block 28 of the previous schedule on STD 73 Rev.6-02. (Block 22 if referring to STD 72 Rev. 2-96 on the previous schedule. 16. If applicable, enter the total number of pages included on the previous schedule. 17. Enter the mission/functional statement for the entity responsible for the records described on the schedule. 18. Signature of manager responsible for the records. 19. Manager's title. 20. Manager's phone number. | <ol style="list-style-type: none"> 21. Date schedule signed by the manager. 22. Signature of the department's records management analyst (RMA). 23. Enter the official state classification of the department's RMA, i.e., Records Management Analyst I, Business Services Officer I, etc. 24. Name of the RMA. 25. RMA's phone number. 26. Date schedule is signed by the RMA. 27. Signature of CalRIM consultant. 28. Approval number assigned by CalRIM consultant. 29. Date schedule signed by CalRIM consultant. 30. This date is computed by adding five years to the date shown in Block 29. 31. This block is checked by the California State Archives if the schedule does not contain archive or long term reference records. 32. This block is checked by the California State Archives if the schedule contains material subject to archival review. 33. Signature of Chief of Archives or designated representative. 34. Date schedule is signed by Archives. 35. Enter the CalRIM Approval number shown in block 28. 36. Page numbers will automatically be entered in this field starting at page 2 <p>Item numbers must be sequentially assigned beginning with number 1 on the second page of the schedule.</p> <ol style="list-style-type: none"> 37. Enter cubic feet of records (office and departmental) contained in each item (round off to nearest cubic foot). Leave blank when scheduling electronic/magnetic records. 38. This column is used by the Chief of Archives to designate records which may be of historical value. If the notation "Notify Archives" appears in this column, the |
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- Secretary of State's Archive Unit must be notified before the records can be destroyed or transferred (SAM Section 1673.1).
39. Exact title of the records series must be entered in this column. The same title must also be used on the Records Transfer List, STD 71, if the records are later transferred to the State Records Center. **Do not delete** records for a discontinued program until all such records (including any stored at the Records Center) have been destroyed or ownership transferred to another entity. Acronyms must be spelled out in full the first time they are shown on the schedule.
 40. Enter the appropriate storage media code for the series of records described; P-- paper (except for computer printouts); C -- computer printouts; M--magnetic or electronic (computer hard drives, computer tapes or disks, or word processing discs); D – diazo microfilm or microfiche (working copies); S – Silver halide microfilm; RM – Removable Media consisting of ZIP, JAZ , etc.; CD – Compact Disk, etc.; OD – Optical Disk; RAID (redundant array of independent disks).
 41. Enter an "X" if the series of records is considered vital (essential) to department operations. Vital records require special protection from loss through the use of vault storage, microfilm, CD, magnetic tape or similar storage media. Enter the method of protection used in Column 48 (Remarks).
 42. Enter the length of time the records series will be retained in the office. For records such as active license files or active tax accounts, enter the word "Active" in this column. Then enter the length of time (if any) the records will be held in office space when they are no longer active. In these cases Column 48 must state the event which terminates the active life of the records. Intermediate terms (such as, "indefinite" or "continuous") must be avoided unless specifically stipulated by law or government code.
 43. Records removed from office space and retained in less expensive spaces (such as a basement or other storage area) are considered to be department stored.
 44. Records should be stored in the State Records Center when they meet the eligibility test of Section 1681 of the State Administrative Manual. The number of years records will remain in the Records Center must be entered in this column.
 45. Enter the total number of years from Columns 43, 44, and 45. Include the active periods, if any.
 46. PRA (Exempt) and IPA
 - a. Enter an "X" if the record is exempt from disclosure under the provisions of the Public Records Act. (Records so identified must show the authority for such exemption in Column 48.)
 - b. When the record is exempt from disclosure, but the data subject is allowed access under the provisions of the Information Practices Act, enter an "I".
 47. Enter information which will explain or clarify treatment of the records, such as: citations from the Public Records Act (Government Code Section 6250 et seq.), Information Practices Act (Civil Code Section 1798 et seq.) or other State or federal statutes, the State Administrative Manual (SAM), California Acquisition Manual (CAM), State or Federal audit guidelines, Attorney General's instructions, or agency policy statements, etc. Other helpful information includes, but is not limited to:
 - a. Events that trigger purging, updating or transferring records or that terminate active status.
 - b. Cross references to previous retention schedules under which material is stored at a records center, such as "See superseded Schedule 58, Item 166, Approval 88-200."
 - c. Type of destruction required when the records have reached the end of their retention period (such as, confidential witnessed destruction).
 - d. Authority that stipulates the retention period of a record series.
 - e. Authority that exempts disclosure of information to the public.

Prepare three copies of the schedule and forward all to the California Records and Information Management Program (CaRIM), 707 3rd Street, 2nd Floor, West Sacramento, California 95605, interagency mailing address is Z-1.

This form is provided in MS Word for your convenience. If the required fields or format are altered in any way, CaRIM will not accept the form.

**STATE BOARD OF OPTOMETRY
STRATEGIC PLAN STATUS REPORT
January 26, 2018**

<p>Licensing Goal 1 <i>The Board provides applicants and licensees a method for obtaining and maintaining license registration, business licenses, and certifications required to practice optometry in California.</i></p>	
<p>Objective 1.1: Streamline the initial license and renewal process, including paperless options and synchronizing multiple license renewal dates, to improve staff efficiency and licensee compliance.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q3 17/18 Success Measure: Cycle timelines decreased and streamlined processes implemented.</p> <ul style="list-style-type: none"> • Utilize process maps to develop timelines associated with each step. • Schedule monthly meetings to discuss the timelines and identify the bottlenecks to better streamline the processes. • Identify and raise all necessary BreEZe SIRs including independent transaction not requiring staff interaction and board approval. • Conduct outreach with licensees to inform them of the paperless direction of the Board. • Draft proposed language for Legislative and Regulatory Committee consideration to synchronize expiration dates. • If approved, present to the Board for consideration. • If approved, begin the rulemaking process. 	<p>In Progress</p>
<p>Objective 1.2: Review the possibility of including continuing education requirements for both spectacle and contact lens dispenser licenses to protect consumers and maintain licensee competence.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 17/18 Success Measure: Possibilities presented to the Board.</p> <ul style="list-style-type: none"> • Research other states' continuing education (CE) requirements for Opticians. • Research consumer complaints from other state agencies that regulate opticians. • Utilize consumer complaint reports received to research and identify any potential consumer harm. • Bring research to DOC (Dispensing Optician Committee) for consideration. • Add online renewal information to presentations to college students. • Bring DOC recommendations to the Board for consideration. • If approved, draft legislative language. 	<p>In Progress</p>
<p>Objective 1.3: Continue monitoring and exploring opportunities to enhance BreEZe utilization (e.g. 100% continuing education compliance, usage of national database, etc.) to increase staff productivity and promote licensee compliance with continuing education requirements.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 17/18 Success Measure: Opportunities identified to increase continuing education compliance and staff productivity.</p> <ul style="list-style-type: none"> • Request an impact analysis to be done to determine the feasibility of continuing education (CE) compliance through a SIR. • Research other CE tracking companies to determine the feasibility developing interface with BreEZe. 	

<p>Examination Goal 2 <i>The Board works to provide a fair, valid and legally defensible licensing exam (California Law and Regulation Examination) and exam process to ensure that only qualified and competent individuals are licensed to provide optometric services in California.</i></p>	
<p>Objective 2.1: Recruit more subject matter experts to create examination questions in order to strengthen the diversity of the test.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 17/18 Success Measure: Increased subject matter expert pool.</p> <ul style="list-style-type: none"> • Board member outreach to licensees through board meetings. • Increase utilization of email, social media and newsletters. • Partner with California Optometric Association (COA). • Recruitment at continuing education events. • Practice and Education Committee to review and revise, if necessary, the existing subject matter expert criteria. 	<p>In Progress</p>
<p>Objective 2.2: Analyze the examination requirements to evaluate for competency and the validity of the examination.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q2 18/19 End: Q3 18/19 Success Measure: The analysis presented to the board.</p> <ul style="list-style-type: none"> • Collaborate with the Office of Professional Examination Services (OPES) to conduct an occupational analysis and a linkage study. • OPES presents results to the board. 	<p>In Progress</p>
<p>Objective 2.3: Create a budget change proposal to secure funds so the Board can perform an occupational analysis on the registered dispensing optician program in order to check for validity of the examination.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q2 18/19 End: Q2 18/19 Success Measure: Budget change proposal drafted.</p> <ul style="list-style-type: none"> • Collaborate with budgets to create a budget change proposal. • Create a budget change proposal. 	
<p>Objective 2.4: Consider the feasibility of developing a state law exam for opticians to verify their familiarity with California laws.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q4 17/18 Success Measure: Presenting recommendations to the Board.</p> <ul style="list-style-type: none"> • Research other states' requirements. • Collaborate with the Office of Professional Examination Services (OPES) to determine costs and tasks associated with developing the law exam. • Research brought to the Dispensing Optician Committee (DOC). • Present DOC recommendation to the board for consideration. • If approved, propose legislation. 	<p>In Progress</p>

Law and Regulation Goal 3 <i>The Board works to establish and maintain fair and just laws and regulations that provide for the protection of consumer health and safety and reflect current and emerging, efficient and cost-effective practices.</i>	
Objective 3.1: Review federal law to identify methods that will strengthen existing California legislation regarding the sale of contact lenses and eye glasses as a means of improving enforcement and enhancing consumer protection.	STATUS/ COMPLETION DATE
Start: Q2 17/18 End: Q4 17/18 Success Measure: Presentation made to the Board. <ul style="list-style-type: none"> • Researching federal law related to contact lenses and eye glasses. • Analyze and compare federal law with current state law to determine if improvements are needed. • Present changes to the Dispensing Optician Committee (DOC) and Legislative and Regulatory Committee for review. • Present recommendations to the Board. 	In Progress
Objective 3.2: Contact members of congress and the Federal Trade Commission regarding the current 48 hour law to obtain information that would assist in closing existing loopholes.	STATUS/ COMPLETION DATE
Start: Q2 17/18 End: Q4 17/18 Success Measure: Federal Trade Commission and Congress contacted. <ul style="list-style-type: none"> • Research federal law related to current 48-hour law. • Contact the Federal Trade Commission and Congress. • Bring before the Dispensing Optician Committee (DOC) and Legislative and Regulatory Committee for discussion and possible recommendation. • Present recommendations to the Board. 	In Progress
Objective 3.3: Continue prioritization for review and updates to existing statutes, legislation, and regulations, for both optometry and dispensing opticians, in order to identify whether or not they are the cause of enforcement delays and determine promulgation of new regulations.	STATUS/ COMPLETION DATE
Start: Q1 18/19 End: Q2 18/19 Success Measure: Statues, legislation and regulations reviewed. <ul style="list-style-type: none"> • Meet with enforcement and determine if current laws and regulations are the cause of enforcement delays. • As needed, draft recommendations to amend necessary laws. • Bring recommendations to the Legislative and Regulatory Committee. • Present to the board for consideration. 	In Progress
Objective 3.4: Continue partnering with the Medical Board of California to identify potential loopholes regarding online and kiosk refraction administration to enhance consumer protection.	STATUS/ COMPLETION DATE
Start: Q1 17/18 End: Q2 17/18 Success Measure: Communicate with the Medical Board of California. <ul style="list-style-type: none"> • Attend the Medical Board of California (MBC) board meeting. • Provide MBC with materials developed as a result of the board's communication plan. 	In Progress

<p>Objective 3.5: Review current methods and explore new opportunities to increase access to care (e.g. scope of practice, mobile clinics, new technology, tele-medicine).</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 17/18 Success Measure: Potential opportunities presented to the board.</p> <ul style="list-style-type: none"> • Research methods mobile clinics in other states and Department of Consumer Affairs' programs. • Draft analysis report and recommendation to the Legislative and Regulatory Committee. • Present to the board for consideration. 	<p style="text-align: center;">In Progress</p>
<p>Objective 3.6: Review and identify existing practice requirements with regards to unnecessary licensing barriers in an effort to reduce barriers to entry, enhance consumer access to care, and maintain consumer protection.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q4 17/18 End: Q2 18/19 Success Measure: Licensing barriers identified.</p> <ul style="list-style-type: none"> • Review the Little Hoover Report for clarification. • Research all relevant practice requirements and identify possible licensing barriers. • Research the feasibility to amend the current licensing survey to include questions related to licensing barriers. • Connect with the three California schools regarding the potential accelerated program for international graduates. 	<p style="text-align: center;">In Progress</p>
<p>Objective 3.7: Explore the feasibility of proposing legislation to synchronize the expiration dates of all license types for a given individual.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q3 17/18 Success Measure:</p> <ul style="list-style-type: none"> • Refer to 1.1 	
<p>Objective 3.8: Explore the feasibility of proposing legislation to merge the RDO and Optometry funds to stabilize the long-term Optometry fund condition.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	
<p>Objective 3.9: Explore the feasibility of proposing legislation to merge the RDO program into the Optometry Practice Act.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	
<p>Objective 3.10: Work in conjunction with all stakeholders to ensure consumer protection is weighed equally with consumer choice so legislation and/or regulation promotes fair access to goods and services while informing consumers of the risks and benefits such goods and services afford.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	
<p>Objective 3.11: Develop and implement a new inspection program using best practices from other existing programs within DCA. If necessary, sponsor/approve legislation or regulatory amendments to improve inspection authority language.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	

Enforcement Goal 4	
<i>The Board protects the health and safety of consumers of optometric services through the active enforcement of the laws and regulations governing the safe practice of Optometry in California.</i>	
Objective 4.1: Review enforcement timing between initial offense and when it is conveyed to the Board to act upon in order to protect the consumer and maintain patient access to care.	STATUS/ COMPLETION DATE
Start: Q3 17/18 End: Q2 18/19 Success Measure: Reduced cycle times between the initial offense and when it is conveyed to the Board. <ul style="list-style-type: none"> • Evaluate timelines of processing a complaint using quarterly Consumer Protection Enforcement Initiative (CPEI) measurements, timelines, and Quality Business Interactive Reporting Tool (QBIRT) reports. • Conduct outreach with insurance companies when they take action on a licensee. • Develop the materials and set the outreach dates in order to establish partnerships with local District Attorney’s Office and the legal system. • Establish partnerships with local District Attorney’s Office and the legal system to conduct better outreach when there is a judgment or settlement regarding a licensee. 	Not yet started Jan. 2019
Objective 4.2: Explore the feasibility of participating in the FBI rap back program to expedite and enhance enforcement efforts.	STATUS/ COMPLETION DATE
Start: Q2 17/18 End: Q2 17/18 Success Measure: Completed analysis regarding the feasibility. <ul style="list-style-type: none"> • Develop materials to educate all other Executive Officers about the Federal Bureau of Investigation’s (FBI) rap back program. • Meet with the Department of Consumer Affairs (DCA) executive team to garner support to determine the feasibility of participating in the program. • Meet with the Department of Justice (DOJ) to determine the feasibility of participating in the program. • Draft an analysis of the feasibility in participating in the program and all that is necessary to accomplish this. 	Not yet started March 2018
Objective 4.3: Research the possibility of changing the statute to require licensees to self-report to the Board within thirty days of conviction or other disciplinary action as a means of expediting and enhancing enforcement efforts.	STATUS/ COMPLETION DATE
Start: Q3 17/18 End: Q4 17/18 Success Measure: Drafted analysis. <ul style="list-style-type: none"> • Research and evaluate whether other programs have a statute in place that requires licensees to self-report and the means in which to implement. • Research the political will to determine the possibility of proposing such a statute. • Draft an analysis of the findings relating to the licensee self-reporting. 	Not yet started July 2018
Objective 4.4: Research the possibility of requiring licensees to enroll in the national practitioner’s databank to expedite and enhance enforcement efforts.	STATUS/ COMPLETION DATE
Start: End: Success Measure: Already completed via AB1708	
Objective 4.5: Develop proactive methods to enforce the unlicensed sale and distribution of cosmetic contact lenses.	STATUS/ COMPLETION DATE
Start: Q2 17/18 End: Q4 17/18 Success Measure: Methods are developed to enforce unlicensed sale and distribution of cosmetic contact lenses.	

<ul style="list-style-type: none"> • Research and develop a plan of approach to actively seek unlicensed contact lens sales. • Utilize Food and Drug Administration’s (FDA) campaign materials and develop a board platform and/or additional materials to inform consumers, businesses, and other entities and encourage reporting. • Research relevant events/functions that distribute unlicensed cosmetic contacts and reach out and establish partnerships with the organizers of those expositions to certify vendors not to dispense nonprescription contact lenses and explore the feasibility of having a board representative be present. • Research and present to organizations, businesses, and other associations regarding the laws and regulations relating to the distribution of cosmetic contact lenses at events. • Reach out to social media promoters of cosmetic contact lens to educate them about the health and safety concerns (e.g. Facebook, Twitter, Instagram, Snapchat, YouTube, Bloggers). 	<p>Not yet started</p> <p>July 2018</p>
<p>Objective 4.6: Establish a partnership with DCA Boards and county and state organizations to identify and address unlicensed activity (e.g. contact lens sales and expired prescriptions) in an effort to protect consumers.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 18/19 End: Q1 18/19 Success Measure: Established partnerships and conducted meetings.</p> <ul style="list-style-type: none"> • Meet with local District Attorney Offices about the issue of distribution of such lenses to determine a joint approach. • Meet with county health departments to obtain data of use. • Research online contact lens sales authority of other states to determine if educational materials can be distributed to their licensees. • Research and meet with all state agencies with inspection authority. 	<p>Not yet started</p> <p>October 2018</p>
<p>Objective 4.7: Review the corrective action for compliance (and revise if necessary) in order to deter unlicensed activity.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 18/19 Success Measure: Corrective actions reviewed and revised where necessary.</p> <ul style="list-style-type: none"> • Update corrective action procedures to include follow-up investigations to identify repeat offenders. • Research other Department of Consumer Affairs (DCA) programs and their corrective actions. • Update citation templates. • Collaborate with the DCA Division of Investigation (DOI) and Federal Trade Commission (FTC) to enforce corrective action for compliance. 	<p>Not yet started</p> <p>Jan 2019</p>
<p>Objective 4.8: Analyze the 2012 disciplinary guidelines for optometrists and revise where necessary, to promote consistency and fairness with enforcement decisions and enhance consumer protection.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q2 18/19 End: Q2 18/19 Success Measure: Revised disciplinary guidelines where necessary.</p> <ul style="list-style-type: none"> • Research and recommend proposed revisions to the 2012 disciplinary guidelines for consumer protection committee consideration. • Collaborate with legal counsel to draft regulatory changes needed. 	<p>In Progress</p> <p>Jan 2019</p>

<ul style="list-style-type: none"> • Present to Board for consideration and adoption of the recommended revisions. • If approved, begin the rulemaking process. 	
<p>Objective 4.9: Adopt disciplinary guidelines for opticians to promote consistency and fairness with enforcement decisions and enhance consumer protection.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q2 17/18 Success Measure: Adopted disciplinary guidelines for opticians.</p> <ul style="list-style-type: none"> • Propose revisions to optometry disciplinary guidelines to incorporate opticians for dispensing optician committee consideration. • Collaborate with legal counsel to draft regulatory changes needed. • Present to Board for consideration and adoption of the recommended revisions. • If approved, begin the rulemaking process. 	<p>In progress July 2018</p>
<p>Objective 4.10: Improve working relationships with the Attorney General’s Office, Division of Investigation, District Attorneys and other Government Agencies to identify and fix enforcement bottlenecks and streamline enforcement processes.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	<p>In progress</p>
<p>Objective 4.11: Develop and implement a new inspection program using best practices from other existing programs within DCA.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	<p>In progress July 2018</p>
<p>Outreach Goal 5 <i>The Board proactively educates, informs and engages consumers, licensees, students and other stakeholders on the practice of optometry and the laws and regulations which govern it.</i></p>	
<p>Objective 5.1: Review and educate licensees about the scope of practice for optometric assistants, opticians, RDO’s, CLD’s and SLD’s to mirror the letter and chart sent to optometrists clarifying privileges for specific licensing certifications in order to enhance consumer protection.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q1 18/19 Success Measure: Information disseminated.</p> <ul style="list-style-type: none"> • Research scopes of practice for optometric assistants, opticians, and RDO’s, CLD’S, AND SLD’S • Consult with legal counsel. • Coordinate with the Department of Consumer Affairs’ Digital Print services (DPS) to prepare an outreach campaign with the gathered information. • Coordinate with the Public Relations Committee. • Present to the board for approval • If approved, disseminate through social media, website, email blasts, and traditional letter. 	
<p>Objective 5.2 Educate practitioners about current federal law regarding contact lens prescription release (48 hour law).</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q1 18/19 Success Measure: Information disseminated.</p> <ul style="list-style-type: none"> • Research updated laws. 	

<ul style="list-style-type: none"> • Develop educational materials. • Consult with legal to ensure the information being disseminated is accurate. • Bring to the Outreach Committee. • Present to the board for approval. • If approved, disseminate educational materials. 	
<p>Objective 5.3 Educate licensees and registrants about advertising requirements (e.g. free eye exams, free 2nd pair of glasses, etc.) to avoid misleading the public and reduce licensee confusion.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q4 17/18 End: Q2 18/19 Success Measure: Information disseminated.</p> <ul style="list-style-type: none"> • Research applicable laws. • Develop educational materials. • Consult with legal to ensure the information being disseminated is accurate. • Bring to the Outreach Committee. • Present to the board for approval. • If approved, disseminate educational materials. 	
<p>Objective 5.4 Educate the public on how to adequately fill contact lens prescriptions based on expiration dates and quantity limits to increase awareness and enhance consumer protection.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 18/19 End: Q3 18/19 Success Measure: Information disseminated.</p> <ul style="list-style-type: none"> • Research relevant laws. • Develop educational materials for consumers. • Consult with legal to ensure the information being disseminated is accurate. • Bring to the Outreach Committee. • Present to the board for approval. • If approved, disseminate educational materials. 	
<p>Objective 5.5 Develop a public relations campaign to educate unlicensed sellers regarding contact lens distribution laws to mitigate future violations, therefore protecting consumers.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q4 17/18 End: Q2 18/19 Success Measure: Information disseminated.</p> <ul style="list-style-type: none"> • Research relevant laws. • Develop educational materials. • Consult with legal to ensure the information being disseminated is accurate. • Bring to the Outreach Committee. • Present to the board for approval. • If approved, disseminate educational materials. 	
<p>Objective 5.6 Promote BreZe’s online renewal capability to licensees to decrease manual entries and improve staff efficiency.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q3 17/18 Success Measure: 10% decrease in manual entries.</p> <ul style="list-style-type: none"> • Update social media and website. • Send email blast via LISTSERV. • Partner with related professional associations including the California Optometric Association (COA) and the California Association of Dispensing Opticians (CADO). 	

<p>Objective 5.7 Develop a communication plan utilizing technology to communicate more effectively with stakeholders, patients, and licensees.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q2 17/18 End: Q3 17/18 Success Measure: Communication plan developed.</p> <ul style="list-style-type: none"> • Research other licensing agencies. • Develop and recommend a communication plan. • Bring to the Outreach Committee. • Present to the board for approval. • If approved, implement communication plan. 	
<p>Objective 5.8 Develop a communication plan to raise awareness of the importance of children’s vision health and wellness.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q2 17/18 End: Q3 17/18 Success Measure: Communication plan developed.</p> <ul style="list-style-type: none"> • Research current issues related to children’s vision health and wellness. • Develop and recommend a communication plan. • Bring to the children’s vision workgroup. • Present to the board for approval. • If approved, implement communication plan. 	
<p>Objective 5.9 Conduct an in depth review the Board’s website and update information for consumers, licensees, and registrants.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: End: Success Measure:</p>	
<p>Organizational Effectiveness Goal 6 <i>The Board works to develop and maintain an efficient and effective team of professional and public leaders and staff with sufficient resources to improve the Board’s provision of programs and services.</i></p>	
<p>Objective 6.1: Provide customer service training for staff to improve communication with stakeholders.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 17/18 End: Q3 17/18 Success Measure: Increase in positive surveys and comments from stakeholders.</p> <ul style="list-style-type: none"> • Collaborate with SOLID regarding available trainings for staff members onsite and offsite. • Verify and monitor all staff has completed a customer service training every 2 years. • Connect with CPS HR Consulting Training Center for customer service training opportunities for staff. • Survey, monitor, and evaluate staff to determine effectiveness of the training received and the overall customer service. 	
<p>Objective 6.2 Investigate technology options for conducting committee and special meetings to broaden access to stakeholders and consumers.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q1 19/20 End: Q1 19/20 Success Measure: Options identified.</p> <ul style="list-style-type: none"> • Research other streaming opportunities for Board meetings i.e Facebook Live, Instagram Live, Periscope, and Twitch. • Research cost effective options for stakeholders and consumers for alternative participation in meetings. 	

<p>Objective 6.3 Provide teambuilding training or exercises to Board members to improve Board functioning.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q3 17/18 Success Measure: Training completed.</p> <ul style="list-style-type: none"> • Coordinate with SOLID to determine the feasibility to developing a team building exercise for board members. 	
<p>Objective 6.4 Provide teambuilding exercises between Board members and staff to improve relationships.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q4 17/18 Success Measure: Teambuilding events scheduled.</p> <ul style="list-style-type: none"> • Schedule lunch or dinner during Sacramento Board meeting. • Schedule day lunch or dinner during quarterly board meetings for present staff. • Coordinate with SOLID about potential opportunities for team building between staff and board members. 	
<p>Objective 6.5 Improve communication and build relationships between the Governor’s office, legislators, and the Board to effectively achieve the Board’s objectives.</p>	<p>STATUS/ COMPLETION DATE</p>
<p>Start: Q3 17/18 End: Q1 19/20 Success Measure: Improved relationships with Governor’s office and legislators.</p> <ul style="list-style-type: none"> • Research and attend a legislative day at the Capitol to meet the legislators and their staff. • Partner with Board members to forge relationships with the legislature. • Contacting author’s offices regarding specific bills impacting the board. • Collaborating with the California Optometric Association (COA) to connect with the legislators. 	

Optometrist License Applications FY 16/17-17/18

OPT: Optometrist License
 BOL: Branch Office License
 SOL: Statement of Licensure
 FNP: Fictitious Name Permit

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
OPT Exam Requests	Paper Exam Requests Received	79	2	2	1	1	0	2	8
	Online Exam Requests Received	215	12	10	15	8	4	28	77
	Approved Paper Exam Requests	77	2	0	2	1	0	1	6
	Approved Online Exam Requests	208	11	9	12	9	5	22	68
	Paper Exam Request Cycle Time (Avg.)	24	12	N/A	21	22	N/A	10	16
	Online Exam Request Cycle Time (Avg.)	9	3	2	2	2	6	2	2
	Expired/Withdrawn/Cancelled Applications	9	0	1	2	8	3	1	15
	Exam Requests Pending	14	15	17	17	8	4	10	10
OPT License Apps	License Applications Opened	319	14	9	15	10	6	25	79
	Licenses Issued	307	50	28	7	10	13	6	114
	License Application Cycle Time (Avg.)	106	100	107	107	111	143	113	109
	Expired/Withdrawn/Cancelled	50	4	2	7	5	4	2	24
	License Applications Pending	166	126	105	106	101	90	107	107

Optometrist License Applications FY 16/17-17/18

OPT: Optometrist License
 BOL: Branch Office License
 SOL: Statement of Licensure
 FNP: Fictitious Name Permit

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
BOLS	Paper Applications Received	30	2	1	1	5	2	1	12
	Online Applications Received	46	3	2	2	5	3	5	20
	Paper Applications Approved	24	7	1	0	5	1	0	14
	Online Applications Approved	35	4	0	2	2	0	2	10
	Avg. Cycle Time (Paper)	52	53	68	N/A	53	44	N/A	53
	Avg. Cycle Time (Online)	33	36	N/A	47	24	N/A	35	36
	Expired/Withdrawn/Cancelled	8	1	0	2	1	0	0	4
	Pending Apps	12	5	7	6	8	12	16	16

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
SOLS	Paper Applications Received	111	3	9	30	11	21	3	77
	Online Applications Received	134	19	14	10	18	8	5	74
	Paper Applications Approved	112	5	3	9	8	21	5	51
	Online Applications Approved	102	5	30	3	24	4	0	66
	Avg. Cycle Time (Paper)	26	31	22	30	26	68	30	45
	Avg. Cycle Time (Online)	23	46	29	19	36	50	N/A	34
	Expired/Withdrawn/Cancelled	28	1	8	8	5	18	1	41
	Pending Apps	25	36	18	38	30	16	18	18

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
FNPs	Paper Applications Received	99	6	6	2	8	11	5	38
	Online Applications Received	65	7	4	2	4	17	7	41
	Paper Applications Approved	79	4	5	4	8	4	9	34
	Online Applications Approved	63	2	1	2	7	6	4	22
	Avg. Cycle Time (Paper)	56	90	100	88	102	63	80	88
	Avg. Cycle Time (Online)	54	32	67	94	93	79	63	77
	Expired/Withdrawn/Cancelled	19	1	1	0	1	1	2	6
	Pending Apps	21	27	30	28	24	41	38	38

Optometrist License Renewals FY 16/17-17/18

OPT: Optometrist License
 BOL: Branch Office License
 SOL: Statement of Licensure
 FNP: Fictitious Name Permit

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
OPTs	Paper Renewals Approved	1549	105	123	138	113	104	113	696
	Online Renewals Approved	2298	165	199	179	243	218	170	1174
	Avg. Cycle Time (Paper)	12	7	7	9	16	14	10	10
	Avg. Cycle Time (Online)	5	6	5	7	7	13	5	7

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
BOLs	Paper Renewals Approved	231	0	0	0	2	85	50	137
	Online Renewals Approved	120	1	1	0	0	51	18	71
	Avg. Cycle Time (Paper)	9	N/A	N/A	N/A	177	2	4	5
	Avg. Cycle Time (Online)	0	0	0	N/A	N/A	0	0	0

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
SOLs	Paper Renewals Approved	185	8	10	10	5	9	8	50
	Online Renewals Approved	244	15	29	21	23	18	21	127
	Avg. Cycle Time (Paper)	4	6	2	2	3	2	8	4
	Avg. Cycle Time (Online)	0	26	0	0	0	0	0	3

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
FNPs	Paper Renewals Approved	945	1	1	0	2	400	200	604
	Online Renewals Approved	459	0	0	2	0	244	86	332
	Avg. Cycle Time (Paper)	7	2	251	N/A	10	2	4	3
	Avg. Cycle Time (Online)	4	N/A	N/A	0	N/A	0	4	1

Registered Dispensing Optician Applications FY 16/17-17/18

RDO: Registered Dispensing Optician

CLD: Contact Lens Dispenser

SLD: Spectacle Lens Dispenser

NRCLD: Non-Resident Contact Lens Dispenser

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
RDOs	Paper Applications Received	124	2	16	6	7	0	3	34
	Online Applications Received	0	3	10	10	9	11	3	46
	Paper Applications Approved	81	7	16	4	4	10	6	47
	Online Applications Approved	0	0	0	7	0	1	0	8
	Avg. Cycle Time (Paper)	103	101	102	145	165	92	113	110
	Avg. Cycle Time (Online)	N/A	N/A	N/A	30	N/A	84	N/A	37
	Expired/Withdrawn/Cancelled	32	0	2	0	1	0	2	5
	Pending Apps	45	43	51	56	67	67	65	65

		FY 16/17	FY 17/18					FY 17/19	
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
CLDs	Paper Applications Received	101	8	7	6	5	5	2	33
	Online Applications Received	2	4	3	8	2	9	8	34
	Paper Applications Approved	70	14	12	1	6	4	8	45
	Online Applications Approved	0	1	0	1	2	0	2	6
	Avg. Cycle Time (Paper)	87	83	48	84	87	100	101	79
	Avg. Cycle Time (Online)	N/A	33	N/A	98	87	N/A	101	84
	Expired/Withdrawn/Cancelled	9	1	2	0	0	1	1	5
	Pending Apps	34	30	26	38	37	46	45	45

Registered Dispensing Optician Applications FY 16/17-17/18

RDO: Registered Dispensing Optician

CLD: Contact Lens Dispenser

SLD: Spectacle Lens Dispenser

NRCLD: Non-Resident Contact Lens Dispenser

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
SLDs	Paper Applications Received	365	16	32	9	22	8	12	99
	Online Applications Received	4	9	16	15	13	14	23	90
	Paper Applications Approved	304	24	25	9	20	13	18	109
	Online Applications Approved	N/A	0	0	2	8	0	11	21
	Avg. Cycle Time (Paper)	89	81	99	89	99	116	111	98
	Avg. Cycle Time (Online)	N/A	N/A	N/A	85	78	N/A	94	87
	Expired/Withdrawn/Cancelled	18	2	8	2	1	3	4	20
	Pending Apps	99	98	113	124	130	136	138	138

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
NRCLDs	Paper Applications Received	5	0	0	0	0	0	0	0
	Online Applications Received	0	0	0	0	0	0	0	0
	Paper Applications Approved	2	0	0	0	0	0	0	0
	Online Applications Approved	0	0	0	0	0	0	0	0
	Avg. Cycle Time (Paper)	86	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Avg. Cycle Time (Online)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Expired/Withdrawn/Cancelled	2	0	0	0	0	0	0	0
	Pending Apps	2	2	2	2	2	2	2	2

Registered Dispensing Optician Renewals FY 16/17-17/18

RDO: Registered Dispensing Optician

CLD: Contact Lens Dispenser

SLD: Spectacle Lens Dispenser

NRCLD: Non-Resident Contact Lens Dispenser

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
RDOs	Paper Renewals Approved	454	8	53	45	31	29	47	213
	Online Renewals Approved	0	5	7	7	2	3	11	35
	Avg. Cycle Time (Paper)	68	27	61	27	124	10	293	106
	Avg. Cycle Time (Online)	N/A	10	148	148	0	0	462	229

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
CLDs	Paper Renewals Approved	445	19	28	42	19	2	9	119
	Online Renewals Approved	3	17	17	9	8	9	11	71
	Avg. Cycle Time (Paper)	26	107	71	52	22	57	64	62
	Avg. Cycle Time (Online)	97	1	0	18	0	0	29	7

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
SLDs	Paper Renewals Approved	987	41	61	68	50	1	33	254
	Online Renewals Approved	9	28	28	38	37	28	30	189
	Avg. Cycle Time (Paper)	30	43	49	46	44	7	49	46
	Avg. Cycle Time (Online)	82	2	4	11	0	1	33	8

		FY 16/17	FY 17/18						
		Total	Jul	Aug	Sep	Oct	Nov	Dec	Total
NRCLDs	Paper Renewals Approved	7	0	0	0	0	0	0	0
	Online Renewals Approved	0	0	0	0	0	0	0	0
	Avg. Cycle Time (Paper)	51	N/A	N/A	N/A	N/A	N/A	N/A	N/A
	Avg. Cycle Time (Online)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A