

PROFESSIONAL FIDUCIARIES BUREAU

SUNSET REVIEW REPORT 2023

PRESENTED TO THE SENATE COMMITTEE ON BUSINESS, PROFESSIONS AND ECONOMIC DEVELOPMENT AND THE ASSEMBLY COMMITTEE ON BUSINESS AND PROFESSIONS



DEPARTMENT OF CONSUMER AFFAIRS



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Professional Fiduciaries Bureau

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of January 3, 2023

Section 1 – Background and Description of the Bureau and Regulated Profession

The Professional Fiduciaries Bureau (Bureau) within the Department of Consumer Affairs (DCA or Department) is responsible for the licensure and regulation of non-family member professional fiduciaries, including conservators, guardians, trustees, personal representatives of a decedent's estate, and agents under durable power of attorney, as defined by the Professional Fiduciaries Act (Act). The Act was established in 2006 by SB 1550 (Figueroa, Chapter 491, Statutes of 2006).

Professional fiduciaries provide critical services to seniors, persons with disabilities, and children. These services include daily care, housing and medical needs, and financial management services ranging from basic bill paying to estate and investment management. Professional fiduciaries are responsible for the well-being of their clients and coordinate overall care for their client's medical and/or financial needs. A professional fiduciary is not necessarily an expert in all service areas and may hire other persons to handle duties for the trusts or estates. However, as the ultimate decision-maker, the professional fiduciary has the responsibility to ensure appropriate and adequate services are provided for their client.

The Bureau began operations July 1, 2007, and is charged with carrying out the following functions:

- Ensuring protection of the public as its highest priority;
- Promoting legal and ethical standards of professional conduct;
- Ensuring that applicants meet minimum requirements prior to licensure;
- Investigating all complaints; and,
- Taking disciplinary and administrative actions against licensees when appropriate.

The Bureau's mission statement is:

To protect consumers through licensing, consumer education, and enforcement of the Professional Fiduciaries Act and promote and uphold competency and ethical standards across the profession.

The Bureau Chief is appointed by the Governor, subject to confirmation by the Senate, and serves under the direction and supervision of the Director of the Department of Consumer Affairs, and at the pleasure of the Governor. The duty of administering and enforcing the Act

is vested in the Bureau Chief, and the Act mandates that protection of the public is the Bureau's highest priority in exercising its licensing, regulatory, and disciplinary functions.

As of September 1, 2022, the Bureau has issued 1,333 professional fiduciary licenses since its inception on July 1, 2008, and 841 of those licenses are currently active. There are three pathways for an individual to qualify for licensure; they must meet one of the following: (a) possess a baccalaureate degree; (b) possess an associate degree and have three years of experience performing substantive fiduciary duties; or (c) have five years of experience performing substantive fiduciary duties. Applicants must also complete 30 hours of approved education courses, complete live scan fingerprinting, and pass an examination prior to licensure. Licensees renew their licenses annually and are required to earn 15 hours of continuing education credit each renewal cycle. Beginning January 1, 2023, the prelicensing education courses will include at least one hour of instruction in cultural competency and a licensee shall complete at least two hours of instruction in ethics, two hours of instruction in cultural competency, or two hours of instruction in both ethics and cultural competency every year as part of their continuing education requirements. Licensees must submit an annual statement detailing their client casework each year. Licensees are also required to comply with reporting requirements and must abide by the Professional Fiduciaries Code of Ethics to ensure client matters are handled responsibly and without conflict.

Professional Fiduciary Bureau's Advisory Committee (See Section 13 for Organization Chart)

The Bureau's Advisory Committee (Advisory Committee), established in Business and Professions Code (BPC) section 6511, is responsible for examining the functions and policies of the Bureau and making recommendations relating to professional fiduciaries when requested by the Bureau Chief. The Advisory Committee consists of seven members, five of whom are appointed by the Governor, one public member by the Senate Rules Committee, and one public member by the Speaker of the Assembly. Three members must be California-licensed professional fiduciaries actively engaged as a professional fiduciary in California. Of the four public members, one Governor appointee must be a member of a nonprofit organization advocating on behalf of the elderly and one Governor appointee must be a probate court investigator. The Advisory Committee is required by law to meet at least once each quarter. Please see Section 13, Attachment B.

Advisory Committee Meetings/Quorum

Since the Bureau's last sunset review in 2018, the Bureau was unable to hold three of its quarterly meetings: November 13, 2019, due to a lack of quorum; March 18, 2020, due to COVID-19 pandemic restrictions; and June 22, 2022, due to a lack of quorum. The June 22, 2022, meeting would have been the first meeting required to be in-person since the start of the pandemic. As an advisory committee, the absence of three meetings had no impact on the Bureau's operations; however, the Bureau saved approximately \$2,572 in travel and per diem costs.

Major Changes

Internal Changes

During the Bureau's last sunset review in 2018, the Bureau finalized its strategic plan for

2018 to 2022. The Bureau was successful in meeting several of the stated objectives in the 2018-2022 Strategic Plan and consulted with the Advisory Committee on how best to complete the outstanding objectives in anticipation of its new strategic planning session in late summer 2022. The Bureau's most recent strategic plan was completed in late fall of 2022 and spans from 2023 to 2026. The most current strategic plan may be viewed at the Bureau's website under "[Publications](#)."

Legislative Changes

The Bureau has not sponsored any legislation since its last sunset review. The following bills affecting the Bureau have been enacted since the Bureau's last sunset review, and have an impact on the operations of the Bureau:

- **AB 3144** (Low, Chapter 681, Statutes of 2018) extended the sunset date of the Bureau from January 1, 2019, to January 1, 2023. This bill also expanded the definition of professional fiduciary to include personal representatives of a decedent's estate, establishes an experience-only pathway to licensure, and prohibits professional fiduciaries from charging a client for responding to complaints filed against the licensee with the Bureau.
- **AB 465** (Nazarian, Chapter 167, Statutes of 2021) beginning January 1, 2023, requires prelicensing education courses to include at least one hour of instruction in cultural competency, as defined. Beginning January 1, 2023, it also requires a licensee to complete at least two hours of instruction in ethics, cultural competency, or both every year as a condition of license renewal or restoration.
- **AB 1194** (Low, Chapter 417, Statutes of 2021) requires professional fiduciaries to provide a fee schedule, including hourly fees, either on their website or before contracting for services, upon request. AB 1194 also requires the Bureau to investigate specified allegations and impose sanctions or revoke an individual's license, as appropriate. Additionally, AB 1194 requires the Judicial Council, by January 1, 2024, to report to the Legislature its findings measuring court effectiveness in conservatorship cases. This bill increases costs for the Bureau and will likely lead to the Bureau needing a fee increase to sustain operations.
- **SB 826** (Senate Business, Professions and Economic Development Committee, Chapter 128, Statutes of 2021) extended the sunset date of the Bureau from January 1, 2023, to January 1, 2024.
- **SB 1024** (Jones, Chapter 612, Statutes of 2022) commencing January 1, 2024, authorizes the appointment of a professional fiduciary practice administrator when a professional fiduciary becomes incapacitated, and a vacancy exists.
- **SB 1495** (Senate Business, Professions and Economic Development Committee, Chapter 511, Statutes of 2022) makes technical, non-substantive changes to the Act. The bill expands and clarifies reporting and recordkeeping requirements and

includes double jointing language with SB 1024.

Regulation Changes

The Bureau has promulgated the following regulations since its last sunset review:

- **Removal of conviction question on applications - Approved and Effective March 19, 2018**
This regulation removed criminal conviction questions from Bureau applications by amending 16 CCR Section 4422, pursuant to BPC section 6533.
- **Substantial Relationship and Rehabilitation Criteria – Approved and Effective February 1, 2021**
This regulation established the criteria for determining if a crime, act, or professional misconduct is substantially related to the qualifications, functions and duties of a licensee, or when an applicant or licensee has made a showing of rehabilitation related to a crime, act or professional misconduct when considering the denial, suspension, or revocation of a license, pursuant to AB 2138 (Chiu, Chapter 995, Statutes of 2018). This regulation added Title 16 CCR Section 4521 and amended Sections 4520, 4522, 4620, and 4622.
- **Expedited Licensure – Approved and Effective March 29, 2021**
This regulation amended 16 CCR Section 4422 to include questions related to expediting licenses for asylees, refugees, and individuals with special visa status pursuant to AB 2113 (Low, Chapter 186, Statutes of 2020) and for individuals who have served as an active-duty member of the United States Armed Forces and honorably discharged on Bureau applications.
- **Mailing Address of Bureau – Approved and Effective July 14, 2021**
16 CCR Section 4402 was amended to update the Bureau's mailing address to its physical location instead of a Post Office Box.
- **Inactive or Retired License Status – Approved October 25, 2022, and Effective January 1, 2023**
This regulation establishes inactive and retired license statuses for licensees that are not engaging in the practice of a professional fiduciary. The regulation establishes a system to apply for, renew, and restore inactive and retired licenses to active status. The regulation also provides that an inactive or retired licensee is not allowed to perform any licensed activity. This regulation added 16 CCR Sections 4563, 4564, 4565, 4566, 4567, 4568, 4569, 4570, 4571, 4572, 4573, 4574, 4575, 4576, and 4581 and amended 16 CCR Sections 4560, 4562, and 4580.
- **Cultural competency in prelicensing and continuing education – Approved December 28, 2022, and Effective January 1, 2023**
This regulation conforms existing pre-licensure and continuing education regulations with new requirements established by AB 465 (Nazarian, Chapter 167,

Statutes of 2021) by amending 16 CCR Sections 4440, 4442, and 4444.

Major Studies (See Section 13)

With the assistance of the Department's Office of Professional Examination Services (OPES) and subject matter experts, the Bureau conducted an occupational analysis (OA) in 2018. The purpose of the OA is to define practice for professional fiduciaries in terms of the actual job tasks that new licensees must be able to perform safely and competently at the time of licensure. The results of the OA provide a description of practice for the fiduciary profession that can then be used to review the California Professional Fiduciary Examination developed by the Center for Guardianship Certification.

National Associations

The Bureau does not belong to any national associations. The Bureau is a member of the Council on Licensure, Enforcement and Regulation (CLEAR). CLEAR is an association of individuals, agencies and organizations that comprise the international community of professional and occupational regulation, providing a forum for improving the quality and understanding of regulation to enhance public protection. The Bureau's CLEAR membership is part of DCA's organizational membership and does come with voting privileges represented by one single organization vote.

National Examination

The Bureau works with OPES to meet the mandates set forth in BPC section 139. OPES is currently working with the Center for Guardianship Certification as they conduct a new occupational analysis to update their examination program.

Section 2 – Performance Measures and Customer Satisfaction Surveys

Performance Measure Reports

The Bureau provides data to DCA for quarterly performance measures in both licensing and enforcement. These reports are used as a management tool for the Bureau to determine if processes need to be reviewed or staffing needs to be redirected. A complete set of the Performance Measures can be found in Section 13, Attachments E and F.

Customer Satisfaction Surveys

The Bureau's customer satisfaction survey was created via a basic Survey Monkey account which allows for a maximum of 100 responses and does not provide data divided by fiscal year. The Bureau historically provided a link to the survey on its website, however the link was inadvertently removed from the website sometime in early 2019, when other website improvements were being made. Once the error was discovered, Bureau staff created a new survey and reposted it to the website in 2021.

Survey Responses prior to 2019:

Q1. Please choose the reason you contacted the Professional Fiduciaries Bureau:

Application: 0%

License Renewal: 0%

Complaint: 73.68%

Other: 26.32%

Q2. Did you receive a timely response from the Bureau staff?

Yes: 25%

No: 75%

Q3. Were you treated with respect by the Bureau staff?

Yes: 40%

No: 60%

Q4. If you contacted the Bureau in regard to a complaint, did you receive acknowledgement of receipt within ten days?

Yes: 40%

No: 53.33%

N/A: 6.67%

Q5. Did the Bureau staff explain the complaint process to you?

Yes: 43.75%

No: 43.75%

N/A: 12.5%

Q6. Did the Bureau staff resolve your complaint?

Yes: 0%

No: 86.67%

N/A: 13.33%

Q7. If you used the Bureau's website, did you find it useful?

Yes: 12.5%

No: 56.25%

N/A: 31.25%

The data reported above is the result of 19 survey responses, mostly related to consumer complaints. Bureau staff prides itself in providing courteous service, but recognizes the overall negative responses received and will take them into consideration for future improvements. The Bureau recognizes it needs to better explain the complaint process to the public, as only half of respondents felt the process was sufficiently explained to them. All the respondents felt that their complaint was not resolved; this is likely due to misunderstanding what authority the Bureau has to address or mitigate complaints.

The Bureau's customer satisfaction survey was reinstated starting October 1, 2021. The Bureau provides the survey link on its website and each employee provides the link in their email communications.

Survey Responses October 2021 - June 2022:

Q1. Please choose the reason you contacted the Professional Fiduciaries Bureau:

Application: 17.65%

License Renewal: 29.41%

Complaint: 23.53%

Other: 41.18%

Q2. Did you receive a timely response from the Bureau staff?

Yes: 81.25%

No: 18.75%

Q3. Were you treated with respect by the Bureau staff?

Yes: 76.47%

No: 23.53%

Q4. If you filed a complaint with the Bureau, did you receive an acknowledgement your complaint was received by the Bureau?

Yes: 12.5%

No: 12.5%

N/A: 75%

Q5. If you had questions about the complaint process, did the Bureau staff answer your questions?

Yes: 6.25%

No: 25%

N/A: 68.75%

Q6. Did you receive notice your complaint was closed?

Yes: 18.75%

No: 12.5%

N/A: 68.75%

Q7. If you used the Bureau's website, did you find it useful?

Yes: 58.82%

No: 23.53%

N/A: 17.65%

The data reported above is the result of 17 survey responses received between October 1, 2021 through June 30, 2022. Although the results are from a short period, the results in general are positive. More than 80% of the survey takers stated a timely response was received and more than 75% stated Bureau staff treated them with respect.

Fiscal Issues

The Bureau's fund is not continuously appropriated. Per BPC section 6590, the Professional Fiduciaries Fund is only available for expenditure by the Bureau upon appropriation by the Legislature.

Fund Condition

At the end of Fiscal Year 2021-22, the Bureau's current reserve level is 3.4 months. Pursuant to BPC section 128.5(a), the Bureau's statutory fund limit may not exceed two years in reserve. The Bureau does not have a statutorily required minimum reserve level. The Bureau's fund has been structurally sound historically; however recent legislative mandates and increases in expenditures outside of the Bureau's control are expected to create a significant budget deficit. The budget is monitored monthly by the Bureau Chief and Budget Office staff.

The Bureau has not operated with a deficit under its current level of expenditures and projected reserve funds but reverts a very small amount each year, which is insufficient to hire additional staff or make significant information technology updates. Recent legislative mandates (AB 1194, Chapter 417, Statutes of 2021) are expected to significantly increase the Bureau's workload and enforcement related expenditures. Due to AB 1194, the Bureau anticipates that a fee increase will be needed to hire additional staff. This legislative mandate creates the need for an increase of \$371,000 annually for additional staff, in addition to Attorney General's Office and subject matter expert costs. The Bureau's current spending authority was increased to \$1,050,000 for FY 2022/23 pursuant to a budget change proposal in the Governor's 2022-23 budget; accordingly, additional funding through a fee increase is necessary.

Bureau staff is tracking increases in workload and enforcement costs as AB 1194 is implemented and is working closely with the Department to determine the accurate amount of the fee increase, and how it should be distributed between applicants and existing licensees. In calculating the new fee amounts, the Bureau must consider a potential decrease in revenues resulting from the newly promulgated retired and inactive license status regulation, as licensees decide to leave the profession. Further, the Bureau acknowledges that a significant increase may persuade current licensees to retire and new applicants to reevaluate entering the profession given the high costs to maintain a license. Regardless, the Bureau recognizes its duty to implement new statutory requirements and secure the funding to do so. The Bureau's fees are set in regulation and the regulatory process typically takes about 18 months to complete.

The Bureau has not loaned any monies to the General Fund due to the limited amount of the fund.

(Dollars in Thousands)	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22*	FY 2022/23**	FY 2023/24**
Beginning Balance	220	291	258	343*	315	21
Revenues and Transfers	597	607	679	635	808	800
Total Revenue	\$817	\$898	\$937	\$785	\$1,123	\$821
Budget Authority	562	604	576	650	1,050	1,082
Expenditures	521	633	594	663	1,102	1,134
Loans to General Fund	0	0	0	0	0	0
Accrued Interest, Loans to General Fund	0	0	0	0	0	0
Loans Repaid From General Fund	0	0	0	0	0	0
Fund Balance	\$296	\$265	\$343	\$315	\$21	-\$313
Months in Reserve	5.6	5.4	6.2	3.4	.2	-3.2

*Includes prior year adjustments

**Includes direct draws to the fund

	FY 2018/19		FY 2019/20		FY 2020/21		FY 2021/22**	
	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E
Enforcement	97,441	41,470	108,435	89,318	106,286	69,403	108,974	26,534
Examination	0	0	0	0	0	0	0	0
Licensing	77,953	15,696	86,748	19,863	85,029	15,719	87,179	17,515
Administration *	151,987	11,772	165,813	14,897	158,345	11,789	164,692	13,136
DCA Pro Rata	0	101,085	0	109,659	0	103,500	0	125,000
Diversion (if applicable)	0	0	0	0	0	0	0	0
TOTALS	\$327,381	\$170,023	\$360,996	\$233,737	\$349,660	\$200,411	\$360,845	\$182,185

*Administration includes costs for executive staff, bureau, administrative support, and fiscal services.
**Projections based on FM 11

Information Technology Costs (BreEze)

As part of the Release 3 boards and bureaus, the Bureau has contributed \$4,100 to the BreEze program overall, however, has not paid into BreEze since fiscal year 2016-17. Currently, the Bureau is not on the BreEze system, and has no plans to move to the BreEze

system in the future, therefore no additional BreZE costs are anticipated.

Bureau Fees

Professional fiduciary licenses are renewed annually and there have been no fee changes since the Bureau's inception in 2007 despite ever increasing costs of doing business (e.g., employee salary and benefits, Attorney General's Office costs, etc.). The authority for each Bureau fee is as follows:

- Application – BPC section 6533(k);
- Initial License – BPC sections 134 and 6592(b);
- Renewal – BPC section 6592(c);
- Delinquent – BPC section 163.5;
- Duplicate License – BPC section 122;
- Dishonored Check – Government Code section 6157, California Civil Code section 1719; and,
- Citation and Fine – BPC section 6580 and California Code of Regulations (CCR) Title 16, section 4600 and 4602.

Fee	Current Fee Amount	Statutory Limit	FY 2018/19 Revenue	FY 2019/20 Revenue	FY 2020/21 Revenue	FY 2021/22 Revenue	% of Total Revenue
Delinquency Fee	150	N/A	2	3	3	3	.47%
Other Regulatory Fees	25	N/A	0	0	0	0	0%
Cite and Fines	Variable	5	17	24	29	14	2.2%
Other Regulatory License and Permits	Variable	N/A	0	-1	0	0	0%
App Fee Prof Fiduciary	400	N/A	47	45	37	36	5.67%
Initial License Var	600 + proration	N/A	55	45	85	66	10.39%
Other Revenue	Variable	N/A	0	0	0	0	0%
Investment Income – Surplus Money Investments	Variable	N/A	8	8	2	1	.16%
Renewal Fees	700	N/A	468	483	523	515	81.10%
Total Revenue			597	607	679	635	100%

Budget Change Proposals

The Bureau received approval to fund 1.5 positions in FY 2022/23 to adequately implement the new legislative mandates under AB 1194 (Chapter 417, Statutes of 2021).

Table 5. Budget Change Proposals (BCPs)								
BCP ID #	Fiscal Year	Description of Purpose of BCP	Personnel Services				OE&E	
			# Staff Requested (include classification)	# Staff Approved (include classification)	\$ Requested	\$ Approved	\$ Requested	\$ Approved
1111-118-BCP-2022-GB	2022-23	Chapter 417, Statutes of 2021 (AB 1194)	1.5 AGPA	1.5 AGPA	185,000	185,000	202,000 for BY and 186,000 ongoing	202,000 for BY and 186,000 ongoing

Staffing Issues

Given that the Bureau is a special fund entity that relies solely on licensing and renewal fees for funding, staffing levels are commensurate with the licensing population. Accordingly, the Bureau's small licensing pool only affords the Bureau three full-time staff to conduct its licensing, enforcement, and administrative functions. Any prolonged staff absence, medical leave, securing of other employment, or retirement seriously jeopardizes the Bureau's ability to meet its core consumer protection mandates. Additionally, the highly specialized nature of the Bureau's work makes it difficult to temporarily fill any vacancies.

The Bureau trains its staff through the Department's in-house training program provided by the SOLID Training Unit to educate and train staff on a variety of workplace policies and procedures. This coursework is part of the Bureau's pro rata payment to the Department and does not impose any additional cost to the Bureau. The Bureau did expend small amounts in FY 2018/19 (\$235) and FY 2019/20 (\$164) for staff to attend training at the Department of Rehabilitation, to comply with new Americans with Disabilities Act requirements.

Section 4 – Licensing Program

Licensing Performance Measures

The Bureau is required by regulation to inform applicants within 90 days of receipt of an application whether the application is complete and accepted for filing, or that it has deficiencies and what specific information or documentation is needed to complete the application. The Bureau's performance target for processing complete applications is 45 days from receipt of the complete application to determine eligibility for the licensure examination, and 15 days to grant a license after a candidate passes the examination. The Bureau is currently meeting the performance targets, and the timelines are lower than the target. The Bureau implemented more email communications instead of regular mail resulting in improved processing times and at the end of FY 2021/22 the Bureau averaged only 13 days from receipt of a complete application to determine if the candidate can take the examination. After a candidate passes the examination, the Bureau averages only five days to issue a license. Performance measurements can be found in Section 13, Attachment F.

The Bureau's application processing times have decreased significantly since its last sunset review from 50 days for complete applications in FY 2017/18 to 13 days for complete applications by the end of FY 2021/22. The decrease in processing time is a result of the Bureau's increased use of email to communicate with applicants and licensees.

The Bureau has not denied any licenses based on an applicant's criminal history in the past four years.

Table 6. Licensee Population					
		FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22
Professional Fiduciary	Active ¹	756	766	813	836
	Out of State	0	0	0	0
	Out of Country	0	0	0	0
	Delinquent/Expired	362	400	422	489
	Retired Status <i>if applicable</i>	0	0	0	0
	Inactive	0	0	0	0
	Other ²	0	0	0	0
Note: 'Out of State' and 'Out of Country' are two mutually exclusive categories. A licensee should not be counted in both.					

¹ Active status is defined as able to practice. This includes licensees that are renewed, current, and active.

² Other is defined as a status type that does not allow practice in California, other than retired or inactive.

Table 7a. Licensing Data by Type										
Application Type		Received	Approved/ Issued	Closed	Pending Applications			Cycle Times		
					Total (Close of FY)	Complete (within Bureau control)*	Incomplete (outside Bureau control)*	Complete Apps	Incomplete Apps	combined, IF unable to separate out
FY 2019/20	(Exam)	113	80	N/A	N/A	N/A	N/A	46	101	N/A
	(License)	59	59	N/A	N/A	N/A	N/A	9	N/A	N/A
	(Renewal)	696	696	N/A	N/A	N/A	N/A	N/A	N/A	N/A
FY 2020/21	(Exam)	94	101	N/A	N/A	N/A	N/A	47	133	N/A
	(License)	89	89	N/A	N/A	N/A	N/A	15	N/A	N/A
	(Renewal)	730	730	N/A	N/A	N/A	N/A	N/A	N/A	N/A
FY 2021/22	(Exam)	85	70	N/A	N/A	N/A	N/A	17	133	N/A
	(License)	70	70	N/A	N/A	N/A	N/A	5	N/A	N/A
	(Renewal)	774	774	N/A	N/A	N/A	N/A	N/A	N/A	N/A

* Optional. List if tracked by the Bureau.

Table 7b. License Denial			
	FY 2019/20	FY 2020/21	FY 2021/22
License Applications Denied (no hearing requested)	0	0	0
SOIs Filed	0	0	0
Average Days to File SOI (from request for hearing to SOI filed)	0	0	0
SOIs Declined	0	0	0
SOIs Withdrawn	0	0	0
SOIs Dismissed (license granted)	0	0	0
License Issued with Probation / Probationary License Issued	0	0	0
Average Days to Complete (from SOI filing to outcome)	0	0	0

Applicant Verification and Information

Bureau staff review each application for completeness and accuracy; determine if fingerprints have cleared the Department of Justice; verify the applicant's education was obtained through a nationally accredited college or university; determine if the experience listed on the application meets Bureau requirements and verify that experience by contacting the applicant's references; and determine whether prelicensing education was obtained through an approved provider. Bureau staff reach out to applicants if there are any unclear responses or deficiencies in the application. Applications that do not clearly meet the minimum requirements are referred to the Bureau Chief for further review. Once an application is deemed complete, the Bureau approves the applicant to take the licensing examination.

Fingerprinting

Each applicant is required to submit live scan fingerprints prior to the review of their application. If a criminal history report is returned by the California Department of Justice

(DOJ) or the Federal Bureau of Investigation, those records are obtained and reviewed by the Bureau Chief for appropriate action. Pursuant to BPC section 6561(a)(6), applicants are required to list any other licenses or certifications they hold. Bureau staff contact those licensing agencies to check for any disciplinary actions. The Bureau has not denied a license, based on the applicant's failure to disclose information on their application, in the last four years. The Bureau requires all applicants to be fingerprinted and all current licensees have been fingerprinted.

National Database/Primary Source Documentation/Out-of-State Applicants

The Bureau is unaware of a national databank relating to disciplinary actions for its licensees. Arizona and Alaska license professional fiduciaries, but to date, the Bureau has not received any applications from individuals licensed in those states nor have those states reported action regarding a California licensee.

In order to be licensed, each applicant must submit primary source documentation to verify the information provided by the applicant. In addition, there are no specific legal requirements for the Bureau in processing out-of-state and out-of-country applicants.

Military Experience, Licensure, and Data

The Bureau tracks veteran applicants in compliance with BPC section 114.5. If the applicant checks the veteran box on the application, the information is entered into the Applicant Tracking System (ATS) and once the applicant becomes licensed, this information transfers to the Consumer Affairs System (CAS) for the licensing record. The Bureau is able to run reports to determine the number of applicants and licensees who have reported a veteran status.

To date, no applicant offered military education, training, or experience towards meeting licensure requirements. Regulatory changes are not needed for the Bureau to comply with BPC section 35 regarding military experience. Per BPC section 35, a board or bureau must provide for methods of evaluating education, training, and experience obtained in the armed services as long as such experience is applicable to the business, occupation, or profession regulated. Educational and experiential requirements for licensure, as it relates to the duties of a professional fiduciary (guardian, conservator, trustee, personal representative of a decedent's estate, or agent under power of attorney) are not associated with military service and therefore there is no specific process for determining if military service fulfills these requirements.

The Bureau has not received any fee waiver requests from licensees called to active duty. However, the Bureau has expedited 21 military applications since BPC section 115.5 was enacted.

No Longer Interested

"No Longer Interested" notifications are sent monthly to the Department of Justice on behalf of the Bureau directly from the Department's CAS system. This ensures the Bureau does not receive any information on licensees who are no longer active. The Bureau works with DCA on this reporting and there is no current backlog.

Examinations

Table 8. Examination Data ³			
California Examination (include multiple language) if any:			
	License Type	Professional Fiduciary	
	Exam Title	Professional Fiduciaries Examination	
FY 2018/19	Number of Candidates	141	
	Overall Pass %	49%	
	Overall Fail %	51%	
FY 2019/20	Number of Candidates	114	
	Overall Pass %	46%	
	Overall Fail %	54%	
FY 2020/21	Number of Candidates	165	
	Overall Pass %	52%	
	Overall Fail %	48%	
FY 2021/22	Number of Candidates	149	
	Overall Pass %	48%	
	Overall Fail %	52%	
	Date of Last OA	2018	
	Name of OA Developer	DCA Office of Professional Examination Services	
	Target OA Date	TBD	

³ This table includes all exams for all license types as well as the pass/fail rate. Include as many examination types as necessary to cover all exams for all license types.

National Examination (include multiple language) if any:			
License Type		PF	
Exam Title		Professional Fiduciaries Examination	
FY 2018/19	Number of Candidates	153	
	Overall Pass %	44%	
	Overall Fail %	56%	
FY 2019/20	Number of Candidates	115	
	Overall Pass %	45%	
	Overall Fail %	55%	
FY 2020/21	Number of Candidates	156	
	Overall Pass %	65%	
	Overall Fail %	35%	
FY 2021/22	Number of Candidates	129	
	Overall Pass %	61%	
	Overall Fail %	39%	
Date of Last OA		2019	
Name of OA Developer		Center for Guardianship Certification	
Target OA Date		2022	

Applicants are required to pass a computer-based, multiple-choice examination that consists of two sections – one pertaining to national laws and professional practices and the other related to California-specific laws and professional practices. Currently, the Bureau only offers the examination in English and has not received any requests to take the examination in another language. The Bureau contracts with the Center for Guardianship Certification for the development, scoring, and analysis of the Bureau's licensing examination. The Department, on behalf of the Bureau, contracts with a separate vendor, Psychological Services Incorporated (PSI), to administer the examination, using computer-based testing at sites throughout California and across the country.

The Bureau conducted an occupational analysis through the Department's Office of Professional Examination Services in 2018. The occupational analysis was performed to ensure that the content of the licensure examination reflects the knowledge required for safe, entry-level (newly licensed) practice. The occupational analysis was followed by an audit of the Center for Guardianship Certification examination program in 2019. OPES is currently working with the Center for Guardian Certification to update the occupational analyses and examination. These actions were necessary to ensure the Bureau is in compliance with BPC section 139.

The pass rates for first time test takers vs. retakes for the California portion of the exam is as follows: FY 2018/19 - first time 47.5% vs. re-takes 52.4%; FY 2019/20 - first time 47.3% vs. re-takes 42.5%; FY 2020/21- first time 54.4% vs. re-takes 48.4%; and FY 2021/22 - first time 65% vs. re-

takes 60%.

For the national portion of the exam: FY 2018/19 first time 44.4% vs. re-takes 44.4%; FY 2019/20 first time 47.3% vs. re-takes 45.5%; FY 2020/21 first time 70.9% vs. re-takes 54.7%; and FY 2021/22 first time 72% vs. re-takes 65%.

The Bureau only offers examinations in English, therefore pass rates for examinations in other languages are not available.

The Bureau's entire examination is computer based and in a multiple-choice format. The examination is available at 20 sites in California: Agoura Hills, Atascadero, Bakersfield, Carson, Diamond Bar, El Monte, Fresno, Irvine, Lawndale, Redding, Riverside, Sacramento, San Diego, San Francisco, Santa Clara, Santa Rosa, Union City, Ventura, Visalia, and Walnut Creek. There are also 22 out-of-state sites. Tests are administered Monday through Saturday, excluding holidays.

There are no statutes that hinder the efficient and effective processing of applications and/or examinations.

School Approvals

Pursuant to BPC section 6540, individuals, entities, agencies, and associations that propose to offer educational programs are required to apply for, and obtain, Bureau approval. The criteria for approval is listed in 16 CCR section 4446. BPPE does not have a role in the Bureau's school approval process.

The Bureau has approved two schools to provide pre-licensing and continuing education. The Bureau does not review schools once approved, but it does review individual courses. The Bureau can remove a school's approval, but it would require a regulatory change, as educational providers are listed under 16 CCR section 4446.

There is no specific statute or regulation that requires or prohibits the Bureau from approving international schools. To date, the Bureau has not received any applications from international schools seeking approval. Under 16 CCR section 4446(a), in order for any school to be approved by the Bureau, they must be accredited by a regional accrediting organization recognized by the Council for Higher Education Accreditation.

Continuing Education/Competency Requirements

Licensees are required to obtain 15 hours of continuing education (CE) each renewal period, including two hours in ethics for fiduciaries. Beginning January 1, 2023, AB 465 (Chapter 167, Statutes of 2021) requires pre-licensing education courses to include at least one hour of instruction in cultural competency, as defined. The bill also requires licensees to complete at least two hours of instruction in ethics, cultural competency, or both, every year as a condition of license renewal or restoration.

Licensees self-certify that their continuing education hours have been completed at the time of renewal. The Bureau has not worked with the Department to receive primary source

verification of CE completion through the cloud. The Bureau conducts continuing education audits periodically to determine compliance. Per 16 CCR section 4452(c), licensees are required to provide proof of continuing education course completion within 10 days of request by the Bureau. CE audits are typically conducted by randomly selecting approximately five percent of active licensees for an audit. A letter requesting proof of CE completion is mailed to each licensee. Bureau staff reviews the responses for compliance and sends a follow-up letter stating whether the licensee complied, or if corrective action is needed. Licensees who cannot prove they have completed their CE are subject to administrative action such as a citation with an order of abatement, with or without a fine.

During the COVID-19 pandemic, CE hours were temporarily waived. In response to the COVID 19 pandemic, the Department issued a temporary waiver of CE requirements pursuant to the Governor's Executive Order N-40-20, which required licensees to satisfy CE requirements within six months of the end of the order, on or before April 30, 2022. The Bureau conducted an audit of the licensees who requested the temporary waiver of hours in 2022, which is discussed in greater detail below.

The Bureau has conducted two CE audits in the past four fiscal years – one prior to the COVID 19 pandemic in December 2018 and one after the temporary waiver of CE requirements had concluded in May 2022.

For the first CE audit, audit letters were sent to 47 active licensees, or approximately five percent of the active licensing population at the time of the audit. Five citations were issued for failure to provide proof of compliance.

For the second CE audit, the Bureau audited 12 licensees who had previously requested a CE waiver from the Bureau due to the COVID 19 pandemic. The Bureau emailed the licensees before the April 30 deadline, requesting proof of continuing education hours gained for the 2020 and 2021 renewal years. Of the 12 licensees audited, four licensees were cited for failure to provide proof of compliance.

Courses that meet the approved education requirements in 16 CCR section 4444 and are provided by, or approved by, an approved provider in 16 CCR section 4446, are acceptable. Additionally, the Bureau accepts course approval requests from providers that are not included in 16 CCR section 4446 and reviews them to ensure they meet the Bureau's educational standards.

The Bureau approves CE providers. Additionally, the Bureau accepts course approval requests from providers that are not included in 16 CCR section 4446 and reviews them to ensure they meet the Bureau's educational standards. Applications are reviewed for compliance with 16 CCR, Division 41, Article 3.

The Bureau has not received any additional CE provider applications but has received 58 applications for CE courses. All 58 applications have been reviewed by Bureau staff and approved. Although the Bureau approves the providers, the Bureau does not audit CE providers.

Regarding performance-based assessments, the Bureau tasked the Advisory Committee with reviewing CE policies in 2013. A subcommittee was formed, and it ultimately determined to keep existing CE requirements. At this time, the Bureau has no plans to review the requirements again to determine if performance-based assessments are appropriate.

Table 8a. Continuing Education			
Type	Frequency of Renewal	Number of CE Hours Required Each Cycle	Percentage of Licensees Audited
PF	Annual	15	5%

Enforcement Performance Measures

The Bureau aims to assign complaints to an investigator within five days, and close investigations within 365 days. Over the last three years, on average, the Bureau assigned complaints within three days. Over the last three fiscal years, on average, investigations took 398 days to close. For specific year breakdown per investigation type, please refer to Table 9A below.

Performance targets only provide an average, and while simple investigations can be closed quickly, more complex investigations can take over two years to resolve and close. Though the Bureau has historically met its performance targets, the Bureau has not backfilled its retired annuitant position due to insufficient resources. Insufficient staffing has led to the timeline for closing complaints to fall short of the performance targets. Further, new legislative mandates (AB 1194, Chapter 417, Statutes of 2021) will increase the number of complaints the Bureau receives and will negatively impact the Bureau's ability to stay within its performance measure targets unless additional resources are secured. The Bureau will need to raise fees to ensure it is efficiently meeting its enforcement functions.

Enforcement Program Update

The Bureau's enforcement timelines have recently exceeded performance measures. The Bureau Chief and enforcement analyst meet every two weeks to discuss aging cases, and any methods to improve the current process. However, the Bureau only has one enforcement analyst. That position must manage the enforcement caseload from complaint intake, to final disposition, conducting all investigations, interviewing licensees and consumers, writing investigatory reports, reading and discerning voluminous court documents, making recommendations to the Bureau Chief, working with the Attorney General's Office and attending disciplinary hearings, and overseeing all aspects of disciplinary or enforcement actions pursued by the Bureau (from citations to probation monitoring), in addition to managing the day to day operational needs of the enforcement program. This results in complaints that are kept open longer and the Bureau failing to meet its performance targets. Over the past three years, the Bureau has received an average of 125 complaints annually. It is unreasonable to expect one individual to effectively manage such a high caseload when they are also required to perform the full complement of enforcement duties.

The Bureau requested and received a budget augmentation in the Governor's 2022-23 budget to hire additional enforcement staff to comply with new mandates established by AB 1194, (Chapter 417, Statutes of 2021). Accordingly, the Bureau anticipates needing a fee increase to adequately fund the new requirements.

Table 9a. Enforcement Statistics			
	FY 2019/20	FY 2020/21	FY 2021/22
Intake			
Received	142	114	119
Closed without Referral for Investigation	31	21	12
Referred to INV	109	95	107
Pending (close of FY)	2	0	0
Conviction / Arrest			
CONV Received	0	0	0
CONV Closed Without Referral for Investigation	0	0	0
CONV Referred to INV	0	0	0
CONV Pending (close of FY)	0	0	0
Source of Complaint⁴			
Public	114	111	109
Licensee/Professional Groups	0	0	0
Governmental Agencies	0	0	1
Internal	28	3	9
Other	0	0	0
Anonymous	0	0	0
Average Time to Refer for Investigation (from receipt of complaint / conviction to referral for investigation)	2	2	2
Average Time to Closure (from receipt of complaint / conviction to closure at intake)	3	2	1
Average Time at Intake (from receipt of complaint / conviction to closure or referral for investigation)	2	2	2
Desk Investigations			
Opened	0	0	0
Closed	0	0	0
Average days to close (from assignment to investigation closure)	N/A	N/A	N/A
Pending (close of FY)	0	0	0
Non-Sworn Investigation			
Opened	109	95	107
Closed	90	65	125
Average days to close (from assignment to investigation closure)	178	330	457
Pending (close of FY)	89	119	95
Sworn Investigation			
Opened	0	0	0
Closed	0	0	0
Average days to close (from assignment to investigation closure)	N/A	N/A	N/A

⁴ Source of complaint refers to complaints and convictions received. The summation of intake and convictions should match the total of source of complaint.

Pending (close of FY)	0	0	0
All investigations ⁵			
Opened	109	95	145
Closed	90	72	125
Average days for all investigation outcomes (from start investigation to investigation closure or referral for prosecution)	178	340	457
Average days for investigation closures (from start investigation to investigation closure)	348	328	455
Average days for investigation when referring for prosecution (from start investigation to referral for prosecution)	334	90	181
Average days from receipt of complaint to investigation closure	349	389	457
Pending (close of FY)	89	119	95
Citations Issued	30	8	3
Average Days to Complete (from complaint receipt / inspection conducted to citation issued)	43	92	429
Amount of Fines Assessed	\$43,550	\$35,000	\$10,000
Amount of Fines Reduced, Withdrawn, Dismissed	\$2,750	\$19,500	\$0
Amount Collected	\$18,050	\$10,500	\$1,000
Referred for Criminal Prosecution	0	0	0
Accusations Filed	3	1	0
Accusations Declined	0	0	0
Accusations Withdrawn	1	0	0
Accusations Dismissed	0	0	0
Average Days from Referral to Accusations Filed (from AG referral to Accusation filed)	133	21	0
ISO & TRO Issued	0	0	0
PC 23 Orders Issued	0	0	0
Other Suspension/Restriction Orders Issued	0	0	0
Referred for Diversion	0	0	0
Petition to Compel Examination Ordered	0	0	0
AG Cases Initiated (cases referred to the AG in that year)	6	1	0
AG Cases Pending Pre-Accusation (close of FY)	3	0	0
AG Cases Pending Post-Accusation (close of FY)	4	6	0

⁵ The summation of desk, non-sworn, and sworn investigations should match the total of all investigations.

DISCIPLINARY OUTCOMES			
Revocation	1	0	0
Surrender	2	2	1
Suspension only	0	0	0
Probation with Suspension	0	0	0
Probation only	0	0	1
Public Reprimand / Public Reproval / Public Letter of Reprimand	1	0	1
Other	0	0	0
DISCIPLINARY ACTIONS			
Proposed Decision	0	0	0
Default Decision	1	0	0
Stipulations	1	2	3
Average Days to Complete After Accusation (from Accusation filed to imposing formal discipline)	198	269	510
Average Days from Closure of Investigation to Imposing Formal Discipline	429	367	683
Average Days to Impose Discipline (from complaint receipt to imposing formal discipline)	806	1,047	758
PROBATION			
Probations Completed	1	2	0
Probationers Pending (close of FY)	2	0	1
Probationers Told	0	0	0
Petitions to Revoke Probation / Accusation and Petition to Revoke Probation Filed	0	0	0
SUBSEQUENT DISCIPLINE⁶			
Probations Revoked	0	0	0
Probationers License Surrendered	0	0	0
Additional Probation Only	0	0	0
Suspension Only Added	0	0	0
Other Conditions Added Only	0	0	0
Other Probation Outcome	0	0	0
SUBSTANCE ABUSING LICENSEES			
Probationers Subject to Drug Testing	N/A	N/A	N/A
Drug Tests Ordered	N/A	N/A	N/A
Positive Drug Tests	N/A	N/A	N/A
PETITIONS			
Petition for Termination or Modification Granted	0	0	0
Petition for Termination or Modification Denied	0	0	0
Petition for Reinstatement Granted	0	0	0
Petition for Reinstatement Denied	0	0	0
DIVERSION			
New Participants	N/A	N/A	N/A
Successful Completions	N/A	N/A	N/A

⁶ Do not include these numbers in the Disciplinary Outcomes section above.

Participants (close of FY)	N/A	N/A	N/A
Terminations	N/A	N/A	N/A
Terminations for Public Threat	N/A	N/A	N/A
Drug Tests Ordered	N/A	N/A	N/A
Positive Drug Tests	N/A	N/A	N/A

Table 10. Enforcement Aging						
	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22	Cases Closed	Average %
Investigations (Average %)						
Closed Within:						
90 Days	37	38	19	19	113	32%
91 - 180 Days	18	16	12	13	59	17%
181 - 1 Year	14	13	6	19	52	15%
1 - 2 Years	4	23	24	52	103	29%
2 - 3 Years	1	0	4	19	24	7%
Over 3 Years	0	0	0	3	3	<1%
Total Investigation Cases Closed	74	90	65	125	354	100%
Attorney General Cases (Average %)						
Closed Within:						
0 - 1 Year	2	1	0	1	4	25%
1 - 2 Years	0	4	0	0	4	25%
2 - 3 Years	2	0	2	3	7	44%
3 - 4 Years	0	0	0	1	1	6%
Over 4 Years	0	0	0	0	0	0%
Total Attorney General Cases Closed	4	5	2	5	16	100%

The rate of disciplinary action taken by the Bureau has remained steady since its last sunset review. The Bureau's number one priority is the protection of the public (BPC section 6516). When prioritizing complaints, the Bureau gives highest priority to complaints where there is the potential for serious harm to the public by a licensee. The Bureau's complaint prioritization is similar but not identical to the Department's *Complaint Prioritization Guidelines for Health Care Agencies*, given that it is not a healing arts program and does not have the authority to investigate criminal activity.

Mandatory Reporting

Licensees are required to annually report to the Bureau, at the time of renewal and thereafter within 15 business days, any information that is required to be reported on the annual statement (as specified in 16 CCR section 4542), including whether the licensee has been convicted of a crime, declared bankruptcy, been removed from a case for cause, etc. The Bureau recognizes that some licensees may underreport to the Bureau to avoid potential discipline.

Apart from reporting requirements for licensees, the Department of Justice provides the Bureau with subsequent arrest notifications on licensees. There have not been any problems

receiving the required reports from the Department of Justice.

One new provision under AB 1194 (Low, Chapter 417, Statutes of 2021) requires the court to report to the Bureau if a professional fiduciary has abused a licensee, or if the court has imposed any penalties on the licensee including removal for cause. However, the court is not required to do so until the Legislature makes an appropriation for this purpose. The court has not yet reported any sanctions imposed on licensees to the Bureau at the time this report was drafted.

Civil Court Settlements

The Bureau does not receive settlement reports. Unlike some healing arts programs that require malpractice carriers and courts to report malpractice settlements and judgements over a certain dollar amount to the respective licensing Bureau, there are no such requirements for the Bureau. Therefore, there is also no dollar amount for a settlement to be reported.

Stipulated Settlements

In the last four years, the Bureau has had no pre-accusation settlements but has settled nine out of eleven post-accusation cases. The Bureau has not had a case that went to hearing in the last four years and 82 percent of the Bureau's cases have been settled without going to a hearing or other actions being taken.

Statute of Limitations

The Bureau does not operate with a statute of limitations and does not have a policy on a potential statute of limitations.

Unlicensed Activity/Underground Economy

The Bureau can impose an administrative citation and fine up to \$5,000 for unlicensed activity, though unlicensed individuals may ignore the citation. Unlike the other licensing entities enumerated in BPC section 146, unlicensed practice is not a crime, and this inhibits the Bureau's authority to impose criminal sanctions on individuals practicing without a license. The Bureau uses outreach events, and its newsletter, to educate consumers and industry groups about checking license status before hiring a professional fiduciary.

Citation and Fine

In the last four fiscal years (FY 2018/19 to FY 2021/22), the Bureau has issued 56 citations to licensees since its last sunset review. Prior to its last sunset review in 2018, the Bureau increased its maximum fine to \$5,000 for each violation pursuant to 16 CCR section 4602 and has not made any changes since.

The Bureau uses its citation and fine authority to address violations such as: working with an expired license, failure to comply with continuing education requirements, failure to report matters to the Probate Court or the Bureau, failure to adequately protect a consumer's estate, failure to provide client records to the Bureau, and unlicensed practice.

The Bureau has held 17 informal office conferences and received six Administrative Procedure Act appeals in the last four years; however, the Bureau withdrew one of the citations prior to an appeal hearing being held. The Bureau does not have a Disciplinary Review Committee.

The five most common violations that citations are issued for are reporting violations, failure to act in the best interest of the consumer, failure to manage the estate appropriately, negligence/willful violation of duty/incompetence in practice, and failure to produce records upon request by the Bureau. The Bureau issues fines between \$500 and \$5,000 depending upon the violation, with the average being \$1,000.

In 2022, the Bureau was authorized to participate in the Franchise Tax Bureau's Interagency Intercept Collection Program but has not yet used the program to collect outstanding fines. The Bureau will be utilizing this authority in the future.

Cost Recovery and Restitution

In each case where an accusation is filed, the Bureau requests the administrative law judge to allow the recovery of reasonable investigation costs pursuant to BPC section 125.3. Cost recovery is also included in post accusation/pre-hearing settlements and in some cases, the Bureau has permitted licensees to pay cost recovery through a limited payment plan. There have been no changes to the Bureau's cost recovery policy since its last sunset review.

The Bureau was awarded approximately \$102,197.10 in cost recovery from 11 individuals. To date, the Bureau has collected \$28,405.09. The Bureau does not anticipate being able to collect the remaining \$65,492.01 from nine individuals as these individuals surrendered their licenses after an accusation was filed or their licenses were revoked, and they are unlikely to petition to reinstate their licenses.

The Bureau attempts to seek cost recovery for all matters filed with the Attorney General's Office. However, some matters may result in a settlement wherein the cost recovery is reduced or otherwise not included in the settlement during the process of negotiating the agreement. The Bureau would seek cost recovery for matters that are settled between the Bureau and the licensee that are not filed with the Attorney General's office; however, similar to the Attorney General's process, the settlement negotiation process may result in a reduction or removal of the cost recovery amount.

Similar to the response regarding citations, in 2022, the Bureau was authorized to participate in the Franchise Tax Bureau's Interagency Intercept Collection Program but has not yet used the program for cost recovery. The Bureau will be utilizing this tool in the future.

The Bureau is not authorized to obtain financial restitution for consumers. However, the Bureau would support authorizing administrative law judges to award financial restitution to a harmed consumer when there is a finding of serious direct financial harm or abuse for certain types of violations. Doing so would provide a legal mechanism for harmed consumers to go to civil courts to enforce the restitution order, if it is not paid in full.

Table 11. Cost Recovery⁷ (list dollars in thousands)				
	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22
Total Enforcement Expenditures				
Potential Cases for Recovery *	4	3	1	3
Cases Recovery Ordered	4	3	1	3
Amount of Cost Recovery Ordered	\$12	\$7	\$8.7	\$47
Amount Collected	\$9	\$1	\$0	\$9

* "Potential Cases for Recovery" are those cases in which disciplinary action has been taken based on violation of the license practice act.

Table 12. Restitution (list dollars in thousands)				
	FY 2018/19	FY 2019/20	FY 2020/21	FY 2021/22
Amount Ordered	N/A	N/A	N/A	N/A
Amount Collected	N/A	N/A	N/A	N/A

⁷ Cost recovery may include information from prior fiscal years.

Website/Posting Meeting Information/Webcasting

The Bureau routinely updates its website to advise licensees and the public of the Bureau's activities. Newsletters, Advisory Committee meeting announcements, proposed and approved regulations, and any other significant notices are posted on the Bureau's website and a notice is emailed to an interested parties list. Advisory Committee meeting agendas and materials are posted at least 10 days prior to the meeting date. Draft meeting minutes are posted to the Bureau's website as part of the meeting materials, however finalized meeting minutes are posted after they have been approved by the Advisory Committee members at a meeting. The Bureau's website currently displays the last four years of meeting minutes and materials.

The Bureau webcasts all meetings when webcasting is available. Additionally, the Bureau also held meetings via Webex, to ensure public participation throughout the COVID-19 pandemic and has continued to do so even when in person meetings resumed. Webcasts are uploaded to YouTube after the meeting concludes and links are provided on the Bureau's website. These webcasts remain online indefinitely. The Bureau establishes an annual meeting calendar and posts that information on its website.

Public Disclosure Policy

The Bureau's complaint disclosure policy is consistent with the Department's *Recommended Minimum Standards for Consumer Complaint Disclosure*. Accusations and disciplinary actions are posted on the Bureau's website, consistent with the Department's *Website Posting of Accusations and Disciplinary Actions*. Pursuant to BPC sections 27 and 6534, the following information is publicly accessible: licensee name; license number; license issue and expiration dates; address of record; any disciplinary actions or citations; total client assets under the licensee's management; reported bankruptcies within the last ten years; and whether a licensee has been removed from a case for cause by the court or resigned and the circumstances of that resignation and/or removal, including the case names, case numbers, and case locations associated with those removals and resignations. The disclosure of case names, numbers, and locations are otherwise not disclosed. Additionally, administrative and enforcement actions taken by the Bureau against a license are considered public information and posted onto the Bureau's license lookup pursuant to BPC section 6580(c).

Consumer Outreach

The Bureau provides consumer and licensee information on its website, and through email notifications to its interested parties list. Bureau staff also attend outreach events for the elderly and disseminates a biannual newsletter. The Bureau utilizes Facebook and Twitter to provide pandemic updates and inform the public of upcoming committee meetings. The Bureau is currently working with the Department's Office of Public Affairs to reassess the types and frequency in which information will be disseminated in the future.

Section 7 – Online Practice Issues

The Bureau does not track how many licensees offer their services or practice online and has not uncovered any online unlicensed activity. The day-to-day practice of a professional fiduciary often requires in person contact with clients, which may include managing client medical and housing needs, attending court hearings, though some licensees advertise their services on the internet. Prior to the enactment of AB 1194 (Chapter 417, Statutes of 2021), the Bureau did not specifically regulate online practice, but would investigate any complaints related to a licensee's online presence. AB 1194 requires licensees who maintain a website to post their fee schedule by January 1, 2023.

Section 8 – Workforce Development and Job Creation

The Bureau acknowledges that promoting workforce development ensures a qualified licensing population is available to serve the public and safeguards the long-term sustainability of the Bureau to protect consumers, particularly California's rapidly growing senior population. The Bureau and its Advisory Committee have been exploring new ways to better promote the Bureau and highlight the profession through better engagement and outreach. Additionally, the Bureau's new strategic plan seeks to increase the licensee population and thereby the professional fiduciary workforce by expanding the Bureau's reach to consumers, potential licensees, and current licensees.

The Bureau has not assessed the impact of licensing delays on workforce development. The Bureau typically does not experience licensing delays. However, during the pandemic, the Bureau began encouraging licensees and applicants to communicate with the Bureau by email for application approvals, exam updates, and license renewal documents. This has shortened the time frame for both application and renewal processing.

The Bureau has an existing relationship with California State University Fullerton and University of California Riverside, both which provide a fiduciary management program for pre-licensure and continuing education requirements. Both schools are familiar with the Bureau's licensing requirements and receive email updates from the Bureau's interested parties list.

The Bureau recognizes the increasing need for qualified licensed individuals to meet the demands of California's growing elderly population, and to provide greater choice for consumers when selecting a professional fiduciary but has consistently struggled with a small licensing pool since its inception. Despite recent negative portrayals of conservators in the media, the general public's understanding of the work that professional fiduciaries do is low, which likely contributes to few individuals seeking licensure. Further, because the licensing pool is small, licensing fees are high – currently \$700 a year. The licensing fee may be a barrier to licensure. Unfortunately the Bureau does not track any workforce development data, including whether there are workforce shortages and what are barriers to licensure.

Section 9 – Current Issues

Uniform Standards for Substance Abusing Licensees

The Bureau is not a healing arts program and is not included in this program.

Consumer Protection Enforcement Initiative Regulations

Because the Bureau is not a healing arts program, the regulatory changes mandated by the Consumer Protection Enforcement Initiative do not apply. However, the Bureau strives to meet the Department's enforcement goals of closing complaints within 12 to 18 months.

BreEZe and Business Modernization

The Bureau is not utilizing BreEZe because it is one of 19 boards and bureaus in the former Release 3 implementation of BreEZe that were removed from the BreEZe project entirely in 2015. The Bureau has no plans to utilize BreEZe in the future.

The following is an excerpt from Joint Sunset Review background paper for the Department of Consumer Affairs - Oversight Hearing, March 5, 2018, Senate Committee on Business, Professions and Economic Development and the Assembly Committee on Business and Professions.

Release 1 went live in October 2013, serving ten programs. Release 2 went live in January 2016, serving eight programs, and Release 3 was removed from the project entirely in 2015, impacting 19 programs. According to DCA, programs that were previously scheduled for Release 3 of BreEZe will be utilizing the Department of Technology's Project Approval Lifecycle process to determine what IT solution best meets their individual business needs. DCA notes that the objective of this four-step process is to match an entity's organizational readiness and business needs with the most appropriate IT solution.

The Department's Office of Information Services (OIS) has historically handled the Bureau's change requests to its legacy systems in a timely manner. As of the writing of this report, the Bureau has one change request pending.

Given the Bureau's limited resources, there are no immediate plans for significant improvements to the Bureau's existing IT systems. The Bureau currently uses the Department's Applicant Tracking System (ATS) and Consumer Affairs System (CAS) to track applications, licenses, and complaints; despite the limitations of these older programs and various workarounds for data tracking and storing information, they meet the Bureau's basic IT needs.

Since the last sunset review, the Department's OIS and the Bureau have worked extensively to determine how to leverage existing Department technology infrastructure to meet the Bureau's unique licensing and renewal needs. The Department's OIS identified two internal software options to modernize the Bureau's business processes, however before being able to pursue the development of either, recent legislative mandates (AB 1194, Chapter 417, Statutes of 2021) created a significant financial burden on the Bureau's existing resources

and necessitated the delay of the Bureau's business modernization plans. The Department's OIS continues to explore enterprise architecture solutions at the Department and is researching the California Department of Technology's Technology Modernization Fund (TMF) as another alternative. The Bureau is in constant communication with OIS and will pursue IT modernization at the opportune time, based on this research.

Section 10 – Bureau Actions and Responses to COVID-19

In response to COVID-19, the Bureau implemented teleworking policies for all employees. Bureau operations have not been negatively impacted due to telework. The Department quickly addressed any initial connectivity issues, ensuring the Bureau was able to maintain its licensing and enforcement functions.

The Bureau did not need to utilize any existing state of emergency statutes. The Bureau also did not request any waivers, but the Bureau was able to utilize the waiver relating to continuing education as mentioned previously in this report under the Continuing Education section.

Due to COVID-19 and the need for electronic communication, the Bureau implemented a new process of communicating via email with applicants regarding examination and initial licensing information and licensees regarding renewals resulting in shorter processing times.

The resulting State of Emergency declarations associated with the pandemic have caused the Bureau to adjust some of its processes, including holding Advisory Committees virtually instead of in person, and temporarily waiving continuing education requirements. However, the Bureau did not identify any statutory changes needed due to COVID-19.

Section 11 – Bureau Actions and Responses to Prior Sunset Issues

The Bureau was last reviewed by the Senate Business, Professions and Economic Development Committee in 2018. At that time, the Committee identified five issues to which the Bureau provided responses. Below, the Bureau will provide an update for each issue.

ISSUE #1: Long term fund condition

Background: There is no mandated reserve fund level for the Bureau; however, the Department's Budget Office has historically recommended that smaller programs maintain a contingency fund slightly above the standard three to six months of reserve. Maintaining an adequate reserve of three to six months provides for a reasonable contingency fund so that the Bureau has the fiscal resources to absorb any unforeseen costs, such as costly enforcement actions or other unexpected client service costs.

The total revenues for the Bureau in FY 2014/15 were \$522,000, and the total expenditures were \$603,000. The Bureau had approximately 5.9 months in reserve at the end of FY 2014/15, which decreased to 4.6 months in FY 2016/17 and is anticipated to increase to 4.8 months in FY 2018/19.

Committee Recommendation: The Bureau should reconsider taking a look at licensing fees to ensure a proper reserve.

Bureau's 2018 Response to the Recommendation: The Bureau has operated within the recommended reserve level for each of the past four fiscal years without increasing fees. The current reserve levels provide a cushion, should costs outside of the Bureau's control unexpectedly rise, particularly Attorney General costs. The Bureau Chief consults with the Department of Consumer Affairs' (Department) budget office staff on a monthly basis to ensure expenditures stay on target, and current projections anticipate an increase in reserves for Fiscal Year 18/19. The Bureau would be open to revisiting this issue with the Legislature in the future, if there is a change in the projections which causes reserves to fall below the recommended level.

Current response: The Bureau has maintained a careful watch over its revenue and expenditure levels to ensure adequate reserve levels are always maintained. The Bureau has also reduced costs where feasible by eliminating staff travel, minimizing the purchase of supplies and/or equipment, seeking lower cost contracts for its telecommunications services, and reducing its postage and paper usage by increasing email communications. However, despite these actions, the Bureau has on average reverted only \$20,000 over the last four fiscal years (FY 2018/19, FY 2019/20, FY 2020/21, and FY 2021/22), while costs (salaries and benefits, increased Attorney General hourly rate, pro rata) steadily rise. Further, new statutory mandates (AB 465, Chapter 167, Statutes of 2021, and AB 1194, Chapter 417, Statutes of 2021) increase the Bureau's workload levels and implementation costs.

The Bureau's modest revenue limits the number of staff it can hire and hinders efforts to modernize its business processes to streamline staff work hours, two tangible objectives for

enhancing consumer protection. The Bureau has only three staff to perform all the Bureau's functions: the Bureau Chief, enforcement analyst, and licensing analyst. As a special fund entity that does not rely on General Fund monies, staffing levels are commensurate with the number of licensees overseen by the Bureau.

The Bureau's fees have not increased since its inception in 2008, despite the steady and significant rising cost of doing business, including increasing salaries and benefits, increasing Attorney General fees, increasing pro rata, increasing facility costs, etc. Recognizing the need for additional funding, the Bureau worked with the Department in 2020 to solicit an outside consulting firm to prepare a fee study. The lowest bid received was for \$22,625, a sum that simply cannot not be absorbed by the Bureau. The Bureau believes that additional funding through a fee increase is necessary.

Given that a fee increase is needed, the Bureau is working with the Department to carefully assess how much to increase fees and how to divide the amount between applicants and licensees, taking into consideration additional workload needs due to AB 1194 and lowered revenues due to the Bureau's retired and inactive status regulation effective January 1, 2023. The Bureau secured additional funding authority in the 2022/23 Budget Act and will need to promulgate regulations to increase fees. This issue is discussed in more detail in the New Issues Section.

ISSUE #2: Unlicensed Representatives and Enrolled Agents

Background: The issue which has been raised by key stakeholders is the Bureau does not require the licensure of an individual who acts as personal representative of a decedent's estate. The protection of consumers would be enhanced by requiring licensure of those persons with oversight and enforcement by the Bureau. The Bureau also provides an exemption from licensure to an enrolled agent, acting within the scope of practice of an enrolled agent, pursuant to Part 10 of Title 31 of the Code of Federal Regulations. In addition, enrolled agents are not currently trained or certified to provide fiduciary services. They are certified to represent taxpayers before the Internal Revenue Service. The limited exemption is susceptible to the misinterpretation that it extends to the fiduciary services provided by enrolled agents, as long as they perform some form of services covered by the federal code of regulations.

Committee Recommendation: Business and Professions Code section 6501 should be reviewed by the Bureau to determine if consideration should be given to require licensure of a personal representative of a decedent's estate as defined in section 58 of the Probate Code, for two or more individuals at the same time who are not related to the professional fiduciary or to each other. This should be accompanied by a reasonable timeframe for these personal representatives to come into compliance.

In regard to enrolled agents, consideration should be given, by the Bureau, to amend Business and Professions Code section 6530 to clarify that the exemption from the Act applies to a person enrolled as an agent to practice before the Internal Revenue Service who is only

acting within the scope of practice pursuant to Part 10 of Title 31 of the Code of Federal Regulations.

Bureau's 2018 Response to the Recommendation: The Bureau is open to evaluating whether decedent estate administrators should be licensed and if the exemption from licensure for enrolled agents should be further clarified. Stakeholders should consider if requiring licensure for decedent estate administrators would have a negative impact on California's workforce, or on the courts and their ability to appoint decedent estate administrators. Should a change in statute be proposed, the Bureau agrees that a transition period to allow current practitioners sufficient time to meet minimum qualifications for licensure is appropriate. The Bureau is committed to participating in stakeholder discussions and to providing technical assistance regarding this issue.

The Bureau has also engaged with stakeholders on clarifying the exemption for enrolled agents and will continue to participate in this process. The Bureau intends to discuss this issue at its May Advisory Committee meeting and will invite stakeholders to actively participate in the discussion.

Current response: As a result of the Bureau's last sunset review in 2018, the Legislature enacted AB 3144 (Low, Chapter 681, Statutes of 2018). In addition to extending the Bureau's sunset to January 1, 2022, the bill also required the licensure of personal representatives of a decedent estate. Individuals who serve as a personal representative of a decedent's estate, for two or more persons they are unrelated to, must hold a license.

Pursuant to BPC section 6530, enrolled agents are exempt from licensure requirements provided they are practicing as an agent before the Internal Revenue Service within their scope of practice pursuant to Part 10 of Title 31 of the Code of Federal Regulations. The Bureau is supportive of the Legislature's efforts to further clarify that enrolled agents are prohibited from performing work that requires a professional fiduciary license without being duly licensed.

ISSUE #3: What is the status of BreEZe implementation by the Bureau?

Background: The BreEZe Project will provide the Department's boards, bureaus, and committees with a new enterprise-wide electronic enforcement and licensing system. BreEZe will replace the existing outdated legacy systems and "work arounds" with an integrated solution based on updated technology.

BreEZe will provide all Department organizations with a solution for all applicant tracking, licensing, renewal, enforcement, monitoring, cashiering, and data management capabilities. In addition to meeting these core Department business requirements, BreEZe will improve the Department's service to the public and connect all license types for an individual licensee. BreEZe will be web-enabled, allowing licensees to complete applications, renewals, and process payments through the Internet. The public will also be able to file complaints, access complaint status, and check licensee information.

BreEZe represents an important opportunity to improve the Bureau's operations to include electronic payments and expedite processing. Staff from numerous Department boards and bureaus have actively participated with the BreEZe Project. Due to increased costs in the BreEZe Project, SB 543 (Steinberg, Chapter 448, Statutes of 2011) was amended to authorize the Department of Finance (DOF) to augment the budgets of boards, bureaus and other entities that comprise the Department for expenditure of non-General Fund moneys to pay BreEZe project costs.

Committee Recommendation: The Bureau should update the Committees about the current status of its implementation of BreEZe. What have been the challenges to implementing this new system? Do you expect to encounter any service or enforcement delays as a result of a roll-out? Does such a project impose any unexpected costs on the Bureau?

Bureau's 2018 Response to the Recommendation: The Bureau is in the process of evaluating whether it will be using BreEZe or another information technology (IT) system in the future. The Bureau has already completed its business process mapping and is now working with the Department through the California Department of Technology's Project Approval Lifecycle (PAL) process to determine what IT system will best meet the needs of the Bureau and fit within existing resources. This determination should be made by the end of 2018.

Until this determination is made, it is difficult to predict any potential delays to the Bureau's licensing and enforcement functions. However, the Department has conducted these transitions in the past and the Bureau will work with the Department to mitigate any roll-out related delays.

The PAL process will identify the specific costs of any future IT upgrades, though one-time project implementation and ongoing maintenance costs are expected. Until the Bureau and the Department implement the Bureau's information technology solution, the Bureau will continue to use the legacy database systems to meet its core business needs.

Current response: The Bureau is not utilizing BreEZe because it is one of the 19 boards and bureaus in the former Release 3 implementation of BreEZe that were removed from the BreEZe project entirely in 2015. Since its last sunset review in 2018, the Bureau has worked with the Department's Office of Information Services (OIS), to identify ways to modernize its IT systems to both streamline the Bureau's internal processes and allow for the acceptance of credit card payments online. OIS identified two possible IT systems within its enterprise that would provide licensees with the ability to pay for renewals online with a credit card, the Department's Payment Portal iCCAP (internet Credit Card Acceptance Program) and SimpliGov. Based on multiple factors, including costly new legislative mandates (AB 1194, Chapter 417, Statutes of 2021), the Bureau decided to pause its modernization plans in 2021, as the costs associated with absorbing credit cards fees would be unsustainable within existing resources.

The Bureau continues to work with OIS, participating in the PAL process and researching alternatives to leverage the Department's existing IT infrastructure. The Department is also assisting the Bureau with seeking funding through the California Department of Technology's

Modernization Fund (TMF), a program created to modernize government and improve digital services for California residents and state employees.

ISSUE #4: Registered business entities

Background: The Bureau requires the licensure of individuals providing fiduciary services but does not allow for the licensure of business entities. Licensed professional fiduciaries desire to provide their clients with cost-effective succession planning of the named licensed professional fiduciary. The consumer would not have the additional cost and inconvenience of returning to an attorney to amend estate planning documents to name replacement successor trustees or successor agents under durable powers of attorney for finance upon the death or incapacity of the first-named. The licensed business entity could be designated in the legal documents to provide another licensed professional fiduciary from the firm as needed. Currently most licensed professional fiduciaries are sole practitioners.

Committee Recommendation: As an initial step, the Bureau obtain information on the forms of the business entities of current licensees, as well as the types of business entity they would desire if it were to be allowed. The Bureau should conduct an informal survey of licenses to obtain information on the forms of the business entities of current licensees, as well as the types of business entity they would desire if it were to be allowed.

Bureau's 2018 Response to the Recommendation: The Bureau is open to surveying licensees to determine interest in establishing an "entity" license, and to ascertain what types of business entities are currently held by licensees. Gauging interest is a vital first step in determining whether undertaking the establishment of a new license type is feasible for the Bureau.

The Bureau recognizes that providing an "entity" license may increase continuity of care for clients in the event a fiduciary is no longer able to carry out his or her duties or wants to retire or move to another profession. However, given the role fiduciaries play in their clients' lives, there are also potential risks that should be mitigated.

Any potential statutory changes related to the establishment of an "entity" license should include sufficient enforcement authority so that the Bureau can continue to uphold its mandate to protect consumers and ensure that fees are set at an amount that reflect the true costs of administering a new license type. Further, stakeholders should consider what level of mandatory minimum liability insurance coverage is appropriate, as the estates and monies fiduciaries control may range from very modest amounts up to many millions of dollars. While some licensed professions allow for company licenses, the fiduciary industry has unique liability given their direct control over property, money, healthcare access and other critical elements to the well-being of their clients. This issue will also be included on the Bureau's May Advisory Committee meeting agenda.

Current response: The Bureau understands the critical need for professional fiduciaries to have actionable succession plans to ensure continuity of services and care for their clients, should the licensee decide to retire or otherwise stop practicing. Since the Bureau's last

sunset review, the Bureau held a stakeholder meeting in December 2018, with the Professional Fiduciaries Association of California (PFAC), to gauge their interest regarding incorporation and to discuss what questions should be posed to licensees in a survey.

Ultimately, the Bureau declined to conduct a survey of its licensing population to gauge interest in a limited liability corporation (LLC) license type. Allowing incorporated businesses to be licensed removes liability from the individual, potentially preventing the Bureau from adequately sanctioning violations of the Professional Fiduciaries Act. Further, processing applications and renewals for incorporated businesses would require extensive and expensive upgrades to the Bureau's existing IT systems and result in exceedingly costly application, licensing and renewal fees.

The Bureau believes continuity of care is essential to consumer protection and is committed to exploring ways other than licensing of corporations to promote continuity for the consumers served by professional fiduciaries. The Bureau is supportive of PFAC's efforts to address continuity of care when a licensee passes away or lacks capacity in SB 1024 (Jones, Chapter 612, Statutes of 2022).

ISSUE #5: Should the licensing and regulation of PFs be continued and be regulated by the existing Bureau membership?

Background: The health, safety and welfare of consumers are protected by the presence of a strong licensing and regulatory Bureau with oversight over professional fiduciaries. The Bureau should be continued with a 4-year extension of its sunset date so that the Legislature may once again review whether the issues and recommendations in this Background Paper have been addressed.

Committee Recommendation: Recommend that the licensing and regulation of Professional Fiduciaries continue to be regulated by the Bureau in order to protect the interests of the public and be reviewed again in four years.

Bureau's 2018 Response to the Recommendation: The Bureau agrees with this assessment. The Bureau licenses professionals who work with very vulnerable populations, and the role they serve in their clients' lives is unique to the licensed world. The Bureau has successfully upheld its mandate to protect consumers since its inception and will continue to do so with a four-year sunset extension.

Current response: The Bureau believes professional fiduciaries serve an exceedingly vulnerable population and should continue to be licensed and regulated accordingly. The Bureau should have its sunset extended by four years and work with the Administration and Legislature to address enhanced consumer protections.

Issue #1: Need to address long term financial sustainability of the Bureau

Issue: New statutory requirements have created workload and cost pressures to the Professional Fiduciary Fund (Fund) threatening the Bureau's insolvency by FY 2023/24 unless additional resources are secured. The resulting fee increases needed to implement new legislative mandates will create significant barriers to entry into the profession and encourage existing licensees to retire or otherwise leave the profession.

Background: SB 1550 (Figueroa, Chapter 491, Statutes of 2006) established the licensing and regulatory framework for professional fiduciaries and created the Bureau as the licensing and regulatory entity overseeing the profession. The bill was in response to a series of investigative reports by the *Los Angeles Times* in 2005 and 2006 detailing instances of abuse in conservatorship and guardianship cases in California and called for a greater oversight role by the state. Prior to SB 1550, individuals providing professional fiduciary services were required to register with the Department of Justice's (DOJ) Statewide Registry of Private Conservators, Guardians and Trustees.

The Bureau began operations in 2007 and began issuing licenses on July 1, 2008, relying on a \$1.055 million loan from the Bureau of Automotive Repair to cover start-up costs. Like other professional licensing entities, the Bureau's revenue comes directly from its licensing and renewal fees and the Professional Fiduciaries Fund does not receive any monies from the General Fund. The Bureau's fees are set in regulation, at a level intended to meet the program's operational costs. In determining fee amounts, initial projections based on the DOJ registry estimated approximately 1,300 of the registry's 1,500 registrants would seek licensure by the Bureau. Accordingly, the Bureau set its fees as follows: Application fee - \$400; Initial License fee - \$600 + proration; Renewal fee (annually) - \$700; Delinquent fee - \$150; and duplicate/replacement license - \$25. However, the DOJ registry included practitioners such as attorneys and accountants, who were ultimately exempted from licensure under the Professional Fiduciaries Act.

Two years after the Bureau had begun issuing licenses, it was clear that the estimated number of licensees would not be achieved. By the end of FY 2009/2010, only 450 licenses had been issued, far short of the original estimate of 1,300. In fact, the Bureau did not reach 1,300 total licenses issued until February 2022 (Note: total licensees issued is not the same as active licensees, which was 836 at the end of FY 2021/22).

While the overall number of licensees has increased over the years, licensing revenue has barely kept pace with increased costs of doing business. For example, employee salaries and benefits, pro rata, rent, and Attorney General's Office costs have increased significantly and continue to rise. Current revenues and expenditure levels only afford the Bureau three full time staff – one bureau chief, one licensing analyst, and one enforcement analyst – to perform all the Bureau's administrative, legislative, and regulatory mandates, and licensing and enforcement functions.

Given that the Bureau's license fees are already high in comparison to other professions (e.g. \$510 annually for State Bar of California and \$280 biennially for California Board of Accountancy), and that raising fees would likely decrease the licensing pool thereby negating any revenue gains, the Bureau has declined to raise fees since its inception. However, keeping fees at the current amounts is no longer feasible given recent statutory mandates under AB 1194 (Low, Chapter 417, Statutes of 2021) that will significantly increase the Bureau's workload and enforcement related expenditures. The Bureau's current spending authority was increased to \$1,050,000 for FY 2022/23 pursuant to a budget change proposal in the Governors 2022-23 budget creating an unsound fund condition; accordingly, additional funding through a fee increase is needed. However, even without the increased responsibility incurred due to AB 1194, the Bureau's fund would soon be structurally imbalanced because most of the cost pressure on the Bureau's fund is outside of its ability to control.

The Bureau is working closely with the Department to calculate the amount of the fee increase and tracking increases in workload and enforcement costs as AB 1194 is implemented. Additionally, the Bureau must consider a potential decrease in revenues resulting from licensees leaving the profession now that the newly promulgated retired and inactive license status regulation allows them to retire, impacting the Bureau's calculations. The Bureau expects a significant fee increase may persuade licensees who had not considered retiring to do so and new applicants to reevaluate entering the profession given the high costs to maintain a license. Regardless, the Bureau recognizes its obligation to implement new statutory requirements and will continue the process to secure the funding with a fee increase.

Recommended solution: Recognizing the incredibly vulnerable consumer population served by the Bureau and the potential for grave harm unregulated practice represents, professional fiduciaries should remain a regulated profession with an oversight body. However, the Legislature should consider whether the Bureau's small licensing population can ultimately sustain the high costs of their regulation. The Legislature should also consider how a sizable fee increase on licensees due to new legislative mandates will result in increased barriers to entry and a decline in the overall licensing population, limiting access to professional fiduciaries for an aging California population. In addition, given that the duty of this profession is to provide care for the state's most vulnerable people, the Legislature may wish to consider whether all the costs associated with licensing and overseeing the profession should be borne by the licensees.

Issue #2: Licensees who no longer plan to practice fail to provide case closure information

Issue: As part of the annual renewal cycle, licensees are required to report newly opened and closed cases to the Bureau; however, there is currently no requirement for licensees to notify the Bureau that they are no longer practicing and by default, there is no requirement for licensees to report final case closure information if they are not planning to renew their license or continue practicing.

Background: Unless notified by the licensee that they no longer intend to practice, the Bureau's records may reflect that the licensee has an active caseload above the threshold allowable by law to practice without a license, and therefore engaging in unlicensed practice when they fail to renew their license. Licensees who do not submit a final annual statement with case closure information may lead the Bureau to pursue unnecessary administrative or disciplinary action against the licensee for unlicensed practice when their license lapses. Also, it is not clear if the licensee has taken the necessary action to close or transfer cases upon not renewing their license.

When licensees fail to pay their renewal fees, their license automatically changes from "active" status to "delinquent" status 30 days after their license has expired. A license that remains delinquent for three years is cancelled and can no longer be reinstated. The Bureau recently promulgated regulations to enact inactive and retired licensure statuses to better serve licensees who chose to stop practicing, whether temporarily or indefinitely, but do not want the negative connotation conveyed by a "delinquent" license status.

Recommended solution: Regardless of whether the licensee's status is inactive, retired, or delinquent, requiring licensees to notify the Bureau that they are no longer working as a professional fiduciary and to provide their case closure information will prevent the Bureau from expending resources investigating and disciplining licensees needlessly.

Issue #3: Active licensees aiding unlicensed practice by former licensees

Issue: Some individuals whose professional fiduciary license has been disciplined by the Bureau, by revocation or stipulated surrender, simply transfer their cases to their business partners, employers, or coworkers who are actively licensed professional fiduciaries, thereby keeping access to their former clients/cases and the potential to continue working despite being unlicensed.

Background: Unlicensed practice by former disciplined licensees is exceptionally concerning, as these individuals lost their right to practice as a professional fiduciary through the result of their own negligence, incompetence and/or unprofessional behavior, and arguably pose a very serious threat to consumers. Once an individual loses their license due to revocation or surrender, the Bureau cannot reasonably discipline the individual any further (see Issue #6 below).

There is no law that prohibits disciplined licensees from transferring their clients/cases to their business partners, employers, or coworkers who are licensed professional fiduciaries, nor is there any law that prohibits a licensed professional fiduciary from accepting a client/case under such circumstances. These circumstances provide a situation in which a disciplined licensee can potentially access client files, personal information and assets, and continue to manage their former cases/clients and bill for their services. In effect, this removes the consequential effects of the revocation or surrender of a license and would expose the consumer to continued unlicensed activity and potential harm.

Presently, the Professional Fiduciaries Act does not specifically prohibit licensees from "lending" their license to former licensees or providing other forms of assistance that

constitute aiding and abetting unlicensed activities. The absence of such language allows former licensees to perform unlicensed activity if they do their work under the name and license of a licensee.

Given the Bureau's small licensing population, the Bureau typically revokes or accepts the surrender of one or two licensees each year. As a result, the Bureau anticipates any change to statute intended to curb aiding of unlicensed practice would not significantly hinder the appointment or transfer of cases between licensees, ensuring continuity of care for consumers who rely on professional fiduciary services, while preventing former licensees from accessing their former clients.

Recommended solution: The Bureau recommends that the Act be amended to make clear that aiding and abetting unlicensed individuals to perform work that requires a license would subject licensees to discipline by the Bureau. Prohibiting licensees from aiding and abetting unlicensed practice would effectively prevent former disciplined licensees from continuing to financially benefit from their past clients, having access to client information or assets, having any involvement in managing clients/cases, or continuing to work without a license by relying on the assistance of an actively licensed colleague.

Issue #4: The Professional Fiduciaries Act fails to authorize the Bureau to reinstate or deny a license to former licensees

Issue: The Bureau lacks clear authority to reinstate or deny reinstatement to former licensees, under any circumstances.

Background: The Professional Fiduciaries Act (Act) is silent regarding the Bureau's authority to reinstate or deny the reinstatement of a former licensee's license. The Act provides the circumstances under which the Bureau "shall" issue a license and prohibits the Bureau from renewing, restoring, or reinstating a license that has been canceled, but otherwise offers no criteria for determining if a former licensee warrants having their license restored. Whether a former licensee lost their license due to discipline, or simply stopped practicing and let their license lapse but had no discipline on their license, the Act does not provide any mechanism to provide that individual the opportunity to return to the profession, via a reinstated license, if merited.

Until recently when the Bureau began offering an inactive and retired license type, the only option for licensees who wanted to cease practicing would be to let their license expire and then have that license cancel after three years. The Act specifically prohibits the reinstatement of a canceled license – meaning that if an individual meets all the requirements to apply again for licensure (submit an application, pass an examination, pay fees, take pre-licensing coursework, etc.), the Bureau is prohibited from reinstating that individual's license because their license was canceled. This prohibition is in place even if the individual had no previous discipline on their record or pose any discernable threat to public safety, presenting a barrier to re-entry to the profession.

Additionally, the Act has no provisions that allow licensees who have lost their license due to discipline such as a surrender resulting from an accusation or revocation to petition the

Bureau for reinstatement. There is no procedure or criteria in the Act guiding the Bureau's determination if a licensee is sufficiently rehabilitated and deserves a second opportunity for licensure, even probationally. This lack of clarity in statute is contrary to recent public policy advancements supporting and promoting rehabilitation among licensed professions.

Recommended solution: The Bureau proposes the Act be amended to authorize the Bureau to grant or deny a petition for reinstatement of a license, and to provide criteria for the Bureau to consider in determining whether the individual seeking reinstatement poses no discernable public harm and has sufficiently met certain requirements. The Bureau also recommends it be granted authority to reinstate a license and place it on probation for individuals who have had their initial license revoked or surrendered due to former discipline.

Issue #5: Disclosure of sensitive information

Issue: Licensees are required to report, and the Bureau is required to maintain and make accessible to the public, court case names, numbers and locations related to certain case resignations and removals. This disclosure is unnecessary and subjects California's most vulnerable citizens to harm by unscrupulous individuals tempted to exploit their sensitive personal data.

Background: Court records often contain sensitive medical, financial and physical data about conservatees or other individuals listed in probate cases and the court makes these records freely accessible to the public, provided individuals seeking records have case names, numbers and locations. Bureau disclosure of this information (e.g., case name, location and case number) allows the public to easily retrieve the medical, financial, physical, residential and other private information of conservatees or other individuals listed in probate cases without their knowledge or consent. In short, the current requirement enables anyone to easily retrieve and collect extremely private information of individuals who are being conserved or who are listed in probate court records. Disclosure of this information can expose vulnerable people to serious consumer harm.

Recommended solution: The Bureau proposes to strike the requirement to disclose information concerning the case names, circumstances, and court locations of cases where a licensee resigned or was removed from the Act, while leaving in place the requirement to disclose whether a licensee has been removed for cause or as the result of a complaint having been filed. The Bureau believes that this better protects vulnerable members of the community who might not otherwise be aware that their information is linked via the Bureau's website, and who merely wish to know which professional fiduciaries were removed for cause or resigned in a matter. The public's interest in disclosure can easily be accomplished with the Bureau's disclosure of whether a licensee has been removed for cause or resigned in a matter, without including the accompanying sensitive case information.

Issue #6: Unlicensed activity is not considered criminal activity

Issue: The Bureau has limited tools available to pursue unlicensed activity.

Background: The Bureau lacks sufficient authority to meaningfully pursue unlicensed activity outside of issuing administrative sanctions, such as a citation with or without a fine, to an individual suspected of engaging in unlicensed practice, which is easy for the recipient to ignore. Criminalizing unlicensed practice would serve as a deterrent to would-be offenders and would provide the Bureau a helpful tool for stopping unlicensed practice. It would also assist in the Bureau's efforts to prevent or discourage former licensees, whose licenses were revoked or surrendered, from continuing to practice (see Issue #3 above).

Recommended solution: The Bureau proposes adding professional fiduciaries to existing BPC Section 146, to make it a criminal infraction to act, or hold oneself out as a licensed professional fiduciary, without holding a license.

Issue #7: Require licensees to notify their clients that they are licensed by the Bureau

Issue: For several years, the Bureau has endeavored to promulgate regulations requiring a licensee to provide notice to their clients that they are licensed by the Bureau, as required by BPC section 138. Specifically, BPC section 138 requires boards and bureaus under the Department to adopt regulations requiring licensees to provide notice to clients or customers that the practitioner is licensed by the state, unless those entities have statute or regulations already in place requiring client notification. However, this has proven to be a difficult task without further legislative guidance. Specifically, as detailed below, individuals or "interested parties" served by licensees are difficult to define. As a result, based on stakeholder input during the regulatory process, the text cannot be articulated clearly enough to identify which parties must receive a notice. Proposed definitions are either too narrow for the Bureau's purpose or too broad to be meaningful.

Background: Given that the individuals served by licensees often lack capacity and cannot reasonably be expected to understand the significance of a notice that an individual is licensed, determining who should receive the notice, if not directly to the consumer, has been challenging. Licensees serve in a variety of roles (guardian, trustee, conservator, etc.), and each role interacts not only with their client but a variety of indeterminate "interested" parties associated with the client. These individuals can include, but are not limited to, family and friends, attorneys, and beneficiaries who may or may not have legal rights to access information about the client or their estate.

Unlike other regulated professionals, the Bureau's licensees do not enter into conventional contracts for their services with their clients, but instead are typically "hired" to work for their clients via a legally binding document such as a trust, power of attorney document, court order or court appointment. Further, licensees typically do not conduct their business at a brick-and-mortar location where clients (or their "interested parties") would be able to see signage posted on the wall. They typically work from a private home office, out in the field, or other locations.

Determining who should receive notice, how the notice should be conveyed (electronically, in person, or in correspondence), when and how often the notice should be conveyed, how

to determine that the notice was reasonably received, how to determine that the licensee is in compliance and how to avoid duplicative and unnecessary notice requirements has proven an intractable undertaking. This is especially true as it pertains to administrative and judicial proceedings where it is presumable that all parties involved are already familiar with the licensing requirements of professional fiduciaries and the Bureau's oversight. Further, requiring licensees in regulation to notify certain "interested parties" instead of, or in addition to the client, appears to be an expansion of the scope of BPC section 138.

These issues have resulted in rulemaking proposals that are either ineffective in meeting the requirements of BPC section 138, are inconsistent with the requirements of BPC section 138, or are overly burdensome to the licensees. As a result, the Bureau has been unable to come into compliance with BPC section 138 through the regulatory process.

Recommended solution: The Bureau recognizes providing adequate notification that an individual is licensed by the state is an essential component of consumer protection. The Bureau should work with the Legislature to determine how to refine BPC section 138's notice requirements in the context of the Bureau's licensed population.

Issue #8: Licensees failing to cooperate with the Bureau's investigations

Issue: Licensees at times fail to cooperate with Bureau staff during investigations and the Bureau lacks sufficient tools to compel compliance.

Background: Cooperation from licensees with Bureau investigations is a critical component to the Bureau's enforcement efforts. At times, licensees will fail to respond to the Bureau's inquiries, fail to provide complete information, or simply ignore the Bureau. The Bureau can only cite licensees specifically for failing to produce client records, however has no means to compel licensees to adequately respond to requests for other types of information, including providing verbal or written background information regarding their casework, or providing responses to complaint allegations. Failure to adequately respond hinders the Bureau's ability to conduct thorough investigations and is contrary to the Bureau's mandate under BPC 6516, which specifies consumer protection as the Bureau's highest priority and paramount to any other interests.

Recommended solution: The Bureau recommends that the Act be amended to provide that failure to cooperate with the Bureau during an investigation, or to respond to Bureau inquiries, is considered unprofessional conduct. In doing so, licensees who engage in this type of conduct potentially face enhanced sanctions beyond a citation and fine, including probation and revocation. The Bureau believes that increasing sanctions will encourage licensees to fully cooperate with the Bureau's investigations and will assist the Bureau in meeting its consumer protection mandate.

Issue #9: Allow the Bureau to continue to hold Advisory Committee meetings virtually with no in-person locations

Issue: Statutory provisions allowing the Bureau's Advisory Committee to meet virtually, by exempting the physical location requirement, are due to expire on July 1, 2023.

Background: The Bureau is one of two bureaus within DCA that has an appointed Advisory Committee set in statute. The Act requires the seven-member Advisory Committee to meet quarterly to examine the functions and policies of the Bureau and make recommendations. The meetings provide a critical venue for the public to learn about the Bureau's activities and to impart valuable feedback; however, the Advisory Committee itself does not perform any of the Bureau's licensing and enforcement duties, nor make policy decisions. Since the Advisory Committee is set in statute, the meetings are subject to the Bagley-Keene Open Meeting Act (Bagley-Keene) which requires the Bureau to notice meetings 10 days in advance and provide at least one physical location for the Advisory Committee and public to attend, among other requirements.

In response to the COVID 19 pandemic, Governor Newsom issued an executive order to allow boards and bureaus subject to Bagley-Keene to meet virtually. While the executive order was in place, the Bureau experienced increased public participation at its meetings, and significant cost and staff time savings. After the executive order expired, SB 189 (Committee on Budget and Fiscal Review, Chapter 48, Statutes of 2022) reinstated the remote meeting provisions in place during the pandemic through July 1, 2023.

While the exemption from holding meetings at a physical location was in place, the Bureau experienced more public participation presumably because the public could easily and safely access the meetings from home. Further, the Bureau experienced significant travel cost savings and fewer staff hours spent arranging travel and assisting with travel cost reimbursements for members. Because this is a statutorily established Advisory Committee, costs must be reimbursed.

When the provisions of SB 189 sunset in 2023, the Bureau will be required to hold all Advisory Committee meetings in person, expending approximately \$6,400 a year on travel. Further, arranging travel itineraries and reimbursements for Advisory Committee members takes approximately one to one and a half hours of staff time for each of the four Advisory Committee members that would be required to travel from Southern California to Sacramento. For a small program with limited resources like the Bureau, this is a significant amount of money and staff time to expend and would be better utilized for Bureau functions that achieve consumer protection, such as enforcement.

Recommended Solution: The Bureau recommends that the Legislature exempt the Bureau from the requirement to provide a physical location for meetings under Bagley-Keene so that it may continue to meet virtually, while maintaining all other open meeting requirements therefore ensuring continued public accessibility. Removing the in-person meeting requirement will create significant travel cost and staff time savings, while resulting in greater public participation at meetings.

Issue #10: Technical, non-substantive changes

Issue #10a: Clarify licensees with a retired status are not required to submit an annual statement.

Issue: It is unclear whether licensees holding a retired license status are exempt from annual reporting requirements.

Background: The Bureau recently promulgated regulations (effective January 1, 2023) to establish retired and inactive license statuses. Though the regulation does not specifically require retired licensees to submit an annual statement, there is no clear exemption from reporting requirements for retired licensees under the Act. Pursuant to BPC section 6561, “a licensee shall initially, and annually thereafter, file with the Bureau a statement under penalty of perjury...” Further, BPC section 6501, defines a “licensee” as a person “who is licensed under this chapter as a professional fiduciary.” A broad reading of these statutes implies an individual who holds a retired license status is still considered a licensee and presumably responsible for the same reporting requirements of an active licensee.

Licensees who wish to have their license placed into retired status, must not have any open cases that require an active license. Once granted a retired status, they are prohibited from engaging in activities that require an active license or identifying as a “licensed professional fiduciary” unless the term “retired” is immediately stated before or after the title. Given that licensees with a retired status are no longer working with clients or holding themselves out to the public as actively licensed, there is no discernable benefit to consumer protection by requiring ongoing reporting requirements. Further, without a clear exemption, applying for and gaining a retired status is an unappealing option if those licensees would still be required to report annually to the Bureau.

Recommended solution: The Bureau recommends the Act be amended to specifically exempt licensees who hold a retired license from annual reporting requirements.

Issue #10b: Clarify that only actively licensed persons may identify themselves as a “licensed professional fiduciary”

Issue: Current law provides a potential loophole for individuals to claim they are licensed professional fiduciaries, when they are not actively licensed in the profession.

Background: Current law states “A person who has been licensed by the Bureau may identify himself or herself as a ‘licensed professional fiduciary.’” As written this code section may inadvertently allow individuals who have an expired, delinquent, revoked, or otherwise restricted license to present themselves to the public as having a current and active license simply because at some point in time they were duly licensed by the Bureau.

Recommended solution: The Bureau recommends that this section be clarified to allow only active, licensed persons to identify themselves as a “licensed professional fiduciary.”

Issue #10c: Remove the term “punitively” in reference to what disciplinary action the Bureau may take

Issue: The term “punitively” is used in the Professional Fiduciaries Act in reference to disciplinary action taken by the Bureau despite the Bureau not issuing punitive discipline.

Background: The Act requires the Bureau to deny a retired status application if the license is “subject to an outstanding order of the Bureau, ... or otherwise *punitively* restricted by the Bureau...” (Emphasis added.) Professional license discipline must be preventative, protective, and remedial, not punitive against the licensee. (See *In re Kelley* (1990) 52 Cal.3d 487, 496.) License discipline is designed to protect the public and not punish an individual. (See *Hughes v. Board of Architectural Examiners* (1998) 17 Cal.4th 763, 785; *Camacho v. Youde* (1979) 95 Cal.App.3d 161, 164; and *Bryce v. Board of Medical Quality Assurance* (1986) 184 Cal.App.3d 1471, 1476.)

This terminology issue became evident during the promulgation of regulations, when the Office of Administrative Law asked the Bureau to include the word “punitive” in the proposed text to ensure consistency with the statute. However, this does not strictly comport with the purpose of license discipline to be protective of the public rather than punitive in nature.

Recommended Solution: The Bureau recommends striking the term “punitively” from BPC section 6542 of the Act to clarify that the Bureau does not issue punitive discipline.

Issue #10d: Advisory Committee member terms all expire on the same day

Issue: The appointed terms for the seven-member Advisory Committee all expire on the same day creating potential quorum issues.

Background: The Bureau's Advisory Committee is comprised of seven members – five appointed by the Governor (three licensees and two public members) and two public members appointed by the Senate Rules Committee and the Speaker of the Assembly. Current law provides that the members are appointed to a four-year term with a one-year grace period after their term expires and the appointing authorities shall fill vacancies for the “unexpired portion of the terms in which they occur.” This creates a condition in which all the members expire on the same day and occurs in the waning days of the outgoing administration. At the time this report was drafted, all the members of the Advisory Committee are due to expire on January 1, 2023.

Recommended Solution: The Bureau recommends temporarily setting the terms of three Advisory Committee members to two years each, instead of four, in order to sufficiently stagger the terms. Subsequently, when the terms are all restored to four years each, maintaining a quorum will be simpler and any potential burden on the appointing bodies (Governor, Senate Rules Committee, and Speaker of the Assembly) to hasten their appointment processes is lessened.

Section 13 – Attachments

Attached Documents:

- A. Bureau's Administrative Manual
- B. Current Bureau organization chart showing relationship to the Advisory Committee
- C. Occupational Analysis
- D. Year-end Bureau organization charts for the last four fiscal years
- E. Quarterly Enforcement Performance Measures
- F. Quarterly Licensing Performance Measures

A. BUREAU'S ADMINISTRATIVE MANUAL

Professional Fiduciaries Bureau Procedures Manual

Department of Consumer Affairs (DCA)
10/07/2013

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Professional Fiduciaries Bureau: Procedures Manual

About the Professional Fiduciaries Bureau

The Professional Fiduciaries Bureau was created by legislation that passed and was enacted into law in 2007 to regulate non-family member professional fiduciaries, including conservators,

guardians, trustees, and agents under durable power of attorney as defined by the Professional Fiduciaries Act.

Professional fiduciaries provide critical services to seniors, disabled persons, and children. They manage matters for clients including daily care; housing and medical needs; and also offer financial management services ranging from basic bill paying to estate and investment management. Requirements for licensing include passing an examination and completing thirty (30) hours of approved education courses (See Pre-Licensing Education Information, California Code of Regulations 4440 and 4446. Fifteen (15) hours of continuing education credit are required each year for renewal licenses. Licensees must comply with reporting requirements and must abide by the Professional Fiduciaries Code of Ethics so that client matters are handled responsibly and without conflict.

The following individuals are required to obtain a license as a Professional Fiduciary in California, as defined in the Professional Fiduciaries Act (Act).

- **Conservators / Guardians:**
A person who acts as a conservator or guardian, for two or more persons at the same time who are not related to the professional fiduciary or to each other by blood, adoption, marriage, or registered domestic partnership.
- **Trustees / Agent Under a Durable Power of Attorney:**
A person who acts as a trustee, agent under a durable power of attorney for health care, or agent under a durable power of attorney for finances, for more than three people or more than three families, or a combination of people and families that totals more than three, at the same time, who are not related to the professional fiduciary by blood, adoption, marriage, or registered domestic partnership.
- **“Trustee”** includes an individual who is acting as a trustee or an individual acting on behalf of an entity to perform the functions of a trustee, for a trust that includes at least one individual beneficiary, and, they are acting on behalf of more than three trustors whom are not related to them.

The following individuals are not required to obtain a license, as defined in the Act:

- **A Trust Company or Employee:** A trust company, as defined in Section 83 of the Probate Code, or one of its employees or agents acting within the course and scope of employment.
- **An FDIC-Insured Institution or Employee or Agent:** An FDIC-insured institution, or its holding companies, subsidiaries, or affiliates, or an employee or agent of one of these entities acting within the course and scope of employment. An affiliate means any entity that shares an ownership interest with, or that is under the common control of, the FDIC-insured institution.
- **A Public Agency or an employee of a public agency:** Any public agency, including a public guardian, public conservator, or other agency of the State of California or of a county of California or any regional center for persons with developmental disabilities as defined in Welfare & Institutions Code section 4620.
- **A Broker-Dealer and Investment Advisor:** Any person whose sole activity as a professional fiduciary is as a broker-dealer, broker-dealer agent, investment advisor, or

investment adviser representative registered and regulated under the Corporate Securities Law of 1968, the Investment Advisers Act of 1940, or the Securities Exchange Act of 1934, or involves serving as a trustee to a company regulated by the Securities and Exchange Commission under the Investment Company Act of 1940.

- Attorney: Any person licensed as an attorney under the California State Bar Act.
- Certified Public Accountant (CPA): Any person licensed as a CPA pursuant to Chapter 1 (commencing with Section 5000 of the Business and Professions Code) of Division 3 acting within the scope of practice of the CPA license.
- Enrolled Agent: Any person enrolled as an agent to practice before the Internal Revenue Service acting within the scope of practice pursuant to Part 10 of Title 31 of the Code of Federal Regulations. (See Business & Professions Code Sections 6501 and 6530 and Section 4406(e) of Article 1 of Division 41 of Title 16 of the California Code of Regulations).
- Any nonprofit corporation or charitable trust described in Internal Revenue Code section 501(c)(3).

Strategic Plan

Mission, Vision, and Values

MISSION:

- To protect the consumer through licensing and monitoring, and to ensure competent and ethical standards of practice for professional fiduciaries.

VISION:

- To maintain and enhance the physical, emotional, and financial well-being of consumers by promoting the highest professional fiduciary standards.

VALUES:

- Integrity and Ethics – We are honest, fair, and respectful in our treatment of everyone.
- Accountability – We are accountable to consumers and licensees. We operate transparently and encourage public participation in our decision-making whenever possible.
- Effectiveness – We make informed decisions in order to achieve positive, measurable results.
- Customer Service – We identify the best ways to deliver high-quality services with the most efficient use of our resources.

Goal 1: Licensure

- Increase the number of licensees by reaching out to other professions with relatable experience (i.e. social workers, gerontology, etc.).
- Partner with other government entities to increase licensure.

- Research the feasibility of creating an entry level license type for trainees, and develop the program if viable.

Goal 2: Enforcement

- Establish the Bureau's Cite and Fine program.
- Actively seek out unlicensed activity in partnership with the Department's Unlicensed Activities Unit.
- Leverage enforcement activity with Division of Investigation.
- Attend underground economy task force meetings and partner with Economic Employment Enforcement Coalition (EEEC).
- Post formal disciplinary accusations against licensed professionals on the bureau's website. (Formal accusations are drafted by the Office of the Attorney General and issued by the Bureau only after significant wrong doing has been established through investigation.)
- Participate in the Department's Consumer Satisfaction survey on closed complaints.

Goal 3: Communication and Education

- Educate consumers and provide license information to professionals (online FAQ's for licensing information and Professional Fiduciaries Bureau forms).
- Seek out media opportunities.
- Develop Professional Fiduciaries Bureau publications in multiple foreign languages.
- Work with the Department's Publications Design unit to develop new publications.
- Partner with CIC and Outreach to increase the dissemination of PFB messages and publications.
- Develop PSA's and forums for the Senior Legislature.
- Partner with the State Bar's Trust and Estate section to increase outreach.
- Attend local Professional Fiduciary Association of California PFAC and California Association Superior Court Investigators meetings and their Annual conference for training purposes.
- Establish Outreach and communication to judges through the Administrative Office of the Courts (AOC).
- Gather and disseminate examples of industry best practices.
- Gather and disseminate victims' accounts of consumer fraud and abuse.
- Clarify the license renewal process.

Goal 4: Regulation and Legislation

- Seek Legislation to require licensure for all types of Durable Power of Attorney and Estate Administration not currently covered under present statutes.
- Develop Cite and Fine regulations.
- Develop advertising regulations requiring the inclusion of a licensee's professional fiduciary license number.
- Seek ways to streamline the license process through legislation.

Strategic Plan adopted 9/27/2010

Strategic Plan scheduled for review and adoption 11/19/2013

Licensure

Initial Licensing Processing without Screen Shots

PFB Regulation Article 2 Section 4424(a) allows the bureau within 90 days of receipt of an application to inform the applicant in writing that either, 1) the application is both complete and accepted for filing; or 2) the application is deficient and the specific information or documentation needed to complete the application

- I. Central Cashiering Unit (CCU) receives the application, date stamps it, creates a record in Applicant Tracking System (ATS), and assigns a tracking number.
- II. PFB receives application and date stamps it, creates applicant folder, and matches with the applicants' fingerprint results.
- III. PFB reviews application for completeness as per regulations in Article 2, Section 4422, and fulfills the requirements in ATS.
 1. If application is complete, PFB generates an exam eligibility letter in ATS* and mails to applicant. The letter explains to the applicant how to apply with the Center for Guardianship Certification (CGC) before registering for the exam. **Go to IV**
 2. If application is **NOT** complete, but deficient due to:
 - a. Fingerprinting:
 - Delayed or rejected: PFB generates deficiency letter in ATS* and mails to the applicant. When clearance is received, **go back to III.1.**
 - b. Applicant has a record:
 - PFB generates a letter* requesting court documents and explanation of the conviction. When documents are received, PFB analyst creates a recommendation to the Bureau Chief for review. If the Bureau Chief approves the application, **go back to III.1.**
 - If the Bureau Chief denies the application, PFB generates a denial letter* and mails to the applicant. **Go to Denial Procedures.**
 - c. Education/Experience, Pre-Licensing Education, or if answers to any of the questions are yes:
 - PFB generates a deficiency letter requesting additional information or explanation if applicable in ATS* and mails to the applicant. When the information is received and if requirements are satisfied, **go back to III.1.**

- When the information is received, but if requirements are **NOT** satisfied, create a recommendation to the Bureau Chief for review. If the Bureau Chief approves application, **go back to III.1.**
- If the Bureau Chief denies application, PFB generates a denial letter* and mails to the applicant. **Go to Denial Procedures.**

**Note: Refer to ATS procedures starting on page 10 of this manual.*

IV. Once the applicant has applied and paid for an exam fee directly to CGC, CGC notifies PFB with a spreadsheet via email.

1. PFB fulfills the exam requirement in ATS*, and the information is sent electronically to the vendor who administers the exam, Psychological Services, LLC (PSI).

****PFB Regulation Article 5, Section 4500 allows the applicant twelve (12) months from the date on the notification letter to achieve a passing score, with a maximum of 5 attempts, not to exceed one attempt every 30 days.***

2. PSI mails a PFB candidate handbook to the applicant to inform the applicant that he/she is eligible to register to take the exam once the applicant has paid a fee to sit for the exam directly to PSI.

3. After the applicant sits for the exam, PSI sends the exam result to PFB electronically through the ATS system. PFB verifies the applicant's results through the report system on ATS*, and enters the applicant's number on the PSI website to obtain the applicant's pass or fail results for one or both portions of the exam.

a. The applicant passes the exam: PFB generates a license fee due letter in ATS* and mails to the applicant.

**PFB Regulation Article 2, Section 4426(b) allows the applicant twelve (12) months from the date of the license fee due letter to pay the initial license fee or the application will be deemed abandoned.*

b. The Applicant fails one or both portions of the exam. PFB generates exam fail letter in ATS* and mails to the applicant. The letter explains that the applicant must to contact CGC to apply to re-take the exam and the exam process starts over with a new payment to CGC and PSI for each re-take for up to 5 exam tries in the 12 month eligibility period.

V. CCU receives initial licensing fee, processes it in ATS and forwards the processed initial licensing application to PFB. PFB fulfills the requirement in ATS* and transfers the information from ATS to the Consumer Affairs System (CAS). The next

day the new license number shows up on CAS and Web License Look-up (WLL), and CAS transmits electronically to the Employment Development Department (EDD) to create and mail the Wall and Pocket licenses to the **Licensee**.

**Note: Please refer to ATS procedures beginning on page 10 of this manual.*

VI. Add Initial Annual Statement to CAS.

1. Access Fiduciary's Statement(s)

a.) Log onto CAS, and at CAS Startup menu:

1. Enter (1) for selected code to access the Licensing Module, then press <Enter>.
2. At the licensing screen, enter 313 to select Update Fiduciary Data, then press <Enter>.
3. At the next screen, the cursor should be blinking on the line directly underneath the column entitled NUMBER. Type the license number there and press <ENTER>.
4. Underneath the column entitled NAME, the fiduciary's name should be first on the list. Place an S on the line directly underneath the *Ac column next to the fiduciary being selected and press <Enter>.
5. The fiduciary's statement reports appear on the next screen. Place an "S" on the line next to the statement year that you need to update.

Note: Initial Annual Statement procedure applies only to new licensees. For directions on adding Annual Statements for license renewals, please refer to the directions for License Renewals.

When entering Initial Annual Statements, ensure the fiduciary has provided all cases (open and closed) he or she has ever been responsible for, whether before or after the inception of the Professional Fiduciaries Bureau.

2. Add a New Court-Appointed Case.

a.) Follow steps 1-5 under Access Fiduciary's Statements.

1. Place an "A" on the line entitled *Ac and press <ENTER>. The Fiduciary Account screen appears.
2. Enter the following data fields:
 - Case number. If there is no case number, enter, "NONE."
 - Annual report date = Date the report is due (MM/DD/YYYY).

- Case type = T, G, C, P. (If it is something other than these four, write it on the other line, e.g., PR for Personal Representative.)
 - Court Appointed? = Y (If not court appointed leave blank)
 - Appointed Date (MM/DD/YYYY)
 - Rptd = Date fiduciary signed the Annual Statement (MM/DD/YYYY).
 - Case Name. Abbreviate if necessary.
 - Court Location = Enter the county or city only.
3. Press <Enter> to submit. You will receive a CAS message that indicates the case was entered successfully.
 4. Return to the screen that displays the fiduciary's cases and repeat until all new court-appointed cases have been entered.

3. Add a New Non-Court Case – Other Clients

The steps to add a new non-court case are almost the same as those listed above except for the possible differences listed below:

- a.) If there is no case number provided, type NONE.
- b.) At the data field question, **Court Appointed?**, leave the field blank.
- c.) At the data field, **Appointed Date**, type in the appointed date, which is the date the fiduciary accepted or opened the non-court case.

4. Add a Case That Was Opened and Closed Prior to the Fiduciary Having Applied for Licensure.

- a.) Follow steps 1-5 under Access Fiduciary's Statements.
 1. Place an "A" on the line entitled *Ac and press <ENTER>. The Fiduciary Account screen appears.
 2. Enter the following data fields:
 - Case number. If there is no case number, enter, "NONE."
 - Annual report date = Date the report is due (MM/DD/YYYY).
 - Case type = T, G, C, P. (If it is something other than these four, write it on the other line, e.g., PR for Personal Representative.)
 - Court Appointed? = Y (if not court appointed leave blank).
 - Appointed Date (MM/DD/YYYY) (if date is reported).
 - Rptd = Date the fiduciary signed the Annual Statement (MM/DD/YYYY).
 - Case Name. Abbreviate if necessary.
 - Court Location. Enter the county or city only.
 3. Tab down to the **End Date** field to enter the closed date.
 4. Tab to Rptd to enter the date the Fiduciary signed the statement.
 5. Press <Enter> to submit. This case will not roll over to the next annual statement.

VII. Close an Initial Annual Statement

After all client cases have been entered in the Annual Statement:

1. Select F2.
2. On the Annual Reports screen that appears, type “M” on the line next to the statement year that you want to close.
3. Enter the following data in the following data fields:
 - Compl? = Enter “Y” for “Yes.”
 - Fid Type? = C,G,T,P, or Other (as reported in Part 1. of the statement).
 - Total Client Assets? = Enter the total dollar amount of assets the fiduciary manages (as reported in Part 3. of the statement).
 - Filed Bankruptcy? = Enter “Y” for “Yes” if the licensee has filed bankruptcy in the last 10 years. Leave blank if the licensee has not filed bankruptcy. (As reported in Part 4., Section 2 of the statement or initial application).
 - Business Address = Address of Record or Business Address (as reported in Part 1. of the statement).
 - Fax Number (as reported in Part 1 of the statement).
4. Look at the Initial Application and Initial Annual Statement for the following:
 - Other License type (Initial application Part 2., Initial annual statement Part 2.).
 - Pre-Licensing Education (Initial application Part 4.).
 - Education (Initial application Part 5.).
 - Experience (Initial application Part 5.).
 - References (Initial application Part 5.).
 - Business Interests (Initial annual statement Part 4., Section 1.).
 - Bankruptcy (Initial application Part 3., Initial annual statement Part 4, Section 2.).
5. Press <Enter>. The Statement should now read, “Statement complete.”

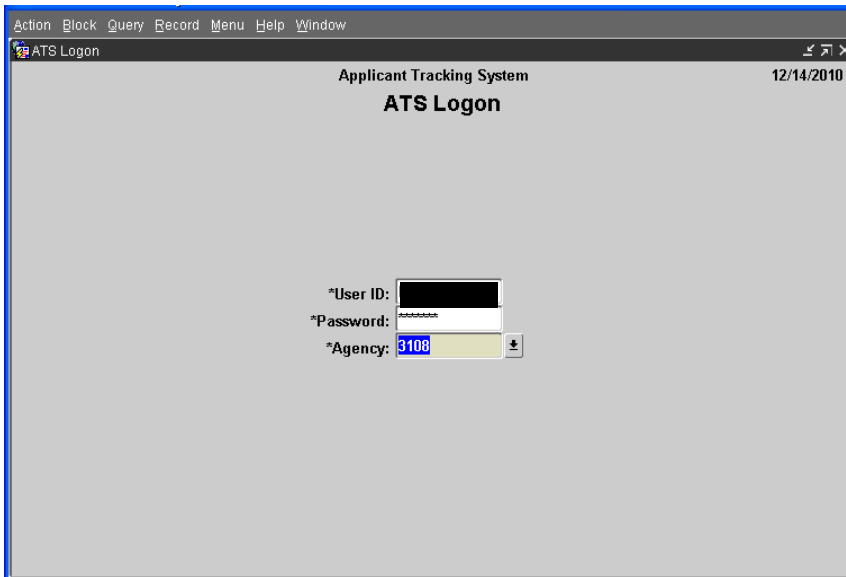
VIII. File the Annual Statement

1. Place an “X” on the colored post-it tab that contains the Annual Statement date.
2. Place the tab on page 1 of the Annual Statement.
3. Place the statement in the file.

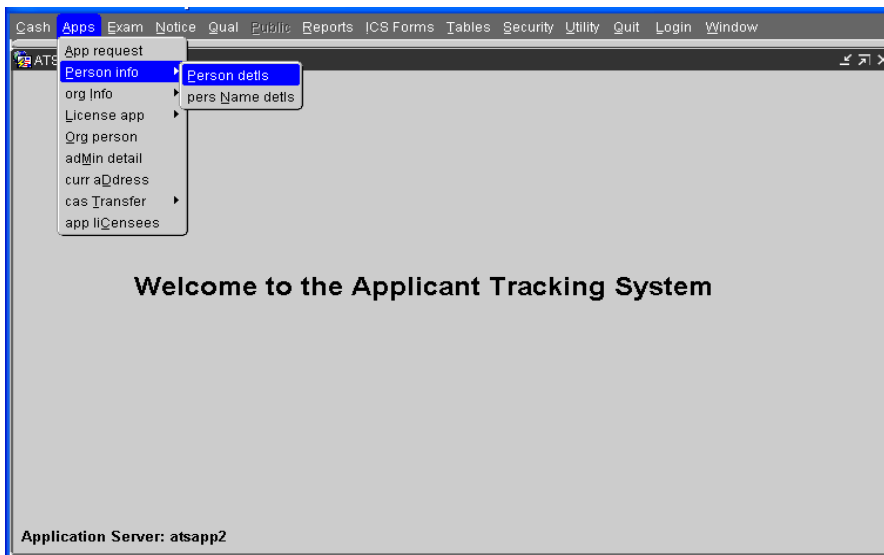
Initial Licensing Processing with Screen Shots

*PFB Regulation Article 2, Section 4424(a) allows the bureau within 90 days of receipt of an application to inform the applicant in writing that either: 1) the application is both complete and accepted for filing; or 2) the application is deficient and the specific information or documentation needed to complete the application.

- I. Access the ATS system here: <http://atsapp3.dca.ca.gov:7777/forms/frmservlet?>
 1. Enter ATS User ID, Password, and Agency ID (3108 for PFB).



- a. Click on **Apps Menu**, select **Personal Info**, then **Person Details**.



II. **Person Detail** information:

1. Hit F11
2. Enter ATS ID, then **Ctrl Key + F11**. If data entered by Cashiering does not auto-fill, then manually enter the following:
 - a. SSN
 - b. DOB
 - c. Last name
 - d. First name
 - e. Middle Name
 - f. Work number
 - g. Home number (optional)
 - h. Fax number (optional)
 - i. E-mail address (optional)
 - j. Gender (optional)
3. Hit Shift + Page Down to move to second block.
4. Enter Address of Record from application.
Use “↓” key to get to “*Add Type” to switch to Business Address.
5. In second block, enter business address information from application, then hit **Ctrl + S** to save.

The screenshot shows a software window titled "Person Detail" from the "PROFESSIONAL FIDUCIARIES BUREAU". The window contains several sections of input fields:

- Header:** ATAPERSN, PROD, PFABIGE, 12/14/2010, and Person Detail.
- Personal Info:** ID, SSN, DOB, User/Source, Adm Hold (checkbox), *L, F, M, S.
- Contact Info:** Mailing Title, Work Ph, Ext, Home Ph, Fax, E-mail.
- Demographics:** Gender, Citizen, Ethnic, Mail Hold, Nat Num, ID for Agy.
- Licensing:** Dr Lic#, Lic St, Name Pre, Business Name.
- Address Section:** A tabbed interface with "Current Address" selected. It includes a dropdown for "*Add Type" (set to "Address of Record"), "Orig Entry Date" (12/14/2010), *Address, *City, Country, County, State, and Zip.

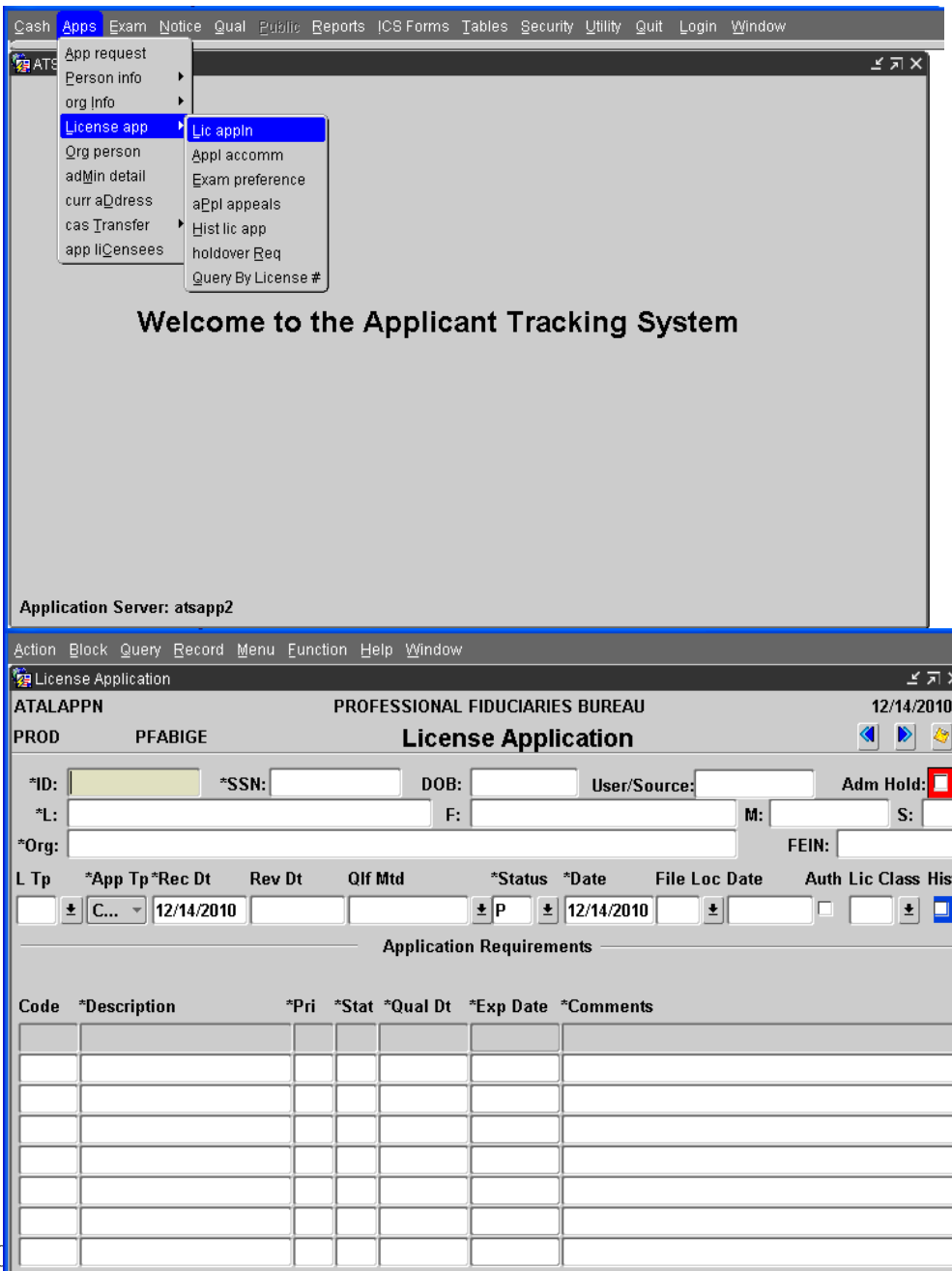
6. Hit “Shift” + “Page Down” to move to second block.
7. Use “↑” key to get to “Add Type”= Address of Record.
8. Enter address of record from application, then “Ctrl” + “S” to save.

Note: If Business Address and Address of Record are the same, hit “Ctrl” + “S” without making any changes.

9. Hit F4 to return to the main menu.

III. From **Main Menu**, select **Apps**, then **License App**, then **Lic appln**:
(Key Bureau Shortcut: “Alt” + “A” + “L” + “L”)

1. License Application screen appears.



2. On License Application Screen, enter ATS ID, then Ctrl Key + F11 to bring up record.
3. Enter Shift + Page Down to get to L Tp field and enter the following:

L Tp = PF

App Tp = "C" if applicant is approved for exam; "D" if anything is deficient.

Rec Dt = Oldest date-stamp date on application

Qlf Mtd = Standard

4. Hit Ctrl + S to bring up Applicant requirements.
5. Hit "Shift" + "Page Down."
6. Enter "F" in all *Stat entries fields that indicate the requirement is complete, except **Livescan DOJ and FBI.**

The screenshot shows a software window titled "License Application" with the following details:

- Window Title: License Application
- System: ATALAPPN PROFESSIONAL FIDUCIARIES BUREAU 12/14/2010
- Environment: PROD PFABIGE
- Form Fields:
 - *ID: 647
 - *SSN: [Redacted]
 - DOB: [Redacted]
 - User/Source: [Redacted]
 - Adm Hold: [Redacted]
 - *L: [Redacted]
 - F: [Redacted]
 - M: [Redacted]
 - S: [Redacted]
 - *Org: [Redacted]
 - FEIN: [Redacted]
- Summary Row:

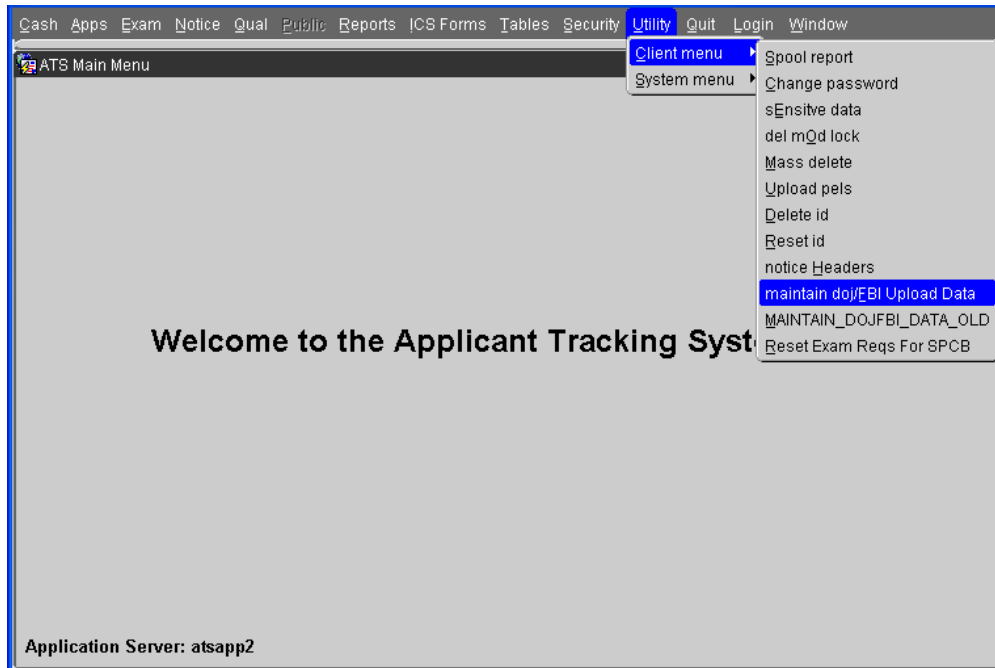
L Tp	*App Tp	*Rec Dt	Rev Dt	Qlf Mtd	*Status	*Date	File Loc Date	Auth Lic Class Hist
PF	C...	11/16/2010		STANDARD	P	12/14/2010		
- Application Requirements Table:

Code	*Description	*Pri	*Stat	*Qual Dt	*Exp Date	*Comments
AFE	Application Form & Fee	1	F	12/14/2010		
AFF	Affidavit Signed	1	F	12/14/2010		
LSF	LIVE SCAN FORM	1	F	12/14/2010		
LDJ	LIVESCAN DOJ	1	P			
LFB	LIVESCAN FBI	1	P			
DOJ	FINGERPRINT CARDS DOJ	1	N			
FBI	FINGERPRINT CARDS FBI	1	N			
PLE	Pre-License Education	1	F	12/14/2010		

7. Hit "Ctrl" + "S" to Save.
8. Hit F4 to return to main menu

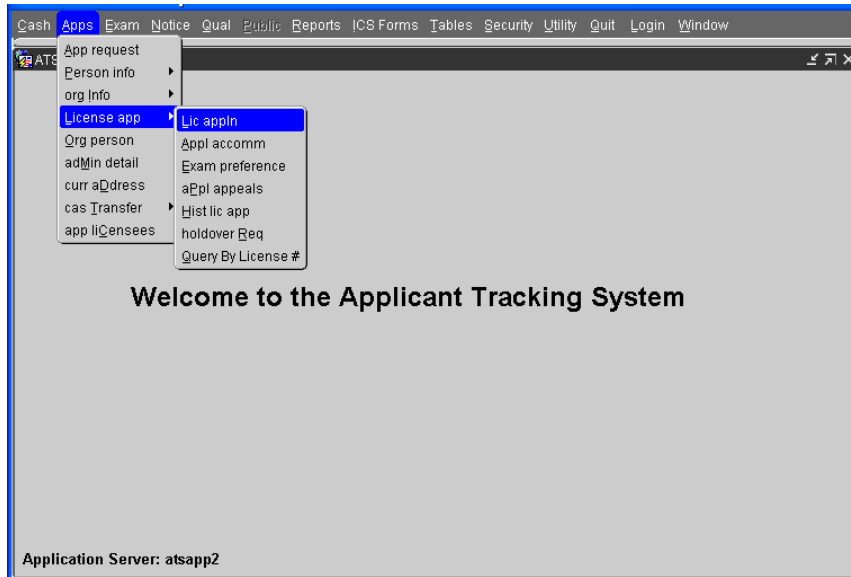
IV. Click on the **Utility Menu** and choose **Client Menu**, then **Maintain DOJ/FBI Upload Data.**

(KeyBureau shortcut: "Alt" + "U" + "C" + "F".)



1. Enter ATS ID
2. Hit "Ctrl" + "F11."
3. Verify it is correct applicant and results
4. Click on Update ATS.
5. Verify the information
6. Click on "Yes."
 - You will be returned to the maintenance screen.
 - Click on F11, re-enter ATS ID to search for applicant's next record.
7. Repeat for all results of applicant.
8. Hit "F4" to return to Main Menu.

V. On the **Apps Menu**, select **License app**, then **Lic appln**.



(KeyBureau shortcut: “Alt” + “A” + “L” + “L”.)

Action Block Query Record Menu Help Window
 MAINTAIN DOJ/FBI UPLOAD DATA
 ATAMDNEW PROFESSIONAL FIDUCIARIES BUREAU 12/14/2010
 PROD PFABIGE MAINTAIN DOJ/FBI UPLOAD DATA

Record Status Update ATS
 Remove Reason

Applicant Info
 ATS ID This screen is mouse-enabled.
 Last Name First Name Middle Initial
 Aka Name
 SSN DOB (Birth Date) Secondary ID

Fingerprint Info
 Processing Agency App ORI Code Resp Date
 ATI Code SCN # OCA #
 Applicant Title Status Description

ATS Info
 Agency Code Lic Type Qual Method Requirement Code
 Ats Run Date Ats Transfer Date Sys Id
 Show Updated and Removed Records Response Text

1. If all requirements are complete, then to create an Applicant Exam Eligibility Notice.
2. From the **Menu** select **indiv ntc act**.
(KeyBureau Shortcut: “Alt” + “M” + “V”).

Note: If current applicant record does not appear, enter ATS ID# + “Ctrl” + “F11.”

3. Applicant information will appear.
4. Hit “Shift” + “Page Down” to get to *Notice#: field.

The screenshot shows a software application window titled "License Application" with a menu dropdown open. The menu options include "indiv ntc act", "Person detail", "Org detail", "Current names", "current or g nam", "Current address", "admin Hold", "appl accoM", "exAm preference", "exTernal exam", "recipieNt hist", "Internal exams", "Qry all exams", "app rEquest", "ciDp", "cRedit evaluation", "REC INFO", "Mail label", and "PFB app details".

The main window displays the following information:

- ATLAPPN
- PROD PFABIGE
- *ID: 647
- *L: [Redacted]
- *Org: [Redacted]
- DOB: 12/14/2010
- User/Source: [Redacted]
- Adm Hold: [Redacted]
- F: [Redacted]
- M: [Redacted]
- S: [Redacted]
- FEIN: [Redacted]

The "Application Requirements" table is as follows:

Code	*Description	*Qual Dt	*Exp Date	*Comments
AFE	Application Form	12/14/2010		
AFF	Affidavit Signed	12/14/2010		
LSF	LIVE SCAN FORM	12/14/2010		
LDJ	LIVESCAN DOJ	12/14/2010		
LFB	LIVESCAN FBI	1	F	12/14/2010
DOJ	FINGERPRINT CARDS DOJ	1	N	
FBI	FINGERPRINT CARDS FBI	1	N	
PLE	Pre-License Education	1	F	12/14/2010

Action Block Query Record Menu Function Help Window

Individual Notice Activities

ATNIACT PROFESSIONAL FIDUCIARIES BUREAU 12/14/2010

PROD PFABIGE Individual Notice Activities

*ID: [] SSN: [] DOB: [] User/Source: [] Adm Hld:

*L: [] *F: [] *M: [] S: []

Org: [] FEIN: []

*Notice #: 2 Exam Eligibility Letter Enforce Notice Reason: Enforce Admin Hold:

Lic Type: PF Professional Fiduciarie

Cycle #: [] Note: []

Recipient Notice Inserted Phrases

*Seq	Phrase Code	Phrase Text
[]	[]	[]
[]	[]	[]
[]	[]	[]

Notice Printing Parameters

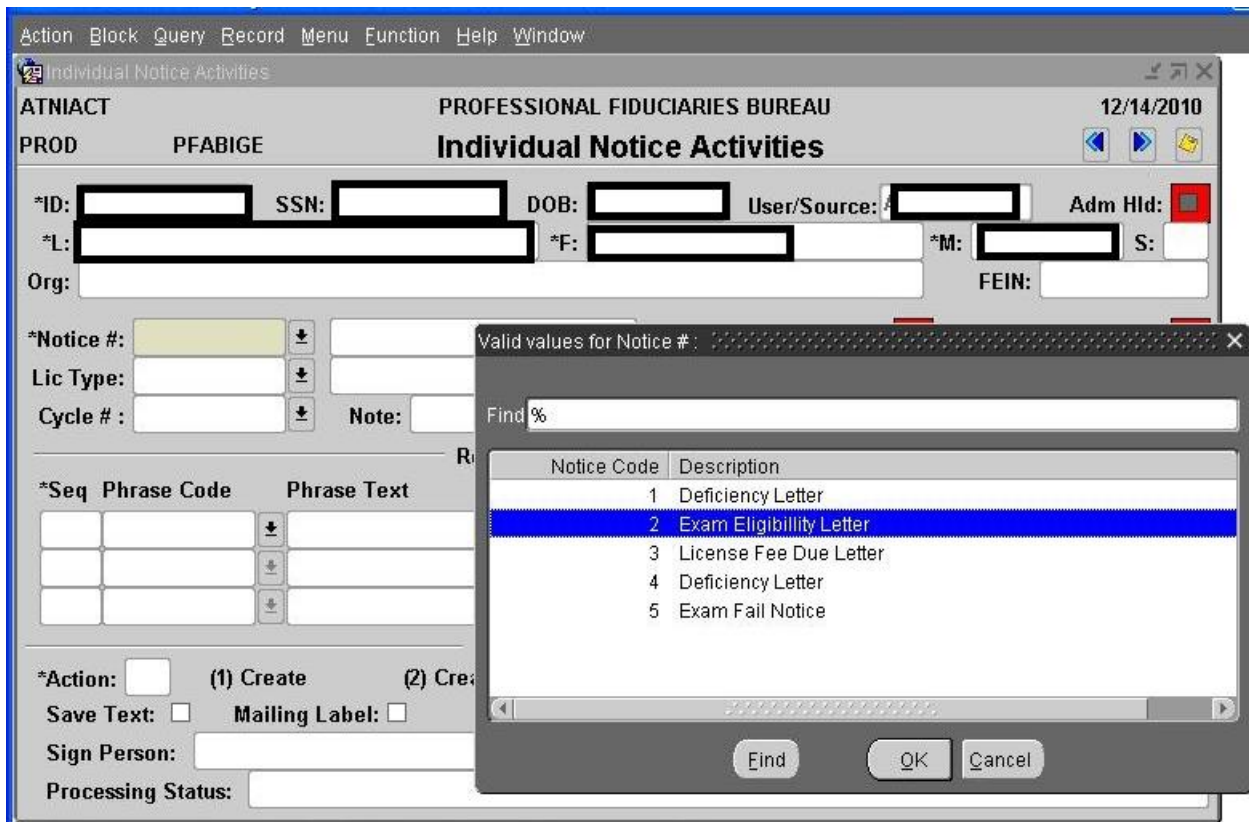
*Action: 2 (1) Create (2) Create/Print (3) Create/Edit/Print (4) Sample

Save Text: Mailing Label:

Sign Person: Angela Bigelow Title: Program Analyst

Processing Status: []

5. On the **Notice Drop-down menu**, select the correct type of notice.
6. Click "OK."



7. Hit "Tab" key 3 times, then "Shift" + "Page Down" 2 times to get to Notice Printing Parameters.
8. Hit "Ctrl" + "S" to create letter. Letter will appear in new window.
9. Print letter, sign, copy, and send to applicant.
10. Place copy of letter in applicant file and file in Pending Applications drawer.



Professional Fiduciaries Bureau
Post Office Box 969007
West Sacramento, CA 95796-9007
Telephone: (916) 574-7340 FAX (916) 928-7988
Website: www.fiduciary.ca.gov



"Caring for California's best interests"

December 14, 2010

Examination Eligibility #: 647

[Redacted]
Dear [Redacted]

The Professional Fiduciary Bureau has determined you eligible to take the CA Professional Fiduciary Licensing Examination. Your examination eligibility period is for twelve (12) months.

The examination consists of two parts, one part that is national in scope and one part that is specific to California law. You must achieve a passing score on both parts of the exam to be considered for licensure.

The examination provider is the Center for Guardianship Certification (CGC). To register for the exam you must complete the examination application form available on the CGC web site at www.guardianshipcert.org. Following registration, you will need your examination eligibility number to schedule for the exam.

You may contact CGC at (717) 238-4689 or email, certification@guardianshipcert.org with any questions regarding the examination.

If you fail either one or both parts of the exam you may sit for re-examination a maximum of four (4) times within your twelve (12) month eligibility period not to exceed one re-examination attempt every thirty (30) days. If you do not pass both parts of the exam within your eligibility period, you must start the licensing process over from the beginning.

Sincerely,

Angela Bigelow
Program Analyst

VI. Licensee contacts CGC and registers for Exam. Refer to IV page 7.

CAS Activities

I. Access Fiduciary Statements

1. Log onto CAS, and at CAS Startup menu:

Enter (1) for selected code to access the Licensing Module and 3108 for Outside Agency Number, then press <Enter>.

```
L001          C O N S U M E R   A F F A I R S   S Y S T E M S          12/14/10
              - Start Up Menu -
```

```
CCCCCCCCCC  AAAAAAAAAA  SSSSSSSSS
CCCC        AAA  AAA  SSSS
CCCC        AAAAAAAAAA  SSSSSSSSS
CCCC        AAA  AAA  SSSS
CCCCCCCCCC  AAA  AAA  SSSSSSSSS
```

CODE	CAS OPTIONS	CODE	BAR & MISC. OPTIONS
1	= LICENSING	6	= ACTIVITY REPORTING
2	= ENFORCEMENT	7	= BAR MAIN MENU
3	= LICENSING TABLES	8	= INTAKE MENU
4	= ENFORCEMENT TABLES	9	= BAR REPORTS
5	= ENFORCMENT LETTER MAINT	0	= BAR TAG MENU
E	= ENFORCEMENT QUERY		
L	= LICENSING QUERY		

Enter Selected Code 1

PF1=QUIT PF4=CONTACTS

ENTER OUTSIDE AGENCY NUMBER 3108

- At the licensing screen, enter 313 to select Update Fiduciary Data, then press <Enter>.

```
L300PF          PROFESSIONAL FIDUCIARIES LICENSING BUREAU          12/14/10
                  LICENSING MENU
```

SELECTION 313

```

ADD PERSONAL LICENSE..... 310      UPDATE GENERAL NOTEBOOK.. 327
UPDATE PERSONAL LICENSE.. 320
UPDATE LICENSE STATUS.... 315      DELETE PERSONAL..... 330
UPDATE FIDUCIARY DATA.... 313
                                     MASS ADDRESS UPDATE..... 341
                                     CASHIERING..... 350
                                     SSN NUMBER UPDATE..... 360

VOID/DUP/REPL LIC NOTICE. 303      LICENSES..... 600
                                     QUERY LICENSE(PRIMARY)... 601
                                     QUERY LICENSE(SECONDARY). 602
```

PF1=QUIT

- At the next screen, the cursor should be blinking on the line directly underneath the column entitled NUMBER. Type the license number there and press <ENTER>.

```
DCE120PC PF          Professional Fiduciaries Licensing Bureau          12/14/2010
DCE120MC                  Fiduciaries by License                      13:53:40.6
```

Agy: 3108 LicTp: PF

```

- L I C E N S E -          - R E P O R T -
*Ac Number Name          Tp Sched Dt Due Dt
--- 187 -----
0000187                A 20110130 20110130
0000188                A 20110901 20110901
0000189                A 20110501 20110501
0000190                A 20111001 20111001
0000191                A 20110130 20110130
0000192                A 20101101 20101101
0000193                A 20110901 20110901
0000194                A 20110901 20110901
0000195                A 20110901 20110901
0000196                A 20110601 20110601
```

Dec 14, 10

1:53 PM

*Go

SYS PROD

F1=help, F2=ret, F3=quit, F4=add, F5=flip, F6=Go, F7=backwd, F8=fwrdd, F12=main

- Underneath the column entitled **NAME**, the fiduciary's name should be first on the list. Place an "S" on the line directly underneath the ***Ac** column next to the fiduciary being selected and press <Enter>.

DCE120P9 PL Professional Fiduciaries Licensing Bureau 12/14/2010
 DCE120M9 Fiduciary Reports 14:18:27.2

[Redacted]
 Lic PF [Redacted]

```

- R E P O R T V E R S I O N S -
*Ac Sched Dt Due Dt Status Type FID-ID
-----
s 20110901 20110901 Incomplete Annual 0000001054
  20100901 20100901 Complete Annual 0000000494
  20080830 20080830 Complete Original 0000000068
*** End of Data ***
  
```

Dec 14,10 2:18 PM
 *Go SY5 PROD
 F1=help, F2=retrn, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwrđ, F8=frwrđ, F12=main

- The fiduciary's statement reports appear on the next screen. Place an "S" on the line next to the statement year that you need to update.

DCE120P0 PF Professional Fiduciaries Licensing Bureau 12/14/2010
 DCE120M0 Fiduciaries by License 13:53:40.6

Agj: 3108 LicTp: PF

```

- L I C E N S E - - R E P O R T -
*Ac Number Name Tp Sched Dt Due Dt
---
S 00000187 A 20110130 20110130
  00000188 A 20110901 20110901
  00000189 A 20110501 20110501
  00000190 A 20111001 20111001
  00000191 A 20110130 20110130
  00000192 A 20101201 20101201
  00000193 A 20110901 20110901
  00000194 A 20110901 20110901
  00000195 A 20110901 20110901
  00000196 A 20110601 20110601
  
```

Dec 14,10 1:53 PM
 *Go SY5 PROD
 F1=help, F2=return, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwrđ, F8=frwrđ, F12=main

II. Add a New Court-Appointed Case

1. Follow steps 1-5 under Access Fiduciary's Statements.
2. Place an A on the line entitled *Ac and press <ENTER>. The Fiduciary Account screen appears.

```
No records with prefix 3108PF found for the current input
DCE121PC  PB          Professional Fiduciaries Licensing Bureau      12/14/2010
DCE121MC          Fiduciary Accounts                               14:20:26.2
```

```
Ac: PF 00000068  FidID: 000001054
```

```
      Fid
*Ac Typ  Case Name                               Fid AcctID
-----
A                                     *** End of Data ***
```

```
Dec 14, 10                                     2:20 PM
*Go                                             SYS PROC
F1=help, F2=return, F3=quit, F4=add, F5=fl ig, F6=Go, F7=okwrd, F8=crwd, F12=main
```

3. Enter the following data fields:

- Case number. If there is no case number, enter, "NONE."
- Annual report date = Date the report is due (MM/DD/YYYY).
- Case type = T, G, C, P. (If it is something other than these four, write it on the Other line, e.g., PR for Personal Representative.)
- Court Appointed? = Y (if not court appointed leave blank).
- Appointed Date (MM/DD/YYYY) (if date is reported).
- Rptd = Date the fiduciary signed the Annual Statement (MM/DD/YYYY).
- Case Name. Abbreviate if necessary.
- Court Location. Enter the county or city only.

```
DCF121PC EA          Professional Fiduciaries Licensing Bureau      A 12/14/2010
DCF121MC          Fiduciary Account                                14:21:03.8
```

```
lic: FF 00000068      FidID: 000001054      AcctID:
```

```
Case Number None_____ Fiduciary actions reported?
Annual Report date: 09/01/2010
```

```
Case Type C Other Desc _____
Court Appointed? _ Appointed Date: 08/20/2010      Rptd: 08/20/2010
```

```
Begin Date:          Rptd          End Date:          Rptd
```

```
Case Name _____
```

```
Court Location _____
```

```
Dec 14, 10          1 more >
*Go          SYS PROD
ENTER=confirm, F1=help, F2=return, F3=quit, F5=flip, F6=Go, F10=left, F11=right, F12=main
```

4. Press <Enter> to submit. You will receive a CAS message that indicates the case was entered successfully.
5. Return to the screen that displays the fiduciary's cases and repeat until all new court-appointed cases have been entered.

III. Add a New Non-Court Case – Other Clients

The steps to add a new non-court case are almost the same as those listed above, except for the possible differences listed below:

1. If there is no case number provided, type **NONE**.
2. At the data field question **Court Appointed?**, leave blank.

- At the data field Appointed Date, type in the appointed date because this represents the date the Fiduciary accepted or opened the non-court case.

```
No records with prefix 3108PF found for the current input
DCE121P0 P3      Professional Fiduciaries Licensing Bureau      12/14/2010
DCE121M0      Fiduciary Accounts                          14:20:26.2
```

```
Lic: PF [REDACTED]
```

```

      Fid
*Ac Typ Case Name                               Fld AcctID
-----
A                                     *** End of Data ***
```

```
Dec 14,10                               2:20 PM
*Go                                       SYS PROC
F1=help, F2=return, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwd, F8=frwd, F12=main
```

IV. Add a Closed Case. (Case was opened and closed before the applicant applied for licensure with PFB.)

- Place an A on any line in the *Ac column to add a closed case, and press ENTER. Enter case number. If there is no case number, enter, "NONE."
- Enter initial annual report date.
- Enter case type (T, G, C, P etc. If it is something other than these four, enter it on the OTHER line).
- If it has a case number, place a "Y" on the court appointed line; if it doesn't, leave it blank.
- Enter End Date (MM/DD/YYYY).
- Enter Reported date (date the licensee signed the statement).
- Enter case name.
- Enter court location (only if it is a court case).
- Press ENTER to submit.

DCF121P0 PA Professional Fiduciaries Licensing Bureau A 12/15/2010
DCF121M0 Fiduciary Account 14:21:57.5

Lic: PF 00000107 FidID: 000000823 AcctID:

Case Number None _____ Fiduciary actions reported?
Annual Report date: 07/30/2010

Case Type T Other Desc _____
Court Appointed? Y Appointed Date: 04/02/2010 Rptd: 07/30/2010

Begin Date: Rptd End Date: 06/08/2010 Rptd 07/30/2010

Case Name _____

Court Location Los Angeles _____

Dec 15, 10 1 more >
?Go SYS PROD
ENTER=confirm, F1=help, F2=return, F3=quit, F5=flip, F6=Go, F10=left, F11=right, F12=main

V. Close an Annual Statement

After all client cases have been entered in the Annual Statement:

1. Select F2
2. On the Annual Reports screen that appears, type "M" on the line next to the statement year that you want to close.
3. Enter the following data in the following data fields:
 - Compl? = Enter "Y" for "Yes."
 - Fid Type?= C,G,T,P, or Other (as reported in Part 1. of the statement).
 - Total Client Assets? = Enter the total dollar amount of assets the fiduciary manages (as reported in Part 3. of the statement).
 - Filed Bankruptcy? = Enter "Y" for "Yes" if the licensee has filed bankruptcy in the last 10 years. Leave blank if the licensee has not filed bankruptcy. (As reported in Part 4., Section 2 of the statement or initial application).
 - Business Address = Address of Record or Business Address (as reported in Part 1. of the statement).
 - Fax Number (as reported in Part 1 of the statement).
4. Look at the Initial Application and Annual Statement for the following:
 - Other License type (Initial application Part 2., Annual statement Part 2.).
 - Pre-Licensing Education (Initial application Part 4.).
 - Education (Initial application Part 5.).
 - Experience (Initial application Part 5.).
 - References (Initial application Part 5.).
 - Business Interests (Initial annual statement Part 4., Section 1.).
 - Bankruptcy (Initial application Part 3., Initial annual statement Part 4, Section 2.).
5. Press <Enter>. The Statement should now read, "Statement complete."

VI. Release License in CAS

1. Select F2 twice.
2. Enter 315 and press <Enter>.
3. Enter the license number and press <Enter>.
4. At Secondary Status, delete the number 24.
5. At Hold License Print, replace the Y with an N.
Press <Enter> to submit.

Note: The license will not be mailed to the licensee until the renewal fee has been cashiered.

VII. File the Annual Statement.

1. Place an "X" on the colored post-it tab that contains the Annual Statement date.
2. Place the tab on page 1 of the Annual Statement.
3. Place the statement in the file.

Renewal Process

The Professional Fiduciaries Bureau requires all licensees to renew their licenses annually. The renewal date is the last day of the birth month of the licensee.

The Employment Development Department (EDD) sends a renewal notice to the licensee 60 days prior to the renewal deadline for the licensee. The renewal notice indicates the renewal date and applicable renewal fee. The renewal notice has a detachable slip at the bottom of the notice requiring a licensee signature that indicates, under penalty of perjury, that the licensee has completed the required 15 hours of Continuing Education at a certified instructional facility (See Appendix C for list of schools which have been certified) , and a completed Annual Statement, as indicated on the [PFB Internet site](#).

The Statement is reviewed to ensure all questions are answered. As with initial licensee applications, renewal packets may also be deficient. In these cases, no official letter template exists. When such situations arise, the PFB places a phone call and follow-up email to the licensee to obtain the missing information.

Once all necessary renewal information has been received by PFB, the Annual Statement information must be entered into CAS:

Annual Statements—Adding and Closing Cases

I. Access Fiduciary's Statement(s)

1. Log onto CAS, and at CAS Startup menu:
 - a. Enter (1) for selected code to access the Licensing Module, 3108 for Outside Agency Number, then press <Enter>.

```
L001          C O N S U M E R   A F F A I R S   S Y S T E M S          12/14/10
              - Start Up Menu -

              CCCCCCCCCC   AAAAAAAAAA   SSSSSSSSS
              CCCC        AAA   AAA   SSSS
              CCCC        AAAAAAAAAA   SSSSSSSSS
              CCCC        AAA   AAA   SSSS
              CCCCCCCCCC   AAA   AAA   SSSSSSSSS

CODE  CAS OPTIONS          CODE  BAR & MISC. OPTIONS
-----
  1 = LICENSING           6 = ACTIVITY REPORTING
  2 = ENFORCEMENT        7 = BAR MAIN MENU
  3 = LICENSING TABLES  8 = INTAKE MENU
  4 = ENFORCEMENT TABLES 9 = BAR REPORTS
  5 = ENFORCMENT LETTER MAINT 0 = BAR TAS MENU
  E = ENFORCEMENT QUERY
  L = LICENSING QUERY

              Enter Selected Code  1

PFI=QUIT  PFI=CONTACTS          ENTER OUTSIDE AGENCY NUMBER 3108
```


d. Underneath the column entitled **NAME**, the fiduciary's name should be first on the list. Place an "S" on the line directly underneath the *Ac column next to the fiduciary being selected and press <Enter>.

DCE120PC PF Professional Fiduciaries Licensing Bureau 12/14/2010
 DCE120MC Fiduciaries by License 13:53:40.6

Ajy: 3103 LicTp: PF

```

- L I C E N S E - - R E P O R T -
*Ac Number Name Tp Sched Dt Due Dt
--- 137 -----
S 00000187 A 20110130 20110130
00000188 A 20110901 20110901
00000189 A 20110501 20110501
00000190 A 20110601 20110601
00000191 A 20110130 20110130
00000192 A 20101201 20101201
00000193 A 20110901 20110901
00000194 A 20110901 20110901
00000195 A 20110901 20110901
00000196 A 20110601 20110601
Dec 14,10 1:53 PM
*Go SY5 PROD
F1=help, F2=retm, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwr, F8=frwr, F12=main
  
```

e. The fiduciary's statement reports appear on the next screen. Place an "S" on the line next to the statement year that you need to update.

Professional Fiduciaries Licensing Bureau 12/14/2010
 Fiduciary Reports 14:18:27.2

Lic PF

```

- R E P O R T V E R S I O N S -
*Ac Sched Dt Due Dt Status Type FID-ID
---
s 20110901 20110901 Incomplete Annual 0000001054
20100901 20100901 Complete Annual 0000000494
20080830 20080830 Complete Original 0000000068
*** End of Data ***
  
```

Dec 14,10 2:18 PM
 *Go SY5 PROD
 F1=help, F2=retm, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwr, F8=frwr, F12=main

II. Add a New Court-Appointed Case

1. Follow steps VI.1 under Access Fiduciary's Statements (Page 7 of this manual).
2. Place an "A" on the line entitled *Ac and press <ENTER>. The Fiduciary Account screen appears.

No records with prefix 3108PF found for the current input
DCE121P0 PB Professional Fiduciaries Licensing Bureau 12/14/2010
DCE121M0 Fiduciary Accounts 14:20:26.2

Lic: PF FidID: 0000001054

	Fid			
*Ac	Typ	Case Name		Fid AcctID
-----	-----	-----	-----	-----
A			*** End of Data ***	

Dec 14, 10 2:20 PM
*Go SY5 PROD
F1=help, F2=retrn, F3=quit, F4=add, F5=flip, F6=Go, F7=bkwr, F8=frwr, F12=main

3. Enter the following data fields:

- Case number. If there is no case number, enter, "NONE."
- Annual report date = Date the report is due (MM/DD/YYYY).
- Case type = T, G, C, P. (If it is something other than these four, write it on the Other line, e.g., PR for Personal Representative.)
- Court Appointed? = Y (if not court appointed leave blank).
- Appointed Date (MM/DD/YYYY) (if date is reported).
- Rptd = Date the fiduciary signed the Annual Statement (MM/DD/YYYY).
- Case Name. Abbreviate if necessary.
- Court Location. Enter the county or city only.

```
DCF121PC PA Professional Fiduciaries Licensing Bureau A 12/14/2010
DCF121MC Fiduciary Account 14:21:03.8
```

```
Lic: FF 00000068 FidID: 000001054 AcctID:
```

```
Case Number None _____ Fiduciary actions reported?
Annual Report date: 09/01/2010
```

```
Case Type C Other Desc _____
Court Appointed? _ Appointed Date: 08/20/2010 Rptd: 08/20/2010
```

```
Begin Date: Rptd End Date: Rptd
```

```
Case Name _____
```

```
Court Location _____
```

```
Dec 14, 10 1 more >
*Go SYS PROD
ENTER=confirm, F1=help, F2=return, F3=quit, F5=flip, F6=Go, F10=left, F11=right, F12=main
```

4. Press <Enter> to submit. You will receive a CAS message that indicates the case was entered successfully.
5. Return to the screen that displays the fiduciary's cases and repeat until all new court appointed cases have been entered.

III. Add a New Non-Court Case – Other Clients

The steps to add a new non-court case are almost the same as those listed above, except for the possible differences listed below:

1. If there is no case number provided, type **NONE**.
2. At the data field question **Court Appointed?**, leave blank.
3. At the data field **Appointed Date**, type in the appointed date because this represents the date the Fiduciary accepted or opened the non-court case.

IV. Add a Closed Court-Appointed or Non-Court-Appointed Case. (Case was opened and closed after the date of the last statement.)

1. Follow steps VI.1 under Access Fiduciary's Statements (Page 7 of this manual).
2. Place an A on any line in the *Ac column to add a closed case, and press ENTER.

```
No records with prefix 3108PF found for the current input
DCE121PC PB          Professional Fiduciaries Licensing Bureau      12/14/2010
DCE121MC             Fiduciary Accounts                          14:20:26.2
```

```
             shi
Pic: PF 00000068  FidID: 000001054
```

```
      Fid
*Ac Typ Case Name                               Fid AcctID
-----
A                                     *** End of Data ***
```

```
Dec 14, 10                               2:20 PM
*Go                                         SYS PRGD
F1=help, F2=return, F3=quit, F4=add, F5=flip, F6=Go, F7=backwd, F8=fwrdd, F12=main
```

3. Enter the following:

- Case number. If there is no case number, enter **NONE**.
- Annual report date (MM/DD/YYYY).
- Case type = T, G, C, P. (If it is something other than these four, write it on the Other line, e.g., PR for Personal Representative.)
- Court Appointed? = Y; if not a court-appointed case, leave this field blank.
- End Date. (MM/DD/YYYY).
- Rptd = Date the fiduciary signed the Annual Statement (If appointed dated was reported)

- Case Name. Abbreviate if necessary.
- Court location (only if it is a court case, and city or county only).
- Press ENTER to submit.

PA Professional Fiduciaries Licensing Bureau A 12/15/2010
Fiduciary Account 14:21:57.5

Lic: PF FidID: AcctID:

Case Number None _____ Fiduciary actions reported?
Annual Report date: 07/30/2010

Case Type T Other Desc _____
Court Appointed? Y Appointed Date: 04/02/2010 Rptd: 07/30/2010

Begin Date: _____ Rptd _____ End Date: 06/08/2010 Rptd 07/30/2010

Case Name

Court Location Los Angeles _____

Dec 15,10 1 more >
*Go _____ SY5 PROD
ENTR=confm,F1=help,F2=retrn,F3=quit,F5=flip,F6=Go,F10=left,F11=right,F12=main

V. Close an Annual Statement

After all Annual Statement updates have been made:

1. Select F2
2. On the Annual Reports screen that appears, type "M" on the line next to the statement year that you want to close.
3. Enter the following data in the following data fields:
 - Compl? = Enter "Y" for "Yes."
 - Fid Type?= C,G,T,P, or Other.
 - Total Client Assets? = Enter the total dollar amount of assets the fiduciary manages.
 - Business Address = Address of Record or Business Address.
 - Fax Number.
4. Press <Enter>. The Statement should now read, "Statement complete."

VI. Release License in CAS

1. Select F2 twice.
2. Enter 315 and press <Enter>.
3. Enter the license number and press <Enter>.
4. At Secondary Status, delete the number 24.

5. At Hold License Print, replace the Y with an N.
6. Press <Enter> to submit.

Note: The license will not be mailed to the licensee until the renewal fee has been cashiered.

VII. File the Annual Statement.

1. Place an “X” on the colored post-it tab that contains the Annual Statement date.
2. Place the tab on page 2 of the Annual Statement.
3. Place the statement in the file.

Submission and Registration of Complaint

Complaint Intake and Processing Step-by-Step without Screen Shots

The process for submission and registration of a complaint begins when a complaint is submitted to the Professional Fiduciary Bureau via Cashiering, CIC, fax, email, other agencies, or any other source:

I. Staff Services Analyst (SSA) receives complaint via fax, email, mail, telephone, or in person.

- a. SSA date stamps complaint.
- b. SSA checks CAS to verify if the respondent is licensed with PFB. If licensed then check for existing complaints with the same licensee or complainant.

Note: If there are duplicate complaints already in the system, do not re-enter. Instead, pull the old file and place new information with existing file and give to the Customer Service Representative (CSR) for evaluation.

- c. SSA fills out Complaint Intake Form and creates complaint folder and gives to supervisor for assignment.
- d. SSA assigns complaint to a Consumer Services Representative or Investigator and sends acknowledgement letter to the complainant within ten (10) days of receipt of the complaint.

II. Consumer Services Representative (CSR) reviews complaint.

- a. CSR evaluates complaint for egregious violations requiring field investigation. If found, CSR refers the complaint to the Bureau Chief for further processing.
- b. If no serious violations or egregious violations are found, CSR inputs complaint details in CAS and sends acknowledgement letter.
- c. CSR makes initial contact with consumer complainant and discusses details of complaint and inquires for more detail as to allegations against the licensee.
- d. CSR makes initial contact with licensee, discusses details of complaint, and discusses how the licensee would like to resolve the complaint.
- e. CSR re-contacts the consumer complainant and the licensee until the complaint is resolved. If the complaint cannot be resolved and there are no violations, the consumer is advised of his or her options, such as small claims court, other regulatory agencies or pursuing litigation.
- f. If any serious violations worthy of investigation are discovered during the resolution process, the CSR refers the complaint to the Bureau Chief for further processing.

*Please refer to the Complaint Resolutions Program Policy Manual.

- III. Bureau Chief receives complaints in need of investigation from the CSR.
 - a. Bureau Chief reviews complaint to determine whether complaint should be investigated by a sworn or non-sworn investigator.
 - i. If the Chief decides the violations are serious enough to warrant investigation by a sworn investigator, the complaint is referred to the Division of Investigation.
 - ii. If the violations do not require investigation by a sworn investigator, the Chief refers the complaint to PFB's non-sworn investigator.

- IV. Non-Sworn Investigator:

Please refer to the Investigation and Enforcement portion of this manual for a Step-by-Step explanation and flow chart of Investigation and Enforcement process.

- ii. On the next line, mid-screen, ensure that “R” is entered after “NAME TYPE” to ensure you are searching for licensee records.
 - iii. Tab down to the “L” under “PERSONAL” and enter the licensee’s last name. Press Enter.
- e. The next screen will list all complaints registered against licensees with the last name entered in the screen above. Place an “X” next to the line in front of the licensee you are registering a complain against and press <Enter>.

Complaint information specific to that licensee will appear.

- i. Review the screens for information on prior complaints by pressing <Enter> to move from screen to screen, as shown below.
- ii. When all screens have been viewed, you will be returned to the screen in Step 3.
- iii. Make any necessary notes on the Complaint Intake Form.

Note: If there are duplicate complaints already in the system, do not re-enter. Instead, pull the old file and place new information with existing file and give to CSR for evaluation.

```

F701                PROFESSIONAL FIDUCIARIES LICENSING BUREAU          01/13/11
                    ENFORCEMENT QUERY MENU

SELECTION IDENT FY SEQ AGY CDE LIC/APPL TP NO DOT/AG/OAH CNTY ABBR
   000
F717                PROFESSIONAL FIDUCIARIES LICENSING BUREAU          ██████████
                    QUERY COMPLAINT VIOLATIONS
COMPL NO RE 2009 ████████ INVESTIGATION TYPE C LIC/APP NO RE ████████
RESPONDENT ██████████

          S      I      C      O
          U CAT N EXP I CRIM A A FIN CODE
VICL  SFX B  CSR V SUP I CONV G H ORD BOOK VIOLATION DESCRIPTION
=====
1
2
3
4
5
6
7
8
9
10

PF1=QUIT  2=CAS  3=EX  5=BKWD  6=FWD                EX ____

```

```

F713                PROFESSIONAL FIDUCIARIES LICENSING BUREAU
                                QUERY COMPLAINT
COMPLNT NO ██████████ STATUS C18 ID ██████████ UPDATE ██████████
                                DCA CTGY 0 AGY CTGY L REC DT ██████████
INV TYP C SOURCE L REPI/REPL PRICRITY 2 CSR DATE ██████████
ASGND C ██████████ MERIT/RPT CONSUMER/PATIENT HARM
LIC #1 3108 PF ██████████ #2
LIC #3 ██████████ #4
ISSUE DT ██████████ EXP DT ██████████
RESP BUS NAME
ADD ██████████ F ██████████ M HOME SEX
                                BUS COUNTY ██████████
CITY ██████████ ST CA ZIP ██████████ DCB
DL NO SSN#
INCIDENT:
ADR
CITY ST ZIP COUNTY CASE LINK
COMMENTS INCLNT DATE
                                800 AMOUNT $

PF1=QUIT 2=CAS 3=EX 5=LIC 6=PRICR 7=RSPDNT EX ____

```

- f. Check for duplicate complaints filed by the same complainant:
 - i. Follow the same procedure outlined on page 39 of this manual for checking complaints against licensees, after “NAME TYPE” enter “C” for complainant.
 - ii. Tab down to “PERSONAL” and enter the last of the complainant.

- iii. Follow the procedures as outlined above, but choose complaints based on the complainant name, rather than the licensee name.

Note: If there are duplicate complaints already in the system, do not re-enter. Instead, pull the old file and place new information with existing file and give to CSR for evaluation.

```

F701                PROFESSIONAL FIDUCIARIES LICENSING BUREAU          01/13/11
                    ENFORCEMENT QUERY MENU

SELECTION  IIDENT FY  SEQ   AGY  ODE  LIC/APPL TP  NO   DOI/AG/OAH  CNTY ABBR
713        _____  _____  _____  _____  _____  _____  _____  _____

BUSINESS     NAME TYPE C ( R - RESPONDENT/APPLICANT  C - COMPLAINANT)
PERSONAL
1 ██████████ _____  F _____  M _____  SFX _____

CNTY  CITY NAME                ( Y = STREET NO/NAME) ( N = STREET NAME/NO) (Y/N)
_____  _____  _____  _____  _____  _____  _____  _____  _____  _____
                                                                                               Y

          GENERAL SELECTIONS                SPECIAL SELECTIONS
COMPL/APPS... 713  GENERAL NAME.. 481  LEGAL DESK.. 733  SITE INSPECT(all).. 703
CITATIONS.... 764  GENERAL LIC.. 483  STIPULATION 745  SITE INSP NON LIC. 705
DISCIPL CASE. 729  LIC BY NAME.. 484  DOI NO..... 475  COMBINED INV QUERY 480
PEN/PROB..... 757  COM/CASE LINK 479  AG NO..... 476  DOI INVEST BY COMP 718
ACTIONS..... 720  GEO..... 488  OAH NO..... 478  CONSERVATORSHIP... 733

PFL=QUIT  2=CAS

```

- g. SSA fills out Complaint Intake Form and creates complaint folder.

Note: The Complaint Intake Form can be found on the PFB drive, in the PFB folder, then the Complaints folder. There is also a version of the Complaint Intake Form in Appendix D of this manual.

- h. SSA gives complaint to Supervisor for assignment.
- i. SSA assigns complaint to a CSR or Investigator.
Log onto CAS and enter “2” for Enforcement and “3108” for Agency. Press <Enter>.

```

F001                C O N S U M E R   A F F A I R S   S Y S T E M S           01/13/11
                    - Start Up Menu -

                    CCCCCCCCCC   AAAAAAAAAA   SSSSSSSSSS
                    CCCC        AAA   AAA   SSSS
                    CCCC        AAAAAAAAAA   SSSSSSSSSS
                    CCCC        AAA   AAA   SSSS
                    CCCCCCCCCC   AAA   AAA   SSSSSSSSSS

Code  CAS Options                Code  BAR & Misc. Options
-----
  1 = LICENSING                  6 = ACTIVITY REPORTING
  2 = ENFORCEMENT                7 = BAR MAIN MENU
  3 = LICENSING TABLES          8 = INTAKE MENU
  4 = ENFORCEMENT TABLES        9 = BAR REPORTS
  5 = ENFORCMT LETTER MAINT      0 = BAR IAS MENU
  E = ENFORCEMENT QUERY
  L = LICENSING QUERY

                    Enter Selected Code 2

PFL=QUIT  PFG=CONTACTS  P19=MAIL                Enter Outside Agency Number 3108

```

At the next screen, Enter “113” after “SEL” for “INITIATE” and press <Enter>:

CODE	DATE	ID	COMMENTS/ACTION	REFERENCE
CRCE	[REDACTED]	[REDACTED]	COMPLAINT RECEIVED BY BOARD	[REDACTED]
CCSR	[REDACTED]	[REDACTED]	ASSIGNED TO	
CCSR	[REDACTED]	[REDACTED]	ASSIGNED TO	
CCOM	[REDACTED]	[REDACTED]	JV	
CCFC	[REDACTED]	[REDACTED]	FIRST CONTACT WITH COMPLAINANT	
CC18	[REDACTED]	[REDACTED]	CLOSED-NO RESPONSE FROM COMPLAINANT	

PF1=QUIT 2=CAS 3=EX 5=EXWD 6=FWD 7=DESC 9=GEN 10=SUP 11=EO EX ___

II. Consumer Services Representative (CSR) processes complaint.

1. CSR evaluates complaint for egregious violations requiring field investigation. If found, CSR refers the complaint to the Bureau Chief for further processing.
 - a. The CSR enters the Action Code "IASI" to transfer the complaint to PFB's Non-Sworn Investigator.
 - b. The Bureau Chief will review the complaint to determine whether the complaint will remain with the Non-Sworn Investigator or be sent to the Division of Investigation for investigation by a Sworn Investigator.

2. If no serious violations or Elder Abuse Warning Signs are found, CSR initiates complaint in CAS.

3. Log onto CAS and enter “2” for Enforcement and “3108” for Agency.
Press <Enter>

```
F001                C O N S U M E R   A F F A I R S   S Y S T E M S          01/13/11
                   - Start Up Menu -
```

```

                OOOOOOOOOO   AAAAAAAAAA   SSSSSSSSSS
                OOOO         AAA   AAA   SSSS
                OOOO         AAAAAAAAAA   SSSSSSSSSS
                OOOO         AAA   AAA   SSSS
                OOOOOOOOOO   AAA   AAA   SSSSSSSSSS
    
```

Code	CAS Options	Code	BAR & Misc. Options
1	= LICENSING	6	= ACTIVITY REPORTING
2	= ENFORCEMENT	7	= BAR MAIN MENU
3	= LICENSING TABLES	8	= INTAKE MENU
4	= ENFORCEMENT TABLES	9	= BAR REPORTS
5	= ENFORCMT LETTER MAINT	0	= BAR TAG MENU
E	= ENFORCEMENT QUERY		
L	= LICENSING QUERY		

Enter Selected Code 2

```
PFL=QUIT  PF4=CONTACTS  PF9=MAIL          Enter Outside Agency Number 3108
```

4. At the next screen, Enter “213” after “SEL” for “CHANGE” and press <Enter>:

The complaint screen appears.

- a) As the CSR completes the resolution process, which is described below, all work, research, conversations, and contacts must be documented in CAS and in a separate Disposition document.
- b) Examples of documented CAS screens from a completed complaint follow.
- c) Action Codes can be found by using the “F4” key in the applicable field.

```

F113                PROFESSIONAL FIDUCIARIES LICENSING BUREAU          01 13 2011
                   INITIATE COMPLAINT
COMPLNT NO:    _____ STATUS      ID C1310H17   UPDATE 01 13 2011
                   DCA CTGY    AGY CTGY
INV TYP    _____ SOURCE    REPT/REFL    _____ PRIORITY    _____ CSR DATE _____
ASGND      _____ MERIT/RPT
LIC #1     _____ LIC #2     _____
LIC #3     _____ LIC #4     _____
RESPONDENT 1 INFO:  ISSUE DT      EXP DT
RESP BUS NAME
L _____ F _____ M _____ SFX _____
ADR _____ BUS _____ HOME _____
                   COUNTY
CITY _____ ST _____ ZIP _____
DL NO _____ ST _____ SSN# _____ DOB _____
INCIDENT
ADR _____ COUNTY
CITY _____ ST _____ ZIP _____
COMMENTS _____ INCDNT DATE _____
                   300 AMOUNT $ _____

PFL=QUIT  2=CAS  4=HELP  5=LIC  6=PRIOR  7=RSPDT
    
```

5. CSR makes initial contact with consumer complainant and discusses details of complaint and inquires for more detail as to allegations against the licensee.
6. CSR makes initial contact with licensee, discusses details of complaint, and how the licensee would like to resolve the complaint.
7. CSR re-contacts the consumer complainant and the licensee until the complaint is resolved. If the complaint cannot be resolved, the consumer is advised of his or her options, such as small claims court, other regulatory agencies or pursuing litigation.
8. If any serious violations worthy of investigation are discovered during the resolution process, the CSR refers the complaint to the Bureau Chief for further processing.

Note: As the CSR completes the resolution process, all work, research, conversations, and contacts must be documented in CAS and in a separate Disposition document. Examples of documented CAS screens from a completed complaint follow.

```

F213                PROFESSIONAL FIDUCIARIES LICENSING BUREAU                01 13 2011
                                CHANGE COMPLAINT
COMPLNT NO PF 2009 43_____ STATUS C18 ID C1310132 UPDATE 06 30 2010
                                DCA CTGY 3 AGY CTGY L REC DT 06 17 2009
INV TYP C SOURCE L REPT/REFL _____ PRIORITY 2_ CSR DATE 06 10 2010
ASGND C C1310132 MERIT/RPT CONSUMER/PATIENT HARM _
LIC #1 _____ LIC #2 _____
LIC #3 _____ LIC #4 _____
RESPONDENT 1 INFO: ISSUE DT 11 03 2008 EXP DT 10 31 2011
RESP BUS NAME _____
ADR _____ F _____ M _____ SEX _____
                                BUS _____ HOME _____
                                COUNTY 19
CITY MARINA DEL REY _____ ST CA ZIP 90292
DL NO _____ ST _____ SSN# _____ DOB _____
INCIDENT
ADR _____
                                COUNTY
CTY _____ ST _____ ZIP _____
COMMENTS _____ INCIDENT DATE _____
                                SOG AMOUNT $ _____

PF1=QUIT 2=CAS 3=EX 4=HELP 5=LIC 6=PRIOR 7=RSPDNT EX _____

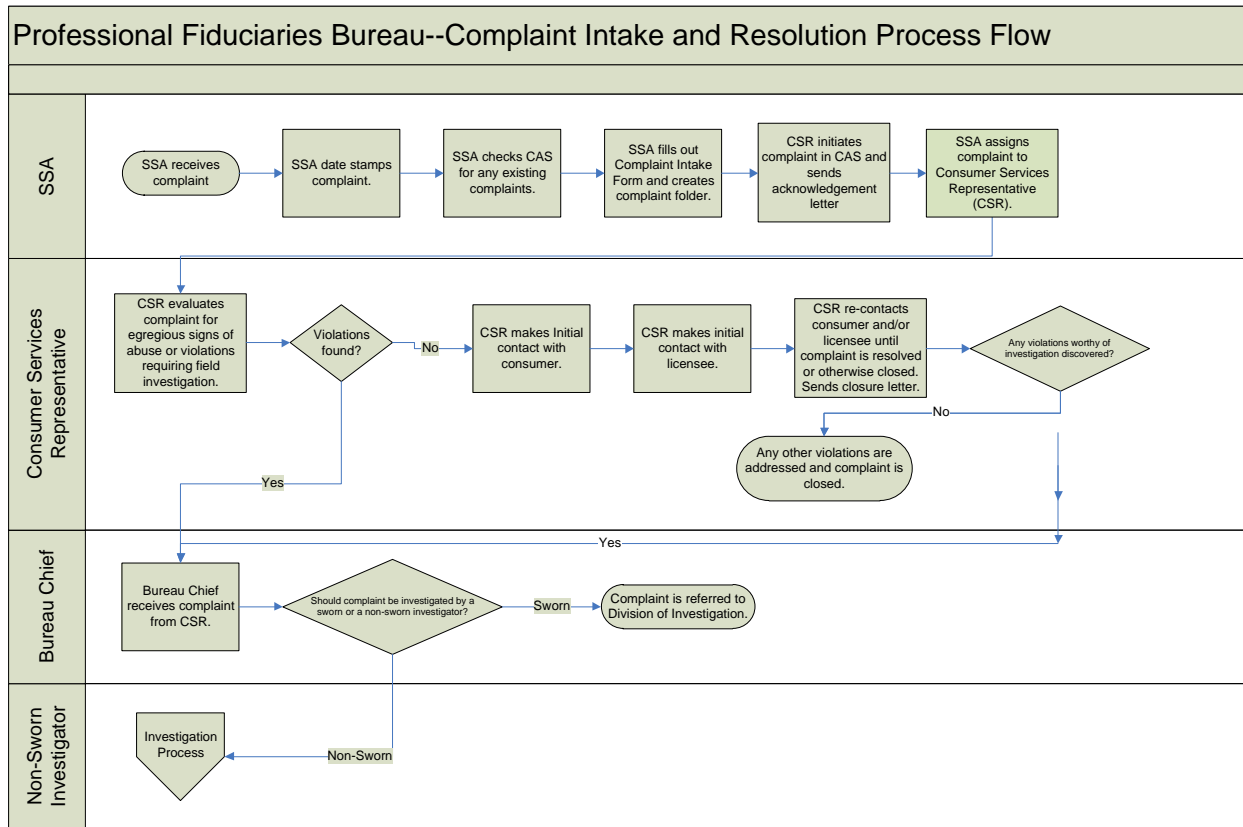
```

- III. Bureau Chief receives complaints in need of investigation from the CSR.
 - 1. Bureau Chief reviews complaint to determine whether complaint should be investigated by a sworn or non-sworn investigator.
 - a. If the Chief decides the violations are serious enough to warrant investigation by a sworn investigator, the complaint is referred to the Division of Investigation.
 - b. If the violations do not require investigation by a sworn investigator, the Chief refers the complaint to PFB's non-sworn investigator.

Non-Sworn Investigator:

Please refer to the Investigation and Enforcement portion of this manual for a Step-by-Step explanation and flow chart of Investigation and Enforcement process.

Complaint Intake and Processing Flowchart



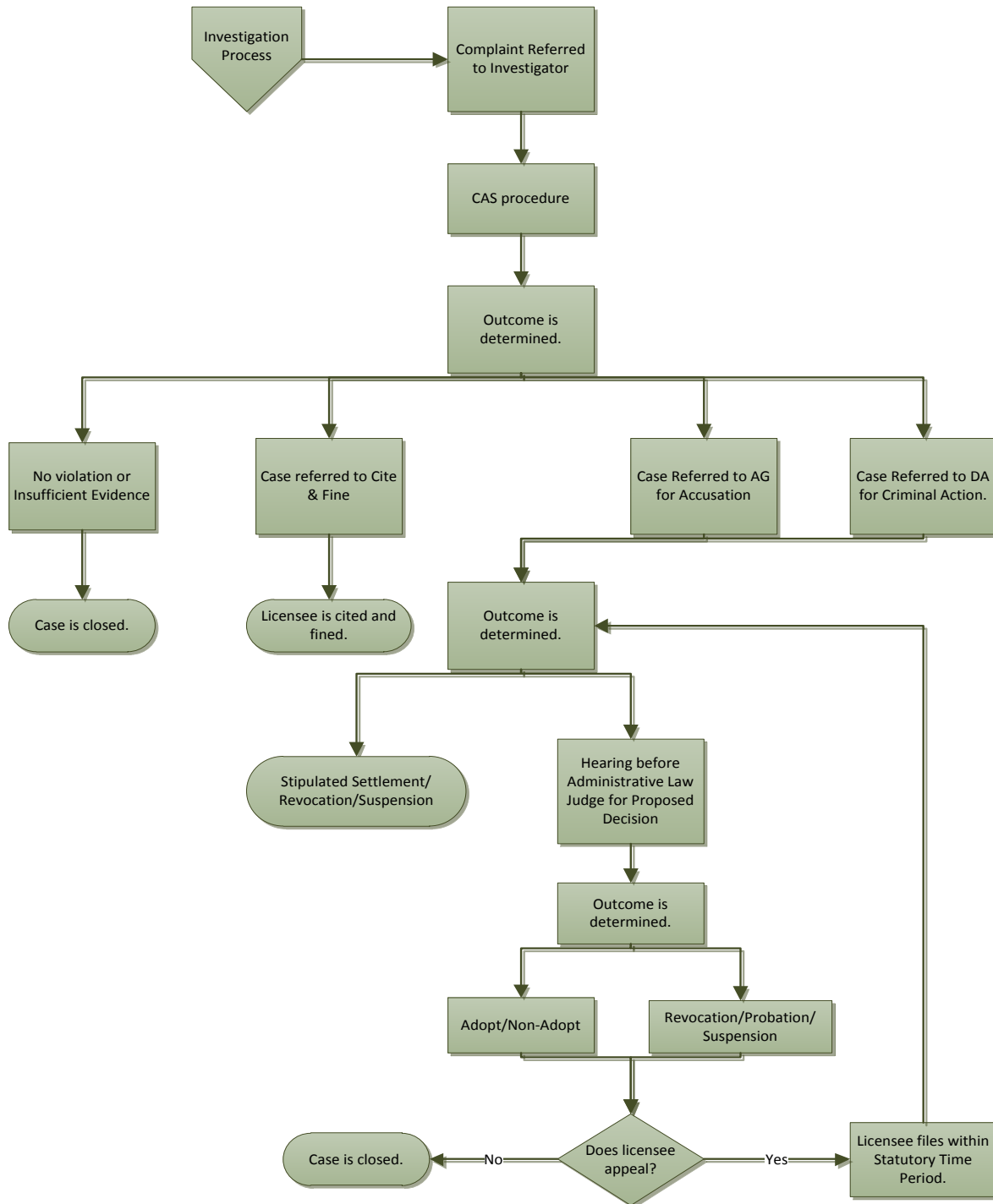
Investigation and Enforcement

Professional Fiduciary Bureau Enforcement Process Step-By-Step:

- I. Consumer Services Representative refers complaint to the Bureau Chief for referral to a sworn or non-sworn investigator if a violation is indicated.
- II. Complaint is sent to a Sworn Investigator.
 1. Complaint is referred to Division of Investigation.
- III. Complaint is sent to a Non-Sworn Investigator.
 1. Complaint is entered into CAS.
 2. Non-Sworn Investigator determines nature of violation and takes one of four actions:
 - a. A determination of No Violation or Insufficient Evidence is made, and the investigation is concluded.
 - b. The case is referred to Cite & Fine, and PFB concludes action.
 3. The case is referred to the District Attorney's Office for criminal prosecution or to the Attorney General's office for Accusation, where either:
 - a. The case is resolved via stipulation or settlement and a Disciplinary Order is issued.
 - b. The case goes to a hearing before an Administrative Law Judge (ALJ) who issues the Proposed Decision.
 - c. The Director adopts or non-adopts the proposed decision.
 4. The licensee/applicant may choose to appeal any decision, in which case an appeal must be filed within the statutory time period of 30 days.
 5. The Bureau shall serve a copy of the appeal to the Attorney General's Office.

Investigation and Enforcement Process Flowchart

Professional Fiduciaries Bureau Investigation and Enforcement Process Flow



Cite and Fine Process

- I. A citation may be issued as a result of findings from a complaint.
- II. The citation is mailed certified-return receipt and posted as a public record document on the Bureau's website.
- III. The cited person has three options:
 1. Pay the citation and satisfy the order of abatement. This will satisfy the citation and order and the citation will be closed.
 2. Request an administrative hearing within 30 days of issuance of the citation.
 3. Request an informal conference within 10 days after the citation has been served upon the cited person.
 - a. The Bureau shall hold, within 60 days from receipt of the request for an informal conference with the cited person.
 - b. At the conclusion of the informal conference the Bureau may affirm, modify, or dismiss the citation.
 - c. The Bureau shall state in writing the reasons for the action and transmit a copy of the findings and decision to the cited person.
 - d. The decision shall be deemed to be a final order with regard to the citation issued.
 - e. If modified, the original citation is considered withdrawn and a new citation issued.

I. Penalty and Consequences for Non-Compliance of Probation

A. Actions for Non-Compliance

The Probationer may not always be compliant with the conditions of his/her disciplinary order. Corrective action may need to be taken. Corrective action may include:

- **Advisory Notices:** An advisory notice warns the probationer that he/she is close to being in violation and needs to take corrective action to avoid a violation of probation and do what is required in his/her decision and order
- **Violation Letter:** Once the probationer has failed to meet a condition of probation, it is necessary to document and notify the probationer of a violation of probation. A violation does not always require further action but after multiple violations, it is necessary to pursue revocation of a licensure
- **Citations/Fines:** Refer to the Cite and Fine policies for the Professional Fiduciaries Bureau under Cite and Fine heading in the Table of Contents.
- **Suspension of Practice:** If the probationer has violated his/her probation and the reasons for the probation violations are so egregious that a suspension of practice might be urgently needed to protect public safety
- **Additional Meeting:** As in assuring compliance, it is important to meet with the probationer who is non-compliant, to assist him/her in becoming compliant with the probationary order let him/her know your intentions with the future of their license

If compliance cannot be reached or if the probationer is not willing to follow the conditions of probation, it will be necessary to pursue further discipline of the probationer's license.

B. Consequences of Non-Compliance

- Voluntary surrender of license
- Referral to the AG office for further discipline.

After trying to assist the probationer with meeting the requirements of probation, you may have no other choice than to request the Attorney General's office to pursue further action and ask for a revocation of the probationer's license.

C. Outcome of a Referral to the AG's Office

After referring the transmittal to the AG's office with the justification for a revocation of license, the process is similar to the process that Enforcement Analysts go through to put licensed individuals on probation in the first place.

- Once the accusation is filed, the probationer must respond to the paperwork that is served upon him/her.
- Timeframes exist for responding and are determined by the Attorney General's office on a case-by-case basis.
- If there is not a timely response, the probationer will enter into a default revocation of their license.
- If the probationer does respond in a timely manner, it will be necessary for the probationer or his/her lawyer to communicate with the AG's office

Examples of AG Referrals are:

- Stipulated Agreements – Extension of Probation or Surrender of License
- Request for Hearing

D. Administrative Hearing

- Probation Monitors may be called to testify as witnesses/custodians of record
- An Administrative Law Judge may recommend revocation or an extension of probation, or may order that the probation term has been completed. The Director can accept or reject the recommendation of the Judge
- Pending the outcome, the process could start over again

II. Types of Decision/Orders

- **Stipulated Settlement:** A stipulation is an agreement made by the parties or by their attorneys, in a judicial proceeding. Stipulations are also sometimes made regarding factual matters in order to save time required in producing evidence in court. A stipulation can be thought of as a contract between the Bureau and the probationer.

The Bureau considers stipulated settlements to promote cost effective consumer protection and to expedite disciplinary decisions.

- **Proposed Decision:** This is a decision that has been decided by an Administrative Law Judge (ALJ) after a hearing for a violation of probation or subsequent accusation or after a petition for modification or early termination of probation.

III. Probation Conditions/ Types of Conditions

- Standard Conditions: “Conditions that appear in all probation orders.” These are conditions that will be applied to each probationer regardless of why he/she is on probation.
- Optional Conditions: “Conditions that are appropriate to the nature and circumstance of the particular violation.” These are conditions that are applied for specific factors related to the probationer’s situation.

IV. Specific Probation Conditions

- Obey all laws/criminal court orders: Respondent shall obey all federal, state, local laws and all rules and regulations governing any practice for which Respondent is licensed. A full and detailed account of any and all violations of law shall be reported by Respondent to the Bureau in writing within seventy-two (72) hours of occurrence.

The probationer must submit fingerprints within a specified time to monitor this condition.

Examples:

- Violation of federal, state or local law (probationer must report within 72 hours of occurrence to the probation monitor)
- Felony or misdemeanor arrest
- Vehicle citation (case-by-case, usually automatic if drugs or alcohol involved)
- Violation of a regulation related to license practice

Normally, a criminal violation of county probation conditions or state parole is considered an automatic violation of these probation conditions.

- Comply with the Bureau’s probation program: Respondent shall fully comply with the conditions of the Probation Program established by the Bureau and cooperate with representatives of the Bureau in its monitoring and investigation of Respondent’s compliance with the Bureau’s Probation Program.

Examples:

- Respondent shall provide Bureau representative’s unrestricted access to inspect all business locations, including business records required to be maintained in accordance with Section 6560 of the Business and Professions Code.
- Respondent shall inform the Bureau in writing within fifteen (15) days of any address change and claim all certified mail issued by the Bureau.
- Respondent shall respond to all notices of reasonable requests timely, and submit reports, remedial education documentation, verification of employment, or other similar reports, as requested and directed by the Bureau or its representative(s).

- Failure to appear for any scheduled meeting or cooperate with the requirements of the program, including timely submission of requested information, shall constitute a violation of probation.
- Notification to Employer: Respondent shall be required to inform his/her employer and any subsequent employer during the probation period of the discipline imposed by this Decision by providing the employer with a copy of the Decision and Order in this matter. The employer will be requested to inform the Bureau, in writing, that he/she is aware of the discipline.
- Cost recovery/restitution/monitoring costs/citations: These conditions cover the authority to collect money from probationers for various situations.

Examples:

- Reimbursement for prosecution costs (Attorney General costs)
 - Reimbursement for investigation costs (internal or Division of Investigation)
 - Pay costs associated with monitoring
 - Comply with final orders of citations (citations for not complying with certain conditions: i.e., name/address change)
 - Repayment to victims for loss (appropriate in cases of drug diversion, theft, fraudulent billing, or patient harm resulting from negligence or incompetence)
 - Administrative penalty (actual monetary penalty)
- Status of license/license surrender/suspensions: The probationer must maintain an active current license while on probation; however, they have an option to voluntarily surrender their license in some cases. A license may be suspended for a specified amount of time.

Examples:

- Actual suspension of license for specific time (mode of penalty for violations of practice acts)
 - Limited practice (limitations placed on practice)
 - Maintain active and current license
 - Voluntary surrender (may turn in license if they cannot comply with probation, considered discipline)
- Notification and reports: This provides the Bureau with a mechanism for maintaining communication, gathering pertinent information, and obtaining written materials that might be deemed necessary. The probationer must submit under penalty of perjury.

Examples:

- Provide status to current and prospective employers
 - Submit quarterly declarations (status, medications, total acquisition and disposition of controlled substances)
 - Provide requested reports (mental, physical)
 - Notify clients/patients of status and limitations
 - Provide criminal probation reports and probation officer's contact information
 - Notify Bureau of change in name, employment, contact information
 - Notify any referral service to which they are a member of the probation status
- Tolling: Is when a probationer does not reside in the state of California, therefore probation is in hold or "tolled". This ensures that the probationer may not complete probation without being fully monitored for their term in California.

The time a probationer resides out-of-state will not count towards the service of probation.

Examples:

- Practice or reside out-of-state
 - Maintain employment at all times
 - Temporary absences from state
- Violation of probation: This condition provides for the event that the probationer violates probation.

Examples:

- Failure to comply with any term or condition
 - Continued jurisdiction until matter solved (the probation period will continue until final outcome of violation)
- Continuing education courses/license examinations: These conditions require the probationer to resolve deficiencies in knowledge which affects or may affect practice. Requires probationers to take and pass required examinations.

Examples:

- Take and pass license examination requirements

- Take specific courses (ethics, legal aspects, anger management)
- Continuing education (provide evidence of efforts to maintain skill and knowledge)
- Remedial education
- Chemical dependency: These conditions provide specific requirements for offenses involving alcohol/drug abuse. Costs incurred to fulfill these conditions are the responsibility of the probationer.

Examples:

- Abstain from use of controlled substances (must abstain from possession or use of controlled substances)
- Abstain from use of alcohol (completely)
- Rehabilitation program (attend or have attended a rehabilitation program of a specific duration)
- Controlled substance restrictions
- Submit to random biological fluid testing and samples (practice can be suspended for non-compliance)
- Surrender of Drug Enforcement Administration (DEA) permit
- Support/recovery groups such as Alcoholics Anonymous (AA), Narcotics Anonymous (NA); support groups related to the practice may include Pharmacy Recovery Program or Nurse Support Group
- Diversion
- Abstain from the use of psychotropic medication (indicate one doctor that will monitor prescriptions and come up with plan to get off medication)
- Maintain records and access records for controlled substances
- Physical examination: Requires probationer to obtain appropriate treatment for physical problems or disabilities which could affect safe practice.

Examples:

- Undergo medical examination (within specific time)

- Undergo continued treatment (follow orders of examiner)
- Mental health examination/therapy or counseling program: Requires probationer to obtain appropriate treatment and counseling for mental health problems which could affect safe practice.

Examples:

- Psychological evaluation (within specific time frame)
- Ongoing psychotherapy (comply with orders of examiner)

- Limitations/requirements/restrictions:

Examples:

- Relinquish license and wall certificate
 - Community services: free services (provide specific amount of community services that offers free services for a community or charitable organization)
- No ownership of licensed premises
 - Separate file or records (maintain and make available for inspection a separate file of all records pertaining to the acquisition or disposition of all controlled substances)
 - Prohibition from handling funds (limitation on probationer's ability to handle funds)
 - Professional boundaries program (a structured program for those that have issues concerning professional boundaries)
 - Third party chaperone (have a chaperone present during examinations)
 - Other state discipline (Bureaus may take action on a licensee that is disciplined by the Bureau of another state).

V. Definitions

- Probation: Probation is the monitoring of licensed professional whose licenses have been disciplined and have been allowed to continue to practice pursuant to compliance with terms and conditions established by their regulatory entity. The purpose of probation is to assure the public safety by having the ability to monitor the licensee with work performance evaluations, drug screenings, and a multitude of conditions. At the end of this manual you should have an understanding of the probations conditions and reasoning for each of them.

- Respondent: Refers to the party who responds to a pleading in a civil matter. A party against whom an appeal is brought is also called a respondent. For our purposes, the respondent is the licensee who will become the probationer.
- Parties: Either of the persons or sides concerned in a legal matter.
- Jurisdiction: Jurisdiction generally means the power of a court to hear and render a decision in a given situation.
- Advisement and Waivers: Advisement generally means the act of providing advice or counsel. Waiver is the intentional and voluntary giving up of something. A waiver may be made by an express statement or by conduct, such as not enforcing a right.
- Culpability: An accused is culpable when he or she is sufficiently responsible for acts or negligence to be at fault and liable for the conduct. Culpability often implies some knowledge of the wrongfulness of one's actions.
- Contingency: Refers to an event that may or may not happen; something that is possible, uncertain, or unpredictable. It can also mean dependent upon something else.
- Disciplinary Order: A written direction or command delivered by a court or judge. It includes final decrees as well as interlocutory directions or commands. It is also referred to as a court order or judicial order.
- Interlocutory: Refers to something which is temporary or not final. Usually an order decree made provisionally pending a final determination.
- Specific Conditions: A distinct item or detail. This is where the conditions and specific information related to each condition will be noted. It is important to assure that the intended conditions are reflected in this section.
- Acceptance: To take what is offered willingly.
- Endorsement: To give approval to; support, sanction.

Appendix A: Code of Ethics

California Code of Regulations

Sections 4470 - 4484

Article 4. Code of Ethics

Section 4474. Confidentiality.

(a) The licensee shall closely guard against the disclosure of personal information regarding the consumer except when such disclosure is required by law or necessary to protect the best interest of the consumer.

(b) Disclosure of consumer information shall be limited to what is lawful, necessary and relevant to the issue being addressed.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4476. Conflict of Interest.

(a) The licensee shall avoid actual conflicts of interest, and consistent with the licensee's fiduciary duties, shall not engage in any activity where there is the reasonable appearance of a conflict of interest.

(b) The licensee shall not engage in any personal, business, or professional interest or relationship that is or reasonably could be perceived as self-serving or adverse to the best interest of the consumer.

(c) The licensee shall protect the rights of the consumer and the estate against infringement by third parties.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4478. Residential Placement.

(a) The provisions under this section apply to those licensed fiduciaries acting in the capacity of a conservator, guardian, or agent under durable power of attorney for health care.

(b) The licensee shall be informed and aware, and consider the options and alternatives available when establishing the consumer's place of residence.

(c) The licensee shall use every reasonable good faith effort to ascertain the desires of the consumer prior to making any decisions when establishing the consumer's residence, unless doing so would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate.

(d) If after every reasonable good faith effort the desires of the consumer cannot be ascertained or if exercising them would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate, the licensee shall select the least restrictive and appropriate residence that is available and necessary to meet the needs of the consumer that are in the best interest of the consumer.

(e) The licensee shall not remove the consumer from his or her home or separate the consumer from family and friends unless such removal is appropriate and in the best interest of the consumer.

(f) The licensee shall seek professional evaluations and assessments whenever appropriate to determine whether the current or proposed placement of the consumer represents the least restrictive and appropriate residence that is available and necessary to meet the needs of the consumer that are in the best interest of the consumer.

(g) The licensee shall monitor the placement of the consumer on an on-going basis to ensure its continued appropriateness, and shall make changes whenever necessary that are in the best interest of the consumer.

(h) The licensee shall take all action necessary to protect the consumer from financial and/or physical harm or abuse.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4480. Care, Treatment and Services.

(a) The provisions under this section apply to those licensed fiduciaries acting in the capacity of a conservator, guardian, or agent under durable power of attorney for health care.

(b) The licensee shall protect the personal and pecuniary interests of the consumer.

(c) The licensee shall use every reasonable good faith effort to ascertain the desires of the consumer prior to making any decisions regarding all care, treatment, or services, unless doing so would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate.

(d) If after every reasonable good faith effort the desires of the consumer cannot be ascertained or if exercising them would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate, the licensee shall make decisions regarding care, treatment, and services that are in the best interest of the consumer.

(e) The licensee shall be cognizant of his or her own limitations of knowledge, and shall seek professional evaluations and assessments whenever appropriate to determine whether the current or proposed care, treatment, and services are appropriate and in the best interest of the consumer.

(f) The licensee shall monitor the care, treatment, and services on an on-going basis to ensure its continued appropriateness, and shall make changes whenever necessary that are in the best interest of the consumer.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4482. Management of the Estate.

(a) The licensee shall protect the assets of the estate.

(b) The licensee shall pursue claims against others when it reasonably appears to be in the best interest of the consumer or the estate to do so.

(c) The licensee shall defend against actions or claims against the estate when it reasonably appears to be in the best interest of the consumer or the estate to do so.

(d) The licensee may incur expenses that are appropriate to the estate, in relation to the assets, overall investment strategy, purpose, and other relevant information and circumstances when investing and managing estate assets.

(e) Consistent with the licensee's fiduciary duties, the licensee shall manage the assets of the estate in the best interest of the consumer.

(f) The licensee shall manage the estate with prudence, care and judgment, maintaining detailed fiduciary records as required by law.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4484. Limitation or Elimination of Fiduciary Powers; Restoration of Capacity; Termination of Fiduciary Relationship.

(a) When appropriate and in the best interest of the conservatee, licensed conservators under the Act shall not oppose and, in appropriate circumstances shall seek, limitations on the licensee's powers or authority to act, elimination of unnecessary or no-longer necessary powers, or termination of the proceeding and restoration of the conservatee's legal capacity.

(b) In all fiduciary relationships subject to the Act, when appropriate and in the best interest of the consumer, the licensee shall take all reasonable steps to facilitate termination of the fiduciary relationship.

(c) In all fiduciary relationships subject to the Act, the licensee shall not oppose or interfere with efforts to terminate the licensee's fiduciary relationship with a consumer for any reason other than as necessary or appropriate to protect or promote the best interest of that consumer.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Appendix B: Professional Fiduciaries Bureaus Regulations

California Code of Regulations

Sections 4400 - 4622

Article 1. General Provisions

§ 4400. Introduction.

These regulations are adopted by the Professional Fiduciaries Bureau to implement and make specific the provisions of the Professional Fiduciaries Act, commencing with Section 6500 of the Business and Professions Code.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 6500 and 6510, Business and Professions Code.

§ 4402. Mailing Address of Bureau.

The mailing address of the Professional Fiduciaries Bureau is P.O. Box 989005, West Sacramento, CA 95798-9005.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 6500 and 6510, Business and Professions Code.

§ 4404. Filing of Address of Record.

Each licensee shall have on file with the Bureau his or her correct street addresses, which shall include a physical business and residence address. In addition, each licensee shall designate an address of record that shall be public information, which may consist of a post office box number or other viable mailing address. Each licensee shall within fifteen (15) business days notify the Bureau in writing of any changes in his or her street or mailing addresses, giving both the old and new addresses and any changes.

NOTE: Authority cited: Sections 136 and 6517, Business and Professions Code. Reference: Sections 136, 6510 and 6534, Business and Professions Code.

§ 4406. Definitions.

For the purpose of the regulations contained in this division, the term:

(a) "Act" means the provisions of the Professional Fiduciaries Act, Chapter 6 (commencing with Section 6500) of Division 3 of the Business and Professions Code.

(b) "Bureau" means the Professional Fiduciaries Bureau within the Department of Consumer Affairs, established pursuant to 6510 of the Business and Professions Code.

(c) "Licensee" means a person who is licensed under the Professional Fiduciaries Act, Chapter 6 (commencing with Section 6500) of Division 3 of the Business and Professions Code as a "licensed professional fiduciary" pursuant to Section 6536.

(d) “Consumer,” under the Act, means an individual with whom the licensee has established a fiduciary relationship including: a conservatee when the fiduciary is acting as a court-appointed conservator; a ward when the fiduciary is acting as a court-appointed guardian, a principal when the fiduciary is acting under a durable power of attorney, and a beneficiary when the fiduciary is acting as a trustee.

(e) Trustee as a Professional Fiduciary – A person acting as a trustee under the Act is an individual who meets the requirements of paragraph (1) and (2) and shall be licensed as a professional fiduciary unless exempt under the Act.

(1) Licensing applies to the following persons:

(A) An individual acting as trustee for a trust as defined in Section 82 of the Probate Code that includes at least one individual beneficiary, or

(B) An individual, acting on behalf of an entity appointed as trustee, to perform the functions of a trustee for a trust as defined in Section 82 of the Probate Code that includes at least one individual beneficiary.

(2) Number of non-family member trustors applies as follows:

A professional fiduciary as defined in Section 6501, includes a person acting as trustee for more than three people or more than three families or a combination of people and families that totals more than three, at the same time, who are not related to the professional fiduciary by blood, adoption, marriage, or registered domestic partnership, unless excluded under the Act. Trustors shall be counted and neither beneficiaries nor trusts shall be counted.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 6500, 6501, 6502, 6510, and 6530 Business and Professions Code.

Article 2. Application and Licensure

§ 4420. Place of Filing.

An application for licensure shall be filed with the Bureau at its designated address.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 6500, 6510, and 6533, Business and Professions Code.

§ 4422. Application.

(a) A person applying for a license as a professional fiduciary shall submit an application for licensure to the Bureau and pay the application fee required in Section 4580.

(b) An application for licensure shall require the applicant to meet the qualifications of Section 6533 of the Business and Professions Code and, in addition, provide the following information:

(1) For a determination of compliance with the education requirements under subdivision (g) of Section 6533, if applicable, the applicant shall provide the names of the universities or colleges, the dates of graduation, and the applicable degrees awarded.

(2) For a determination of compliance with the experience requirements under subdivision (g) of Section 6533, if applicable, the applicant shall provide information regarding

the qualifying substantive fiduciary responsibilities, including type and dates of experience, and contact information for three references, and shall provide consent for the Bureau to contact the references for verification of specified experience.

(3) The applicant's physical business address, telephone number, and facsimile number.

(4) The applicant's designated address of record for public information.

(5) A list of any license or professional certificate ever held by the applicant, including information regarding the type, state/country, license or certificate number, date issued, status, and whether the license or certificate has been subject to disciplinary action, including revocation or suspension. The applicant may attach a statement of explanation.

(6) Whether the applicant has filed for bankruptcy in the last ten (10) years or held a controlling financial interest in a business when that business filed for bankruptcy in the last ten (10) years, as required by paragraph (7) of subdivision (a) of Section 6534, and the date of the bankruptcy filing. The applicant may attach a statement of explanation.

(7) Whether the applicant has ever been convicted of a crime. The applicant may attach a statement of explanation.

(8) Whether the applicant has ever been found by a court to have breached a fiduciary duty, the date, case name, court location, and case number associated with each breach of fiduciary duty. The applicant shall submit a record of the court findings and orders related to each specific case. The applicant may file an additional statement of the issues and facts pertaining to each case.

(9) Whether the applicant has ever been removed as a fiduciary by a court for breach of trust, the date, case name, court location, and case number associated with each removal. Whether all related appeals have been taken or the time to file an appeal has expired. The applicant shall submit a record of the court findings and orders related to each specific case. The applicant may file an additional statement of the issues and facts pertaining to each case.

(10) Whether the applicant has ever resigned as a fiduciary in a matter in which a complaint has been filed with the court, the date the complaint was filed, the date of the resignation, case name, court location, and case number associated with each resignation, and a statement of the issues and facts pertaining to each allegation. The applicant shall submit a record of the court findings and orders related to each specific case.

(11) Whether the applicant has ever settled as a fiduciary in a matter in which a complaint has been filed with the court, the date the complaint was filed, the date of the settlement, case name, court location, and case number associated with each settlement, and a statement of the issues and facts pertaining to each allegation. The applicant shall submit a record of the court findings and orders related to each specific case.

(c) As used in this section "complaint" means a civil complaint, a petition, motion, objection, or other pleading filed with the court against the applicant alleging the applicant has not properly performed the duties of a fiduciary.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 141, 480, 481, 490, 6533, 6534, 6536, 6538, 6539, and 6561, Business and Professions Code.

§ 4424. Review of Application; Processing Time; Issuance of License.

(a) Within ninety (90) days of receipt of an application for licensure the Bureau shall inform the applicant in writing that it is both complete and accepted for filing or that it is deficient and what specific information or documentation is needed to complete the application. An application is considered complete if it is in compliance with Section 4422.

(b) Once the application is complete and accepted for filing, the Bureau shall inform the applicant in writing within thirty (30) days that he/she are approved or denied for licensure. Once approved for licensure, the applicant shall submit the initial license fee required in Section 4580 subject to the limitation of subdivision (b) of Section 4426 to become a licensed professional fiduciary under the Act.

NOTE: Authority cited: Sections and 6517, Business and Professions Code. Reference: Sections 141, 6535, 6536, and 6537, Business and Professions Code.

§ 4426. Abandonment of Application.

(a) An application for licensure shall be deemed abandoned and the application fee forfeited when the applicant fails to complete the application within twelve (12) months from the date of notification of deficiency or, if applicable, within twelve (12) months from date of notification of examination eligibility as provided for in Section 4500.

(b) An application for licensure shall be deemed abandoned when an applicant approved for licensure by the Bureau fails to submit the initial license fee required in Section 4580 within twelve (12) months from the date of approval for licensure.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 142 and 6533, Business and Professions Code.

§ 4428. Duration of Initial License Period; First License Renewal Date; Proration of Initial License Fee; Continued Education Requirements for Initial License Period.

(a) To adjust the duration of the initial license period setting the renewal date for each licensee, a professional fiduciary's initial license shall expire at twelve (12) midnight on the last day of the month in which the second birthday of the licensee occurs after the issuance of the license if not renewed. No license shall be issued for less than twelve (12) or more than 24 months.

(b) The initial license fee shall be prorated as required in Section 4580.

NOTE: Authority cited: Sections 152.6, and 6517, Business and Professions Code. Reference: Sections 134, 152.6, and 6541, Business and Professions Code.

Article 3. Prelicensing and Continuing Education

Section 4440. Prelicensing Education Requirements.

To qualify for licensure under the Act an applicant shall complete thirty (30) hours of prelicensing education credit subject to the conditions of this Article. The following courses shall qualify for prelicensing education credit:

(a) Any education course taken on or after January 1, 2007, that meets the requirements of an approved education course under Section 4444.

(b) Any fiduciary management course taken from the California State University, Fullerton, Extended Education Program.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4442. Continuing Education Requirements.

(a) Annual time requirements.

(1) To renew a license, a licensee shall earn during each annual renewal period a minimum of fifteen (15) hours of continuing education credit from approved education courses as defined in Section 4444 subject to the conditions of this Article.

(2) Courses qualifying for continuing education credit must be completed following licensure and within the one-year renewal period each cycle.

(3) A licensee who serves as an instructor in an approved education course for continuing education as provided for in subdivision (a) of Section 4444, may receive 1.5 hours of continuing education course participation credit for each hour of new course instruction presented. A maximum of 6 of the fifteen (15) hours of continuing education credit may be earned under this paragraph.

(4) A maximum of 4 of the fifteen (15) hours of continuing education credit may be earned through independent study under the supervision of an approved education provider pursuant to Section 4446 that supplies evidence of completion.

(b) Annual subject topic requirements.

(1) Continuing education credit shall be earned by taking approved education courses in at least one of the subject topics as provided for in Section 4444.

(2) At least 2 hours of continuing education credits each year shall be in ethics for fiduciaries.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4443. Continued Education for First License Renewal.

For the initial license period established pursuant to Section 4428, each licensee must comply with the continued education requirements of Section 4442.

NOTE: Authority cited: Sections 152.6, and 6517, Business and Professions Code. Reference: Sections 134 and 152.6, Business and Professions Code.

Section 4444. Approved Education Courses.

(a) Eligible education courses, as defined in subdivision (b), offered or approved by an approved education provider listed in Section 4446, are approved education courses that meet the preclicensing and continuing education requirements of this Article.

(b) Programs, seminars, and courses of study that are relevant to fiduciary responsibilities of estate management or of fiduciary responsibilities of the person for at least one of the subject topics as specified in subdivision (e), that address the areas of proficiency, competency, and performance of a fiduciary, and impart knowledge and increase understanding of the fiduciary profession or of the California judiciary or the legal process as it relates to the administration of fiduciary responsibilities are eligible education courses.

(c) An approved education course may be offered in a real-time classroom setting, delivered by video presentation from a remote location or by other delivery means, including online.

(d) An approved education course may include independent study, subject to the limitations of paragraph (4) of subdivision (a) of Section 4442, if the education provider supplies evidence of completion. A course is not independent study if the education provider requires evidence of comprehension prior to issuing a certificate of completion, as required in subdivision (c) of Section 4448.

(e) Subject topics for eligible education courses, as defined in subdivision (b), include the following:

- (1) Conservatorship;
- (2) Guardianship;
- (3) Trust administration;
- (4) Durable Power of Attorney;
- (5) The California court system including court jurisdiction and responsibilities; the state and federal constitution, California statutes, rules of court, case law, administrative law, and current issues in the California court system relevant to the fiduciary profession;
- (6) Ethics for fiduciaries.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4446. Approved Education Providers.

(a) Approved education providers may include accredited educational institutions, professional associations, professional continuing education entities, public or private for-profit or not-for-profit entities, and court-connected groups. An "accredited educational institution" is a college or university, including a community or junior college, accredited by a regional accrediting organization recognized by the Council for Higher Education Accreditation.

(b) The following educational entities that offer or approve eligible education courses as defined in subdivision (a) of Section 4444, in accordance with the requirements of Section 4448, are approved education providers of courses that meet the prelicensing and continuing education requirements of this Article:

- (1) An accredited educational institution;
- (2) An education provider offering courses sponsored by a local court of the State of California;
- (3) An education provider offering courses approved by the California State Bar for continuing education;

- (4) An accountancy organization or an education provider, if the education qualifies with the California State Bureau of Accountancy for continuing education credit for renewal of an individual license as a Certified Public Accountant;
- (5) An education provider offering courses registered with the Certified Financial Planner Bureau of Standards, Inc.;
- (6) An education provider offering courses approved by the California Department of Insurance;
- (7) An education provider of continuing education courses approved by the California Bureau of Registered Nursing;
- (8) An education provider offering courses approved by the California Bureau of Psychology;
- (9) An education provider offering courses approved by the California Bureau of Behavioral Sciences;
- (10) The California Department of Mental Health, Social Services and Developmental Services;
- (11) The Professional Fiduciary Association of California;
- (12) The California State Association of Public Administrators, Public Guardians, and Public Conservators;
- (13) The National Guardianship Association and its state affiliates;
- (14) The National Association of Professional Geriatric Care Managers;
- (15) The American Bar Association;
- (16) The American Society of Aging;
- (17) The Gerontological Society of America;
- (18) The National Association of Social Workers;
- (19) The National College of Probate Judges;
- (20) The National Elder Law Foundation;
- (21) The American Bankers Association and its training providers;
- (22) The Cannon Financial Institute.
- (23) Any Long Term-Care Ombudsman program certified by the California Department of Aging; and,
- (24) An Internal Revenue Service/Office of Professional Responsibility Approved Program Sponsor for Continuing Education for Enrolled Agents.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4448. Requirements for Education Providers.

Each education provider shall:

- (a) Ensure that the instructors teaching qualified education courses are proficient and knowledgeable in the subject matter;
- (b) Monitor and evaluate the quality of courses, curricula, instructors, and instructor training;
- (c) Maintain records of attendance or independent study and distribute to each participant a certificate of completion that identifies the education provider and documents the subject

taught, the date of completion of the education course, and the amount of education credit offered;

(d) Maintain documentation of approved education courses offered for prelicensing and continuing education credit under this article for a period of at least five years from the date the education course was offered; and

(e) Provide to the Bureau upon request any documentation of approved education courses for prelicensing and continuing education credit, including records of attendance or independent study.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4450. Proof of Compliance of Prelicensing Education.

Each applicant is responsible for ensuring compliance with the prelicensing education requirements of this Article.

(a) To demonstrate compliance an applicant shall sign under penalty of perjury on an application form, as provided for in Section 4422, provided by the Bureau that they have completed thirty (30) hours of approved prelicensing education courses.

(b) An applicant shall maintain documentation of completion of prelicensing education courses for a period of at least three years from the date of the issuance of the license.

(c) Each applicant shall provide any information requested by the Bureau within ten (10) business days of the request, to determine compliance with the prelicensing education requirements of the Act.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Section 4452. Proof of Compliance of Continuing Education Requirements.

Each applicant is responsible for ensuring compliance with the continuing education requirements of this Article.

(a) To demonstrate compliance a licensee shall sign under penalty of perjury on an annual renewal application form provided by the Bureau that they have completed fifteen (15) hours of approved continuing education courses.

(b) A licensee shall maintain documentation of completion of continuing education courses for a period of at least three years from the date of renewal.

(c) Each licensee shall provide any information requested by the Bureau within ten (10) business days of the request, to determine compliance with the continuing education requirements for license renewal.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Section 6538, Business and Professions Code.

Article 4. Code of Ethics

Section 4470. General Principles.

(a) A licensee's fiduciary duties recognized under this Article are based upon the fiduciary relationship established with the consumer as follows:

- (1) A licensee's relationship to a conservatee when acting as a court appointed conservator;
- (2) A licensee's relationship to a ward when acting as a court appointed guardian;
- (3) A licensee's relationship to a principal when acting under a durable power of attorney; and,
- (4) A licensee's relationship to a beneficiary when acting as a trustee.

(b) The licensee shall comply with all local, state, and federal laws, regulations, and requirements developed by the courts and the Judicial Council as a minimum guide for the fulfillment of the fiduciary duties recognized under this Article.

(c) The licensee shall protect all rights of the consumer that relate to licensee's fiduciary duties to the consumer.

(d) The licensee shall refrain from representing the consumer in areas outside the scope of legal authority.

(e) The licensee shall seek competent professional advice whenever appropriate for the benefit of the consumer.

(f) Consistent with the licensee's fiduciary duties, the licensee shall provide or arrange for services to the consumer, to the extent they are appropriate and reasonable based upon the needs of the consumer, that are in the best interest of the consumer.

(g) Notwithstanding any other provision of law, any expense incurred by the licensee for the delivery of services that are provided to, or arranged for, the consumer by the licensee, including attorney fees or fees to the licensee for services, shall be considered reasonable if approved by the court.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4472. Decision Standards.

(a) The provisions under this section apply to those licensed fiduciaries acting in the capacity of a conservator, guardian, or agent under durable power of attorney for health care or for finances.

(b) The licensee shall provide the consumer with every reasonable opportunity to exercise those individual choices that the consumer is capable of exercising.

(c) When the licensee is making decisions on behalf of the consumer, the licensee shall use every reasonable good faith effort to ascertain the desires of the consumer prior to making any decisions, and shall make decisions therefore predicated on the ascertained desires of the consumer, unless doing so would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate.

(d) If after every reasonable good faith effort the desires of the consumer cannot be ascertained or if exercising them would violate the licensee's fiduciary duties to the consumer or

impose an unreasonable expense on the estate, the licensee shall make decisions that are in the best interest of the consumer.

(e) Decisions made on behalf of the consumer shall take into consideration all known ethnic, religious, social and cultural values of the consumer whenever possible.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4474. Confidentiality.

(a) The licensee shall closely guard against the disclosure of personal information regarding the consumer except when such disclosure is required by law or necessary to protect the best interest of the consumer.

(b) Disclosure of consumer information shall be limited to what is lawful, necessary and relevant to the issue being addressed.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4476. Conflict of Interest.

(a) The licensee shall avoid actual conflicts of interest, and consistent with the licensee's fiduciary duties, shall not engage in any activity where there is the reasonable appearance of a conflict of interest.

(b) The licensee shall not engage in any personal, business, or professional interest or relationship that is or reasonably could be perceived as self-serving or adverse to the best interest of the consumer.

(c) The licensee shall protect the rights of the consumer and the estate against infringement by third parties.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4478. Residential Placement.

(a) The provisions under this section apply to those licensed fiduciaries acting in the capacity of a conservator, guardian, or agent under durable power of attorney for health care.

(b) The licensee shall be informed and aware, and consider the options and alternatives available when establishing the consumer's place of residence.

(c) The licensee shall use every reasonable good faith effort to ascertain the desires of the consumer prior to making any decisions when establishing the consumer's residence, unless doing so would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate.

(d) If after every reasonable good faith effort the desires of the cannot be ascertained or if exercising them would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate, the licensee shall select the least restrictive and appropriate residence that is available and necessary to meet the needs of the consumer that are in the best interest of the consumer.

(e) The licensee shall not remove the consumer from his or her home or separate the consumer from family and friends unless such removal is appropriate and in the best interest of the consumer.

(f) The licensee shall seek professional evaluations and assessments whenever appropriate to determine whether the current or proposed placement of the consumer represents the least restrictive and appropriate residence that is available and necessary to meet the needs of the consumer that are in the best interest of the consumer.

(g) The licensee shall monitor the placement of the consumer on an on-going basis to ensure its continued appropriateness, and shall make changes whenever necessary that are in the best interest of the consumer.

(h) The licensee shall take all action necessary to protect the consumer from financial and/or physical harm or abuse.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4480. Care, Treatment and Services.

(a) The provisions under this section apply to those licensed fiduciaries acting in the capacity of a conservator, guardian, or agent under durable power of attorney for health care.

(b) The licensee shall protect the personal and pecuniary interests of the consumer.

(c) The licensee shall use every reasonable good faith effort to ascertain the desires of the consumer prior to making any decisions regarding all care, treatment, or services, unless doing so would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate.

(d) If after every reasonable good faith effort the desires of the consumer cannot be ascertained or if exercising them would violate the licensee's fiduciary duties to the consumer or impose an unreasonable expense on the estate, the licensee shall make decisions regarding care, treatment, and services that are in the best interest of the consumer.

(e) The licensee shall be cognizant of his or her own limitations of knowledge, and shall seek professional evaluations and assessments whenever appropriate to determine whether the current or proposed care, treatment, and services are appropriate and in the best interest of the consumer.

(f) The licensee shall monitor the care, treatment, and services on an on-going basis to ensure its continued appropriateness, and shall make changes whenever necessary that are in the best interest of the consumer.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4482. Management of the Estate.

(a) The licensee shall protect the assets of the estate.

(b) The licensee shall pursue claims against others when it reasonably appears to be in the best interest of the consumer or the estate to do so.

(c) The licensee shall defend against actions or claims against the estate when it reasonably appears to be in the best interest of the consumer or the estate to do so.

(d) The licensee may incur expenses that are appropriate to the estate, in relation to the assets, overall investment strategy, purpose, and other relevant information and circumstances when investing and managing estate assets.

(e) Consistent with the licensee's fiduciary duties, the licensee shall manage the assets of the estate in the best interest of the consumer.

(f) The licensee shall manage the estate with prudence, care and judgment, maintaining detailed fiduciary records as required by law.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Section 4484. Limitation or Elimination of Fiduciary Powers; Restoration of Capacity; Termination of Fiduciary Relationship.

(a) When appropriate and in the best interest of the conservatee, licensed conservators under the Act shall not oppose and, in appropriate circumstances shall seek, limitations on the licensee's powers or authority to act, elimination of unnecessary or no-longer necessary powers, or termination of the proceeding and restoration of the conservatee's legal capacity.

(b) In all fiduciary relationships subject to the Act, when appropriate and in the best interest of the consumer, the licensee shall take all reasonable steps to facilitate termination of the fiduciary relationship.

(c) In all fiduciary relationships subject to the Act, the licensee shall not oppose or interfere with efforts to terminate the licensee's fiduciary relationship with a consumer for any reason other than as necessary or appropriate to protect or promote the best interest of that consumer.

NOTE: Authority cited: Sections 6517 and 6520, Business and Professions Code. Section 6520, Business and Professions Code.

Article 5. Examination

§ 4500. Examination.

(a) Once an applicant is deemed eligible to take the licensing examination, the applicant has twelve (12) months in which to achieve a passing score. If an applicant initially fails to pass the examination the applicant may sit for re-examination a maximum of four times within the twelve (12) month eligibility period not to exceed one re-examination attempt every 30 days.

(b) The licensing examination shall include a portion that is specific to California law.

NOTE: Authority cited: Sections 6517 and 6539, Business and Professions Code. Reference: Sections 6518, 6533, and 6539, Business and Professions Code.

Article 6. License Denial

§ 4520. Substantially Related Criteria for Denial of License.

For purposes of denial of a license pursuant to Division 1.5 (commencing with Section 475) of the Business and Professions Code, a crime or act shall be considered to be substantially related to the qualifications, functions or duties of a professional fiduciary if to a substantial degree it demonstrates present or potential unfitness of a person holding a license to perform the functions authorized by the license in a manner consistent with the public health, safety or welfare. Such crimes or acts shall include but not be limited to fiscal dishonesty or breach of fiduciary responsibilities of any kind.

*NOTE: Authority cited: Sections 481 and 6517, Business and Professions Code.
Reference: Sections 481, 6536, and 6537, Business and Professions Code.*

§ 4522. Rehabilitation Criteria for Denial of License.

When considering the denial of a license under Section 480 or 6536 of the Business and Professions Code, the Bureau, in evaluating the rehabilitation of the applicant and his or her present eligibility for a license, shall consider the following criteria:

(a) The nature and severity of the act(s) or crime(s) under consideration as grounds for denial.

(b) Evidence of any act(s) or crime(s) committed subsequent to the act(s) or crime(s) under consideration as grounds for denial which also could be considered grounds for denial under Sections 480 and 6536.

(c) The time that has elapsed since commission of the act(s) or crime(s) referred to in subdivision (a) or (b).

(d) The extent to which the applicant has complied with any terms of parole, probation, restitution or any other sanctions lawfully imposed against the applicant.

(e) Evidence, if any, of rehabilitation submitted by the applicant.

*NOTE: Authority cited: Sections 482 and 6517, Business and Professions Code.
Reference: Sections 482, 6536, and 6537, Business and Professions Code.*

Article 7. Reporting Duties of Licensee

§ 4540. Annual Reporting Requirements of Licensee.

(a) A licensee is required to file an annual statement that complies with the requirements of Section 4542, within sixty (60) days from the date of issuance of a license as a professional fiduciary. A licensee may be subject to cite or fine or disciplinary action for failure to comply with this subdivision.

(b) A licensee is required to file an annual statement that complies with the requirements of Section 4542 no later than sixty (60) days prior to the expiration of the license. A licensee may be subject to cite or fine or disciplinary action for failure to comply with this subdivision.

(c) If an annual statement is filed electronically, the licensee shall fill out the form completely and print and mail in a signed copy within five business days of the electronic filing. The signed copy must be received by the Bureau within the timeframes established in subdivisions (a) and (b) for compliance.

NOTE: Authority cited: Section and 6517, Business and Professions Code. Reference: Sections 6534, and 6561, Business and Professions Code.

§ 4542. Annual Statement.

(a) As provided for in the Act, each annual statement shall include the following information:

(1) Current addresses and telephone and facsimile numbers for licensee's place of business and place of residence.

(2) The licensee's designated address of record for public information.

(3) A list of any other license or professional certificate held by licensee, including information regarding the type, state/county, license or certificate number, date issued, status, and whether the license or certificate has been subject to disciplinary action, including revocation or suspension. The licensee may attach a statement of explanation.

(4) The case name, type of case, date of appointment, court location, and case number for all matters where the licensee has ever been appointed by the court to serve as a fiduciary.

(5) The names of the licensee's current conservatees and wards, and the respective case names, court locations, and case numbers; and the names and dates of beginning services for all trusts and estates currently administered by the licensee, and if applicable, the respective case names, court locations, and case numbers for the trusts and estates currently administered by the licensee.

(6) The aggregate dollar value of all assets currently under the licensee's supervision as a professional fiduciary.

(7) The case names, court locations, and case numbers of all conservatorships and guardianships that are closed, and the dates of closure, for which the licensee served as the conservator or guardian; and the names of all trusts or other estates that are closed for which the licensee served as the trustee or personal representative and the dates of closure, and if applicable, the case names and case numbers for the trusts or other estates that are closed for which the licensee served as the trustee or personal representative.

(8) Whether the licensee or a family member of the licensee holds any ownership or beneficial interests in any businesses or other enterprises that have received payment from a client of the licensee, including the names of the applicable businesses or other enterprises, the names of the respective clients, and the dates of any payments received.

(9) The names of any persons or entities that have an interest in the licensee's professional fiduciary business.

(10) Whether the licensee has filed for bankruptcy or held a controlling financial interest in a business when that business filed for bankruptcy in the last ten (10) years and the date of the bankruptcy filing. The licensee may attach a statement of explanation.

(11) Whether the licensee has been convicted of a crime. The licensee may attach a statement of explanation.

(12) Whether the licensee has been found by a court to have breached a fiduciary duty, the date, case name, court location, and case number associated with each breach of fiduciary duty. The licensee shall submit a record of the court findings and orders related to each specific case. The licensee may file an additional statement of the issues and facts pertaining to each case.

(13) Whether the licensee has been removed as a fiduciary by a court for breach of trust, the date, case name, court location, and case number associated with each removal. Whether all related appeals have been taken or the time to file an appeal has expired. The licensee shall submit a record of the court findings and orders related to each specific case. The licensee may file an additional statement of the issues and facts pertaining to each case.

(14) Whether the licensee has resigned as a fiduciary in a matter in which a complaint has been filed with the court, the date the complaint was filed, the date of resignation, the case name, court location, and case number associated with each resignation, and a statement of the issues and facts pertaining to each allegation. The licensee shall submit a record of the court findings and orders related to each specific case.

(15) Whether the licensee has settled as a fiduciary in a matter in which a complaint has been filed with the court, the date the complaint was filed, the date of the settlement, the case name, court location, and case number associated with each settlement, and a statement of the issues and facts pertaining to each allegation. The licensee shall submit a record of the court findings and orders related to each specific case.

(b) Unless otherwise indicated, each annual statement filed with the Bureau shall report updated information reflecting any changes from the date of reporting the information on the application for licensure as a professional fiduciary or from the date of signing the last, report as required by law, whichever is applicable, to the present.

(c) As used in this section “complaint” means a civil complaint, a petition, motion, objection, or other pleading filed with the court against the licensee alleging the licensee has not properly performed the duties of a fiduciary.

NOTE: Authority cited: Section 6517, Business and Professions Code. Reference: Sections 141, 480, 481, 490, 6534, 6536, 6560, and 6561, Business and Professions Code.

§ 4544. Ongoing Reporting Duties

(a) A licensee has a duty to report the following information to the Bureau within fifteen (15) business days of the following occurrences:

(1) Any change to addresses and telephone numbers for the licensee’s place of business or place of residence.

(2) If the licensee is removed as a fiduciary by the court for breach of trust, the date, case name, court location, and case number associated with the removal. The licensee shall submit a record of the court findings and orders related to the case. The licensee may file an additional statement of the issues and facts of the case.

(3) If the licensee files for bankruptcy or holds a controlling financial interest in a business that files for bankruptcy.

(b) Each licensee shall report any information that is required to be reported on the annual statement, as specified in Section 4542, or that is otherwise authorized by the act or regulation, or provide any information for verification of compliance with any item that is required to be reported on the annual statement or that is authorized by the Act or regulation as

requested by the Bureau to the Bureau within fifteen (15) business days of the request or later as specified. Compliance with this subdivision shall be in addition to compliance with the reporting requirements in subdivision (a).

(c) Reporting requirements pursuant to this Section shall be in addition to the annual reporting duties of Section 4540 or any other provision of law.

(d) A licensee may be subject to a citation, that may include a fine, or other disciplinary action for failure to comply with this Section.

NOTE: Authority cited: Section 6517, Business and Professions Code, Reference: Sections 141, 480, 481, 490, 6534, 6536, 6560, and 6561, Business and Professions Code.

Article 8. Renewal of License

§ 4560. Renewal.

(a) A license may be renewed for a period of twelve (12) months.

(b) For license renewal, a licensee shall have met the annual reporting requirements of subdivision (b) of Section 4540, show proof of compliance with the continuing education requirements of Section 4442, and submit the renewal fee as required in Section 4580.

(c) For the first license renewal following the initial license period as provided in Section 4428, each licensee shall comply with the continued education requirements of Section 4442.

NOTE: Authority cited: Sections 152.6 and 6517, Business and Professions Code. Reference: Sections 152.6, 6538, 6541, 6561, and 6592, Business and Professions Code.

§ 4562. Delinquency.

(a) Except as otherwise provided by law, a license which has expired may be renewed upon the filing of an application for renewal and payment of the renewal fee.

(b) If a license is renewed more than thirty (30) days after its expiration, the licensee, as a condition prior to renewal, shall also pay the late delinquency fee required in Section 4580.

NOTE: Authority cited: Section 6592, Business and Professions Code. Reference: Sections 163.5, 6541, and 6592, Business and Professions Code.

Article 9. Fees

§ 4580. Fees.

The following fees are established:

(a) The application fee for a professional fiduciary license shall be four hundred dollars (\$400).

(b) The initial license fee shall be six hundred dollars (\$600) for the first twelve (12) months plus a prorated amount of the renewal fee required in subdivision (c) to adjust the

duration of the initial license period to set the renewal date for each licensee as provided in Section 4428.

- (c) The renewal fee for a license shall be seven hundred dollars (\$700).
- (d) The delinquency fee for a license shall be one hundred and fifty dollars (\$150).
- (e) The fee for a duplicate or replacement license shall be twenty-five dollars (\$25).

*NOTE: Authority cited: Sections 6517 and 6592, Business and Professions Code.
Reference: Sections 122, 134, 152.6, 163.5, 6533, 6541, and 6592, Business and Professions Code.*

Article 10. Citations

4600. Authority to Issue Citations: Citation Format.

(a) The Bureau is authorized to issue citations containing orders of abatement and/or administrative fines pursuant to Sections 125.9 or 148 of the Business and Professions Code against a professional fiduciary or an unlicensed person who has committed any acts or omissions which are in violation of the Act or the regulations contained in this Division.

(b) A citation shall be issued whenever any order of abatement is issued or any fine is levied. Each citation shall be in writing and shall describe with particularity the nature and facts of the violation, including a reference to the statutes or regulations alleged to have been violated. The citation shall be served upon the individual.

(c) Each citation issued shall inform the cited person that, if he or she desires a hearing to contest the finding of a violation, that a hearing shall be requested by written notice to the Bureau within thirty (30) days of the issuance of the citation or assessment.

*NOTE: Authority Cited: Sections 125.9, 148, and 6517, Business and Professions Code.
Reference: Sections 124, 125.9, 148, and 6580, and 6583, Business and Professions Code.*

4602. Administrative Fines for Citations.

(a) Where citations issued pursuant to Section 4600 of this Article include an assessment of an administrative fine, the fine shall be up to \$5,000 for each violation.

(b) The Bureau shall consider the factors specified in Section 4604 when determining the amount of the administrative fine.

*NOTE: Authority cited: Sections 125.9, 148, and 6517, Business and Professions Code.
Reference: Sections 125.9, 148, 6580, and 6583, Business and Professions Code.*

4604. Citation Factors.

(a) The following factors shall be considered when determining the amount of an administrative fine:

- (1) The good or bad faith exhibited by the cited person.
- (2) The nature and severity of the violation.

- (3) Evidence that the violation was willful or not.
 - (4) History of previous violations.
 - (5) The extent to which the cited person has cooperated with the Bureau.
 - (6) The extent to which the cited person has mitigated or attempted to mitigate any damage or injury caused by his or her violation.
 - (7) Extenuating circumstances as justice may require.
 - (8) A finding by a court in a matter related to the violation.
- (b) The sanctions authorized under this section shall be separate from, and in addition to, any other civil or criminal remedy.
- (c) Any costs related to a citation issued pursuant to Section 4600, including but not limited to, the payment of the fine levied or costs related to the defense of, or compliance with, an order issued in the citation, shall not be borne by the consumer served by the licensee in the matter.

NOTE: Authority cited: Sections 125.9, 148, and 6517, Business and Professions Code. Reference: Sections 125.9, 148, 6580, and 6583, Business and Professions Code.

4606. Contest of Citations; Informal Conference.

- (a) In addition to requesting an administrative hearing as provided for in subdivision (b)(4) of Section 125.9 of the Business and Professions Code, the cited person may request an informal conference to review the acts charged in the citation. A request for an informal conference shall be made in writing, within ten (10) days after the citation has been served upon the individual.
- (b) The Bureau shall hold, within sixty (60) days from the receipt of the request, an informal conference with the cited person. At the conclusion of the informal conference, the Bureau may affirm, modify or dismiss the citation, including any fine levied or order of abatement issued. The Bureau shall state in writing the reasons for the action and transmit a copy of the findings and decision to the cited person. The decision shall be deemed to be a final order with regard to the citation issued; including any administrative fine levied or order of abatement.
- (c) If the citation, including any fine levied or order of abatement, is modified, the citation originally issued shall be considered withdrawn and a new citation issued. If the cited person desires a hearing to contest the new citation, he or she shall make a request in writing, within thirty (30) days of receipt of the informal conference decision, to the Bureau. The hearing shall be conducted as provided for in subdivision (b)(4) of Section 125.9. A cited person may not request an informal conference for a citation which has been modified following an informal conference.

NOTE: Authority cited: Section 125.9, 148, and 6517, Business and Professions Code. Reference: Sections 124, 125.9, 148, 6580, and 6583, Business and Professions code.

4608. Compliance with Citation.

The failure of a licensee to comply with a citation containing an assessment of administrative fine, an order of abatement or both an administrative fine and an order of

abatement after the citation is final and has been served in accordance with the provisions of Section 11505(c) of the Government Code shall constitute a ground for revocation or suspension of a license.

*NOTE: Authority cited: Sections 125.9 and 6517, Business and Professions Code.
Reference: Sections 125.9, 6580 and 6583, Business and Professions Code.*

4610. Compliance with Order of Abatement.

(a) The time allowed for abatement of a violation shall begin the first day after the order of abatement has been served or received. If a cited person who has been issued an order of abatement is unable to complete the correction within the time set forth in the citation because of conditions beyond his or her control after the exercise of reasonable diligence, the person cited may request an extension of time from the Bureau in which to complete the correction. Such a request shall be in writing and shall be made within the time set forth for abatement.

(b) When an order of abatement is not contested or if the order is appealed and the person cited does not prevail, failure to abate the violation charged within the time specified in the citation shall constitute a violation and failure to comply with the order of abatement. Failure to timely comply with an order of abatement or failure to pay the fine included in the citation within the time allowed may result in disciplinary action being taken by the Bureau or other appropriate judicial relief being taken against the person cited.

*NOTE: Authority cited: Sections 125.9, 148, and 6517, Business and Professions Code.
Reference: Sections 125.9, 148, 6580 and 6583, Business and Professions Code.*

Article 11. Enforcement

4620. Substantially Related Criteria for License Suspension or Revocation.

For purposes of suspension or revocation of a license pursuant to Division 1.5 (commencing with Section 475) of the Business and Professions Code, a crime or act shall be considered to be substantially related to the qualifications, functions or duties of a fiduciary if to a substantial degree it demonstrates present or potential unfitness of a person holding a license to perform the functions authorized by the license in a manner consistent with the public health, safety or welfare. Such crimes or acts shall include but not be limited to fiscal dishonesty or breach of fiduciary responsibilities of any kind.

*NOTE: Authority cited: Sections 481 and 6517, Business and Professions Code,
Reference: Sections 481, 490, 493, 6580 and 6584, Business and Professions Code.*

4622. Rehabilitation Criteria for License Suspension or Revocation.

When considering the suspension or revocation of a license under Section 480 or 6536 of the Business and Professions Code, the Bureau, in evaluating the rehabilitation of the licensee and his or her present eligibility for a license, shall consider the following criteria:

(a) The nature and severity of the act(s) or crime(s) under consideration as grounds for suspension or revocation.

(b) Evidence of any act(s) or crime(s) committed subsequent to the act(s) or crime(s) under consideration as grounds for suspension or revocation which also could be considered grounds for suspension or revocation under Section 6584 of the Business and Professions Code.

(c) The time that has elapsed since commission of the act(s) or crime(s) referred to in subdivision (a) or (b).

(d) The extent to which the licensee has complied with any terms of parole, probation, restitution or any other sanctions lawfully imposed against the licensee.

(e) Evidence, if any, of rehabilitation submitted by the licensee.

NOTE: Authority cited: Sections 482 and 6517, Business and Professions Code, Reference: Sections 482, 6580, and 6584, Business and Professions Code.

Appendix C: Approved Schools for Continuing Education

PRE-LICENSING EDUCATION INFORMATION

Legislation creating the Professional Fiduciaries Bureau was passed in 2006 to license and regulate non-family member private fiduciaries including certain conservators, guardians, trustees, and agents under durable power of attorney for health care and finances as defined in the Professional Fiduciaries Act (Act).

The Act requires any person in California representing himself or herself as a professional fiduciary be licensed by January 1, 2009. However, any professional fiduciary seeking a new court appointment between July 1, 2008 and December 31, 2008 must first obtain a license. One major component of licensing is the requirement to obtain 30 hours of pre-licensing education credit in approved education courses. An approved education course must be relevant to fiduciary responsibilities of the person or of estate management for conservators, guardians, trustees, or agents under durable power of attorney, or of the court system or ethics for fiduciaries. Bureau approved courses must be taken from an accredited educational institution, or be approved or offered by an approved education provider.

APPROVED EDUCATION PROVIDERS:

A local court of the State of California	Professional Fiduciary Association of California
California State Bar or American Bar Association	California State Association of Public Administrators, Public Guardians, and Public
California State Board of Accountancy	National Guardianship Association and its state affiliates
California State Board of Behavioral Sciences	National Association of Professional Geriatric Care
Certified Financial Planner Bureau of Standards,	American Society of Aging
California Department of Insurance	Gerontological Society of America
California Board of Registered Nursing	National Association of Social Workers
California State Board of Psychology	National College of Probate Judges
California Department of Mental Health	National Elder Law Foundation
California Department of Social Services	American Bankers Association
California Department of Developmental	Cannon Financial Institution

Appendix D: Standard Letters and Forms



Professional Fiduciaries Bureau
Post Office Box 989005
West Sacramento, CA 95798-9005
Telephone: (916) 574-7340 FAX (916) 574-8645
Website: www.fiduciary.ca.gov



COMPLAINT INTAKE FORM

ANONYMOUS

COMPLAINT NUMBER:		
RESPONDENT NAME:		COMPLAINANT NAME:
Address:		Address:
		Phone
Phone #:	e-mail:	
LICENSE INFORMATION (screen print)		
License number(s):		Prior Enforcement Activity: Y/N
Issue date:		Application#/ATS ID:
Expiration date:		
Renewal Hold: Y/N		Administration Hold: Y/N
ASSESSMENT		
DCA Category:	Source Code:	Alleged violations:
Agency Category:	Report/Referral Code:	
Receive Date:	Priority:	
Investigation Type:		Non-Jurisdictional (indicate reason):
NOTES		
Initial Evaluation (tech): Date:		Initials:
Closing Evaluation (analyst): Date:		Initials:
Review of Closure: Date (manager):		Initials:

Court Authorization Request Form



Professional Fiduciaries Bureau
 Post Office Box 989005
 West Sacramento, CA 95798-9005
 Telephone: (916) 574-7340 FAX (916) 574-8645
 Website: www.fiduciary.ca.gov



COURT AUTHORIZATION REQUEST FORM

Instructions:

1. Complete this form in its entirety.
2. Your contact information completed below must pertain to your official capacity with the courts. **No personal contact information will be accepted.**
3. Send a letter on official court or authorized agency stationary requesting an account.
4. Mail the completed form and letter to the Bureau's address on the letterhead.

+ Please type or print legibly in ink.

Court Representative Name			
(Last)		(First)	
Court Name			
Mailing Address		City	State
Zip Code		County	
E-mail Address		Telephone Number	
Fax Number		State Bar Number (if applicable)	
<p>Certification:</p> <p>I, the undersign, understand that the licensee reports provided to me upon request by the Bureau to the address above contains confidential licensee information and are being submitted to me pursuant to Section 6534 of the Business and Professions Code.</p>			
_____		_____	
Court Representative Signature		Date	

6/10/2013

Deficiency Letter



Professional Fiduciaries Bureau
Post Office Box 989005
West Sacramento, CA 95798-9005
Telephone: (916) 574-7340 FAX (916) 574-8645
Website: www.fiduciary.ca.gov



June 10, 2013

ID Number: 00

John Doe
John Doe Associates
PO Box 3456
Daly City, CA 98765

RE: INCOMPLETE APPLICATION

Dear Applicant:

The Professional Fiduciary Bureau (Bureau) recently received your license application but is unable to complete the processing without more information.

On your application, under PART 5, EDUCATION AND EXPERIENCE QUALIFICATIONS, you indicate that you qualify based upon your experience. However, the information you provided us is insufficient to make this determination.

To qualify under Business and Professions Code Section 6533, you must have not less than five years:

- (1) Working as a professional fiduciary, or,
- (2) Working with **substantive fiduciary responsibilities** for a professional fiduciary, a public agency, or a financial institution, while that professional fiduciary, public agency, or financial institution *was acting* as a conservator, guardian, trustee, personal representative, or agent under a power of attorney.

If you qualify under this definition, please submit specific information regarding your applicable experience to complete your application. The Bureau is unable to process and evaluate an incomplete application. If you have any questions, please contact the Licensing Unit at (916) 574-7340.

Sincerely,

Employee
Title

Fax



Professional Fiduciaries Bureau
Post Office Box 989005
West Sacramento, CA 95798-9005
Telephone: (916) 574-7340, FAX (916) 574-8645
Website: www.fiduciary.ca.gov



FAX

Date: _____

To: ↓ _____

ATTN: _____

FAX #: _____

From: _____

PFB - FAX #: (916) 574-8645

Subject: _____

No. of Pages (including the cover page): _____

Comments:

NOTICE OF CONFIDENTIALITY:

Information contained in this report/communication is privileged and strictly confidential and may only be received by, or provided to, authorized individuals. Please be advised that any unlawful access, distribution, copying, disclosure, and/or use of the report or the confidential information contained in the report is strictly prohibited and may violate applicable laws and may be a criminal offense. If you are not authorized to receive this report, or the information contained in the report, you must not disclose, copy, use, or take any action in reliance of this report or the information contained therein. If you received this report or information contained in the report in error, please destroy all copies of any related documentation, whether in electronic or hard copy format, and immediately contact the Professional Fiduciaries Bureau at (916) 574-7340. Thank you.

January 2012

Public Records Act Request



Professional Fiduciaries Bureau
Post Office Box 989005
West Sacramento, CA 95798-9005
Telephone: (916) 574-7340, FAX (916) 574-8645
Website: www.fiduciary.ca.gov



[DATE]

[NAME]

[ADDRESS]

[CITY, STATE ZIP]

RE: Public Records Act Request

Dear Mr./Ms. [LAST NAME]:

This letter responds to your Public Records Act requested dated [DATE OF REQUEST], which was received by [BOARD/BUREAU] on [DATE RECEIVED]. You have requested [COPIES OF RECORDS/ TO INSPECT RECORDS] related to [SUMMARIZE REQUEST].

Complaints and investigations related to complaints are exempt pursuant to Government Code section 6254, subdivision (f). Therefore, the [BOARD/BUREAU] is denying your request as it relates to complaints.

The [BOARD/BUREAU] does have documents related to the license and application of [SUBJECT OF REQUEST] and the [BOARD/BUREAU] will provide the copies you requested. The [BOARD/BUREAU] anticipates that approximately [NUMBER] of pages of responsive documents exist and that such documents will be made available to you with [DAYS, WEEKS, etc] of the payment of the fees associated with retrieval and copying of the documents. The cost of the records is \$[COST]. [Or is all fees are to be waived, replace the above with 'The [BOARD/BUREAU] will waive the costs associated with the productions of these documents. However, fees may be required for any or all future requests']

Sincerely,

NAME

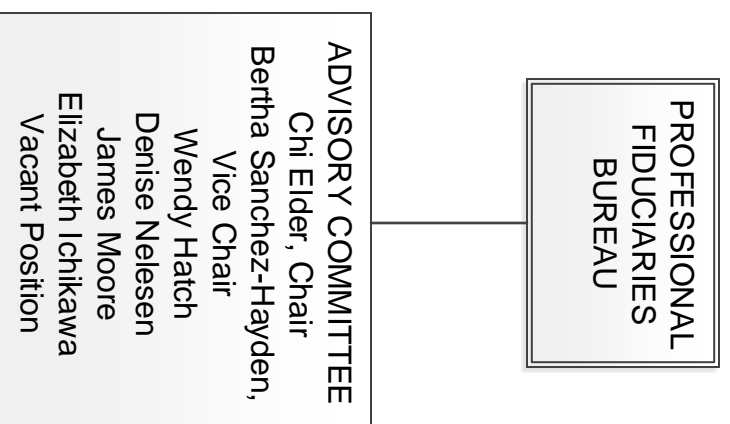
TITLE

Code Description Table

Reg Section	Description
4470(b)	Comply with all laws and regulations.
4470(c)	Protect consumer rights.
4470(d)	No representing consumer outside the scope of legal authority.
4470(e)	Seek competent professional advice.
4472(b)	Allow consumer choices that they're capable of exercising.
4472(c)	Make decisions in accordance with the desires of the consumer.
4472(d)	Make decisions that are in the best interest of the consumer.
4472(e)	Decisions should consider cultural values of consumer.
4474(a)	Guard against the disclosure of personal information.
4474(b)	Disclosure of information limited to what is necessary.
4476(a)	Engage in conflict of interest.
4476(b)	Engage in relationships perceived as self-serving/conflict of interest.
4476(c)	Protect consumer and estate from third parties.
4478(b)	Informed of options available for place of residence.
4478(c)	Make decisions for place of residence according to desires of consumer.
4478(d)	Select a residence which meet the needs of consumer.
4478(e)	Remove consumer from home or separate consumer from family.
4478(f)	Seek evaluations and assessments regarding placement.
4478(g)	Monitor placement of consumer.
4480(b)	Protect personal and pecuniary interest of consumer.
4480(c)	Make decisions for care, treatment, or services, according to desires of consumer.
4480(d)	Make decisions for care, treatment, and services in best interest of consumer.
4480(e)	Seek evaluations and assessments regarding care, treatment and services.
4480(f)	Monitor care, treatment and services.
4482(a)	Protect assets of estate.
4482(b)	Pursue claims when best interest of consumer or estate.
4482(c)	Defend against actions or claims against estate.
4482(d)	Incur expenses that are appropriate to the estate, in relation to the assets, overall investment strategy, purpose, and other relevant information and circumstances when investing and managing estate assets.
4482(e)	Manage assets of estate in best interest.
4482(f)	Manage estate with prudence, care and judgment.
4484(a)	Oppose limitations on licensee's powers, or termination of the proceeding and restoration of the conservatee's legal capacity.
4484(b)	Take all steps to facilitate termination of the fiduciary relationship.
4484(c)	Shall not oppose or interfere with efforts to terminate the licensee's fiduciary relationship with a consumer for any reason other than as necessary or appropriate to protect or promote the best interest of that consumer.
4540(a)	File annual report within 60 days from date of issuance of license.
4540(b)	File annual report no later than 60 days prior to expiration of license.
4540(c)	Follow E-filed annual statement with a completed, signed copy mailed and received by the Bureau within timeframes.
Code Section	Description
6502(a)	Those registered with Statewide Registry need to obtain licensure.
6502(b)	Those required to file with court need to obtain licensure.
6530(a)	Must be licensed as a professional fiduciary if performing fiduciary functions.
6560	Maintain account records and make available upon request.

**B. CURRENT BUREAU
ORGANIZATION CHART
SHOWING RELATIONSHIP
TO ADVISORY COMMITTEE**

Relationship of Committees to the
Bureau
July 1, 2022



C. OCCUPATIONAL ANALYSIS

PROFESSIONAL FIDUCIARIES BUREAU

OCCUPATIONAL ANALYSIS OF THE PROFESSIONAL FIDUCIARY PROFESSION



OFFICE OF PROFESSIONAL EXAMINATION SERVICES



PROFESSIONAL FIDUCIARIES BUREAU

OCCUPATIONAL ANALYSIS OF THE PROFESSIONAL FIDUCIARY PROFESSION

This report was prepared and written by the
Office of Professional Examination Services
California Department of Consumer Affairs

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EXECUTIVE SUMMARY

The Professional Fiduciaries Bureau (Bureau) requested that the Department of Consumer Affairs' Office of Professional Examination Services (OPES) conduct an occupational analysis (OA) of professional fiduciary practice in California. The purpose of the OA is to define practice for professional fiduciaries in terms of the actual job tasks that new licensees must be able to perform safely and competently at the time of licensure. The results of this OA provide a description of practice for the fiduciary profession that can then be used to review the California Professional Fiduciary Examination developed by the Center for Guardianship Certification.

OPES test specialists began by researching the profession and conducting telephone interviews with licensed fiduciaries working in various locations throughout California. The purpose of these interviews was to identify the tasks performed by professional fiduciaries and to specify the knowledge required to perform those tasks in a safe and competent manner. An initial workshop of practitioners was held at OPES in September 2017 to review the results of the interviews, to identify changes and trends in professional fiduciary practice specific to California, and to refine the task and knowledge statements derived from the telephone interviews. A second workshop was held in October 2017 with a different group of professional fiduciaries to review and refine the task and knowledge statements derived from the telephone interviews and from the initial workshop. Licensees in both workshops also performed a preliminary linkage of the task and knowledge statements to ensure that all tasks had a related knowledge and all knowledge statements had a related task. Additional task and knowledge statements were created as needed to complete the scope of the content areas.

Upon completion of the second workshop, OPES test specialists developed a three-part questionnaire to be completed by professional fiduciaries statewide. Development of the questionnaire included a pilot study that was conducted using a group of licensees. The pilot study participants' feedback was incorporated into the final questionnaire, which was administered in December 2017.

In the first part of the questionnaire, licensees were asked to provide demographic information relating to their work settings and practice. In the second part, licensees were asked to rate specific job tasks in terms of frequency (i.e., how often the licensee performs the task in the licensee's current practice) and importance (i.e., how important the task is to performance of the licensee's current practice). In the third part, licensees were asked to rate specific knowledge statements in terms of how important that knowledge is to performance of their current practice.

In December 2017, on behalf of the Bureau, OPES distributed an invitation to the entire population of California-licensed professional fiduciaries (a total of 730 licensees) to complete the questionnaire online. A total of 177 professional fiduciaries, or

approximately 24.3% of the licensed professional fiduciaries, responded by accessing the online questionnaire. The final sample size included in the data analysis was 154, or 21.1% of the licensed population. This response rate reflects two adjustments. First, data from respondents who indicated they were not currently licensed and practicing as professional fiduciaries in California were excluded from analysis. Second, questionnaires containing a large volume of incomplete and unresponsive data were removed. The demographic composition of the respondent sample is representative of the California professional fiduciary population.

OPES test specialists then performed data analyses of the task and knowledge ratings obtained from the questionnaire respondents. The task frequency and importance ratings were combined to derive an overall criticality index for each task statement. The mean importance rating was used as the criticality index for each knowledge statement.

Once the data was analyzed, OPES conducted an additional workshop with licensed professional fiduciaries to evaluate the criticality indices and determine whether any task or knowledge statements should be eliminated. The licensees in this group also established the linkage between job tasks and knowledge statements, organized the task and knowledge statements into content areas, and defined those areas. The licensees then evaluated and confirmed the content area weights of the examination outline.

The examination outline is structured into three content areas weighted by criticality relative to the other content areas. This outline provides a description of the scope of practice for professional fiduciaries, and it also identifies the job tasks and knowledge critical to safe and effective professional fiduciary practice in California at the time of licensure. Additionally, this examination outline provides a basis for evaluating the degree to which the content of any examination under consideration measures content critical to professional fiduciary practice in California.

At this time, California licensure as a professional fiduciary is granted by meeting the requisite educational and experience requirements and passing the Center for Guardianship Certification California Professional Fiduciary Examination.

OVERVIEW OF THE PROFESSIONAL FIDUCIARY DESCRIPTION OF PRACTICE

Content Area	Content Area Description	Percent Weight
1. Client Management	This area assesses the candidate's knowledge of client assessment, intake, plan development and implementation to meet the clients' needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.	30
2. Financial Management	This area assesses the candidate's knowledge of financial assessment, plan development and implementation to meet the client or estate financial needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.	30
3. Laws, Regulations, and Ethics	This area assesses the candidate's knowledge of laws, regulations, and ethical standards that govern the duties and responsibilities of a professional fiduciary.	40
Total		100

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CHAPTER 1. INTRODUCTION

PURPOSE OF THE OCCUPATIONAL ANALYSIS

The Professional Fiduciaries Bureau (Bureau) requested that the Department of Consumer Affairs' Office of Professional Examination Services (OPES) conduct an occupational analysis (OA) to identify critical job activities performed by California-licensed professional fiduciaries. This OA was part of the Bureau's comprehensive review of professional fiduciary practice in California. The purpose of the OA is to define practice for professional fiduciaries in California in terms of actual job tasks that new licensees must be able to perform safely and competently at the time of licensure. The results of this OA provide a description of practice for the professional fiduciary profession that can then be used to review the California Professional Fiduciary Examination developed by the Center for Guardianship Certification.

CONTENT VALIDATION STRATEGY

OPES used a content validation strategy to ensure that the OA reflected the actual tasks performed by practicing professional fiduciaries. OPES incorporated the technical expertise of California-licensed professional fiduciaries throughout the OA process to ensure that the identified task and knowledge statements directly reflect requirements for performance in current practice.

UTILIZATION OF SUBJECT MATTER EXPERTS

The Bureau selected California-licensed professional fiduciaries to participate as subject matter experts (SMEs) during various phases of the OA. These SMEs were selected from a broad range of practice settings, geographic locations, and experience backgrounds. The SMEs provided information regarding the different aspects of current professional fiduciary practice during the development phase of the OA. The SMEs also provided technical expertise during the two workshops that were convened to evaluate and refine the content of task and knowledge statements before administration of the OA questionnaire. Following the administration of the questionnaire, OPES convened an additional group of SMEs to review the results and finalize the examination outline, which ultimately provides the basis of the description of practice.

ADHERENCE TO LEGAL STANDARDS AND GUIDELINES

Licensing, certification, and registration programs in the State of California adhere strictly to federal and state laws and regulations and professional guidelines and technical standards. For the purpose of occupational analyses, the following laws and guidelines are authoritative:

- California Business and Professions Code section 139.
- Uniform Guidelines on Employee Selection Procedures (1978), Code of Federal Regulations, Title 29, Section 1607.
- California Fair Employment and Housing Act, Government Code section 12944.
- *Principles for the Validation and Use of Personnel Selection Procedures* (2003), Society for Industrial and Organizational Psychology (SIOP).
- *Standards for Educational and Psychological Testing* (2014), American Educational Research Association, American Psychological Association, and National Council on Measurement in Education.

For a licensure program to meet these standards, it must be solidly based upon the job activities required for practice.

DESCRIPTION OF OCCUPATION

The professional fiduciary occupation is described as follows in section 6501 (f) of the California Business and Professions Code:

(f)(1) "Professional fiduciary" means a person who acts as a conservator of the person, the estate, or person and estate, or guardian of the estate, or person and estate, for two or more individuals at the same time who are not related to the professional fiduciary or to each other.

(2) "Professional fiduciary" also means a person who acts as a trustee, agent under a durable power of attorney for health care, or agent under a durable power of attorney for finances, for more than three individuals, at the same time.

CHAPTER 2. OCCUPATIONAL ANALYSIS QUESTIONNAIRE

SUBJECT MATTER EXPERT INTERVIEWS

The Bureau provided OPES with a list of professional fiduciaries to contact for telephone interviews. During the semi-structured interviews, ten professional fiduciaries were asked to identify all the activities they perform that are specific to the professional fiduciary profession. The licensees outlined major content areas of their practice and confirmed the job tasks performed in each content area. The professional fiduciaries were also asked to identify the knowledge necessary to perform each job task safely and competently.

TASK AND KNOWLEDGE STATEMENTS

OPES test specialists integrated the information gathered from literature reviews of profession-related sources (e.g., previous OA reports, articles, industry publications) and from interviews with professional fiduciary SMEs to develop task and knowledge statements.

In September 2017, OPES test specialists facilitated a workshop with eight professional fiduciaries from diverse backgrounds (i.e., years licensed, specialty, and practice location) to evaluate the task and knowledge statements for technical accuracy and comprehensiveness.

In October 2017, OPES test specialists facilitated a second workshop with a group of SMEs (seven new SMEs and one who had attended the previous workshop). OPES presented the task and knowledge statements to the SMEs, and they assigned each statement to an appropriate content area and verified that the content areas were independent and nonoverlapping. In addition, these SMEs performed a preliminary linkage of the task and knowledge statements to ensure that every task had a related knowledge and every knowledge statement had a related task. The SMEs also verified proposed demographic questions for the OA questionnaire, including questions regarding scope of practice and practice setting.

Once the lists of task and knowledge statements and the demographic questions were verified, OPES used this information to develop an online questionnaire that was sent to all California-licensed professional fiduciaries for completion and evaluation.

QUESTIONNAIRE DEVELOPMENT

For the Bureau, OPES test specialists developed an online OA questionnaire designed to solicit professional fiduciaries' ratings of the job task and knowledge statements. The surveyed professional fiduciaries were instructed to rate each job task in terms of how often they perform the task (Frequency) and in terms of how important the task is to the performance of their current practice (Importance). In addition, they were instructed to rate each knowledge statement in terms of how important the specific knowledge is to the performance of their current practice (Importance). The questionnaire also included a demographic section for purposes of developing an accurate profile of the respondents. The questionnaire can be found in Appendix F.

PILOT STUDY

Before administering the final questionnaire, OPES conducted a pilot study of the online questionnaire. The draft questionnaire was reviewed by the Bureau and then sent to 12 SMEs who had participated in the task and knowledge statement development workshops. OPES received feedback from four respondents to the pilot study. The respondents provided information about the technical accuracy of the task and knowledge statements, estimated time for completion, online navigation, and ease of use of the questionnaire. OPES used this feedback to develop the final questionnaire.

CHAPTER 3. RESPONSE RATE AND DEMOGRAPHICS

SAMPLING STRATEGY AND RESPONSE RATE

In December 2017, the Bureau mailed notification letters to all licensed professional fiduciaries with a California address (a total of 730) inviting them to complete the OA questionnaire online. Participants were awarded one hour of continuing education credit to complete the entire questionnaire. The notification letter can be found in Appendix D.

Of the licensed 730 professional fiduciaries in the population, 177 licensees (24.24%) responded by accessing the web-based questionnaire. The final sample size included in the data analysis was 154, or 21.1% of the population that was invited to complete the questionnaire. This response rate reflects two adjustments. First, data from respondents who indicated they were not currently licensed and practicing as professional fiduciaries in California were excluded from analysis. Second, questionnaires containing a large volume of missing or unresponsive data were also excluded. The respondent sample is representative of the population of California-licensed professional fiduciaries based on the sample's demographic composition.

DEMOGRAPHIC SUMMARY

As shown in Table 1, 53.9% of the respondents included in the analysis had been licensed for 5 years or less and 45.5% had been licensed for 6-10 years. The professional fiduciary licensing requirement in California was enacted only 10 years ago; therefore, respondents were also asked how long they had been practicing as fiduciaries. As shown in Table 2, 39.6% of the respondents reported that they had been practicing as a professional fiduciary for 5 years or less, 27.9% reported that they had been practicing between 6 and 10 years, 21.4% reported that they had been practicing between 11 and 20 years, and 10.4% reported that they had been practicing for more than 20 years.

When asked to indicate their primary type of client or case, 63% of the respondents reported trust management, 6.5% of the respondents reported conservatorship/guardianship of a person, 6.5% of the respondents reported special needs trust management, 5.8% of the respondents reported conservatorship of estate, and 4.5% and 3.9% of the respondents reported probate and representative payee respectively (see Table 3).

Table 4 shows the variety of case types managed by respondents with 92.2% reporting trust management, 62.3% reporting probate, 61.7% reporting conservatorship/guardianship of estate, 57.8% reporting managing special needs trusts, and 54.5% and 51.9% reporting conservatorship/guardianship of a person and a representative payee respectively.

As shown in Table 5, 42.9% of respondents reported working 40 or more hours per week, 18.2% of respondents reported working 10 to 19 hours per week, 18.2% of respondents reported working 9 or less hours per week, 11.7% of respondents reported working 30 to 39 hours per week, and 9.1% of respondents reported working 20 to 29 hours per week.

More detailed demographic information from respondents can be found in Tables 1 through 11 and Figures 1 through 9.

TABLE 1 – NUMBER OF YEARS LICENSED AS A PROFESSIONAL FIDUCIARY

YEARS	NUMBER (N)	PERCENT
0 to 5 years	83	53.9
6 to 10 years	70	45.5
Missing	1	0.6
Total	154	100

FIGURE 1 – NUMBER OF YEARS LICENSED AS A PROFESSIONAL FIDUCIARY

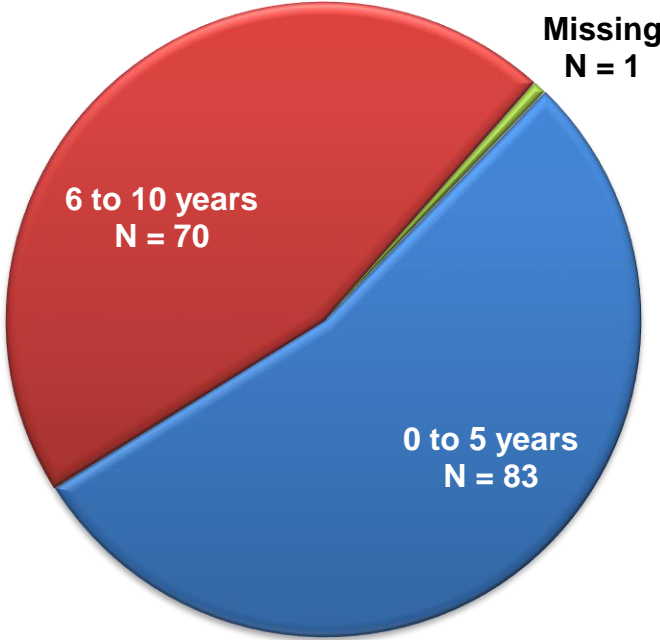


TABLE 2 – NUMBER OF YEARS PRACTICING AS A PROFESSIONAL FIDUCIARY

YEARS	NUMBER (N)	PERCENT
0 to 5 years	61	39.6
6 to 10 years	43	27.9
11 to 20 years	33	21.4
More than 20 years	16	10.4
Missing	1	0.6
Total	154	100*

*NOTE: Percentages do not add to 100 due to rounding.

FIGURE 2 – NUMBER OF YEARS PRACTICING AS A PROFESSIONAL FIDUCIARY

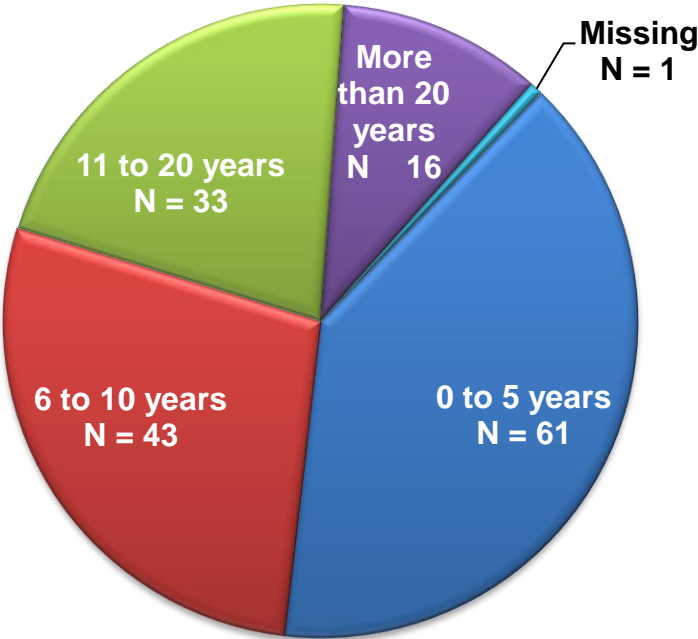


TABLE 3 – PRIMARY CLIENT / CASE TYPE

STATUS	NUMBER (N)	PERCENT
Trust Management	97	63.0
Other	15	9.7
Conservatorship/Guardianship of person	10	6.5
Special needs trust management	10	6.5
Conservatorship of estate	9	5.8
Probate	7	4.5
Representative Payee	6	3.9
Total	154	100*

*NOTE: Percentages do not add to 100 due to rounding.

FIGURE 3 – PRIMARY CLIENT / CASE TYPE

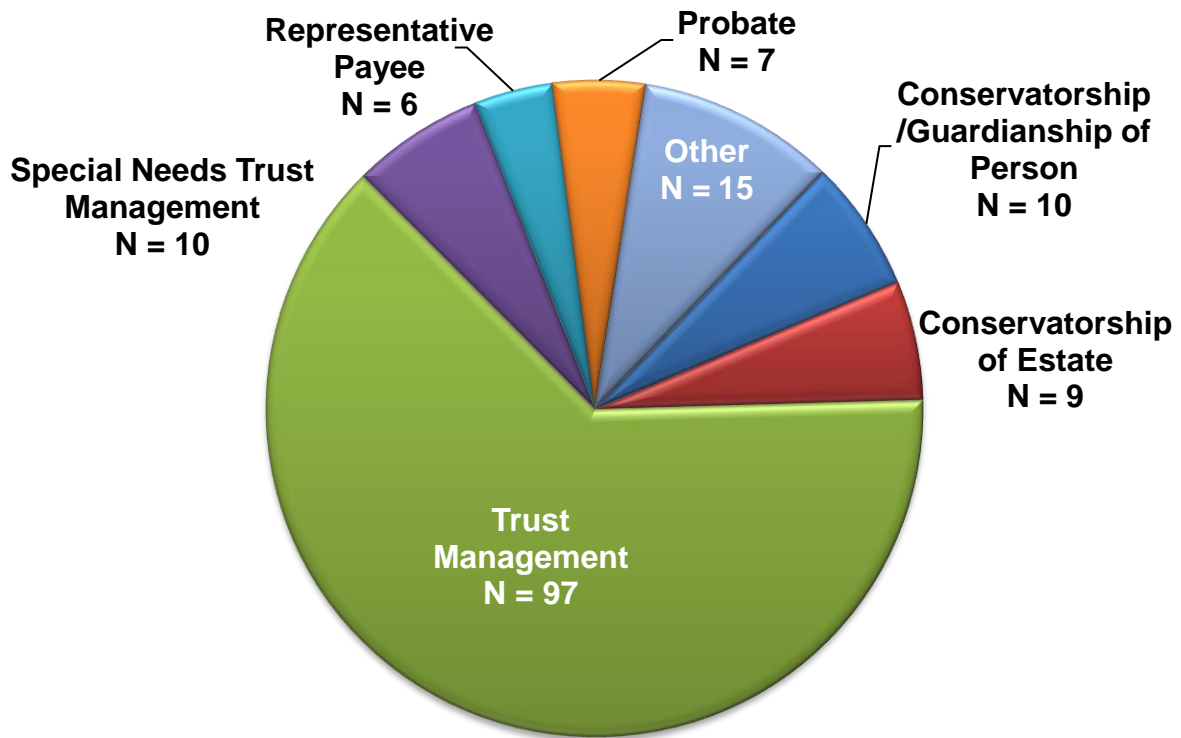


TABLE 4 – TYPES OF CLIENT / CASES MANAGED

HOURS	NUMBER (N)	PERCENT*
Trust Management	142	92.2
Probate	96	62.3
Conservatorship/Guardianship of estate	95	61.7
Special needs trust management	89	57.8
Conservatorship/Guardianship of person	84	54.5
Representative Payee	80	51.9

**NOTE: Respondents were asked to select all that apply. Percentages indicate the proportion in the sample of respondents.*

FIGURE 4 – TYPES OF CLIENT / CASES MANAGED

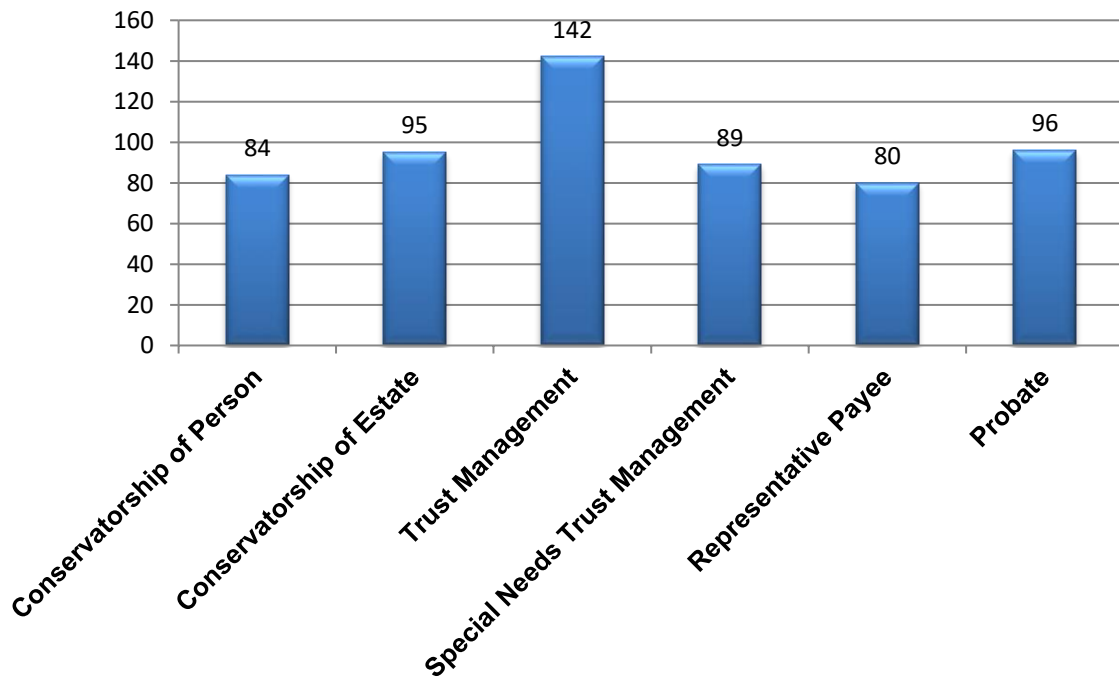


TABLE 5 – NUMBER OF HOURS WORKED PER WEEK

EDUCATION	NUMBER (N)	PERCENT
9 hours or less	28	18.2
10 to 19 hours	28	18.2
20 to 29 hours	14	9.1
30 to 39 hours	18	11.7
40 or more hours	66	42.9
Total	154	100*

*NOTE: Percentages do not add to 100 due to rounding.

FIGURE 5 – NUMBER OF HOURS WORKED PER WEEK

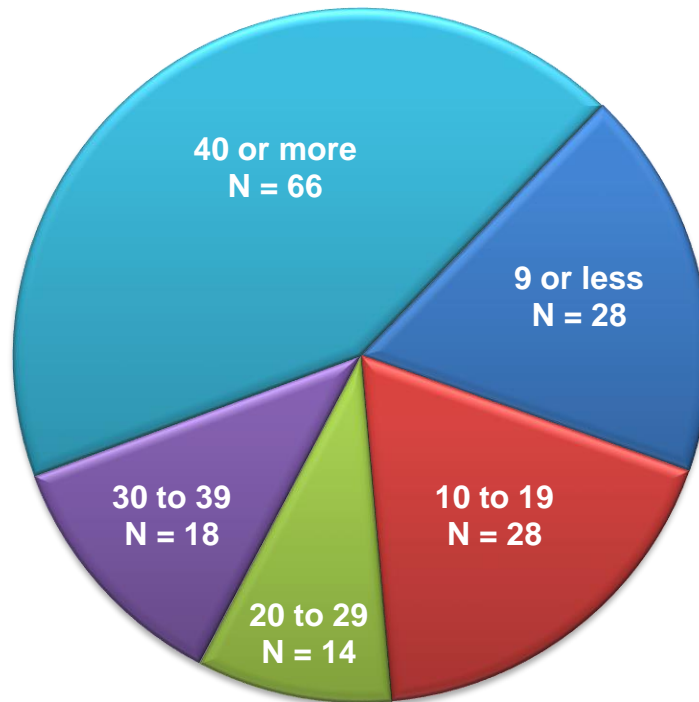


TABLE 6 – NUMBER OF STAFF EMPLOYED AT OFFICE

STAFF EMPLOYED (OTHER THAN SELF)	NUMBER (N)	PERCENT
None	97	63.0
1 - 2	31	20.1
3 - 5	19	12.3
6 - 10	5	3.2
11+	2	1.3
Total	154	100*

*NOTE: Percentages do not add to 100 due to rounding.

FIGURE 6 – NUMBER OF STAFF EMPLOYED AT OFFICE

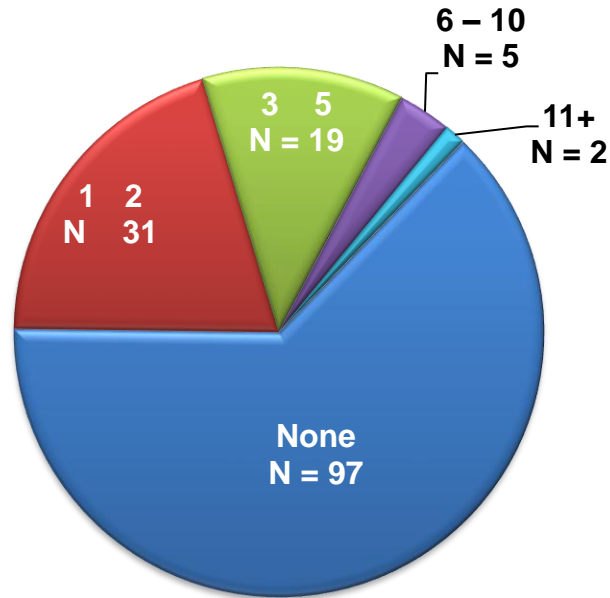


TABLE 7 – TOTAL VALUE OF ASSETS MANAGED (IN MILLIONS)

SERVICES	NUMBER (N)	PERCENT
Under 5	79	51.3
5 - 10	24	15.6
11 - 25	24	15.6
26 - 50	20	13.0
51 - 100	3	1.9
100+	4	2.6
Total	154	100

FIGURE 7 – TOTAL VALUE OF ASSETS MANAGED (IN MILLIONS)

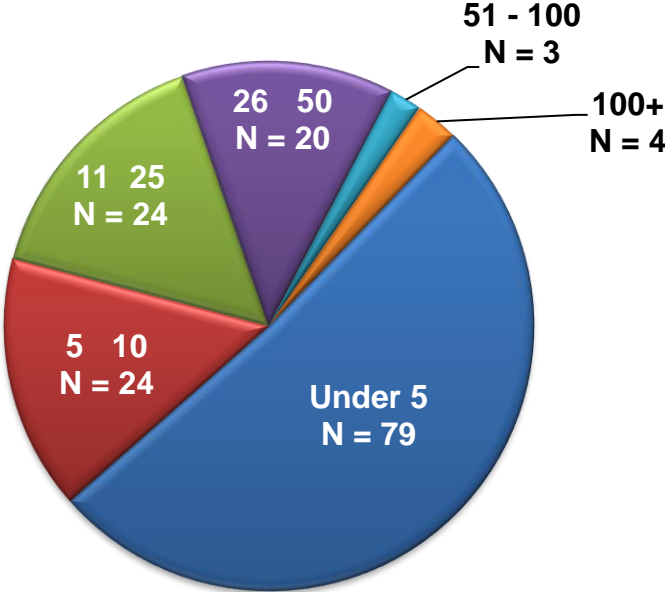


TABLE 8 – HIGHEST LEVEL OF EDUCATION

SPECIALTY AREAS*	NUMBER (N)	PERCENT
Some college / no degree	15	9.7
Associate degree	11	7.1
Bachelor's degree	63	40.9
Master's degree	49	31.8
Doctorate	10	6.5
Other formal education (please specify)	6	3.9

*NOTE: Respondents were asked to select all that apply. Percentages indicate the proportion in the sample of respondents.

FIGURE 8 – HIGHEST LEVEL OF EDUCATION

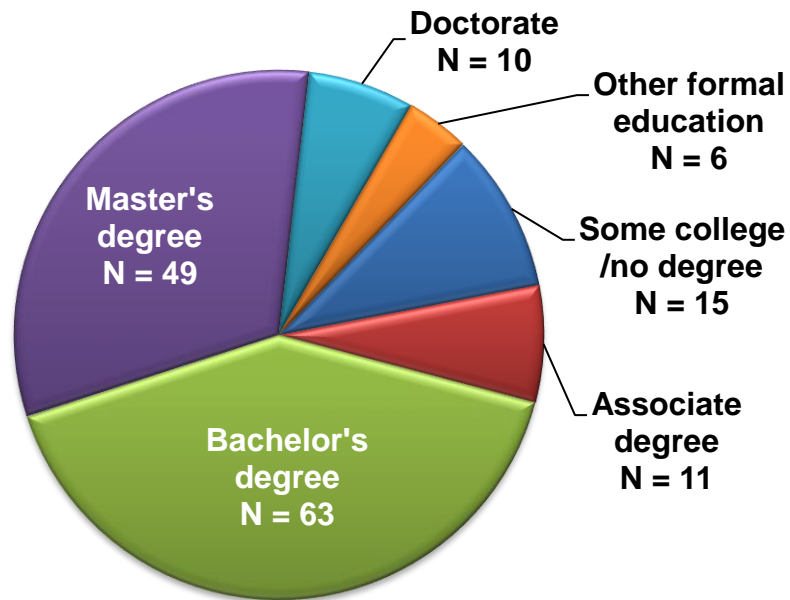


TABLE 9 – OTHER CALIFORNIA-ISSUED LICENSES OR CERTIFICATIONS HELD

LICENSES OR CERTIFICATIONS*	NUMBER (N)	PERCENT
Notary	20	13.0
Real Estate	12	7.8
Tax/Accounting	8	5.2
Nursing / Social work	6	3.9
Attorney	5	3.2
Financial Planning	4	2.6
Teaching	3	1.9
Enrolled Agent	1	0.6
Other (please specify)	17	11.0

*NOTE: Respondents were asked to select all that apply. Percentages indicate the proportion in the sample of respondents.

FIGURE 9 – OTHER CALIFORNIA-ISSUED LICENSES OR CERTIFICATIONS HELD

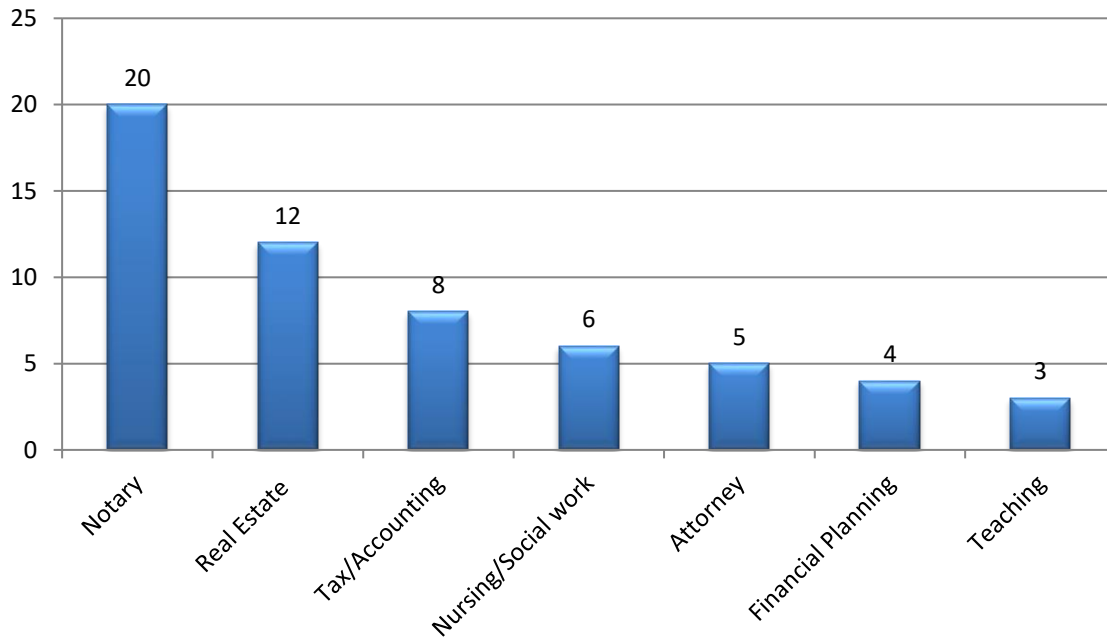


TABLE 10 – PRIMARY WORK SETTING

LOCATION	NUMBER (N)	PERCENT
Urban (more than 50,000 people)	135	87.7
Rural (less than 50,000 people)	18	11.7
Missing	1	0.6
Total	154	100

TABLE 11 – RESPONDENTS BY REGION*

REGION NAME	NUMBER (N)	PERCENT
Los Angeles County and Vicinity	37	24.0
San Francisco Bay Area	41	26.6
San Joaquin Valley	5	3.2
Sacramento Valley	10	6.4
San Diego County and Vicinity	23	14.9
Shasta–Cascade	1	0.6
Riverside and Vicinity	13	8.4
Sierra Mountain Valley	3	1.9
North Coast	3	1.9
South Coast and Central Coast	18	11.6
Total	154	100**

*NOTE: Appendix A shows a more detailed breakdown of the frequencies by region.

**NOTE: Percentages do not add to 100 due to rounding.

CHAPTER 4. DATA ANALYSIS AND RESULTS

RELIABILITY OF RATINGS

The job task and knowledge ratings obtained by the questionnaire were evaluated with a standard index of reliability called coefficient alpha (α) that ranges from 0 to 1. Coefficient alpha is an estimate of the internal consistency of the respondents' ratings of the job task and knowledge statements. A higher coefficient value indicates more consistency between respondent ratings. Coefficients were calculated for all respondent ratings.

Table 12 displays the reliability coefficients for the task statement rating scales in each content area. The overall ratings of task frequency and task importance across content areas were highly reliable (frequency $\alpha = .97$; importance $\alpha = .96$). Table 13 displays the reliability coefficients for the knowledge statement rating scale in each content area. The overall ratings of knowledge importance across content areas were highly reliable ($\alpha = .98$). These results indicate that the responding professional fiduciaries rated the task and knowledge statements consistently throughout the questionnaire.

TABLE 12 – TASK SCALE RELIABILITY

CONTENT AREA	Number of Tasks	α Frequency	α Importance
1. Client Management	16	.944	.936
2. Financial Management	20	.953	.936
3. Laws, Regulations, and Ethics	12	.876	.871
Total	48	.970	.963

TABLE 13 – KNOWLEDGE SCALE RELIABILITY

CONTENT AREA	Number of Knowledge Statements	α Importance
1. Client Management	27	.964
2. Financial Management	31	.964
3. Laws, Regulations, and Ethics	28	.947
Total	86	.982

TASK CRITICALITY INDICES

OPES convened a workshop consisting of eight professional fiduciary SMEs in January 2018 to review the mean frequency and importance ratings for all task statements, and to evaluate the mean importance ratings for all knowledge statements. The purpose of this workshop was to identify the essential tasks and knowledge required for safe and effective professional fiduciary practice at the time of licensure.

To calculate the criticality indices of the task statements, the frequency rating (Fi) and the importance rating (Ii) were multiplied for each task.

$$\text{Task criticality index} = \text{mean } [(Fi) \times (Ii)]$$

The task statements were sorted by descending order of their criticality index. The task statements, their mean frequency and importance ratings, and their associated criticality indices are presented in Appendix B.

The SMEs who participated in the January 2018 workshop evaluated the task criticality indices derived from the questionnaire results. OPES test specialists instructed the SMEs to determine whether any of the tasks did not have a high enough criticality index to be retained. The SMEs determined that all task statements were important for professional fiduciary practice and that no cutoff value should be established.

KNOWLEDGE IMPORTANCE RATINGS

To determine the importance of each knowledge statement, the mean importance (K Imp) rating for each knowledge statement was calculated. The knowledge statements and their mean importance ratings, sorted by descending order and content area, are presented in Appendix C.

The SMEs who participated in the January 2018 workshop that evaluated the task criticality indices also reviewed the knowledge statement importance ratings. After reviewing the mean importance ratings and considering their relative importance to

professional fiduciary practice, the SMEs determined that a cutoff value was not necessary.

CHAPTER 5. EXAMINATION OUTLINE

TASK–KNOWLEDGE LINKAGE

The SMEs who participated in the January 2018 workshop reviewed the preliminary assignments of the task and knowledge statements to content areas from the September and October 2017 workshops. The SMEs established the final linkage of specific knowledge statements to task statements. The content areas were developed to describe major areas of practice and to not overlap. In addition, the SMEs wrote descriptions for each content area.

The SMEs in the January 2018 workshop also added knowledge statement 87 (“Knowledge of methods for implementing estate plan to meet clients’ financial and legal needs.”) to the examination outline because it was considered critically important to its related task statements.

CONTENT AREAS AND WEIGHTS

The SMEs in the January 2018 workshop were also asked to finalize the weights for content areas on the professional fiduciary examination. OPES test specialists presented the SMEs with preliminary weights of the content areas that were calculated by dividing the sum of the criticality indices for the tasks in a content area by the overall sum of the criticality indices for all tasks, as shown below.

$$\frac{\textit{Sum of Criticality Indices for Tasks in Content Area}}{\textit{Sum of Criticality Indices for All Tasks}} = \frac{\textit{Percent Weight of Content Area}}{\textit{Content Area}}$$

The SMEs evaluated the preliminary weights by reviewing the following elements for each content area: the group of tasks and knowledge, the linkage established between the tasks and knowledge, and the relative importance of the tasks to professional fiduciary practice in California. The SMEs adjusted the preliminary weights based on what they perceived to reflect the relative importance of the tasks’ content to professional fiduciary practice in California. The SMEs also created subareas within content areas 1 and 2. The SMEs determined the distribution of the content area weight across the subareas by consensus. A summary of the preliminary and final content area and subarea weights for the professional fiduciary examination is presented in Table 14.

TABLE 14 – CONTENT AREA AND SUBAREA WEIGHTS

CONTENT AREA	Criticality Indices Preliminary Weights	Final Weights
1. Client Management	31.18%	30%
A. Assessment and Intake		15%
B. Plan Development		10%
C. Plan Implementation		5%
2. Financial Management	42.71%	30%
A. Financial Assessment		5%
B. Financial Implementation		20%
C. Financial Plan Development		5%
3. Laws, Regulations, and Ethics	26.10%	40%
Total	100%	100%

The examination outline for the professional fiduciary profession is presented in Table 15.

TABLE 15 – EXAMINATION OUTLINE FOR THE PROFESSIONAL FIDUCIARY PROFESSION

1. Client Management (30%) -

This area assesses the candidate's knowledge of client assessment, intake, plan development and implementation to meet the clients' needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
A. Assessment and Intake (15%)	<p>T1. Review client estate planning and court documents (e.g., trusts, petitions, powers of attorney) to understand scope of fiduciary administration.</p> <p>T2. Assess requirements and needs of case relative to fiduciary resources and expertise.</p> <p>T3. Communicate to client and interested parties the roles and responsibilities of the fiduciary and client, including the type and extent of services to be provided.</p> <p>T4. Assess client current medical, financial, psychological, legal, physical, and social conditions to identify areas of immediate needs.</p> <p>T6. Evaluate ability and desire of client to manage personal finances.</p> <p>T7. Inventory client personal assets, and tangible and intangible property.</p>	<p>K1. Knowledge of case requirements and fiduciary resources to meet case needs.</p> <p>K2. Knowledge of fiduciary powers, limits, and responsibilities as specified in governing documents.</p> <p>K3. Knowledge of methods for case intake/assessment.</p> <p>K4. Knowledge of self-assessments to determine ability to handle client needs.</p> <p>K5. Knowledge of professional fiduciary scope of practice.</p> <p>K6. Knowledge of roles and responsibilities in fiduciary client relationships.</p> <p>K7. Knowledge of techniques for communicating with client and clients' family, friends, and service providers.</p> <p>K8. Knowledge of methods of assessing clients' current medical, physical, social, and psychological needs.</p> <p>K9. Knowledge of assessment tools for needs analysis.</p> <p>K10. Knowledge of resources for assessing clients' current financial and legal needs.</p> <p>K13. Knowledge of methods and procedures for determining ability of client to manage cash and assets.</p> <p>K15. Knowledge of methods and procedures for securing and storing client medical and personal records.</p>

1. Client Management (30%) - This area assesses the candidate's knowledge of client assessment, intake, plan development and implementation to meet the clients' needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
B. Plan Development (10%)	<p>T5. Establish team of service providers and resources to implement care plan.</p> <p>T8. Develop plan for managing clients' initial and long-term personal, medical, and financial needs. Establish and maintain client records of medical and personal information.</p> <p>T9. Establish and maintain client records of medical and personal information</p> <p>T11. Determine the level of care that is required and possible to meet the clients' present and ongoing needs.</p>	<p>K12. Knowledge of community, government, and private resources for meeting client needs.</p> <p>K14. Knowledge of methods and procedures for developing written care plan to meet client needs.</p> <p>K16. Knowledge of methods and procedures for securing and storing client medical and personal records.</p> <p>K18. Knowledge of methods to determine level of care required to meet client needs.</p> <p>K19. Knowledge of resources for evaluating client and environment to determine level of care.</p>

- 1. Client Management (30%)** - This area assesses the candidate's knowledge of client assessment, intake, plan development and implementation to meet the clients' needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
C. Plan Implementation (5%)	<p>T10. Ensure client estate planning documents are current, implemented, and reflect client's preferences.</p> <p>T12. Advocate on behalf of client to ensure personal desires, needs, and preferences are respected (e.g., religious preferences, socialization, end of life and burial decisions).</p> <p>T13. Monitor and adjust care plan at regular intervals to ensure client safety and welfare.</p> <p>T14. Perform wellness checks of client to ensure quality of care.</p> <p>T15. Make health care decisions in accordance with laws, regulations, court orders, and client preferences.</p> <p>T16. Manage the response to emergency medical and psychological crisis situations of client.</p>	<p>K11. Knowledge of indicators that client may be at risk for abuse.</p> <p>K17. Knowledge of interview techniques for identifying client preferences (e.g., personal, cultural, religious).</p> <p>K20. Knowledge of client rights under conservatorships/guardianships.</p> <p>K21. Knowledge of advocacy methods to ensure client needs and preferences are respected.</p> <p>K22. Knowledge of monitoring techniques to ensure client well-being and safety.</p> <p>K23. Knowledge of methods and resources for conducting wellness checks.</p> <p>K24. Knowledge of health care documents that guide fiduciary decisionmaking (e.g., healthcare power of attorney (HCPOA), Physician Orders Life Sustaining Treatment (POLST), and advance healthcare directives).</p> <p>K25. Knowledge of client and fiduciary role in health care decisionmaking.</p> <p>K26. Knowledge of procedures for medical/psychiatric holds.</p> <p>K27. Knowledge of reporting agencies for emergency situations.</p> <p>K87. Knowledge of methods for implementing estate plan to meet clients' financial and legal needs.</p>

2. Financial Management (30%) -

This area assesses the candidate's knowledge of financial assessment, plan development and implementation to meet the client or estate financial needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
A. Financial Assessment (5%)	T17. Assess client/estate finances, assets, and liabilities to determine status of estate. T21. Identify additional sources of income, assistance, and benefits available to client/estate.	K28. Knowledge of methods and procedures for conducting financial reviews and audits. K30. Knowledge of methods to notify income sources, financial institutions, benefit providers, government agencies and creditors regarding the fiduciary relationship. K33. Knowledge of public benefit programs and eligibility requirements.

2. Financial Management (30%) - This area assesses the candidate's knowledge of financial assessment, plan development and implementation to meet the client or estate financial needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statement</i>	<i>Associated Knowledge Statements</i>
B. Financial Implementational (20%)	<p>T18. Marshal client/estate assets in accordance with estate planning and court documents.</p> <p>T19. Establish accounts for management of client/estate funds, investments, and ordinary expenses.</p> <p>T20. Arrange for valuation of client/estate assets (e.g., real, financial, and personal).</p> <p>T22. Identify and pursue collection of unclaimed/hidden property and assets of client/estate.</p> <p>T23. Manage insurance coverage of property, health, casualty, and liability to minimize client/estate risk.</p> <p>T24. Ensure security of client/estate tangible and intangible assets.</p> <p>T25. Research, update, and resolve client/estate tax issues.</p> <p>T28. Establish and maintain financial records of client/estate.</p> <p>T30. Pursue claims and defend against actions on behalf of client/estate.</p> <p>T31. Liquidate property or assets to meet client/estate needs or requests.</p> <p>T32. Complete accountings as required by law and governing documents.</p> <p>T33. Monitor investment accounts to ensure results are consistent with investment policy.</p> <p>T34. Monitor assets for unauthorized activities and indicators of fraud and abuse.</p> <p>T35. Distribute client/estate assets in accordance with estate or court documents.</p> <p>T36. Manage client/estate real property in accordance governing documents.</p>	<p>K29. Knowledge of methods and procedures for marshalling of client/estate assets.</p> <p>K31. Knowledge of methods and procedures for establishing accounts for the management of client/estate funds.</p> <p>K32. Knowledge of professional resources for appraisal of client/estate assets.</p> <p>K34. Knowledge of methods and procedures for locating client/estate assets.</p> <p>K35. Knowledge of methods and procedures to collect unclaimed property and hidden/missing assets.</p> <p>K36. Knowledge of methods to evaluate client/estate insurance needs.</p> <p>K37. Knowledge of different types of insurance to manage client/estate risk.</p> <p>K38. Knowledge of medical billing issues and troubleshooting.</p> <p>K39. Knowledge of methods and procedures to secure tangible assets.</p> <p>K40. Knowledge of methods to safeguard intangible assets.</p> <p>K41. Knowledge of resources for managing tax obligations of client/estate.</p> <p>K42. Knowledge of taxable events and deductions.</p> <p>K45. Knowledge of methods to obtain official public records.</p> <p>K46. Knowledge of methods for reconciling active accounts of client/estate.</p> <p>K47. Knowledge of methods and requirements for document retention.</p> <p>K51. Knowledge of laws related to pursuing claims and defending against actions on behalf of client/estate.</p> <p>K52. Knowledge of procedures for liquidating client/estate assets.</p>

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- K53. Knowledge of methods for conducting and reporting trust or court accounting.
 - K54. Knowledge of methods for monitoring investment accounts.
 - K55. Knowledge of financial statement terminology and interpretation.
 - K56. Knowledge of indicators of financial abuse.
 - K57. Knowledge of laws and regulations for distribution of assets.
 - K58. Knowledge of procedures for buying, selling, and managing real property.

2. Financial Management (30%) -

This area assesses the candidate's knowledge of financial assessment, plan development and implementation to meet the client or estate financial needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Statement</i>	<i>Associated Knowledge Statements</i>
C. Financial Plan Development (5%)	T26. Develop plans and procedures to meet client/estate immediate, short-term, and ongoing financial needs. T27. Establish and maintain a budget for paying client/estate recurring bills, obligations, and expenses. T28. Develop investment policy statement to meet client/estate needs.	K43. Knowledge of methods and techniques for managing funds to support long-term financial solvency. K44. Knowledge of methods and techniques for budgeting. K49. Knowledge of financial planning techniques. K50. Knowledge of Uniform Prudent Investor Act (UPIA).

3. Laws, Regulations, and Ethics (40%) - This area assesses the candidate's knowledge of laws, regulations, and ethical standards that govern the duties and responsibilities of a professional fiduciary.

<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
T37. Extend or reduce fiduciary oversight in response to changes in client functional ability.	K59. Knowledge of fiduciary's role in decisionmaking (e.g., financial, medical, placement).
T38. Adhere to fiduciary powers as specified in court orders and estate planning documents.	K60. Knowledge of fiduciary responsibility to report changes in client's functional ability.
T39. Submit required reports and documents to the court.	K61. Knowledge of trustee powers, limits, and responsibilities.
T40. Select least restrictive alternatives for client to balance safety and autonomy.	K62. Knowledge of executor/administrator powers, limits, and responsibilities.
T41. Comply with laws and ethical guidelines regarding conflict of interest.	K63. Knowledge of conservator/guardian powers, limits, and responsibilities.
T42. Report suspected physical, psychological, financial, and sexual abuse of client in accordance with laws and regulations.	K64. Knowledge of agent under general power of attorney powers, limits, and responsibilities.
T43. Communicate changes in condition of client/estate in accordance with governing documents and ethics.	K65. Knowledge of fiduciary's legal and ethical responsibilities related to conducting and reporting an accounting of the estate.
T44. Maintain confidentiality of client/estate personal and financial information in accordance with laws and regulations.	K66. Knowledge of standards and requirements for submitting fiduciary court documents.
T45. Ascertain current and historical preferences of the client to guide fiduciary decisions.	K67. Knowledge of court notification requirements related to client/estate.
T46. Identify client/estate situations that require court guidance or approval.	K68. Knowledge of least restrictive alternative principle regarding fiduciary decisionmaking.
T47. Maintain fiduciary license in accordance with laws and regulations.	K69. Knowledge of best interest principle regarding fiduciary decisionmaking.
T48. Adopt risk management strategies for fiduciary practice to protect client/estate (e.g., errors and omissions, disaster plans, bonding, cyber protection/security).	K70. Knowledge of substituted judgment principle regarding fiduciary decisionmaking.
	K71. Knowledge of self-assessment techniques to identify conflict of interests.
	K72. Knowledge of professional fiduciary ethical standards regarding conflict of interest.
	K73. Knowledge of fiduciary mandated reporting requirements for suspected elder and child abuse and neglect.
	K74. Knowledge of circumstances that warrant notification to interested parties related to client/estate.

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- K75. Knowledge of professional fiduciary ethical standards regarding communication.
 - K76. Knowledge of legal requirements regarding confidentiality of client/estate records and case files.
 - K77. Knowledge of laws related to disclosure of client/estate personal and financial information.
 - K78. Knowledge of current and historical preferences of the client to guide fiduciary decisions.
 - K79. Knowledge of actions that require court approval and procedures to attain that approval.
 - K80. Knowledge of licensing fees and renewal time frames to maintain professional fiduciary license.
 - K81. Knowledge of continuing education requirements to maintain professional fiduciary license.
 - K82. Knowledge of citations, fines, and disciplinary actions regarding failure to comply with Professional Fiduciaries Bureau laws and regulations.
 - K83. Knowledge of requirements for filing annual statement with Professional Fiduciaries Bureau.
 - K84. Knowledge of insurance options for fiduciary practice.
 - K85. Knowledge of bonding requirements and procedures.
 - K86. Knowledge of contingency planning methods.

CHAPTER 6. CONCLUSION

The occupational analysis of the professional fiduciary profession described in this report provides a comprehensive description of current practice in California. The procedures employed to perform the OA were based upon a content validation strategy to ensure that the results accurately represent professional fiduciary practice. Results of this OA provide information regarding current practice that can be used to review the California Professional Fiduciary Examination developed by the Center for Guardianship Certification. The OA results can also be used to make job-related decisions regarding professional licensure.

This report provides all documentation necessary to verify that the analysis has been completed in accordance with legal, professional, and technical standards.

APPENDIX A. RESPONDENTS BY REGION

LOS ANGELES COUNTY AND VICINITY

County of Practice	Frequency
Los Angeles	27
Orange	10
TOTAL	37

NORTH COAST

County of Practice	Frequency
Humboldt	1
Sonoma	2
TOTAL	3

RIVERSIDE AND VICINITY

County of Practice	Frequency
Riverside	9
San Bernardino	4
TOTAL	13

SACRAMENTO VALLEY

County of Practice	Frequency
Butte	3
Lake	1
Sacramento	6
TOTAL	10

SAN DIEGO COUNTY AND VICINITY

County of Practice	Frequency
San Diego	23
TOTAL	23

SAN FRANCISCO BAY AREA

County of Practice	Frequency
Alameda	8
Contra Costa	7
Marin	2
San Francisco	7
San Mateo	5
Santa Clara	7
Santa Cruz	2
Solano	2
TOTAL	40

SAN JOAQUIN VALLEY

County of Practice	Frequency
Fresno	1
San Joaquin	1
TOTAL	2

SHASTA-CASCADE

County of Practice	Frequency
Shasta	1
TOTAL	1

SIERRA MOUNTAIN VALLEY

County of Practice	Frequency
Nevada	1
Placer	2
TOTAL	3

SOUTH COAST AND CENTRAL COAST

County of Practice	Frequency
Monterey	3
San Luis Obispo	10
Santa Barbara	2
Ventura	3
TOTAL	18

APPENDIX B. CRITICALITY INDICES FOR ALL TASKS

Content Area 1 Client Management				
Task Number	Task Statement	Mean Importance	Mean Frequency	Task Criticality Index
1	Review client estate planning and court documents (e.g., trusts, petitions, powers of attorney) to understand scope of fiduciary administration.	4.44	3.73	17.27
3	Communicate to client and interested parties the roles and responsibilities of the fiduciary and client, including the type and extent of services to be provided.	4.10	3.75	15.93
4	Assess client current medical, financial, psychological, legal, physical, and social conditions to identify areas of immediate needs.	4.01	3.51	15.67
2	Assess requirements and needs of case relative to fiduciary resources and expertise.	3.97	3.51	15.07
9	Establish and maintain client records of medical and personal information.	3.69	3.34	14.05
7	Develop plan for managing clients' initial and long-term personal, medical, and financial needs.	3.89	3.24	13.77
8	Inventory client personal assets, and tangible and intangible property.	3.79	3.18	13.22
11	Determine the level of care that is required and possible to meet the clients' present and ongoing needs.	3.63	2.99	12.53
10	Ensure client estate planning documents are current, implemented, and reflect client's preferences.	3.62	3.01	12.48
12	Advocate on behalf of client to ensure personal desires, needs, and preferences are respected (e.g., religious preferences, socialization, end of life and burial decisions).	3.62	2.89	12.21
5	Establish team of service providers and resources to implement care plan.	3.53	2.88	11.72
14	Perform wellness checks of client to ensure quality of care.	3.42	2.75	11.33
13	Monitor and adjust care plan at regular intervals to ensure client safety and welfare.	3.45	2.70	11.21
15	Make health care decisions in accordance with laws, regulations, court orders, and client preferences.	3.66	2.37	10.57
6	Evaluate ability and desire of client to manage personal finances.	3.19	2.61	10.07
16	Manage the emergency response to medical and psychological crisis situations of client.	3.56	2.12	9.44

**Content Area 2
Financial Management**

Task Number	Task Statement	Mean Importance	Mean Frequency	Task Criticality Index
28	Establish and maintain financial records of client/estate.	4.57	4.38	20.33
32	Complete accountings as required by law and governing documents.	4.44	3.86	17.62
19	Establish accounts for management of client/estate funds, investments, and ordinary expenses.	4.32	3.74	16.71
17	Assess client/estate finances, assets, and liabilities to determine status of estate.	4.20	3.72	16.23
34	Monitor assets for unauthorized activities and indicators of fraud and abuse.	4.15	3.73	16.08
35	Distribute client/estate assets in accordance with estate or court documents.	4.32	3.49	15.69
23	Manage insurance coverage of property, health, casualty, and liability to minimize client/estate risk.	4.14	3.51	15.51
27	Establish and maintain a budget for paying client/estate recurring bills, obligations, and expenses.	4.03	3.58	15.41
33	Monitor investment accounts to ensure results are consistent with investment policy.	3.93	3.59	15.15
18	Marshal client/estate assets in accordance with estate planning and court documents.	4.16	3.36	15.04
24	Ensure security of client/estate tangible and intangible assets.	4.06	3.45	14.88
26	Develop plans and procedures to meet client/estate immediate, short-term, and ongoing financial needs.	3.97	3.41	14.51
36	Manage client/estate real property in accordance with governing documents.	3.96	3.31	14.17
25	Research, update, and resolve client/estate tax issues.	3.83	2.96	12.45
31	Liquidate property or assets to meet client/estate needs or requests.	3.65	2.99	12.00
20	Arrange for valuation of client/estate assets (e.g., real, financial, and personal).	3.77	2.91	11.95
21	Identify additional sources of income, assistance, and benefits available to client/estate.	3.68	2.89	11.75
29	Develop investment policy statement to meet client/estate needs.	3.56	2.82	11.39
22	Identify and pursue collection of unclaimed/hidden property and assets of client/estate.	3.26	2.50	9.20
30	Pursue claims and defend against actions on behalf of the client/estate.	3.20	1.81	6.85

**Content Area 3
Laws, Regulations, and Ethics**

Task Number	Task Statement	Mean Importance	Mean Frequency	Task Criticality Index
44	Maintain confidentiality of client/estate personal and financial information in accordance with laws and regulations.	4.65	4.56	21.53
47	Maintain fiduciary license in accordance with laws and regulations.	4.74	4.38	21.02
38	Adhere to fiduciary powers as specified in court orders and estate planning documents.	4.41	4.08	18.86
41	Comply with laws and ethical guidelines regarding conflict of interest.	4.52	4.05	18.69
48	Adopt risk management strategies for fiduciary practice to protect client/estate (e.g., errors and omissions, disaster plans, bonding, cyber protection/security).	4.32	3.58	16.08
45	Ascertain current and historical preferences of the client to guide fiduciary decisions.	3.79	3.34	13.72
39	Submit required reports and documents to the court.	4.05	2.90	13.39
43	Communicate changes in condition of client/estate in accordance with governing documents and ethics.	3.77	2.64	11.30
40	Select least restrictive alternatives for client to balance safety and autonomy.	3.53	2.56	11.20
46	Identify client/estate situations that require court guidance or approval.	3.79	2.53	10.60
37	Extend or reduce fiduciary oversight in response to changes in client functional ability.	3.12	2.16	8.27
42	Report suspected physical, psychological, financial, and sexual abuse of client in accordance with laws and regulations.	4.02	1.75	8.24

APPENDIX C. KNOWLEDGE IMPORTANCE RATINGS

Content Area 1 Client Management		
Number	Knowledge Statement	Mean Importance
2	Knowledge of fiduciary powers, limits, and responsibilities as specified in governing documents.	4.34
6	Knowledge of roles and responsibilities in fiduciary client relationships.	4.22
1	Knowledge of case requirements and fiduciary resources to meet case needs.	4.02
5	Knowledge of professional fiduciary scope of practice.	4.01
7	Knowledge of techniques for communicating with client and clients' family, friends, and service providers.	3.94
15	Knowledge of methods and procedures for conducting inventory of client assets.	3.78
10	Knowledge of methods for assessing clients' current financial and legal needs.	3.72
24	Knowledge of health care documents that guide fiduciary decisionmaking (e.g., healthcare power of attorney (HCPOA), Physician Orders for Life Sustaining Treatment (POLST), and advance healthcare directives).	3.59
11	Knowledge of indicators that client may be at risk for abuse.	3.53
4	Knowledge of self-assessments to determine ability to handle client needs.	3.48
25	Knowledge of client and fiduciary role in health care decisionmaking.	3.43
16	Knowledge of methods and procedures for securing and storing client medical and personal records.	3.36
20	Knowledge of client rights under conservatorships/guardianships.	3.35
12	Knowledge of community, government, and private resources for meeting client needs.	3.19
13	Knowledge of methods and procedures for determining ability of client to manage cash and assets.	3.17
27	Knowledge of reporting agencies for emergency situations.	3.13
21	Knowledge of advocacy methods to ensure client needs and preferences are respected.	3.08
8	Knowledge of methods of assessing clients' current medical, physical, social, and psychological needs.	3.07
3	Knowledge of methods for case intake/assessment.	3.03
22	Knowledge of monitoring techniques to ensure client well-being and safety.	3.00
19	Knowledge of resources for evaluating client and environment to determine level of care.	2.96
17	Knowledge of interview techniques for identifying client preferences (e.g., personal, cultural, religious).	2.94
18	Knowledge of methods to determine level of care required to meet client needs.	2.88
23	Knowledge of methods and resources for conducting wellness checks.	2.60
9	Knowledge of assessment tools for needs analysis.	2.60
14	Knowledge of methods and procedures for developing written care plan to meet client needs.	2.51
26	Knowledge of procedures for medical/psychiatric holds.	2.49

**Content Area 2
Financial Management**

Number	Knowledge Statement	Mean Importance
31	Knowledge of methods and procedures for establishing accounts for the management of client/estate funds.	4.18
30	Knowledge of methods to notify income sources, financial institutions, benefit providers, government agencies and creditors regarding the fiduciary relationship.	4.12
53	Knowledge of methods for conducting and reporting trust or court accounting.	4.06
56	Knowledge of indicators of financial abuse.	4.03
41	Knowledge of resources for managing tax obligations of client/estate.	4.00
46	Knowledge of methods for reconciling active accounts of client/estate.	3.99
50	Knowledge of Uniform Prudent Investor Act (UPIA).	3.97
29	Knowledge of methods and procedures for marshalling of client/estate assets.	3.94
57	Knowledge of laws and regulations for distribution of assets.	3.94
54	Knowledge of methods for monitoring investment accounts.	3.90
44	Knowledge of methods and techniques for budgeting.	3.85
43	Knowledge of methods and techniques for managing funds to support long-term financial solvency.	3.79
42	Knowledge of taxable events and deductions.	3.79
34	Knowledge of methods and procedures for locating client/estate assets.	3.75
58	Knowledge of procedures for buying, selling, and managing real property.	3.75
55	Knowledge of financial statement terminology and interpretation.	3.75
47	Knowledge of methods and requirements for document retention.	3.71
36	Knowledge of methods to evaluate client/estate insurance needs.	3.65
28	Knowledge of methods and procedures for conducting financial reviews and audits.	3.64
52	Knowledge of procedures for liquidating client/estate assets.	3.62
32	Knowledge of professional resources for appraisal of client/estate assets.	3.54
37	Knowledge of different types of insurance to manage client/estate risk.	3.54
39	Knowledge of methods and procedures to secure tangible assets.	3.51
40	Knowledge of methods to safeguard intangible assets.	3.31
49	Knowledge of financial planning techniques.	3.25
35	Knowledge of methods and procedures to collect unclaimed property and hidden/missing assets.	3.24
33	Knowledge of public benefit programs and eligibility requirements.	3.13
45	Knowledge of methods to obtain official public records.	3.05
51	Knowledge of laws related to pursuing claims and defending against actions on behalf of client/estate.	2.97
38	Knowledge of medical billing issues and troubleshooting.	2.81
48	Knowledge of methods for obtaining and managing client/business credit reports.	2.71

**Content Area 3
Laws, Regulations, and Ethics**

Number	Knowledge Statement	Mean Importance
61	Knowledge of trustee powers, limits, and responsibilities.	4.40
62	Knowledge of executor/administrator powers, limits, and responsibilities.	4.23
65	Knowledge of fiduciary's legal and ethical responsibilities related to conducting and reporting an accounting of the estate.	4.23
81	Knowledge of continuing education requirements to maintain professional fiduciary license.	4.18
72	Knowledge of professional fiduciary ethical standards regarding conflict of interest.	4.18
83	Knowledge of requirements for filing annual statement with Professional Fiduciaries Bureau.	4.18
59	Knowledge of fiduciary's role in decisionmaking (e.g., financial, medical, placement).	4.15
80	Knowledge of licensing fees and renewal time frames to maintain professional fiduciary license.	4.10
76	Knowledge of legal requirements regarding confidentiality of client/estate records and case files.	4.05
77	Knowledge of laws related to disclosure of client/estate personal and financial information.	4.05
75	Knowledge of professional fiduciary ethical standards regarding communication.	4.01
64	Knowledge of agent under general power of attorney powers, limits, and responsibilities.	3.96
69	Knowledge of best interest principle regarding fiduciary decisionmaking.	3.77
71	Knowledge of self-assessment techniques to identify conflict of interests.	3.76
84	Knowledge of insurance options for fiduciary practice.	3.69
85	Knowledge of bonding requirements and procedures.	3.69
66	Knowledge of standards and requirements for submitting fiduciary court documents.	3.67
79	Knowledge of actions that require court approval and procedures to attain that approval.	3.59
74	Knowledge of circumstances that warrant notification to interested parties related to client/estate.	3.55
82	Knowledge of citations, fines, and disciplinary actions regarding failure to comply with Professional Fiduciaries Bureau laws and regulations.	3.54
67	Knowledge of court notification requirements related to client/estate.	3.53
78	Knowledge of current and historical preferences of the client to guide fiduciary decisions.	3.51
70	Knowledge of substituted judgment principle regarding fiduciary decisionmaking.	3.48

73	Knowledge of fiduciary mandated reporting requirements for suspected elder and child abuse and neglect.	3.47
63	Knowledge of conservator/guardian powers, limits, and responsibilities.	3.42
68	Knowledge of least restrictive alternative principle regarding fiduciary decisionmaking.	3.42
86	Knowledge of contingency planning methods.	3.20
60	Knowledge of fiduciary responsibility to report changes in client's functional ability.	3.16

APPENDIX D. LETTER TO PRACTITIONERS



Professional Fiduciaries Bureau
1625 N. Market Blvd., Suite S-209
Sacramento, CA 95834
P (916) 574-7340 | F (916) 574-8645 | http://www.fiduciary.ca.gov

December 15, 2017

First Name Last Name
Address
City, State Zipcode

Dear Licensed Fiduciary,

The Professional Fiduciaries Bureau is inviting you to participate in the 2017 Occupational Analysis regarding the fiduciary profession. The Bureau has authorized 1 hour of Continuing Education credit to be earned by taking this survey. To gain the credit, you must provide your license number at the end of the survey.

The Bureau is working with the Department of Consumer Affairs' Office of Professional Examination Services (OPES) to conduct the occupational analysis which aims at describing current practice in terms of the tasks performed and the knowledge required to perform those tasks. The occupational analysis is only conducted every five to seven years and your feedback will be used for the development of the licensing examination.

The occupational analysis survey was developed with input from practicing fiduciaries. Your ratings to the tasks and knowledges in the survey will be combined with the ratings from other fiduciaries to determine the tasks and knowledge needed for independent practice. Your individual responses will be kept confidential.

The survey will be available from December 15, 2017 to January 12, 2018, 24 hours a day, 7 days a week. It will take approximately 60 minutes to complete the online survey questionnaire. For your convenience, you may begin the survey and exit to return at a later time, as long as it is from the same computer.

If you are interested in participating in this important project, please:

Record your Fiduciary License # for reference: _____
The Survey Web-link Password is: pfb17 (all lower case)
Use the following link to access the survey:
https://www.surveymonkey.com/r/Fiduciary17

We appreciate your dedication to your profession and to our mission of protecting the consumers of California by licensing qualified and competent providers.

Sincerely,

[Handwritten signature of Rebecca May]

Rebecca May, Chief
Professional Fiduciaries Bureau

APPENDIX E. TASK AND KNOWLEDGE LINKAGE

APPENDIX E: TASK AND KNOWLEDGE LINKAGE

1. Client Management (30%) - This area assesses the candidate's knowledge of client assessment, intake, plan development and implementation to meet the clients' needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Number</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
A. Assessment and Intake (15%)	T1.	Review client estate planning and court documents (e.g., trusts, petitions, powers of attorney) to understand scope of fiduciary administration.	K1. Knowledge of case requirements and fiduciary resources to meet case needs.
			K2. Knowledge of fiduciary powers, limits, and responsibilities as specified in governing documents.
			K5. Knowledge of professional fiduciary scope of practice.
			K6. Knowledge of roles and responsibilities in fiduciary client relationships
			K3. Knowledge of methods for case intake/assessment.
			K4. Knowledge of self-assessments to determine ability to handle client needs.
			K5. Knowledge of professional fiduciary scope of practice
T2.	Assess requirements and needs of case relative to fiduciary resources and expertise.	K3. Knowledge of methods for case intake/assessment.	
		K4. Knowledge of self-assessments to determine ability to handle client needs.	
		K5. Knowledge of professional fiduciary scope of practice	
T3.	Communicate to client and interested parties the roles and responsibilities of the fiduciary and client, including the type and extent of services to be provided.	K2. Knowledge of fiduciary powers, limits, and responsibilities as specified in governing documents.	
		K6. Knowledge of roles and responsibilities in fiduciary client relationships.	
		K7. Knowledge of techniques for communicating with client and clients' family, friends, and service providers.	
		K8. Knowledge of methods of assessing clients' current medical, physical, social, and psychological needs.	
T4.	Assess client current medical, financial, psychological, legal, physical, and social conditions to identify areas of immediate needs.	K9. Knowledge of assessment tools for needs analysis.	
		K10. Knowledge of methods for assessing clients' current financial and legal needs.	
T6.	Evaluate ability and desire of client to manage personal finances.	K10. Knowledge of resources for assessing clients' current financial and legal needs	
		K13. Knowledge of methods and procedures for determining ability of client to manage cash and assets.	
T7.	Inventory client personal assets, and tangible and intangible property.	K15. Knowledge of methods and procedures for conducting inventory of client assets.	
		K12. Knowledge of community, government, and private resources for meeting client needs.	
B. Plan Development (10%)	T5.	Establish team of service providers and resources to implement care plan.	K14. Knowledge of methods and procedures for developing written care plan to meet client needs.

	T8.	Develop plan for managing clients' initial and long-term personal, medical, and financial needs	K14. Knowledge of methods and procedures for developing written care plan to meet client needs.
	T9.	Establish and maintain client records of medical and personal information.	K16. Knowledge of methods and procedures for securing and storing client medical and personal records.
	T11.	Determine the level of care that is required and possible to meet the clients' present and ongoing needs.	K18. Knowledge of methods to determine level of care required to meet client needs. K19. Knowledge of resources for evaluating client and environment to determine level of care.
	T10.	Ensure client estate planning documents are current, implemented, and reflect client's preferences.	K17. Knowledge of interview techniques for identifying client preferences (e.g., personal, cultural, religious). K24. Knowledge of health care documents that guide fiduciary decisionmaking (e.g., healthcare power of attorney (HCPoA), Physician Orders for Life Sustaining Treatment (POLST), and advance healthcare directives). K87. Knowledge of methods for implementing estate plan to meet clients' financial and legal needs.
	T12.	Advocate on behalf of client to ensure personal desires, needs, and preferences are respected (e.g., religious preferences, socialization, end of life and burial decisions).	K17. Knowledge of interview techniques for identifying client preferences (e.g., personal, cultural, religious). K21. Knowledge of advocacy methods to ensure client needs and preferences are respected.
	T13.	Monitor and adjust care plan at regular intervals to ensure client safety and welfare.	K11. Knowledge of indicators that client may be at risk for abuse. K22. Knowledge of monitoring techniques to ensure client well-being and safety.
	T14.	Perform wellness checks of client to ensure quality of care.	K11. Knowledge of indicators that client may be at risk for abuse. K23. Knowledge of methods and resources for conducting wellness checks.
	T15.	Make health care decisions in accordance with laws, regulations, court orders, and client preferences.	K20. Knowledge of client rights under conservatorships/guardianships. K24. Knowledge of health care documents that guide fiduciary decisionmaking (e.g., healthcare power of attorney (HCPoA), Physician Orders Life Sustaining Treatment (POLST), and advance healthcare directives). K25. Knowledge of client and fiduciary role in health care decisionmaking.
	T16.	Manage the response to emergency medical and psychological crisis situations of client.	K26. Knowledge of procedures for medical/psychiatric holds. K27. Knowledge of reporting agencies for emergency situations.

2. Financial Management (30%) - This area assesses the candidate's knowledge of financial assessment, plan development and implementation to meet the client or estate financial needs and case requirements in accordance with the roles and responsibilities of a professional fiduciary.

<i>Subarea</i>	<i>Task Number</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
A. Financial Assessment (5%)	T17.	Assess client/estate finances, assets, and liabilities to determine status of estate.	K28. Knowledge of methods and procedures for conducting financial reviews and audits. K30. Knowledge of methods to notify income sources, financial institutions, benefit providers, government agencies and creditors regarding the fiduciary relationship.
	T21.	Identify additional sources of income, assistance, and benefits available to client/estate.	K30. Knowledge of methods to notify income sources, financial institutions, benefit providers, government agencies and creditors regarding the fiduciary relationship. K33. Knowledge of public benefit programs and eligibility requirements.
	T18.	Marshal client/estate assets in accordance with estate planning and court documents.	K29. Knowledge of methods and procedures for marshalling of client/estate assets. K34. Knowledge of methods and procedures for locating client/estate assets.
	T20.	Establish accounts for management of client/estate funds, investments, and ordinary expenses.	K31. Knowledge of methods and procedures for establishing accounts for the management of client/estate funds. K50. Knowledge of Uniform Prudent Investor Act (UPIA).
B. Financial Implementation (20%)	T20.	Arrange for valuation of client/estate assets (e.g., real, financial, and personal).	K32. Knowledge of professional resources for appraisal of client/estate assets.
	T22.	Identify and pursue collection of unclaimed/hidden property and assets of client/estate.	K34. Knowledge of methods and procedures for locating client/estate assets. K35. Knowledge of methods and procedures to collect unclaimed property and hidden/missing assets. K45. Knowledge of methods to obtain official public records.
	T23.	Manage insurance coverage of property, health, casualty, and liability to minimize client/estate risk.	K36. Knowledge of methods to evaluate client/estate insurance needs. K37. Knowledge of different types of insurance to manage client/estate risk.
	T24.	Ensure security of client/estate tangible and intangible assets.	K38. Knowledge of medical billing issues and troubleshooting. K39. Knowledge of methods and procedures to secure tangible assets. K40. Knowledge of methods to safeguard intangible assets.

T25.	Research, update, and resolve client/estate tax issues.	K41. Knowledge of resources for managing tax obligations of client/estate. K42. Knowledge of taxable events and deductions.
T28.	Establish and maintain financial records of client/estate.	K46. Knowledge of methods for reconciling active accounts of client/estate. K47. Knowledge of methods and requirements for document retention. K55. Knowledge of financial statement terminology and interpretation.
T30.	Pursue claims and defend against actions on behalf of the client/estate.	K51. Knowledge of laws related to pursuing claims and defending against actions on behalf of client/estate.
T31.	Liquidate property or assets to meet client/estate needs or requests.	K42. Knowledge of taxable events and deductions. K52. Knowledge of procedures for liquidating client/estate assets
T32.	Complete accountings as required by law and governing documents.	K46. Knowledge of methods for reconciling active accounts of client/estate. K53. Knowledge of methods for conducting and reporting trust or court accounting.
T33.	Monitor investment accounts to ensure results are consistent with investment policy.	K42. Knowledge of taxable events and deductions. K54. Knowledge of methods for monitoring investment accounts. K55. Knowledge of financial statement terminology and interpretation.
T34.	Monitor assets for unauthorized activities and indicators of fraud and abuse.	K46. Knowledge of methods for reconciling active accounts of client/estate. K56. Knowledge of indicators of financial abuse.
T35.	Distribute client/estate assets in accordance with estate or court documents.	K42. Knowledge of taxable events and deductions. K57. Knowledge of laws and regulations for distribution of assets.
T36.	Manage client/estate real property in accordance with governing documents.	K58. Knowledge of procedures for buying, selling, and managing real property.
T26.	Develop plans and procedures to meet client/estate immediate, short-term, and ongoing financial needs.	K43. Knowledge of methods and techniques for managing funds to support long-term financial solvency. K44. Knowledge of methods and techniques for budgeting. K49. Knowledge of financial planning techniques.
T27.	Establish and maintain a budget for paying client/estate recurring bills, obligations, and expenses.	K44. Knowledge of methods and techniques for budgeting.

C. Financial Plan Development (5%)

T29. Develop investment policy statement to meet client/estate needs.

- K43. Knowledge of methods and techniques for managing funds to support long-term financial solvency.
- K49. Knowledge of financial planning techniques.
- K50. Knowledge of Uniform Prudent Investor Act (UPIA).

3. Laws, Regulations, and Ethics (40%) - This area assesses the candidate's knowledge of laws, regulations, and ethical standards that govern the duties and responsibilities of a professional fiduciary.

<i>Task Number</i>	<i>Task Statements</i>	<i>Associated Knowledge Statements</i>
T37.	Extend or reduce fiduciary oversight in response to changes in client functional ability.	K59. Knowledge of fiduciary's role in decisionmaking (e.g., financial, medical, placement). K60. Knowledge of fiduciary responsibility to report changes in client's functional ability. K69. Knowledge of best interest principle regarding fiduciary decisionmaking.
T38.	Adhere to fiduciary powers as specified in court orders and estate planning documents.	K61. Knowledge of trustee powers, limits, and responsibilities. K62. Knowledge of executor/administrator powers, limits, and responsibilities. K63. Knowledge of conservator/guardian powers, limits, and responsibilities. K64. Knowledge of agent under general power of attorney powers, limits, and responsibilities. K65. Knowledge of fiduciary's legal and ethical responsibilities related to conducting and reporting an accounting of the estate. K66. Knowledge of standards and requirements for submitting fiduciary court documents. K67. Knowledge of court notification requirements related to client/estate. K85. Knowledge of bonding requirements and procedures. K59. Knowledge of fiduciary's role in decisionmaking (e.g., financial, medical, placement).
T39.	Submit required reports and documents to the court.	K66. Knowledge of standards and requirements for submitting fiduciary court documents. K67. Knowledge of court notification requirements related to client/estate. K85. Knowledge of bonding requirements and procedures.
T40.	Select least restrictive alternatives for client to balance safety and autonomy.	K68. Knowledge of least restrictive alternative principle regarding fiduciary decisionmaking. K69. Knowledge of best interest principle regarding fiduciary decisionmaking. K70. Knowledge of substituted judgment principle regarding fiduciary decisionmaking.
T41.	Comply with laws and ethical guidelines regarding conflict of interest.	K71. Knowledge of self-assessment techniques to identify conflict of interests. K72. Knowledge of professional fiduciary ethical standards regarding conflict of interest.
T42.	Report suspected physical, psychological, financial, and sexual abuse of client in accordance with laws and regulations.	K73. Knowledge of fiduciary mandated reporting requirements for suspected elder and child abuse and neglect. K74. Knowledge of circumstances that warrant notification to interested parties related to client/estate.
T43.	Communicate changes in condition of client/estate in accordance with governing documents and ethics.	K74. Knowledge of circumstances that warrant notification to interested parties related to client/estate. K75. Knowledge of professional fiduciary ethical standards regarding communication.

		K74. Knowledge of circumstances that warrant notification to interested parties related to client/estate.
		K75. Knowledge of professional fiduciary ethical standards regarding communication.
T44.	Maintain confidentiality of client/estate personal and financial information in accordance with laws and regulations.	K76. Knowledge of legal requirements regarding confidentiality of client/estate records and case files. K77. Knowledge of laws related to disclosure of client/estate personal and financial information.
T45.	Ascertain current and historical preferences of the client to guide fiduciary decisions.	K78. Knowledge of current and historical preferences of the client to guide fiduciary decisions.
T46.	Identify client/estate situations that require court guidance or approval.	K79. Knowledge of actions that require court approval and procedures to attain that approval. K80. Knowledge of licensing fees and renewal time frames to maintain professional fiduciary license. K81. Knowledge of continuing education requirements to maintain professional fiduciary license. K82. Knowledge of citations, fines, and disciplinary actions regarding failure to comply with Professional Fiduciaries Bureau laws and regulations. K83. Knowledge of requirements for filing annual statement with Professional Fiduciaries Bureau.
T47.	Maintain fiduciary license in accordance with laws and regulations.	
T48.	Adopt risk management strategies for fiduciary practice to protect client/estate (e.g., errors and omissions, disaster plans, bonding, cyber protection/security).	K84. Knowledge of insurance options for fiduciary practice. K85. Knowledge of bonding requirements and procedures. K86. Knowledge of contingency planning methods.

APPENDIX F. QUESTIONNAIRE

Occupational Analysis of the Professional Fiduciary Profession

Dear Professional Fiduciary:

The Professional Fiduciaries Bureau needs your help in identifying the important tasks that licensed professional fiduciaries perform on the job and the knowledge they need to perform these tasks. The results of the occupational analysis will be used to update the professional fiduciary examination so that it reflects current practice.

Your responses will be combined with those of other licensed professional fiduciaries to determine group trends. Your individual responses will be kept confidential.

This questionnaire has three parts:

PART I asks you for background information about yourself and your current job.

PART II asks you to rate tasks in terms of:

- HOW OFTEN you perform each task in your current job; and,
- HOW IMPORTANT the performance of each task is to your current job.

PART III asks you to rate knowledges in terms of HOW IMPORTANT each knowledge is to the performance of tasks in your current job.

Your participation is essential to the success of the occupational analysis, and your contributions will help ensure that future professional fiduciaries are qualified to practice.

Please submit the completed questionnaire no later than January 12th, 2018.

Please note:

Once you have started the questionnaire, you can exit at any time and return to it later as long as you are using the same computer. The questionnaire automatically saves fully completed pages, but it will not save partially completed pages. Therefore, if you exit the survey on a page with only a few questions completed, you can return to that same page but will need to answer those few questions again. The Web link to the questionnaire is available 24 hours a day, 7 days a week, for your convenience. Please keep track of how long it takes for you to complete the survey.

If you have any questions about completing this survey, please contact Brian Knox at Brian.Knox@dca.ca.gov. The Bureau welcomes your participation in this project and thanks you for your time

Occupational Analysis of the Professional Fiduciary Profession

The Bureau recognizes that every professional fiduciary may not perform all of the tasks or use all of the knowledge contained in this questionnaire. However, your contributions will help establish standards for safe and effective professional fiduciary practice in the State of California.

Complete this questionnaire only if you are currently licensed as a professional fiduciary in California.

Part I - Personal Data

The information you provide here is voluntary and confidential. It will be treated as personal information subject to the Information Practices Act (Civil Code section 1798 et seq.), and will be used only for the purpose of analyzing the ratings from this questionnaire.

* 1. Are you currently employed as a licensed professional fiduciary in California?

Yes

No

2. Which of the following client/case types do you manage in your fiduciary practice? (Select all that apply)

Conservatorship/Guardianship of person

Conservatorship of Estate

Trust management

Special needs trust management

Representative Payee

Probate

Other (please specify)

3. How would you describe your primary client/case type?

Conservatorship/Guardianship of person

Conservatorship of Estate

Trust management

Special needs trust management

Representative Payee

Probate

Other (please specify)

Part I - Personal Data (continued)

4. How many years have you worked as a professional fiduciary in California?

- 0 to 5 years
- 6 to 10 years
- 11 to 20 years
- More than 20 years

5. How many years have you worked as a licensed professional fiduciary in California?

- 0 to 5 years
- 6 to 10 years

6. How many hours per week do you work as a professional fiduciary?

- 9 hours or less
- 10 to 19 hours
- 20 to 29 hours
- 30 to 39 hours
- 40 or more hours

7. How many clients/cases do you currently manage ?

- 0 to 10
- 11 to 20
- 21 to 30
- 31 to 40
- More than 40

8. What describes the location of your primary work setting?

- Urban (greater than 50,000 people)
- Rural (less than 50,000 people)

Part I - Personal Data (continued)

9. What is the highest level of education you have achieved?

- On-the-job training
- some college/no degree
- Associate degree
- Bachelor's degree
- Master's degree
- Doctorate
- Other formal education (please specify)

10. How many staff do you employ (other than yourself) at your practice?

- 0
- 1 - 2
- 3 - 5
- 6 - 10
- 11 +

11. What is the total amount of assets you currently manage as a professional fiduciary?

- Under 5 million
- 5 - 10 million
- 11 - 25 million
- 26 - 50 million
- 51 - 100 million
- Over 100 million

12. Do you hold a California Professional license in any of the follow areas? (Select all that apply)

- Real estate
- Teaching
- Tax/Accounting
- Financial planning
- Notary
- Nursing/Social work
- Enrolled agent
- Attorney
- Other (please specify)

Part I - Personal Data (continued)

13. In what California county do you perform the majority of your work?

- | | | |
|------------------------------------|---------------------------------------|-------------------------------------|
| <input type="radio"/> Alameda | <input type="radio"/> Marin | <input type="radio"/> San Mateo |
| <input type="radio"/> Alpine | <input type="radio"/> Mariposa | <input type="radio"/> Santa Barbara |
| <input type="radio"/> Amador | <input type="radio"/> Mendocino | <input type="radio"/> Santa Clara |
| <input type="radio"/> Butte | <input type="radio"/> Merced | <input type="radio"/> Santa Cruz |
| <input type="radio"/> Calaveras | <input type="radio"/> Modoc | <input type="radio"/> Shasta |
| <input type="radio"/> Colusa | <input type="radio"/> Mono | <input type="radio"/> Sierra |
| <input type="radio"/> Contra Costa | <input type="radio"/> Monterey | <input type="radio"/> Siskiyou |
| <input type="radio"/> Del Norte | <input type="radio"/> Napa | <input type="radio"/> Solano |
| <input type="radio"/> El Dorado | <input type="radio"/> Nevada | <input type="radio"/> Sonoma |
| <input type="radio"/> Fresno | <input type="radio"/> Orange | <input type="radio"/> Stanislaus |
| <input type="radio"/> Glenn | <input type="radio"/> Placer | <input type="radio"/> Sutter |
| <input type="radio"/> Humboldt | <input type="radio"/> Plumas | <input type="radio"/> Tehama |
| <input type="radio"/> Imperial | <input type="radio"/> Riverside | <input type="radio"/> Trinity |
| <input type="radio"/> Inyo | <input type="radio"/> Sacramento | <input type="radio"/> Tulare |
| <input type="radio"/> Kern | <input type="radio"/> San Benito | <input type="radio"/> Tuolumne |
| <input type="radio"/> Kings | <input type="radio"/> San Bernardino | <input type="radio"/> Ventura |
| <input type="radio"/> Lake | <input type="radio"/> San Diego | <input type="radio"/> Yolo |
| <input type="radio"/> Lassen | <input type="radio"/> San Francisco | <input type="radio"/> Yuba |
| <input type="radio"/> Los Angeles | <input type="radio"/> San Joaquin | |
| <input type="radio"/> Madera | <input type="radio"/> San Luis Obispo | |

Part II - Task Rating Instructions

In this part of the questionnaire, you will be presented with 45 tasks reflecting the nature of professional fiduciary practice in California. First, you will be asked to rate each task first in terms of frequency (how frequently you perform the task) Then you will rate the same task in terms of importance (how important the task is in the performance of your current practice).

Please rate each task as it relates to your current practice as a licensed professional fiduciary . Do not respond based on what you believe all professional fiduciaries should be expected to know or be able to do. Additionally, it is important to complete the survey based on professional fiduciary practice as opposed to practice in other professions. Data inconsistent with these instructions will be omitted from analysis.

Your importance and frequency ratings should be separate and independent ratings. Therefore, the ratings that you assign on one rating scale should not influence the ratings that you assign on another rating scale. For example, you may perform a task frequently, but the task may not be important.

If the task is NOT a part of your current job, rate the task as “Does Not Apply To My Job” for frequency and “Not Important/Does Not Apply” for importance.

The boxes for rating the importance and frequency of each task have drop-down lists. Click on the “down” arrow for each list to see the ratings and then select the option based on your current practice.

Part II - Job Task Ratings

Please use the scales below to rate the tasks on the next 4 pages.

FREQUENCY SCALE

HOW OFTEN do you perform this task in your current job? Consider all of the job tasks you have performed over the past year and make your judgment relative to all other tasks you perform.

- 0 - DOES NOT APPLY TO MY JOB. I never perform this task in my job.
- 1 - RARELY. This is one of the least frequently performed tasks in my job.
- 2 - SELDOM. This task is performed infrequently relative to other tasks that I perform in my job.
- 3 - OCCASIONALLY. This task is performed somewhat frequently and is about average relative to all other tasks that I perform in my job.
- 4 - OFTEN. This task is performed more frequently than most other tasks in my job.
- 5 - VERY OFTEN. I perform this task almost constantly and it is one of the most frequently performed tasks in my job.

IMPORTANCE SCALE

HOW IMPORTANT is performance of this task in your current practice? Consider all of the job tasks you have performed over the past year and make your judgment relative to all other tasks you perform.

- 0 - NOT IMPORTANT; DOES NOT APPLY TO MY PRACTICE. This task is not important and/or I do not perform this task in my practice.
- 1 - OF MINOR IMPORTANCE. This task has the lowest priority of all the tasks that I perform in my practice.
- 2 - FAIRLY IMPORTANT. This task is fairly important relative to other tasks; however, it does not have the priority of most other tasks that I perform in my practice.
- 3 - MODERATELY IMPORTANT. This task has about average priority among all tasks that I perform in my practice.
- 4 - VERY IMPORTANT. This task is very important for my practice; it has a higher degree of importance or priority than most other tasks that I perform in my practice.
- 5 - CRITICALLY IMPORTANT. This task is among the most critical tasks that I perform in my

practice.

Part II - Job Task Ratings

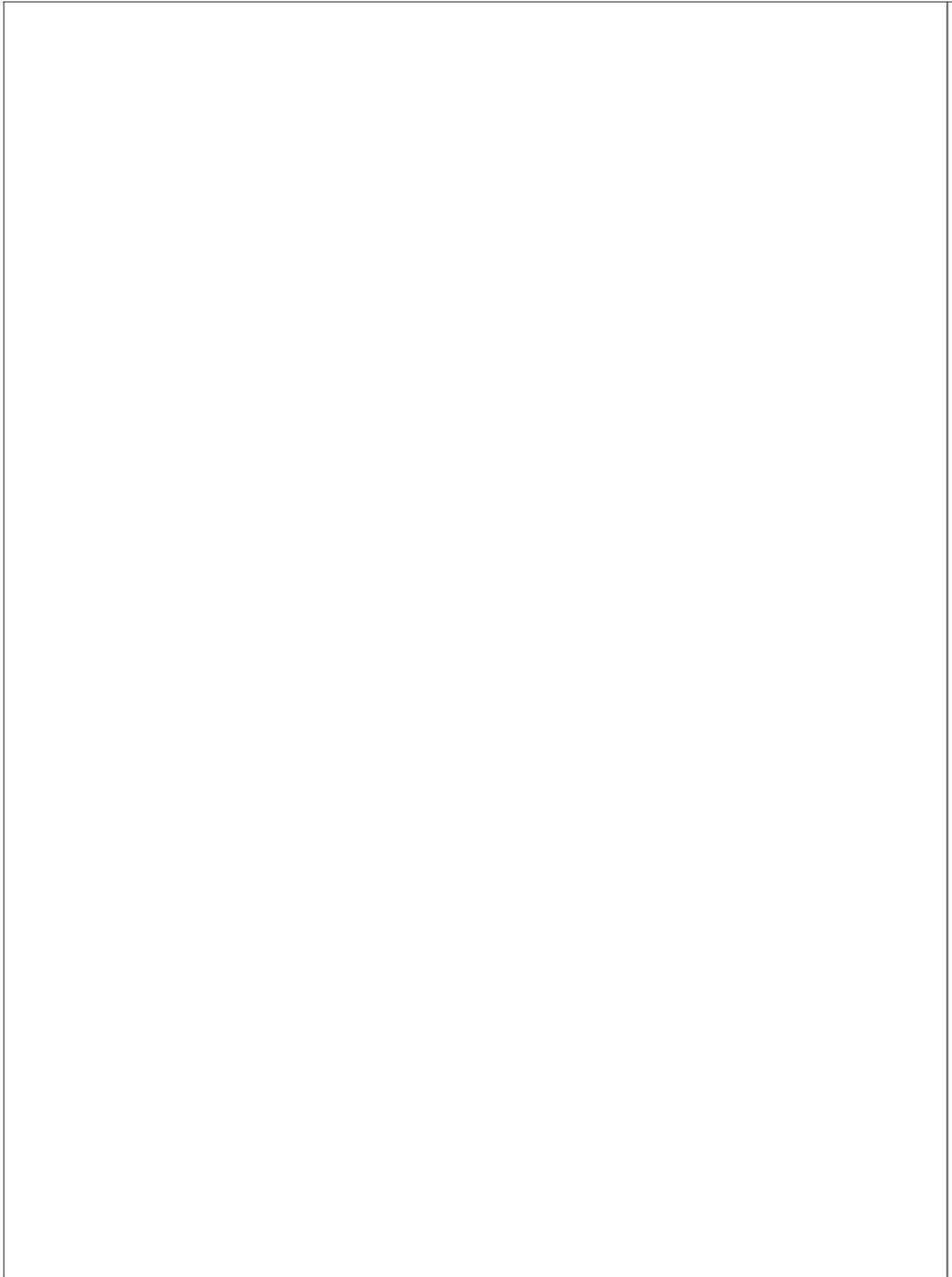
14. HOW OFTEN do you perform this task in your current job and HOW IMPORTANT is performance of this task? Consider all of the job tasks you have performed over the past year and make your judgment relative to all other tasks you perform.

	Frequency	Importance
1. Review client estate planning and court documents (e.g., trusts, petitions, powers of attorney) to understand scope of fiduciary administration.	<input type="text"/>	<input type="text"/>
2. Assess requirements and needs of case relative to fiduciary resources and expertise.	<input type="text"/>	<input type="text"/>
3. Communicate to client and interested parties the roles and responsibilities of the fiduciary and client, including the type and extent of services to be provided.	<input type="text"/>	<input type="text"/>
4. Assess client current medical, financial, psychological, legal, physical, and social conditions to identify areas of immediate needs.	<input type="text"/>	<input type="text"/>
5. Establish team of service providers and resources to implement care plan.	<input type="text"/>	<input type="text"/>
6. Evaluate ability and desire of client to manage personal finances.	<input type="text"/>	<input type="text"/>
7. Develop plan for managing clients' initial and long-term personal, medical, and financial needs.	<input type="text"/>	<input type="text"/>
8. Inventory client personal assets, and tangible and intangible property.	<input type="text"/>	<input type="text"/>
9. Establish and maintain client records of medical and personal information.	<input type="text"/>	<input type="text"/>
10. Ensure client estate planning documents are current, implemented, and reflect client's preferences.	<input type="text"/>	<input type="text"/>
11. Determine the level of care that is required and possible to meet the clients' present and ongoing needs.	<input type="text"/>	<input type="text"/>
12. Advocate on behalf of client to ensure personal desires, needs, and preferences are respected (e.g., religious preferences, socialization, end of life and burial decisions).	<input type="text"/>	<input type="text"/>
13. Monitor and adjust care plan at regular intervals to ensure client safety and welfare.	<input type="text"/>	<input type="text"/>
14. Perform wellness checks of client to ensure quality of care.	<input type="text"/>	<input type="text"/>
15. Make health care decisions in accordance with laws, regulations, court orders, and client preferences.	<input type="text"/>	<input type="text"/>
16. Manage the emergency response to medical and psychological crisis situations of client.	<input type="text"/>	<input type="text"/>

Part II - Job Task Ratings

15. HOW OFTEN do you perform this task in your current job and HOW IMPORTANT is performance of this task? Consider all of the job tasks you have performed over the past year and make your judgment relative to all other tasks you perform.

	Frequency	Importance
17. Assess client/estate finances, assets, and liabilities to determine status of estate.	<input type="text"/>	<input type="text"/>
18. Marshal client/estate assets in accordance with estate planning and court documents.	<input type="text"/>	<input type="text"/>
19. Establish accounts for management of client/estate funds, investments, and ordinary expenses.	<input type="text"/>	<input type="text"/>
20. Arrange for valuation of client/estate assets (e.g., real, financial, and personal).	<input type="text"/>	<input type="text"/>
21. Identify additional sources of income, assistance, and benefits available to client/estate.	<input type="text"/>	<input type="text"/>
22. Identify and pursue collection of unclaimed/hidden property and assets of client/estate.	<input type="text"/>	<input type="text"/>
23. Manage insurance coverage of property, health, casualty, and liability to minimize client/estate risk.	<input type="text"/>	<input type="text"/>
24. Ensure security of client/estate tangible and intangible assets.	<input type="text"/>	<input type="text"/>
25. Research, update, and resolve client/estate tax issues.	<input type="text"/>	<input type="text"/>
26. Develop plans and procedures to meet client/estate immediate, short-term, and ongoing financial needs.	<input type="text"/>	<input type="text"/>
27. Establish and maintain a budget for paying client/estate recurring bills, obligations, and expenses.	<input type="text"/>	<input type="text"/>
28. Establish and maintain financial records of client/estate.	<input type="text"/>	<input type="text"/>
29. Develop investment policy statement to meet client/estate needs.	<input type="text"/>	<input type="text"/>
30. Pursue claims and defend against actions on behalf of the client/estate.	<input type="text"/>	<input type="text"/>
31. Liquidate property or assets to meet client/estate needs or requests.	<input type="text"/>	<input type="text"/>
32. Complete accountings as required by law and governing documents.	<input type="text"/>	<input type="text"/>
33. Monitor investment accounts to ensure results are consistent with investment policy.	<input type="text"/>	<input type="text"/>
34. Monitor assets for unauthorized activities and indicators of fraud and abuse.	<input type="text"/>	<input type="text"/>
35. Distribute client/estate assets in accordance with estate or court documents.	<input type="text"/>	<input type="text"/>
36. Manage client/estate real property in accordance with governing documents.	<input type="text"/>	<input type="text"/>



Part II - Job Task Ratings

16. HOW OFTEN do you perform this task in your current job and HOW IMPORTANT is performance of this task? Consider all of the job tasks you have performed over the past year and make your judgment relative to all other tasks you perform.

	Frequency	Importance
37. Extend or reduce fiduciary oversight in response to changes in client functional ability.	<input type="text"/>	<input type="text"/>
38. Adhere to fiduciary powers as specified in court orders and estate planning documents.	<input type="text"/>	<input type="text"/>
39. Submit required reports and documents to the court.	<input type="text"/>	<input type="text"/>
40. Select least restrictive alternatives for client to balance safety and autonomy.	<input type="text"/>	<input type="text"/>
41. Comply with laws and ethical guidelines regarding conflict of interest.	<input type="text"/>	<input type="text"/>
42. Report suspected physical, psychological, financial, and sexual abuse of client in accordance with laws and regulations.	<input type="text"/>	<input type="text"/>
43. Communicate changes in condition of client/estate in accordance with governing documents and ethics.	<input type="text"/>	<input type="text"/>
44. Maintain confidentiality of client/estate personal and financial information in accordance with laws and regulations.	<input type="text"/>	<input type="text"/>
45. Ascertain current and historical preferences of the client to guide fiduciary decisions.	<input type="text"/>	<input type="text"/>
46. Identify client/estate situations that require court guidance or approval.	<input type="text"/>	<input type="text"/>
47. Maintain fiduciary license in accordance with laws and regulations.	<input type="text"/>	<input type="text"/>
48. Adopt risk management strategies for fiduciary practice to protect client/estate (e.g., errors and omissions, disaster plans, bonding, cyber protection/security).	<input type="text"/>	<input type="text"/>

Part III - Knowledge Rating Instructions

In this part of the questionnaire, you will be presented with 67 knowledge statements. Please rate each knowledge statement based on how important you believe the knowledge is to the performance of tasks in your job.

If a knowledge is NOT a part of your job, rate the statement "0" (zero) importance and go on to the next item.

Please use the following importance scale to rate the knowledge statements:

IMPORTANCE SCALE

HOW IMPORTANT is this knowledge to performance of tasks in your current job?

0 - NOT IMPORTANT; NOT REQUIRED. This job knowledge does not apply to my job; it is not required for job performance.

1 - OF MINOR IMPORTANCE. This job knowledge is of minor importance for job performance; it is useful for some minor part of my job.

2 - FAIRLY IMPORTANT. This job knowledge is fairly important for job performance in some relatively major part of my job.

3 - MODERATELY IMPORTANT. This job knowledge is moderately important for job performance in some relatively major part of my job.

4 - VERY IMPORTANT. This job knowledge is very important for job performance in a significant part of my job.

5 - CRITICALLY IMPORTANT. This rating indicates that this job knowledge is critically important for job performance.

Part III - Knowledge Importance Ratings

17. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K1. Knowledge of case requirements and fiduciary resources to meet case needs.	<input type="text"/>
K2. Knowledge of fiduciary powers, limits, and responsibilities as specified in governing documents.	<input type="text"/>
K3. Knowledge of methods for case intake/assessment.	<input type="text"/>
K4. Knowledge of self-assessments to determine ability to handle client needs.	<input type="text"/>
K5. Knowledge of professional fiduciary scope of practice.	<input type="text"/>
K6. Knowledge of roles and responsibilities in fiduciary client relationships.	<input type="text"/>
K7. Knowledge of techniques for communicating with client and clients' family, friends, and service providers.	<input type="text"/>
K8. Knowledge of methods of assessing clients' current medical, physical, social, and psychological needs.	<input type="text"/>
K9. Knowledge of assessment tools for needs analysis.	<input type="text"/>
K10. Knowledge of methods for assessing clients' current financial and legal needs.	<input type="text"/>
K11. Knowledge of indicators that client may be at risk for abuse.	<input type="text"/>
K12. Knowledge of community, government, and private resources for meeting client needs.	<input type="text"/>
K13. Knowledge of methods and procedures for determining ability of client to manage cash and assets.	<input type="text"/>
K14. Knowledge of methods and procedures for developing written care plan to meet client needs.	<input type="text"/>

Part III - Knowledge Importance Ratings

18. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K15. Knowledge of methods and procedures for conducting inventory of client assets.	<input type="text"/>
K16. Knowledge of methods and procedures for securing and storing client medical and personal records.	<input type="text"/>
K17. Knowledge of interview techniques for identifying client preferences (e.g., personal, cultural, religious).	<input type="text"/>
K18. Knowledge of methods to determine level of care required to meet client needs.	<input type="text"/>
K19. Knowledge of resources for evaluating client and environment to determine level of care.	<input type="text"/>
K20. Knowledge of client rights under conservatorships/guardianships.	<input type="text"/>
K21. Knowledge of advocacy methods to ensure client needs and preferences are respected.	<input type="text"/>
K22. Knowledge of monitoring techniques to ensure client wellbeing and safety.	<input type="text"/>
K23. Knowledge of methods and resources for conducting wellness checks.	<input type="text"/>
K24. Knowledge of health care documents that guide fiduciary decision-making (e.g., healthcare power of attorney (HCPOA), physician order life-sustaining treatments (POLST), and advance healthcare directives).	<input type="text"/>
K25. Knowledge of client and fiduciary role in health care decision making.	<input type="text"/>
K26. Knowledge of procedures for medical/psychiatric holds.	<input type="text"/>
K27. Knowledge of reporting agencies for emergency situations.	<input type="text"/>

Part III - Knowledge Importance Ratings

19. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K28. Knowledge of methods and procedures for conducting financial reviews and audits.	<input type="text"/>
K29. Knowledge of methods and procedures for marshalling of client/estate assets.	<input type="text"/>
K30. Knowledge of methods to notify income sources, financial institutions, benefit providers, government agencies and creditors regarding the fiduciary relationship.	<input type="text"/>
K31. Knowledge of methods and procedures for establishing accounts for the management of client/estate funds.	<input type="text"/>
K32. Knowledge of professional resources for appraisal of client/estate assets.	<input type="text"/>
K33. Knowledge of public benefit programs and eligibility requirements.	<input type="text"/>
K34. Knowledge of methods and procedures for locating client/estate assets.	<input type="text"/>
K35. Knowledge of methods and procedures to collect unclaimed property and hidden/missing assets.	<input type="text"/>
K36. Knowledge of methods to evaluate client/estate insurance needs.	<input type="text"/>
K37. Knowledge of different types of insurance to manage client/estate risk.	<input type="text"/>
K38. Knowledge of medical billing issues and troubleshooting.	<input type="text"/>
K39. Knowledge of methods and procedures to secure tangible assets.	<input type="text"/>
K40. Knowledge of methods to safeguard intangible assets.	<input type="text"/>
K41. Knowledge of resources for managing tax obligations of client/estate.	<input type="text"/>
K42. Knowledge of taxable events and deductions.	<input type="text"/>

Part III - Knowledge Importance Ratings

20. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K43. Knowledge of methods and techniques for managing funds to support long-term financial solvency.	<input type="text"/>
K44. Knowledge of methods and techniques for budgeting.	<input type="text"/>
K45. Knowledge of methods to obtain official public records.	<input type="text"/>
K46. Knowledge of methods for reconciling active accounts of client/estate.	<input type="text"/>
K47. Knowledge of methods and requirements for document retention.	<input type="text"/>
K48. Knowledge of methods for obtaining and managing client/business credit reports.	<input type="text"/>
K49. Knowledge of financial planning techniques.	<input type="text"/>
K50. Knowledge of Uniform Prudent Investor Act (UPIA).	<input type="text"/>
K51. Knowledge of laws related to pursuing claims and defending against actions on behalf of client/estate.	<input type="text"/>
K52. Knowledge of procedures for liquidating client/estate assets.	<input type="text"/>
K53. Knowledge of methods for conducting and reporting trust or court accounting.	<input type="text"/>
K54. Knowledge of methods for monitoring investment accounts.	<input type="text"/>
K55. Knowledge of financial statement terminology and interpretation.	<input type="text"/>
K56. Knowledge of indicators of financial abuse.	<input type="text"/>
K57. Knowledge of laws and regulations for distribution of assets.	<input type="text"/>
K58. Knowledge of procedures for buying, selling, and managing real property.	<input type="text"/>

Part III - Knowledge Importance Ratings

21. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K59. Knowledge of fiduciary's role in decision making (e.g., financial, medical, placement).	<input type="text"/>
K60. Knowledge of fiduciary responsibility to report changes in client's functional ability.	<input type="text"/>
K61. Knowledge of trustee powers, limits, and responsibilities.	<input type="text"/>
K62. Knowledge of executor/administrator powers, limits, and responsibilities.	<input type="text"/>
K63. Knowledge of conservator/guardian powers, limits, and responsibilities.	<input type="text"/>
K64. Knowledge of agent under general power of attorney powers, limits, and responsibilities.	<input type="text"/>
K65. Knowledge of fiduciary's legal and ethical responsibilities related to conducting and reporting an accounting of the estate.	<input type="text"/>
K66. Knowledge of standards and requirements for submitting fiduciary court documents.	<input type="text"/>
K67. Knowledge of court notification requirements related to client/estate.	<input type="text"/>
K68. Knowledge of least restrictive alternative principle regarding fiduciary decision making.	<input type="text"/>
K69. Knowledge of best interest principle regarding fiduciary decision making.	<input type="text"/>
K70. Knowledge of substituted judgement principle regarding fiduciary decision making.	<input type="text"/>
K71. Knowledge of self-assessment techniques to identify conflict of interests.	<input type="text"/>
K72. Knowledge of professional fiduciary ethical standards regarding conflict of interest.	<input type="text"/>

22. HOW IMPORTANT is this knowledge to performance of tasks in your current job?

Importance

K73. Knowledge of fiduciary mandated reporting requirements for suspected elder and child abuse and neglect.	<input type="text"/>
K74. Knowledge of circumstances that warrant notification to interested parties related to client/estate.	<input type="text"/>
K75. Knowledge of professional fiduciary ethical standards regarding communication.	<input type="text"/>
K76. Knowledge of legal requirements regarding confidentiality of client/estate records and case files.	<input type="text"/>
K77. Knowledge of laws related to disclosure of client/estate personal and financial information.	<input type="text"/>
K78. Knowledge of current and historical preferences of the client to guide fiduciary decisions.	<input type="text"/>
K79. Knowledge of actions that require court approval and procedures to attain that approval.	<input type="text"/>
K80. Knowledge of licensing fees and renewal timeframes to maintain professional fiduciary license.	<input type="text"/>
K81. Knowledge of continuing education requirements for maintain professional fiduciary license.	<input type="text"/>
K82. Knowledge of citations, fines, and disciplinary actions regarding failure to comply with Professional Fiduciary Bureau laws and regulations.	<input type="text"/>
K83. Knowledge of requirements for filing annual statement with Professional Fiduciaries Bureau.	<input type="text"/>
K84. Knowledge of insurance options for fiduciary practice.	<input type="text"/>
K85. Knowledge of bonding requirements and procedures.	<input type="text"/>
K86. Knowledge of contingency planning methods.	<input type="text"/>
K87. Knowledge of methods and procedures for ensuring cybersecurity.	<input type="text"/>

The Professional Fiduciaries Bureau has approved 1 hour of continuing education credit for all fiduciaries who participated in this survey, if you wish to receive this credit please input your professional fiduciary license number below and it will be forwarded to the bureau.

23. Please enter your California professional fiduciary license number:

24. Please enter a current email address if you are interested in participating in future professional fiduciary studies and/or workshops (this is entirely optional and will not be linked to your answers on this survey):

Part IV - THANK YOU

Thank you for completing this questionnaire! Your feedback is extremely valuable to us.

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**D. YEAR-END BUREAU
ORGANIZATION CHARTS FOR
THE LAST FOUR FISCAL YEARS**

**Department of Consumer Affairs
Professional Fiduciaries Bureau**

July 1, 2018

FY 2018-19
Authorized Positions: 3.0

Dean R. Graffio
Director, DCA

Chris Shultz
Chief Deputy Director

* On loan from CIC

**Division of Programs & Policy
Review**
Tracy Montez
CEA
Range A

Rebecca May
Bureau Chief
618-110-9605-001

Administrative-Licensing
Angela Cuadra
SSA
618-110-5157-001
Jenny Turner
SSA
604-200-5157-003*

Enforcement
Sue Lo
AGPA
618-110-5393-001

Dean R. Graffio, Director

Tracy Montez, Division Chief

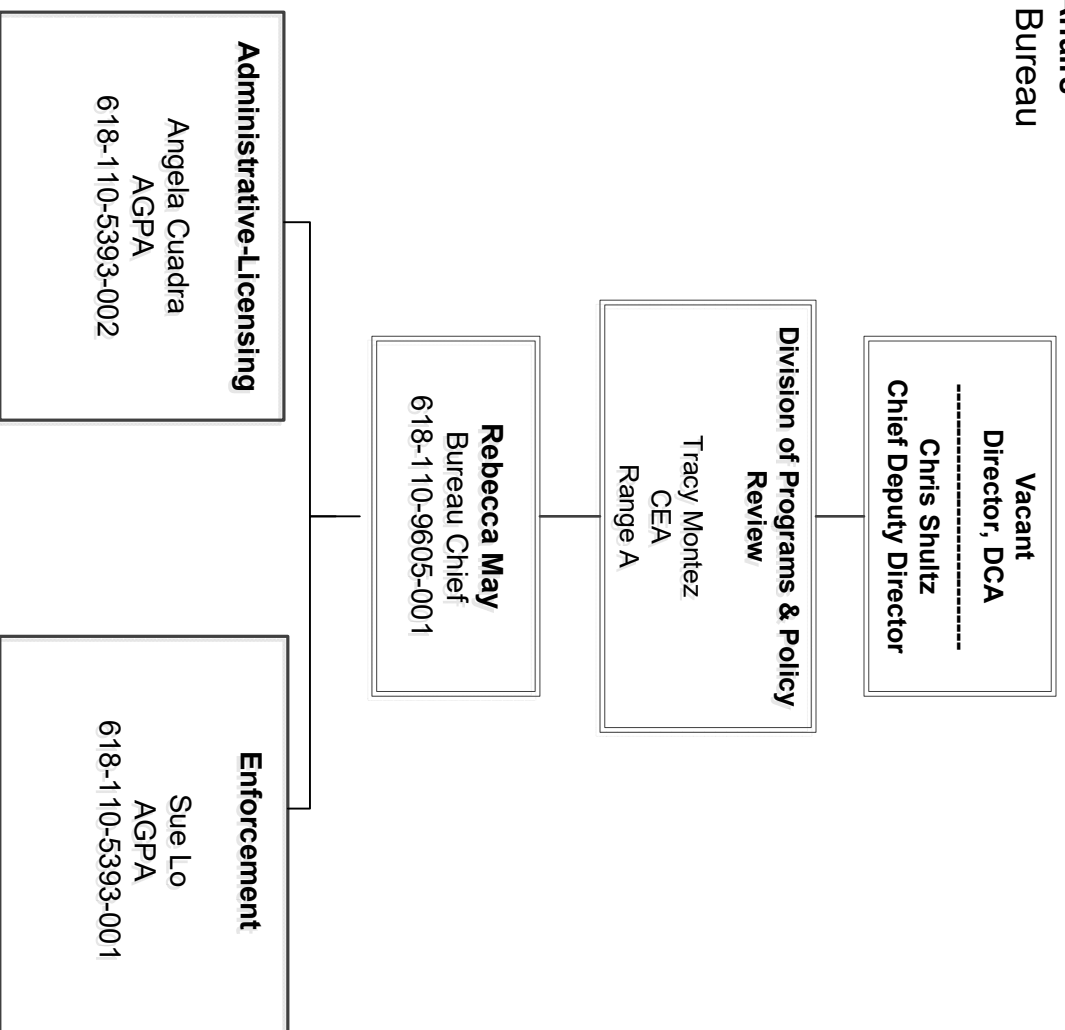
Rebecca May, Bureau Chief

C & P Analyst

**Department of Consumer Affairs
Professional Fiduciaries Bureau**

July 1, 2019

FY 2019-20
Authorized Positions: 3.0



Vacant, Director

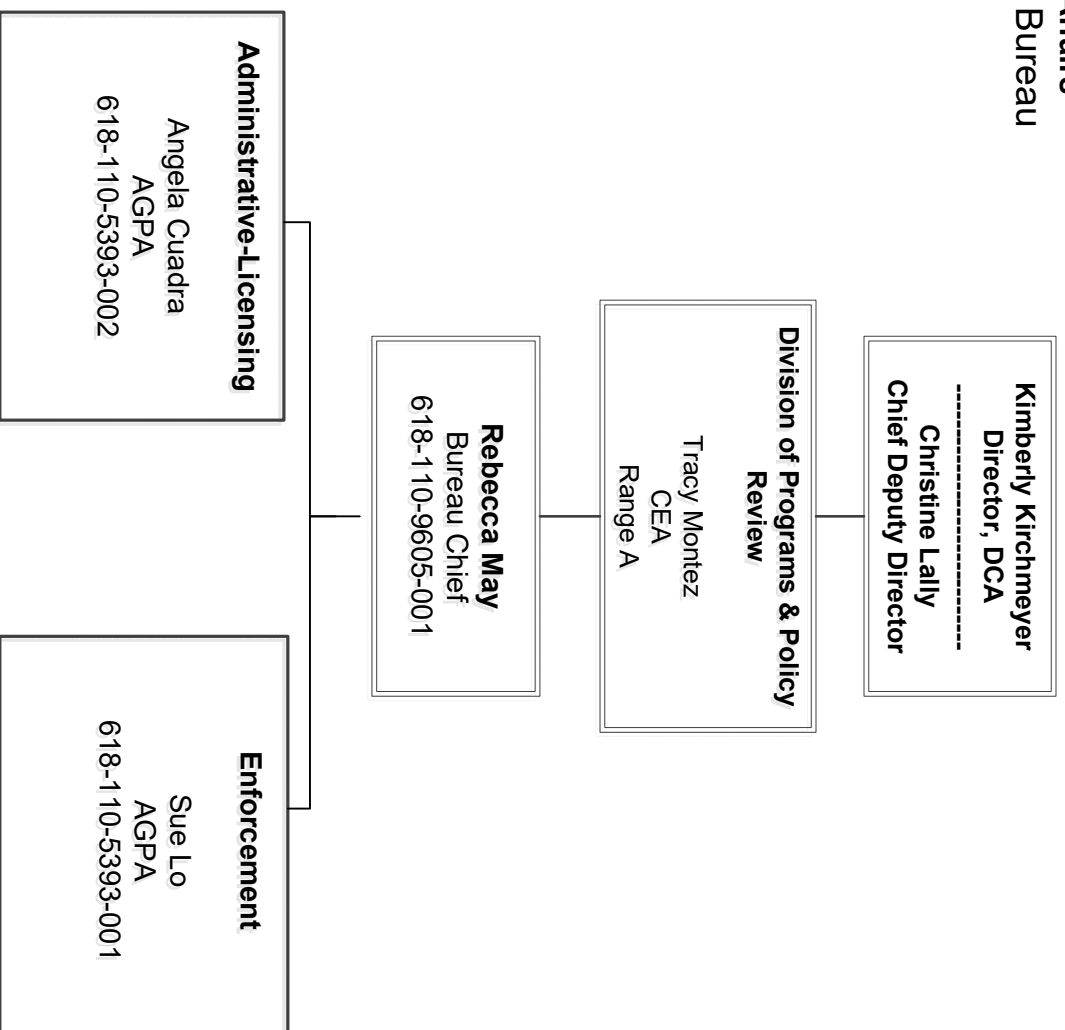
Rebecca May, Bureau Chief

C & R Analyst

**Department of Consumer Affairs
Professional Fiduciaries Bureau**

July 1, 2020

FY 2020-21
Authorized Positions: 3.0



Kimberly Kirchmeyer, Director

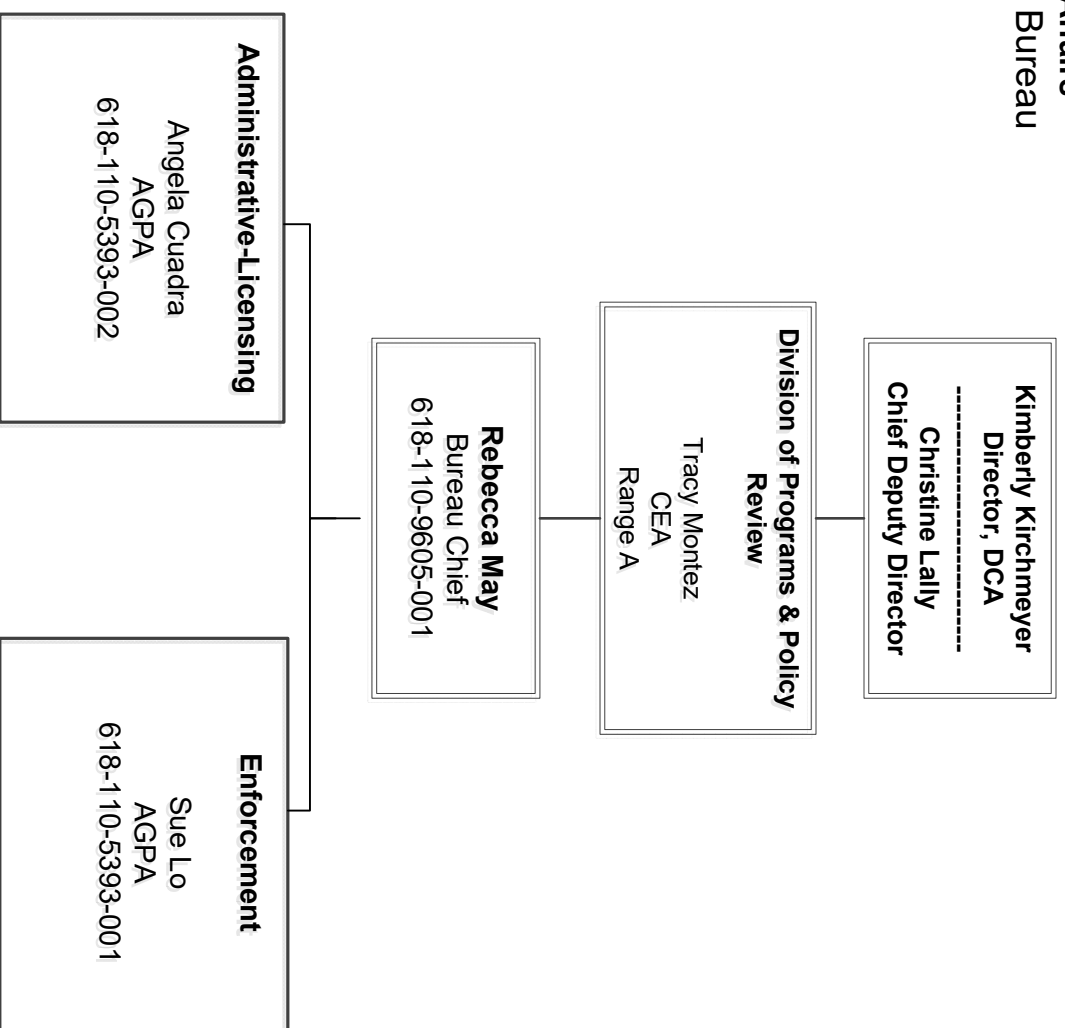
Rebecca May, Bureau Chief

C & R Analyst

**Department of Consumer Affairs
Professional Fiduciaries Bureau**

July 1, 2021

FY 2021-22
Authorized Positions: 3.0



Kimberly Kirchmeyer, Director

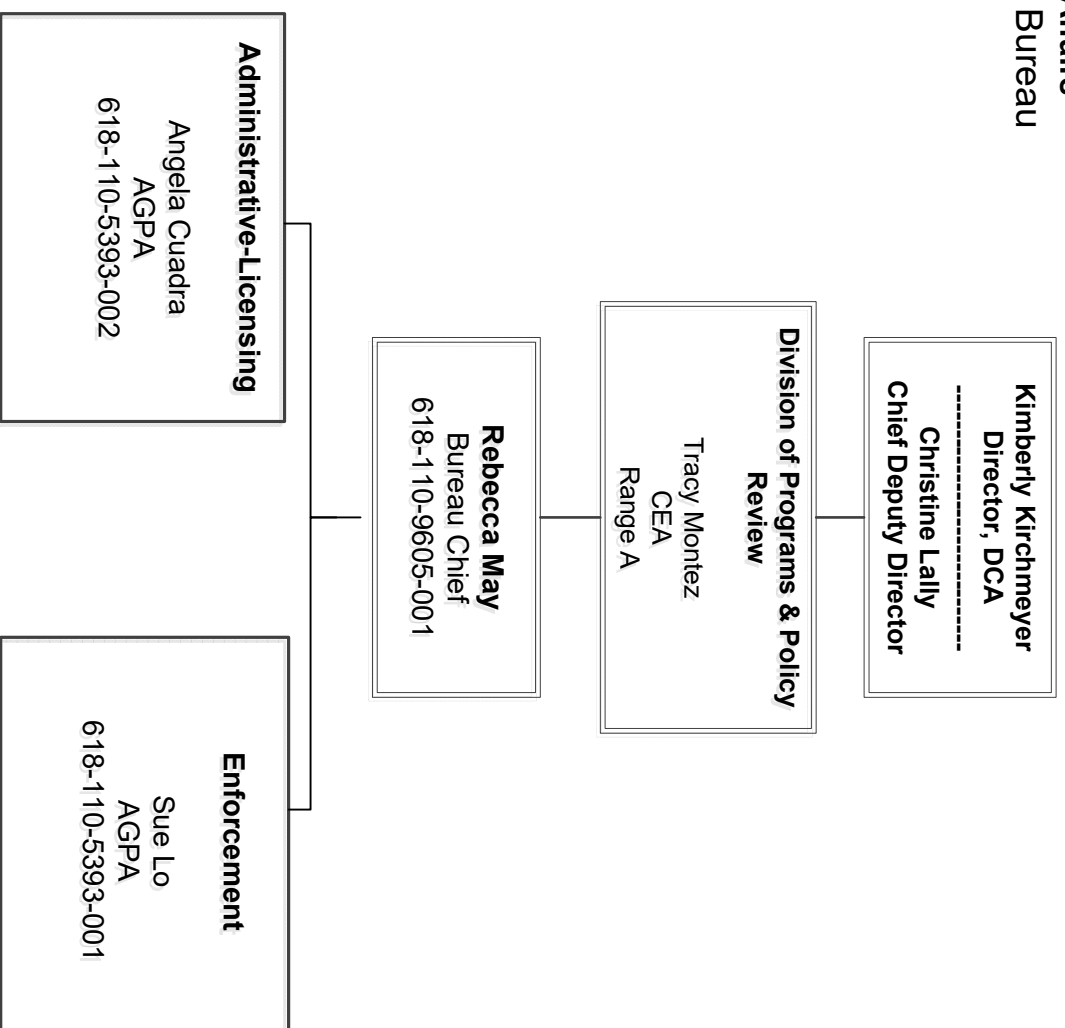
Rebecca May, Bureau Chief

Classification & Recruitment Analyst

**Department of Consumer Affairs
Professional Fiduciaries Bureau**

July 1, 2022

FY 2022-23
Authorized Positions: 3.0



Kimberly Kirchmeyer, Director

Rebecca May, Bureau Chief

Classification & Recruitment Analyst

E. QUARTERLY ENFORCEMENT PERFORMANCE MEASURES

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q1

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

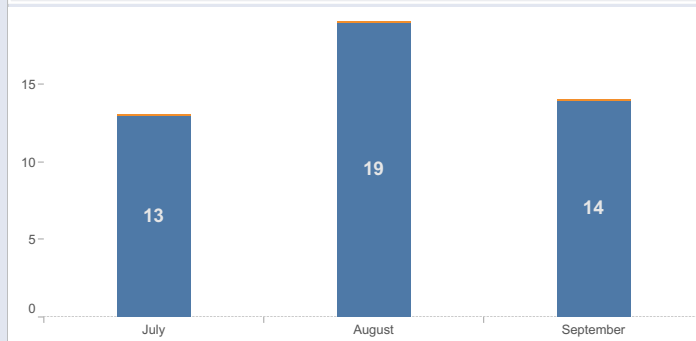
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

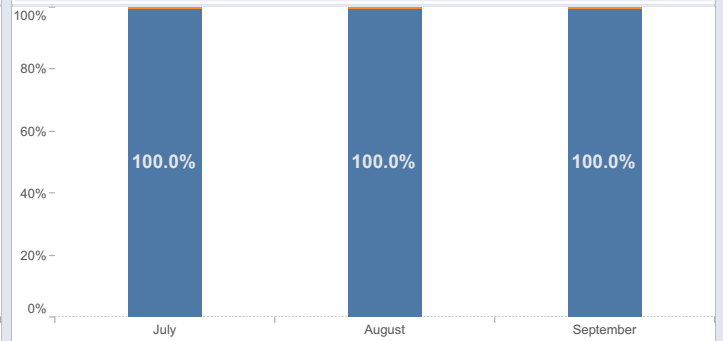
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
46	0	46

Professional Fiduciaries Bureau
SFY 2018:Q1 - Case Volume



Professional Fiduciaries Bureau
SFY 2018:Q1 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q1

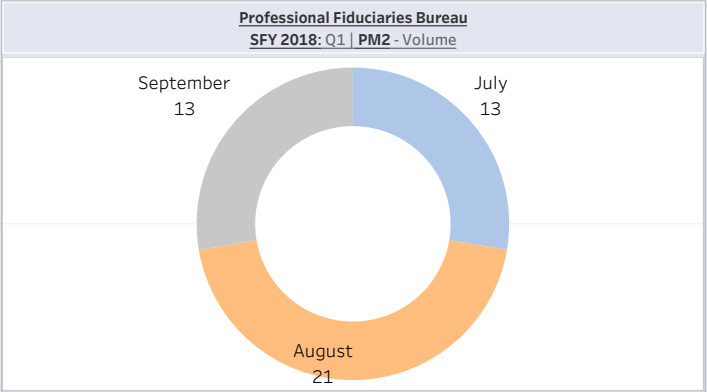
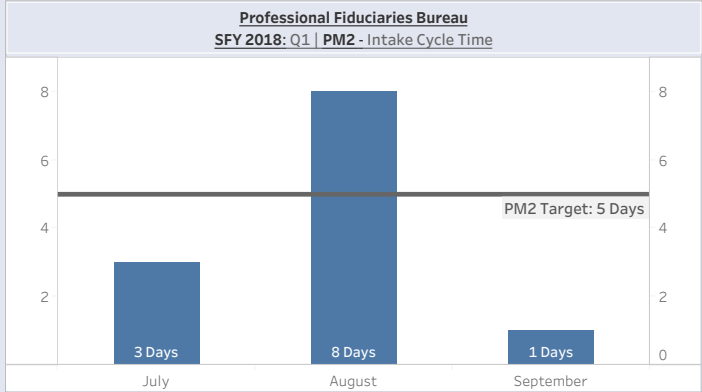
Processing Time
Actual Target

Case Volume by Month
July August September

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
47	5 Days	5 Days	0



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q1

Processing Time
 Actual Target

Case Volume by Month
 July August September

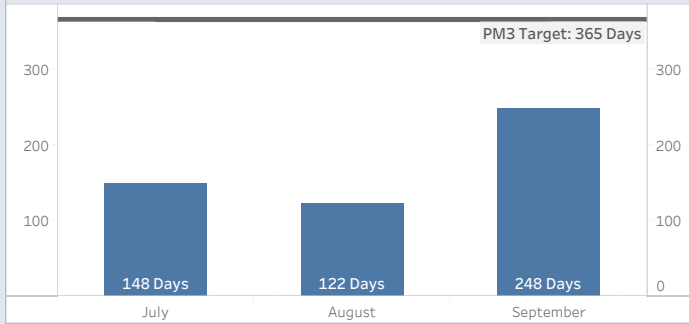
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

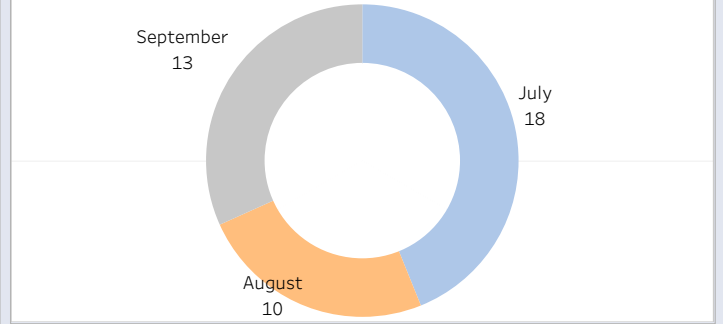
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
41	365 Days	173 Days	▼ -192 Days

Professional Fiduciaries Bureau
SFY 2018: Q1 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q1 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q1

Processing Time
 Actual Target

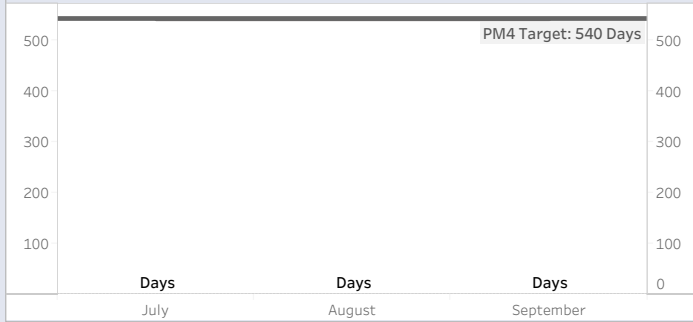
Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2018: Q1 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2018: None | PM4 - Volume

Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM7
 Select a Quarter: Q1
 Processing Time: Actual Target
 Case Volume by Month: July August September

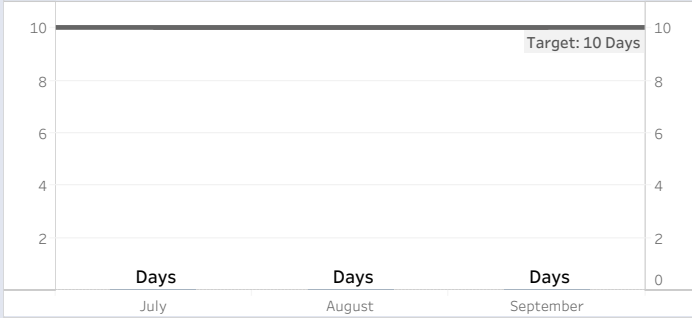
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

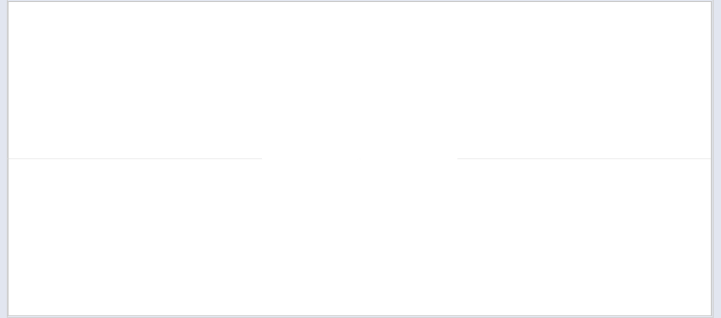
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2018: Q1 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2018: Q1 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2018 | Performance Measure: PM8 | Select a Quarter: Q1 | Processing Time: Actual (Selected), Target | Case Volume by Month: July (Selected), August, September

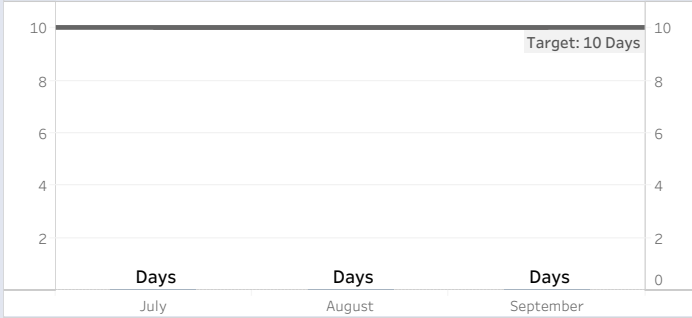
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

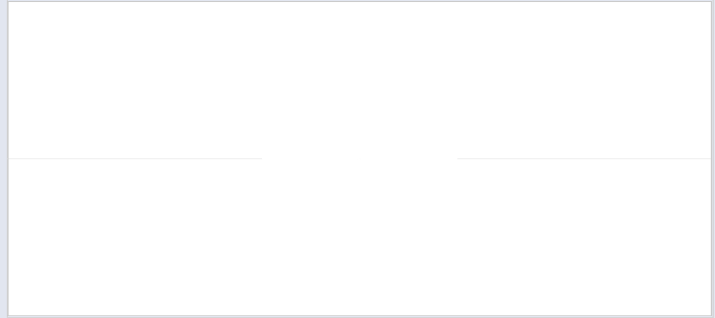
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2018: Q1 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q1 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q2

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

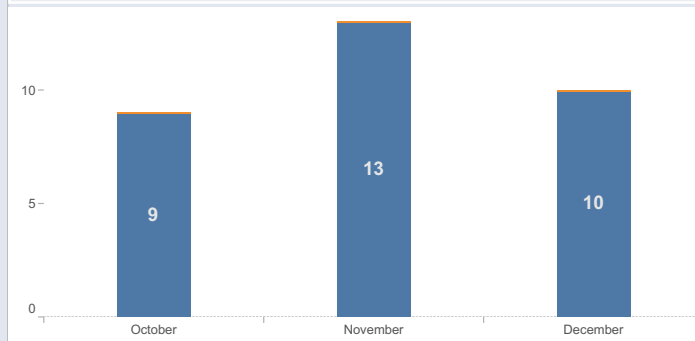
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

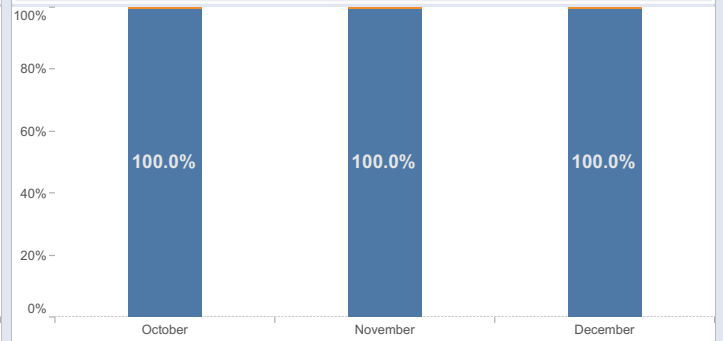
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
32	0	32

Professional Fiduciaries Bureau
SFY 2018:Q2 - Case Volume



Professional Fiduciaries Bureau
SFY 2018:Q2 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q2

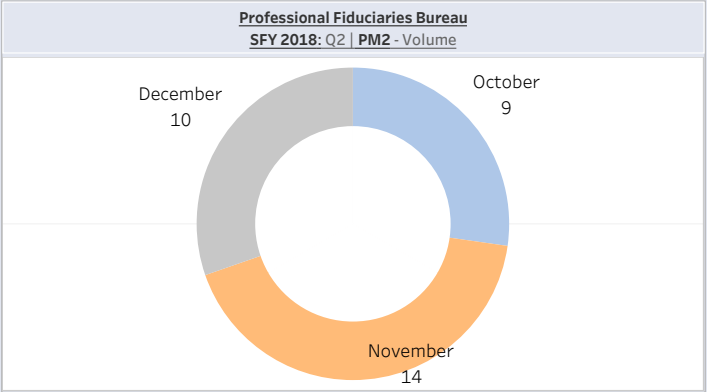
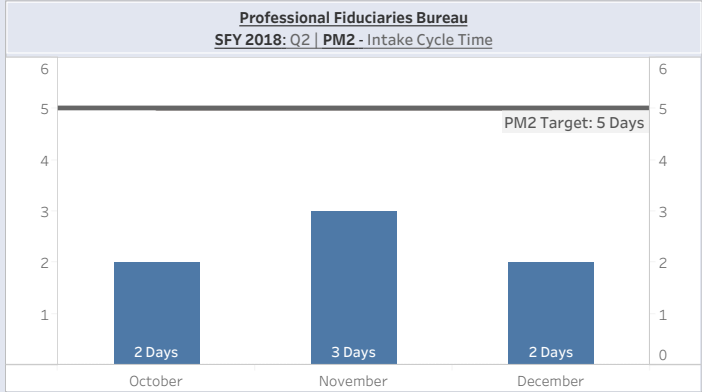
Processing Time
Actual Target

Case Volume by Month
October November December

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
33	5 Days	2 Days	▼ -3 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q2

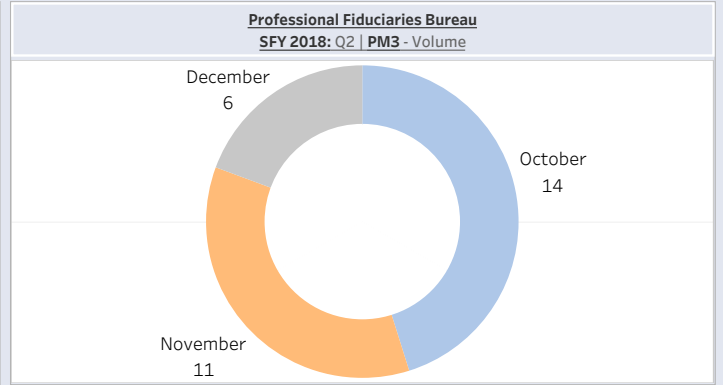
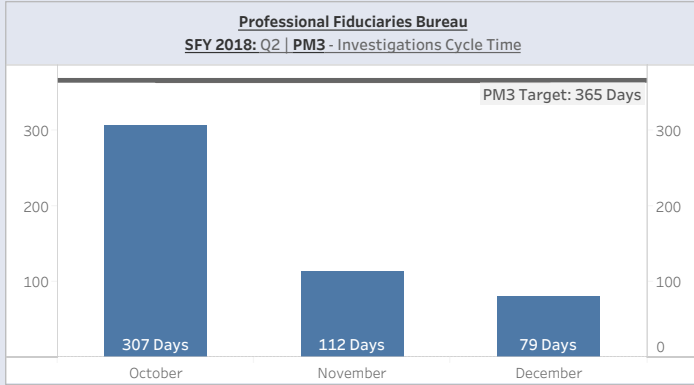
Processing Time
 Actual Target

Case Volume by Month
 October November December

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
31	365 Days	194 Days	▼ -171 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q2

Processing Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

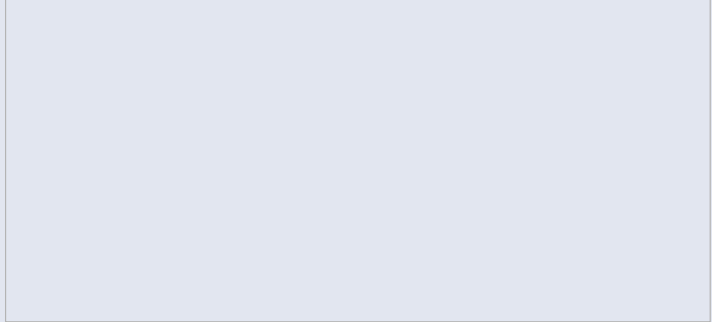
Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2018: Q2 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2018: None | PM4 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM7
 Select a Quarter: Q2
 Processing Time: Actual Target
 Case Volume by Month: October November December

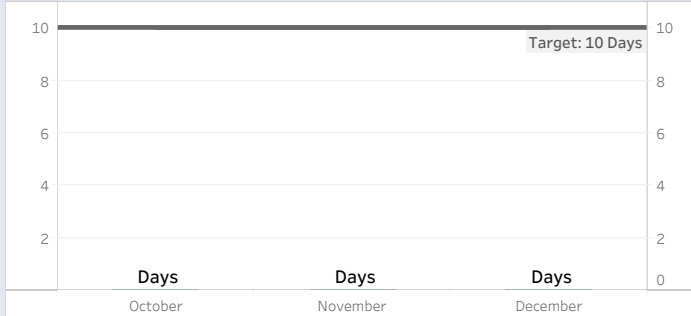
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

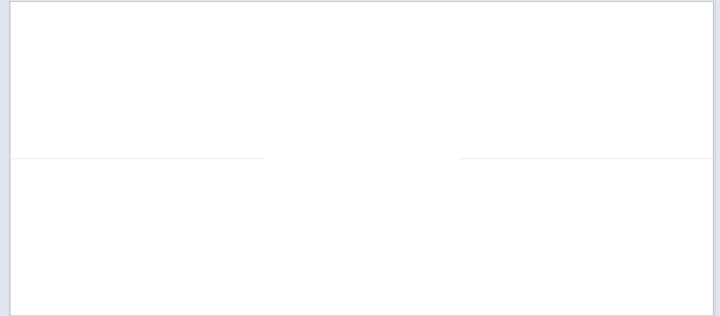
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2018: Q2 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2018: Q2 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM8
 Select a Quarter: Q2
 Processing Time: Actual Target
 Case Volume by Month: October November December

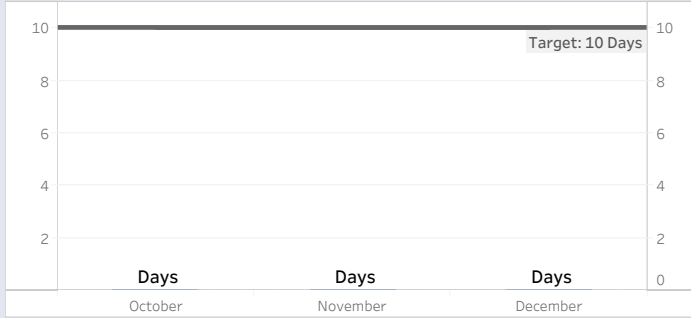
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Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

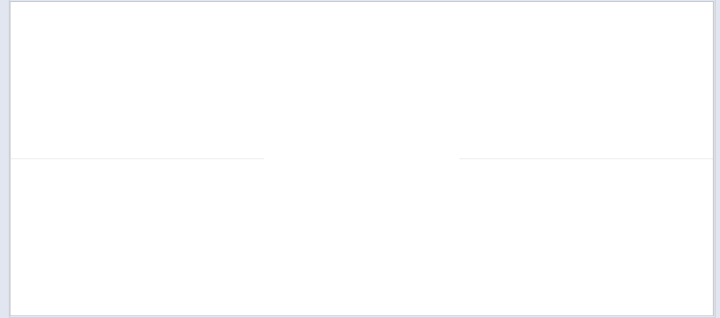
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2018: Q2 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q2 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q3

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

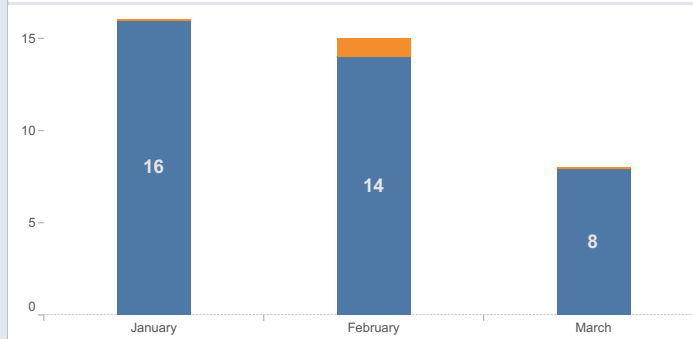
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

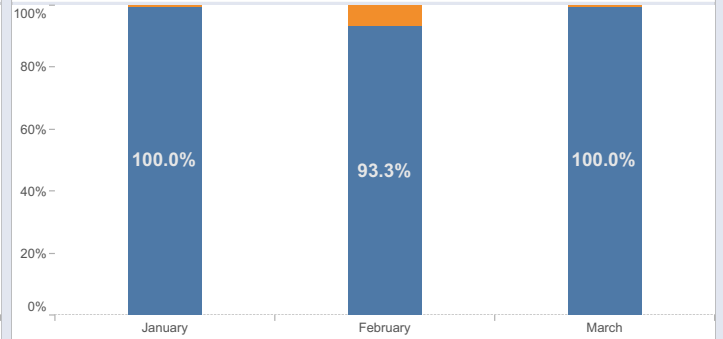
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
38	1	39

Professional Fiduciaries Bureau
SFY 2018:Q3 - Case Volume



Professional Fiduciaries Bureau
SFY 2018:Q3 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q3

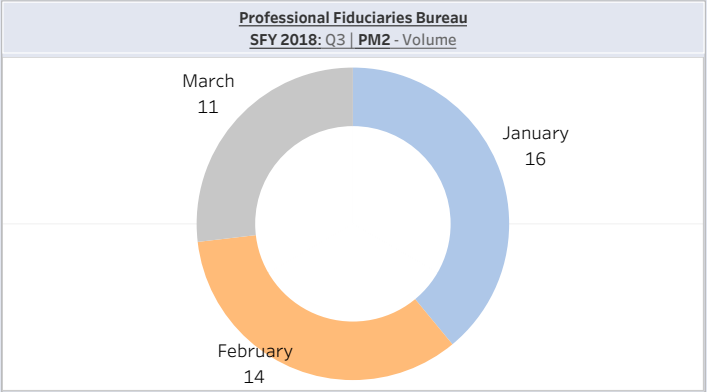
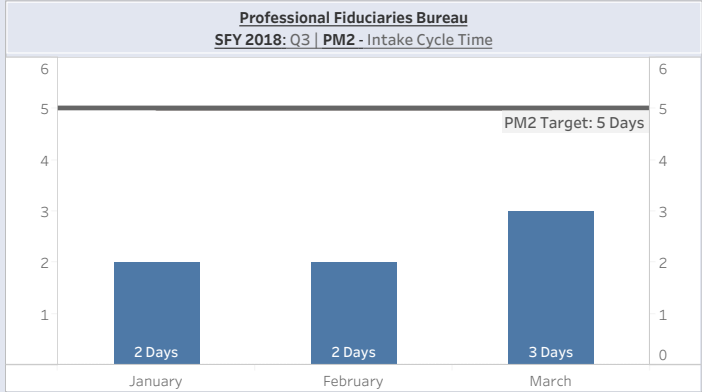
Processing Time
Actual Target

Case Volume by Month
January February March

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
41	5 Days	2 Days	▼ -3 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q3

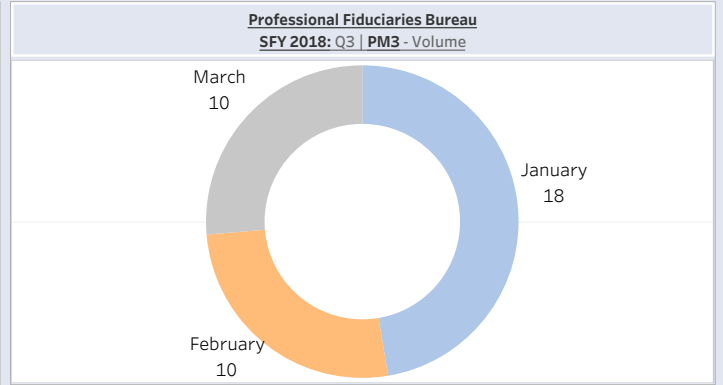
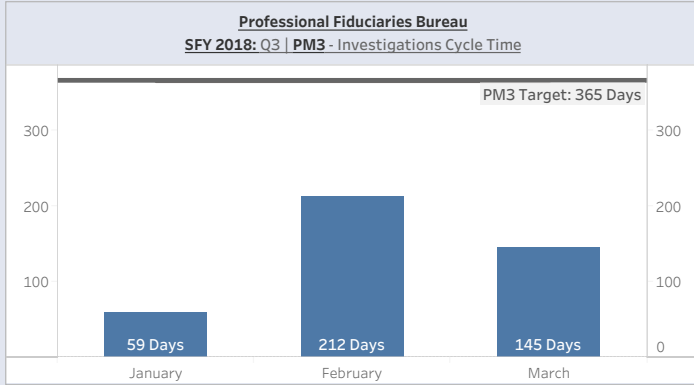
Processing Time
 Actual Target

Case Volume by Month
 January February March

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
38	365 Days	122 Days	▼ -243 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q3

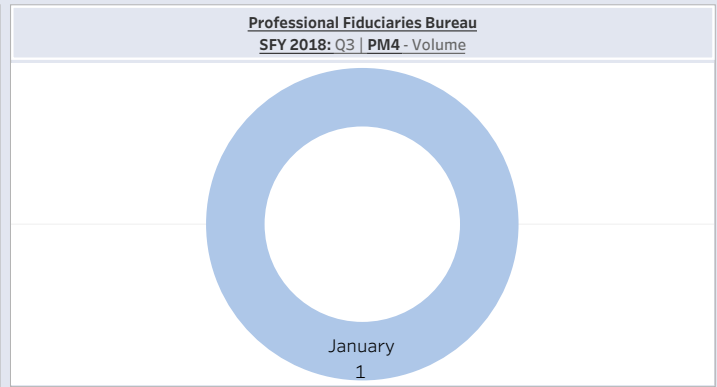
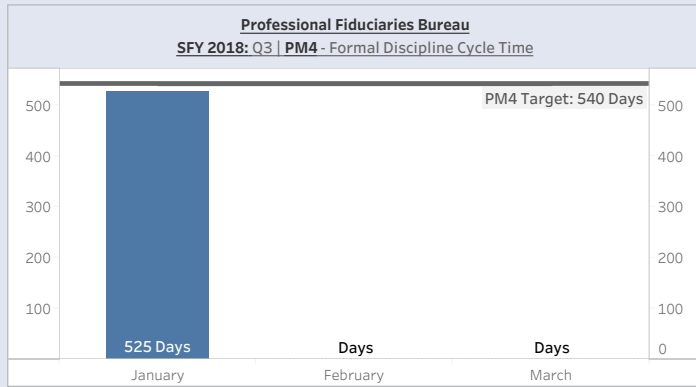
Processing Time
 Actual Target

Case Volume by Month
 January

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	540 Days	525 Days	▼ -15 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu..
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM7
 Select a Quarter: Q3
 Processing Time: Actual Target
 Case Volume by Month: January February March

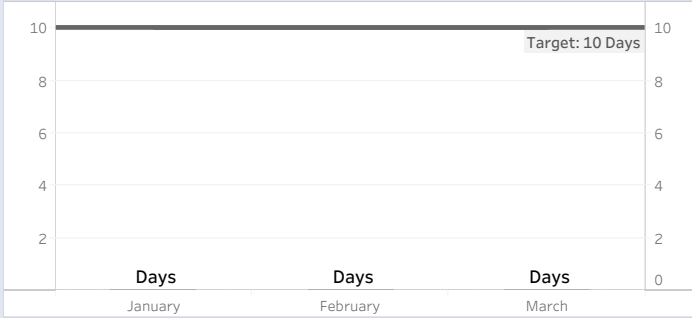
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

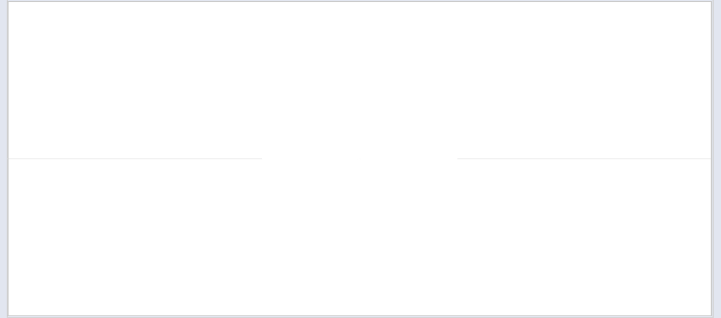
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2018: Q3 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2018: Q3 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM8
 Select a Quarter: Q3
 Processing Time: Actual Target
 Case Volume by Month: January February March

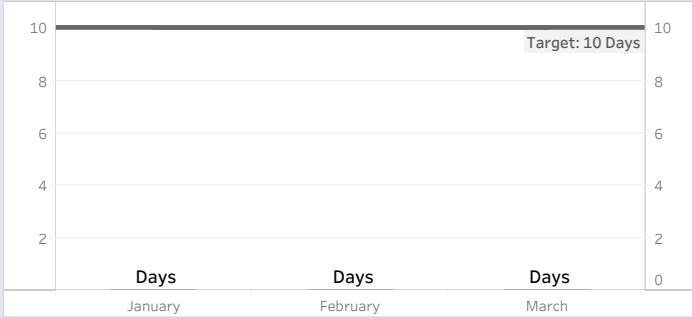
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Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

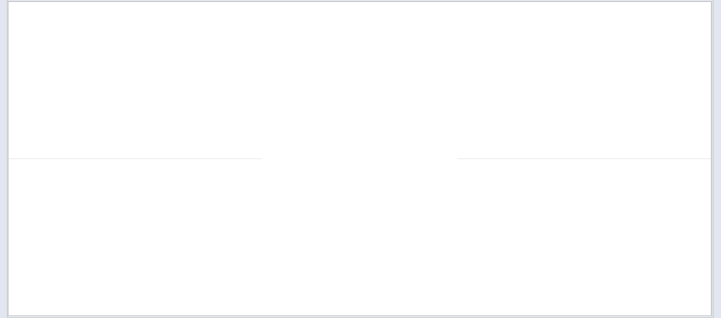
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2018: Q3 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
 SFY 2018: Q3 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q4

Case Type
Conviction/Arrest Volume (orange square)
Complaints Volume (blue square)

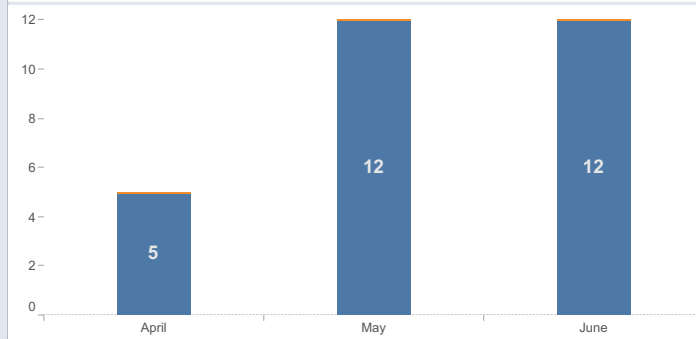
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

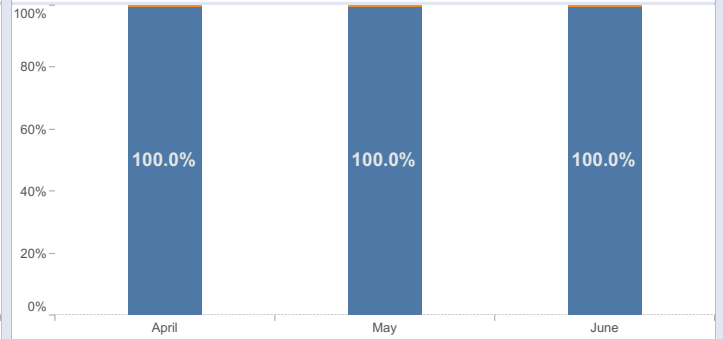
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
29	0	29

Professional Fiduciaries Bureau
SFY 2018:Q4 - Case Volume



Professional Fiduciaries Bureau
SFY 2018:Q4 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q4

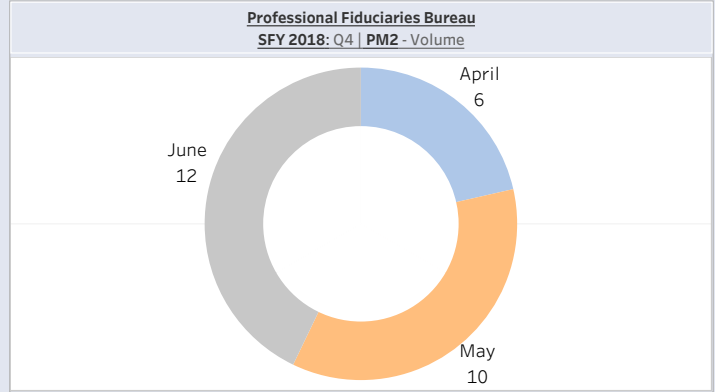
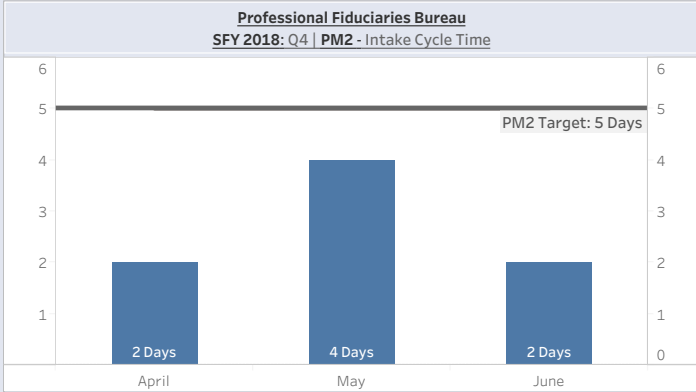
Processing Time
Actual Target

Case Volume by Month
April May June

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
28	5 Days	3 Days	▼ -2 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q4

Processing Time
 Actual Target

Case Volume by Month
 April May June

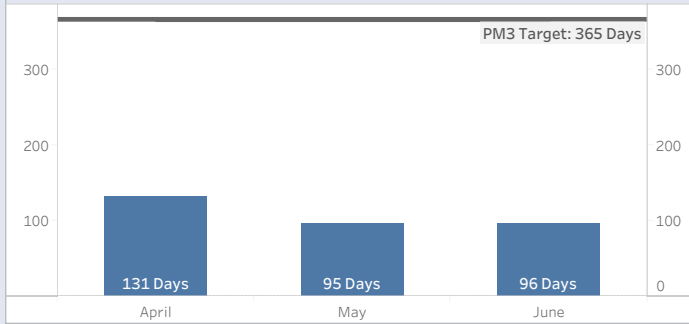
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

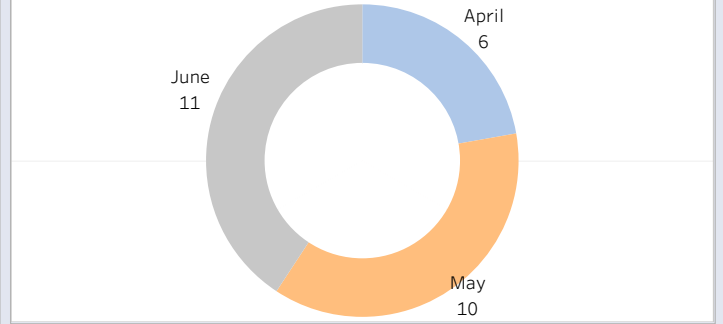
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
27	365 Days	103 Days	▼ -262 Days

Professional Fiduciaries Bureau
SFY 2018: Q4 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q4 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2018

Select a Quarter
Q4

Processing Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary

Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2018: Q4 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2018: None | PM4 - Volume

Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2018 | Performance Measure: PM7 | Select a Quarter: Q4 | Processing Time: Actual Target | Case Volume by Month: April May June

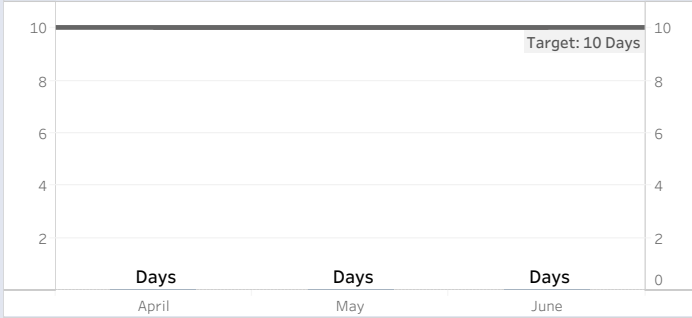
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

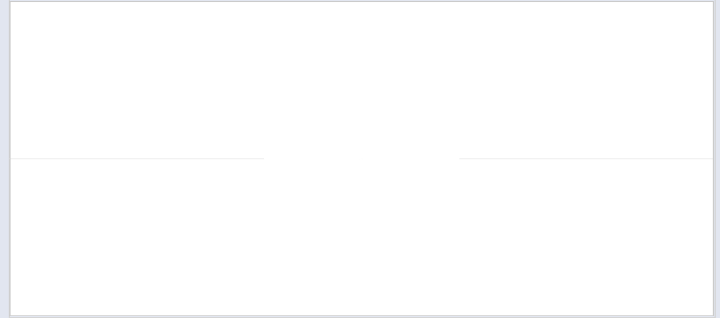
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2018: Q4 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q4 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2018
 Performance Measure: PM8
 Select a Quarter: Q4
 Processing Time: Actual Target
 Case Volume by Month: April May June

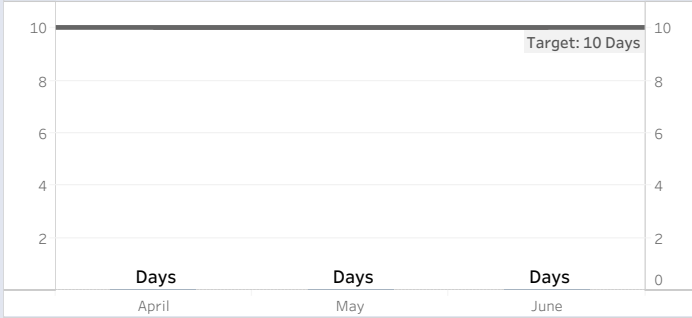
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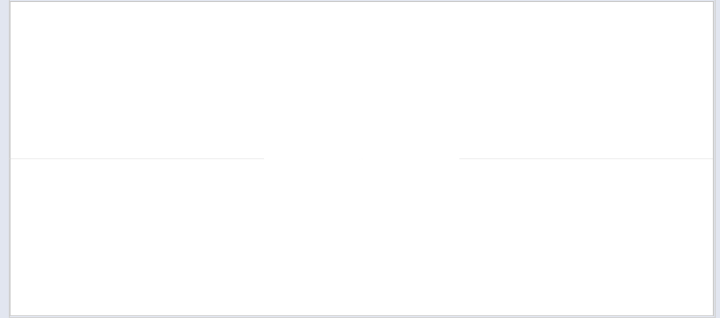
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2018: Q4 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2018: Q4 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q1

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

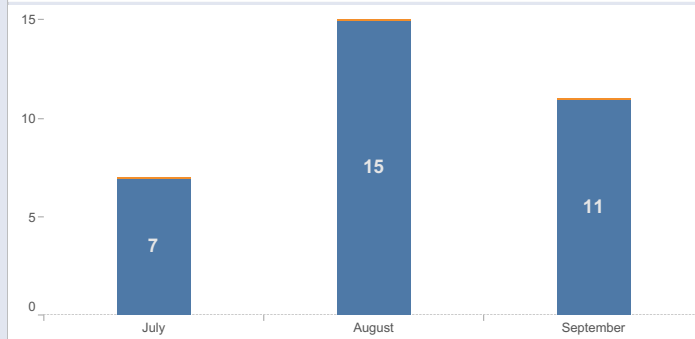
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

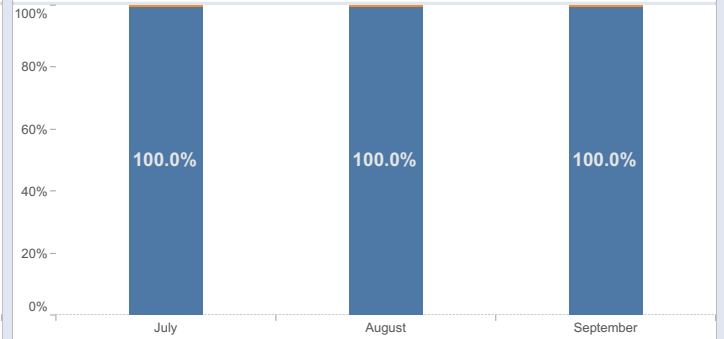
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
33	0	33

Professional Fiduciaries Bureau
SFY 2019:Q1 - Case Volume



Professional Fiduciaries Bureau
SFY 2019:Q1 - Case Volume % Distribution



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q1

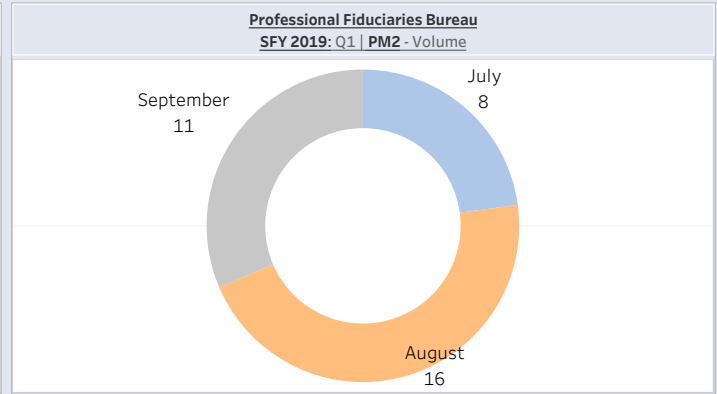
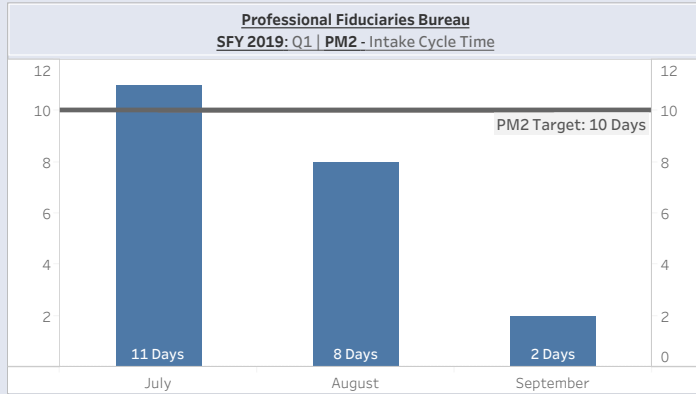
Processing Time
Actual Target

Case Volume by Month
July August September

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
35	10 Days	7 Days	▼ -3 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q1

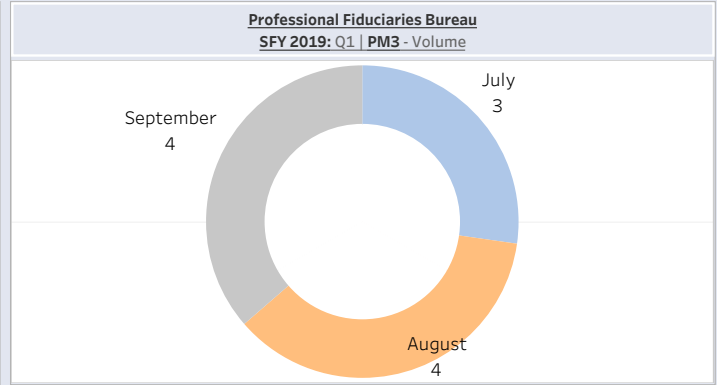
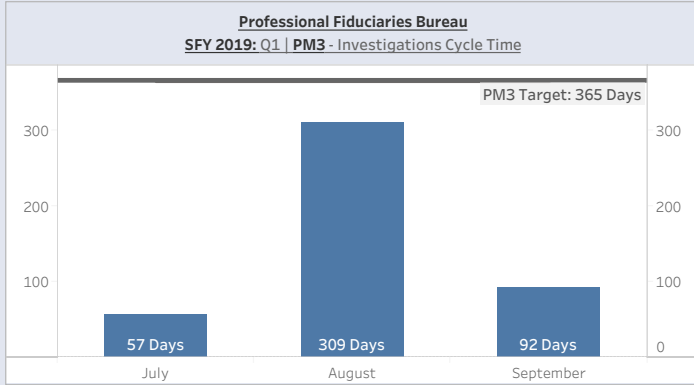
Processing Time
 Actual Target

Case Volume by Month
 July August September

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
11	365 Days	161 Days	▼ -204 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q1

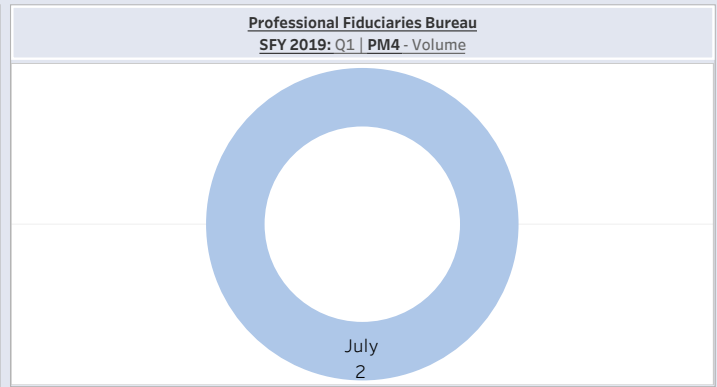
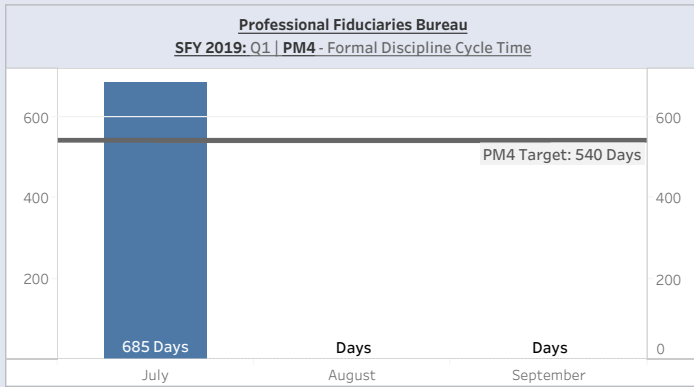
Processing Time
Actual Target

Case Volume by Month
July

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
2	540 Days	685 Days	▲ 145 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2019 | Performance Measure: PM7 | Select a Quarter: Q1 | Processing Time: Actual | Case Volume by Month: July, August, September

Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

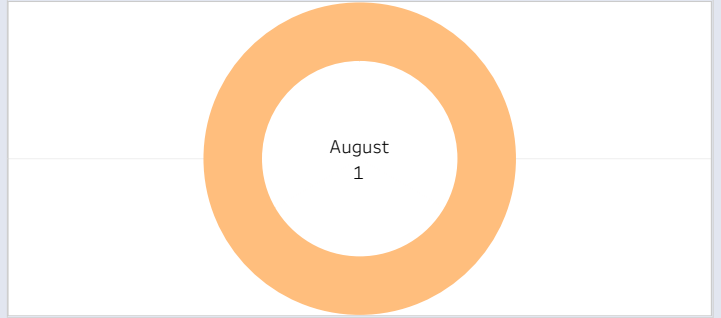
Professional Fiduciaries Bureau PM7 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	10 Days	1 Days	▼ -9 Days

Professional Fiduciaries Bureau
 SFY 2019: Q1 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2019: Q1 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2019
 Performance Measure: PM8
 Select a Quarter: Q1
 Processing Time: Actual Target
 Case Volume by Month: July August September

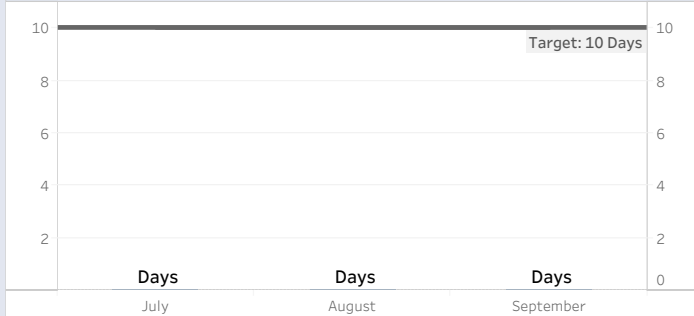
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Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

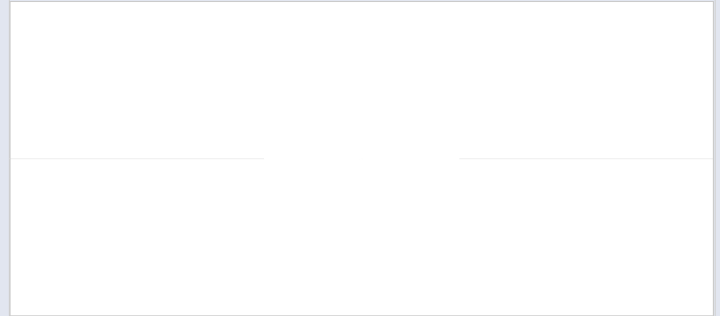
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2019: Q1 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
 SFY 2019: Q1 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q2

Case Type
Conviction/Arrest Volume
Complaints Volume

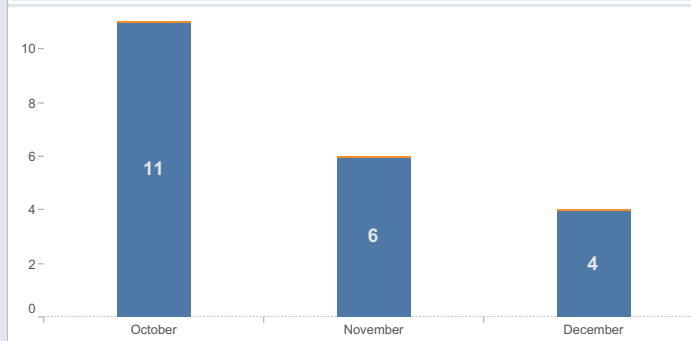
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

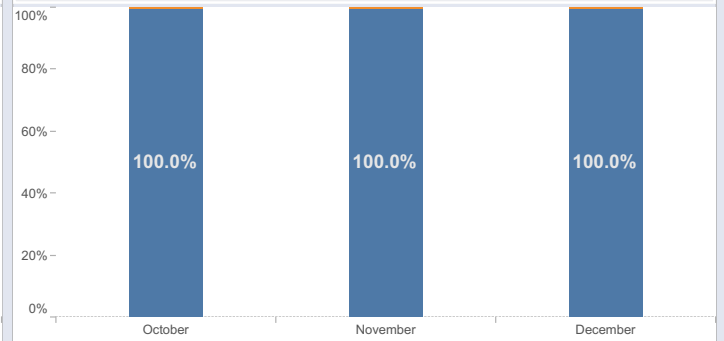
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
21	0	21

Professional Fiduciaries Bureau
SFY 2019:Q2 - Case Volume



Professional Fiduciaries Bureau
SFY 2019:Q2 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q2

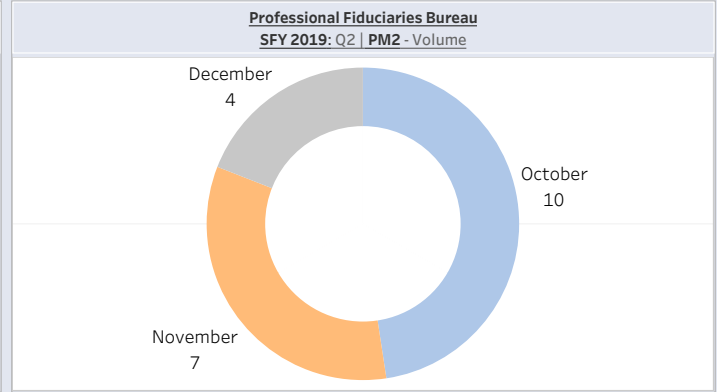
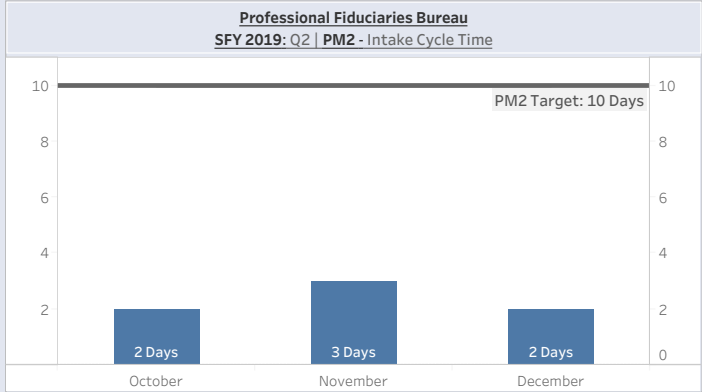
Processing Time
Actual Target

Case Volume by Month
October November December

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
21	10 Days	2 Days	▼ -8 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q2

Processing Time
 Actual Target

Case Volume by Month
 October November December

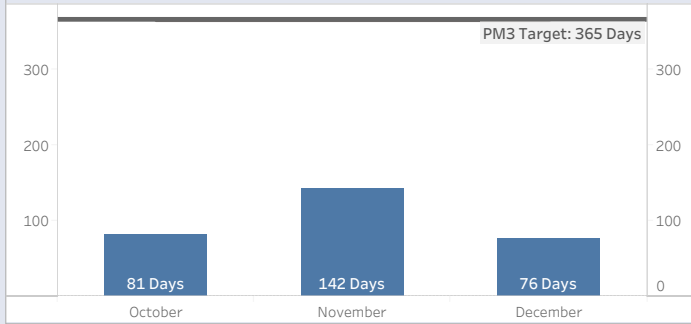
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

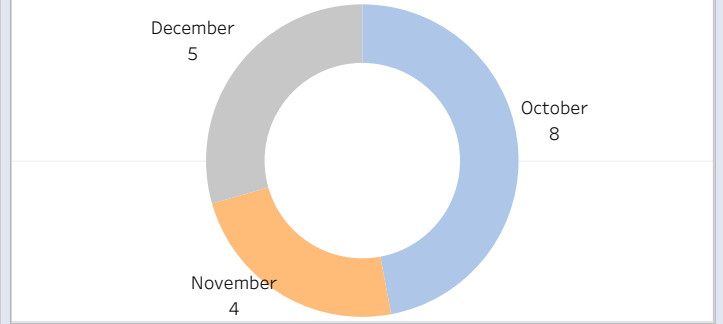
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
17	365 Days	94 Days	▼ -271 Days

Professional Fiduciaries Bureau
SFY 2019: Q2 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q2 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q2

Processing Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2019: Q2 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2019: None | PM4 - Volume

Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2019 | Performance Measure: PM7 | Select a Quarter: Q2 | Processing Time: Actual | Case Volume by Month: October, November, December

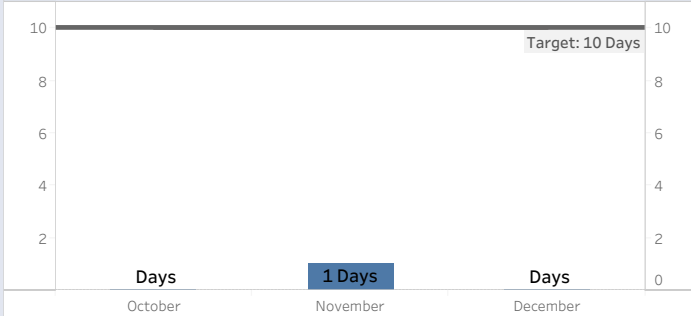
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

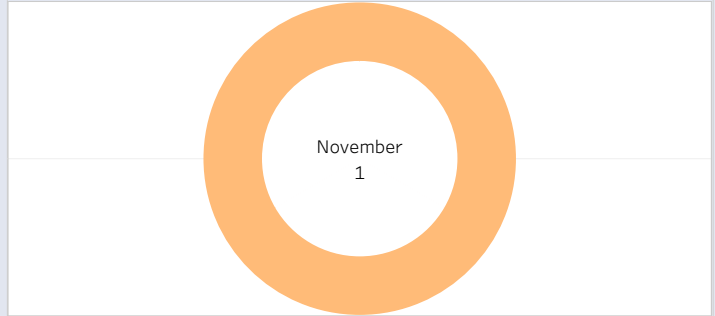
Professional Fiduciaries Bureau PM7 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	10 Days	1 Days	▼ -9 Days

Professional Fiduciaries Bureau
 SFY 2019: Q2 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2019: Q2 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2019
 Performance Measure: PM8
 Select a Quarter: Q2
 Processing Time: Actual Target
 Case Volume by Month: October November December

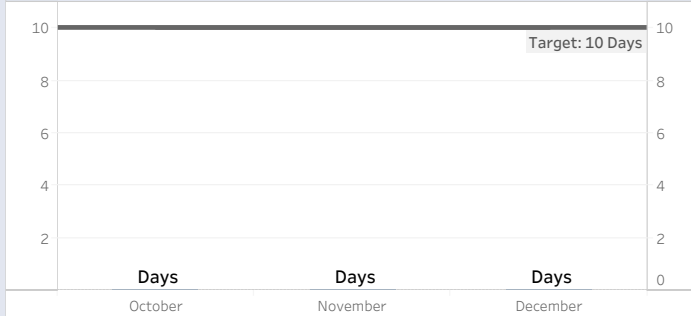
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

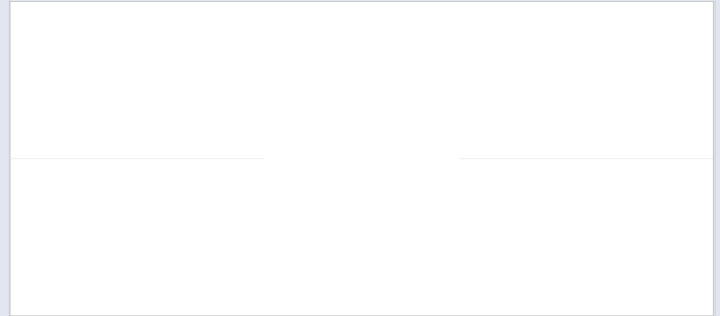
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2019: Q2 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q2 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q3

Case Type
Conviction/Arrest Volume (orange square)
Complaints Volume (blue square)

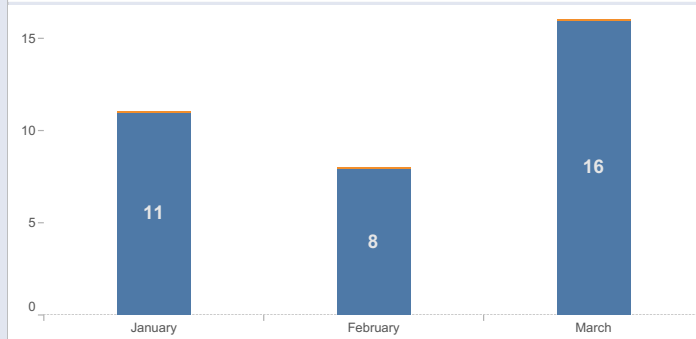
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
35	0	35

Professional Fiduciaries Bureau
SFY 2019:Q3 - Case Volume



Professional Fiduciaries Bureau
SFY 2019:Q3 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q3

Processing Time
Actual Target

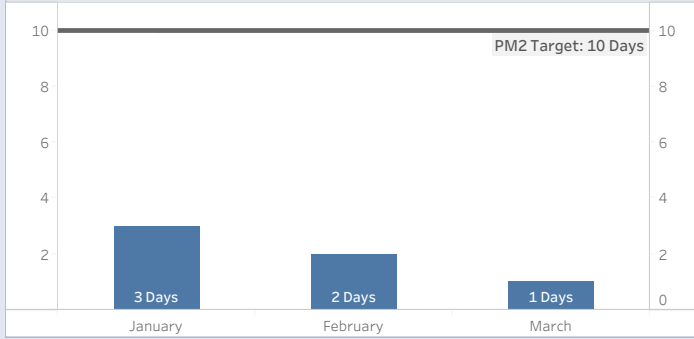
Case Volume by Month
January February March

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

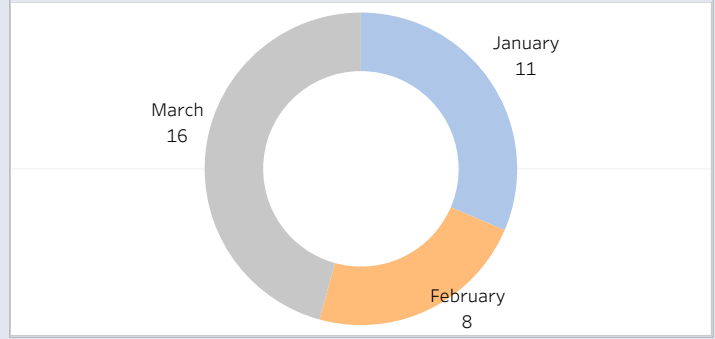
Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
35	10 Days	2 Days	▼ -8 Days

Professional Fiduciaries Bureau
SFY 2019: Q3 | PM2 - Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q3 | PM2 - Volume



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q3

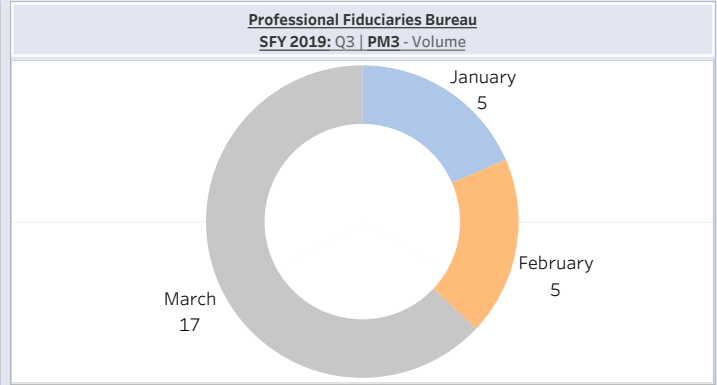
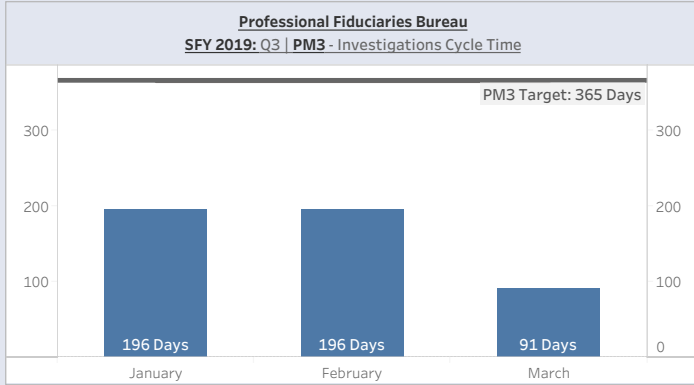
Processing Time
 Actual Target

Case Volume by Month
 January February March

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
27	365 Days	130 Days	▼ -235 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q3

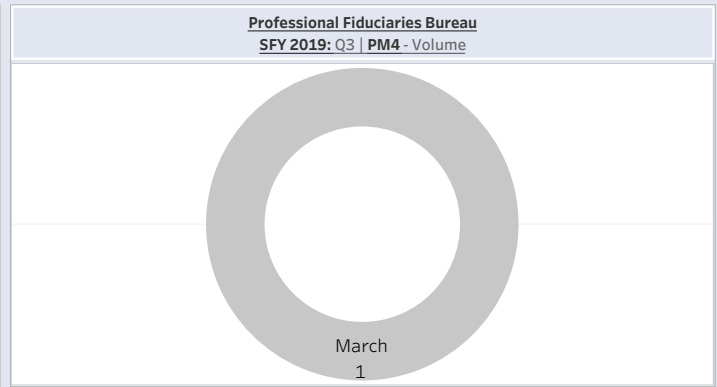
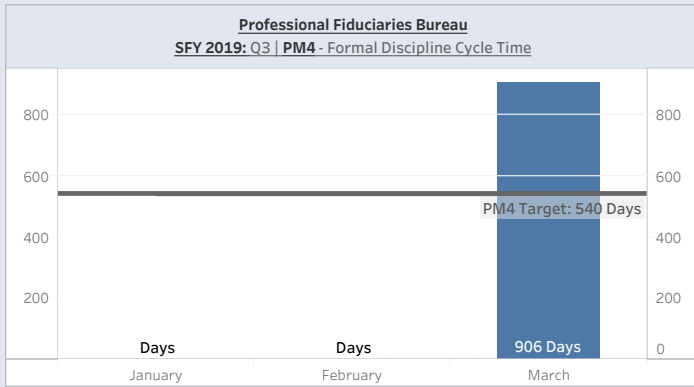
Processing Time
Actual Target

Case Volume by Month
March

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	540 Days	906 Days	▲ 366 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu..
 Select a Fiscal Year: SFY 2019
 Performance Measure: PM7
 Select a Quarter: Q3
 Processing Time: Actual Target
 Case Volume by Month: January February March

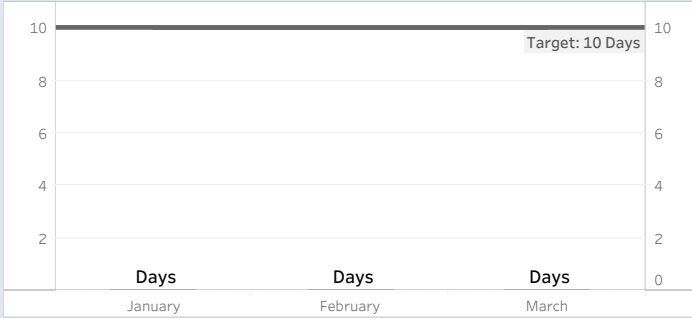
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

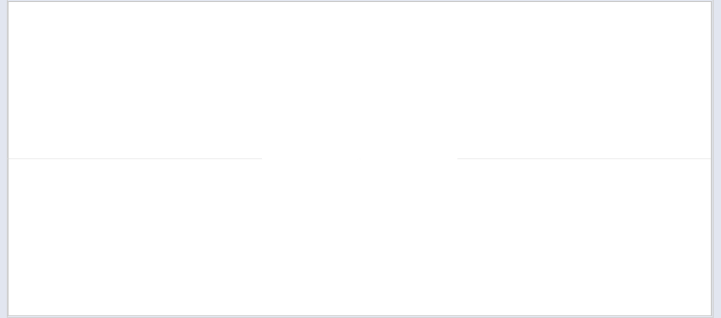
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2019: Q3 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2019: Q3 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2019 | Performance Measure: PM8 | Select a Quarter: Q3 | Processing Time: Actual (Selected), Target | Case Volume by Month: January (Selected), February, March

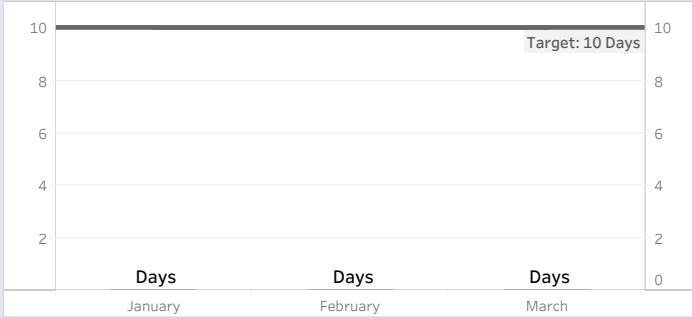
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

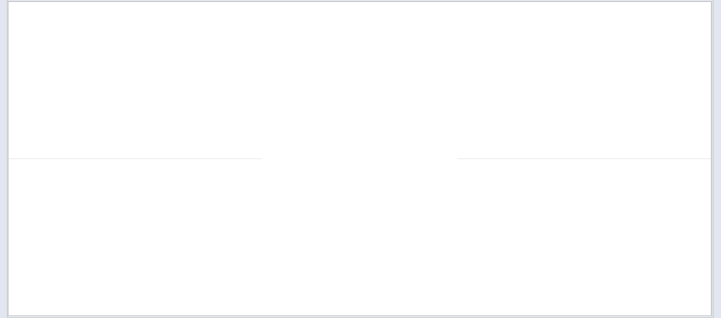
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2019: Q3 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q3 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

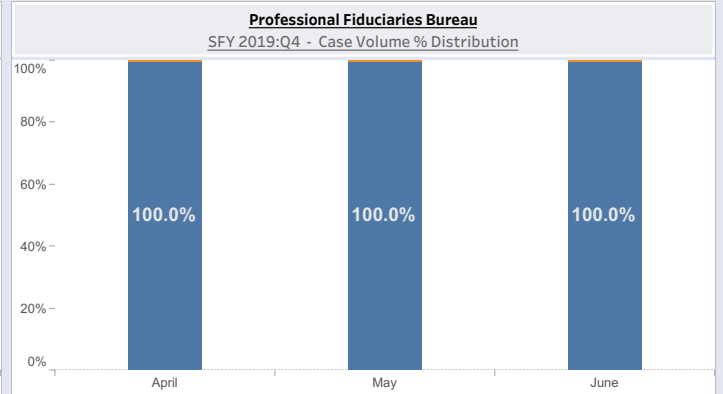
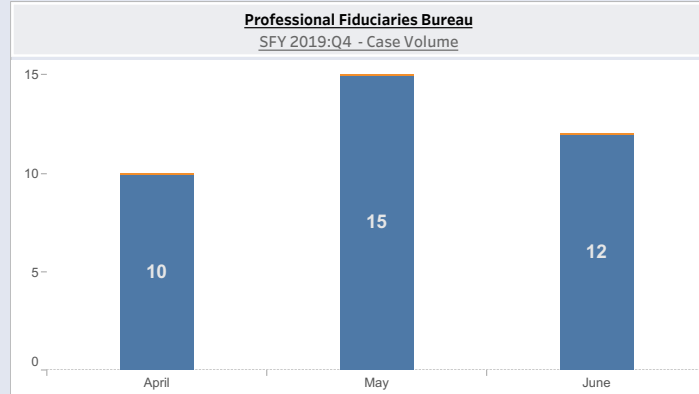
Select a Quarter
Q4

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
37	0	37



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q4

Processing Time
Actual Target

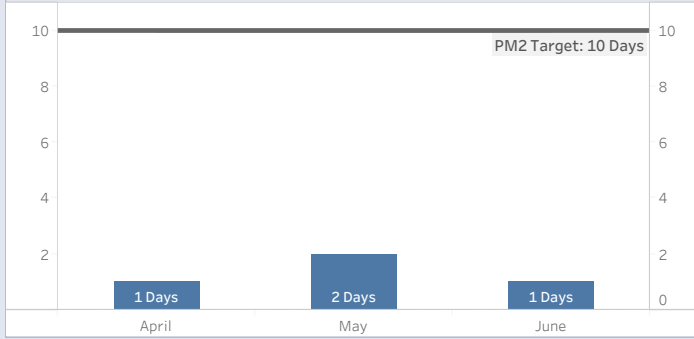
Case Volume by Month
April May June

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

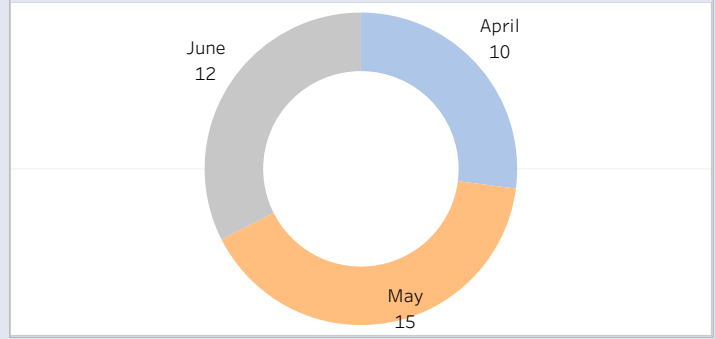
Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
37	10 Days	1 Days	▼ -9 Days

Professional Fiduciaries Bureau
SFY 2019: Q4 | PM2 - Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q4 | PM2 - Volume



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q4

Processing Time
 Actual Target

Case Volume by Month
 April May June

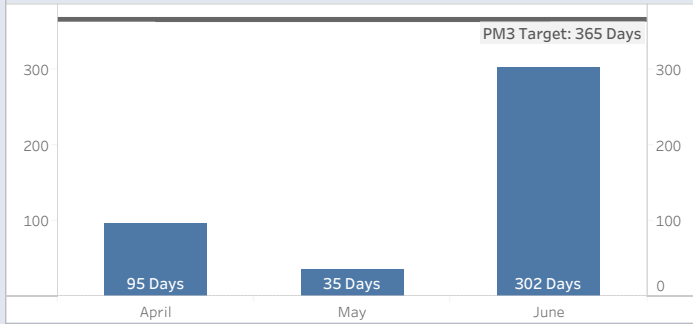
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

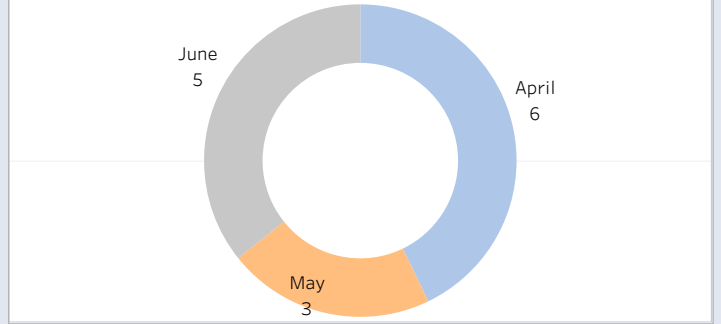
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
14	365 Days	156 Days	▼ -209 Days

Professional Fiduciaries Bureau
SFY 2019: Q4 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q4 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2019

Select a Quarter
Q4

Processing Time
 Actual Target

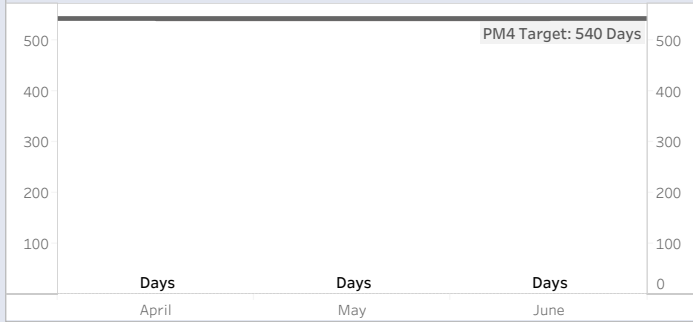
Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2019: Q4 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2019: None | PM4 - Volume

Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2019 | Performance Measure: PM7 | Select a Quarter: Q4 | Processing Time: Actual Target | Case Volume by Month: April May June

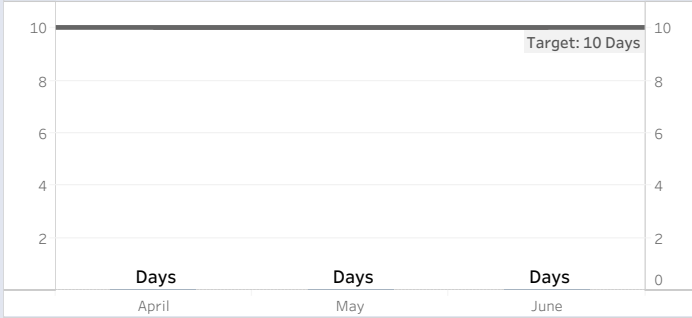
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

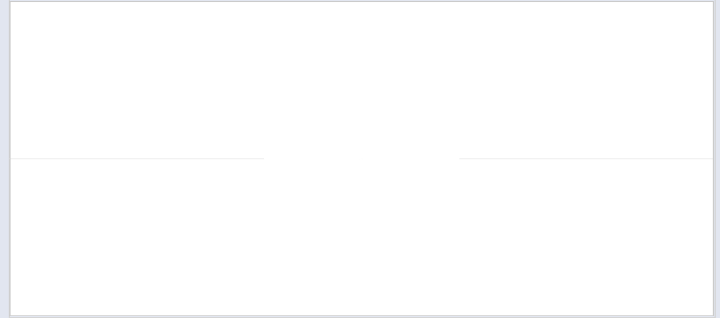
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2019: Q4 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q4 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2019 | Performance Measure: PM8 | Select a Quarter: Q4 | Processing Time: Actual Target | Case Volume by Month: April May June

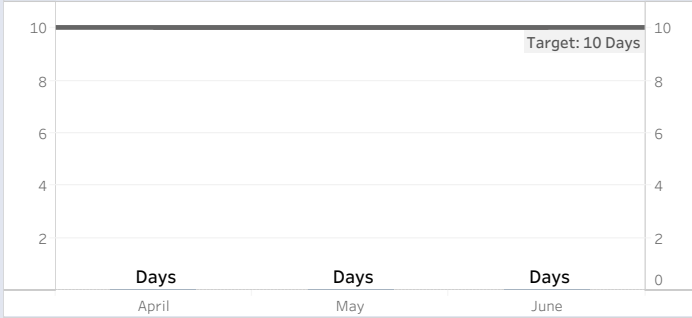
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

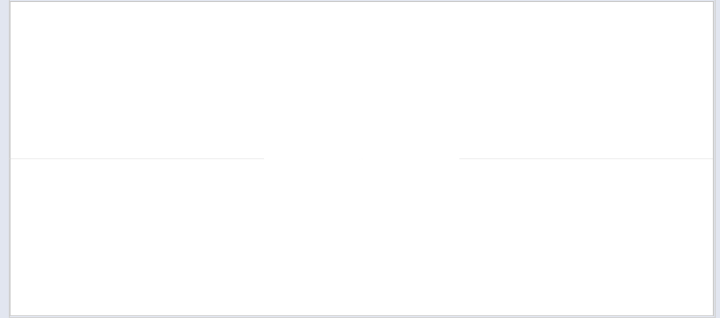
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2019: Q4 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2019: Q4 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

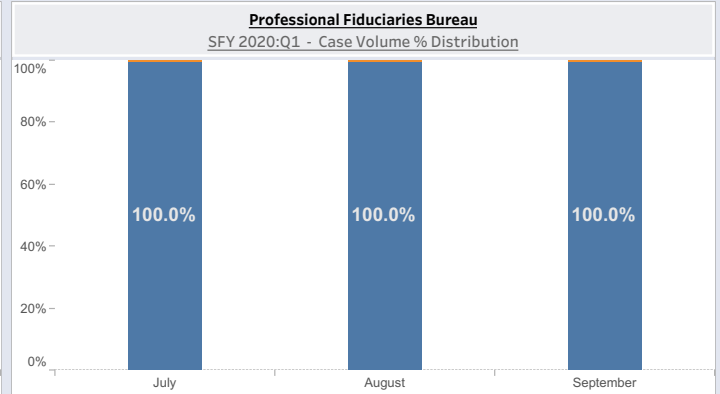
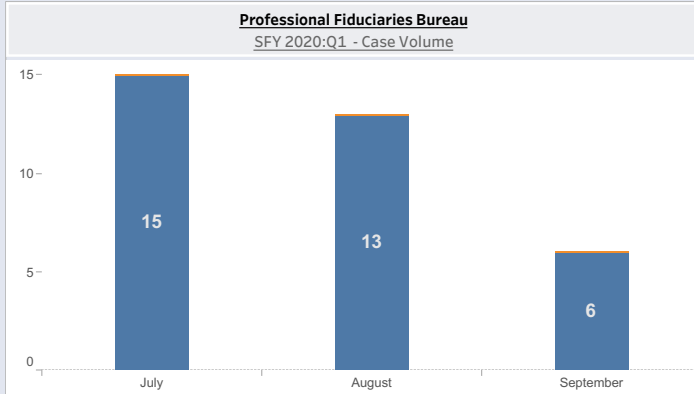
Select a Quarter
Q1

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
34	0	34



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q1

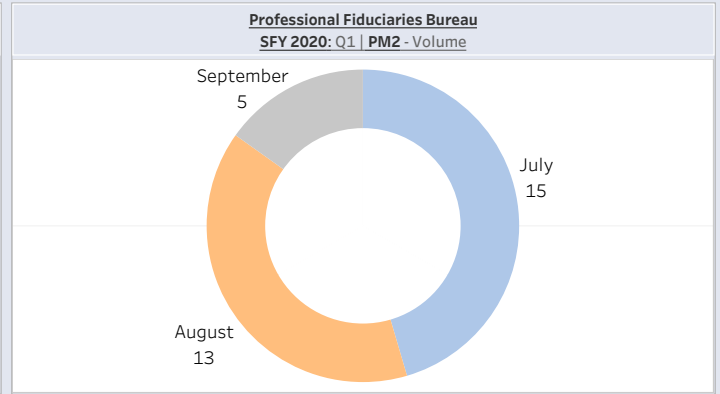
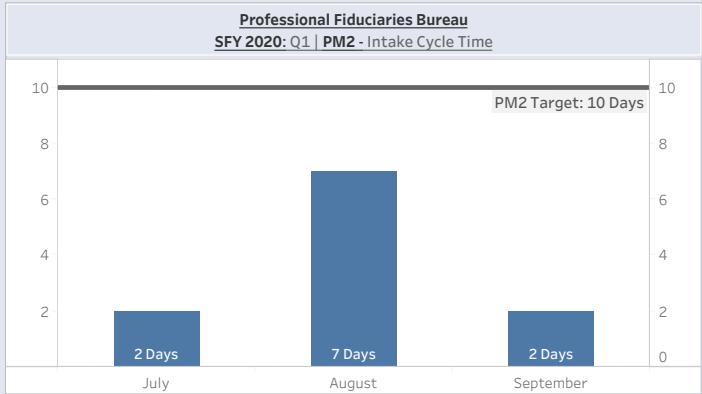
Processing Time
Actual Target

Case Volume by Month
July August September

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
33	10 Days	4 Days	▼ -6 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q1

Processing Time
 Actual Target

Case Volume by Month
 July August

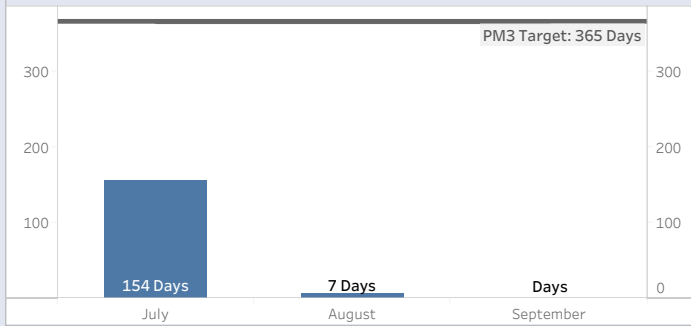
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

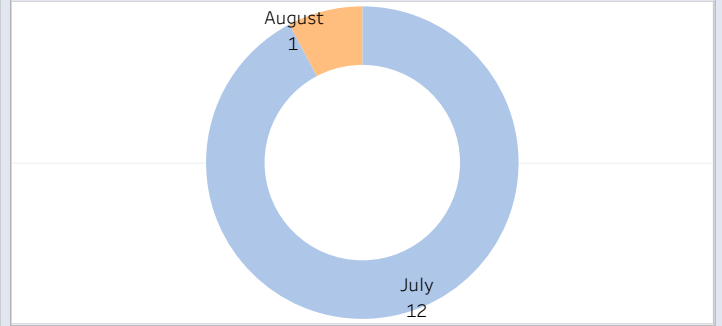
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
13	365 Days	143 Days	▼ -222 Days

Professional Fiduciaries Bureau
SFY 2020: Q1 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q1 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q1

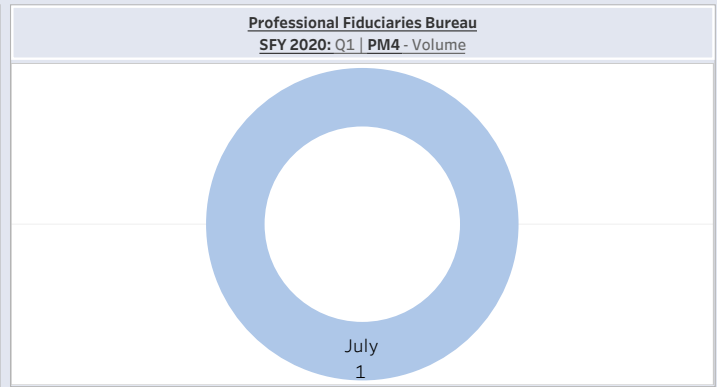
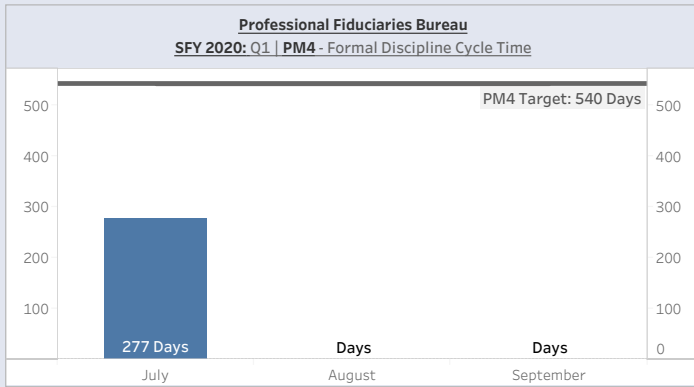
Processing Time
 Actual Target

Case Volume by Month
 July

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	540 Days	277 Days	▼ -263 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2020 | Performance Measure: PM7 | Select a Quarter: Q1 | Processing Time: Actual (selected), Target | Case Volume by Month: July (selected), August, September

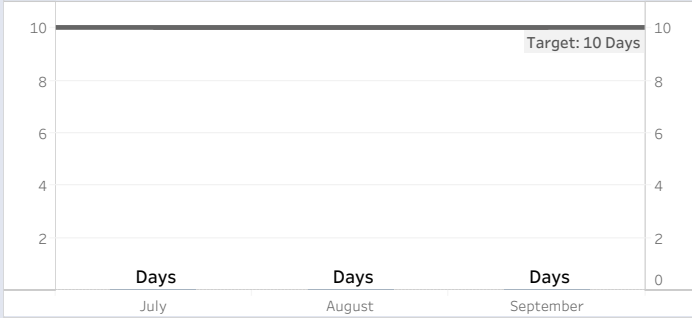
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

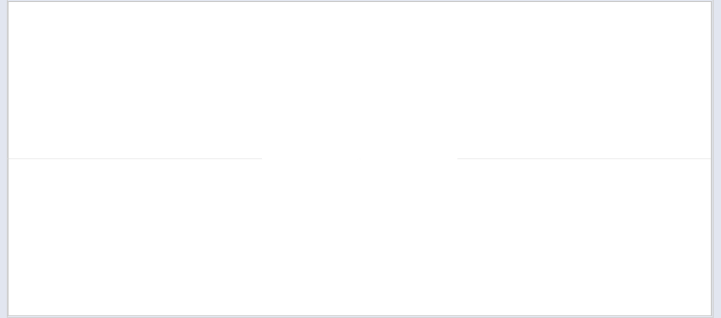
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2020: Q1 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q1 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2020
 Performance Measure: PM8
 Select a Quarter: Q1
 Processing Time: Actual Target
 Case Volume by Month: July August September

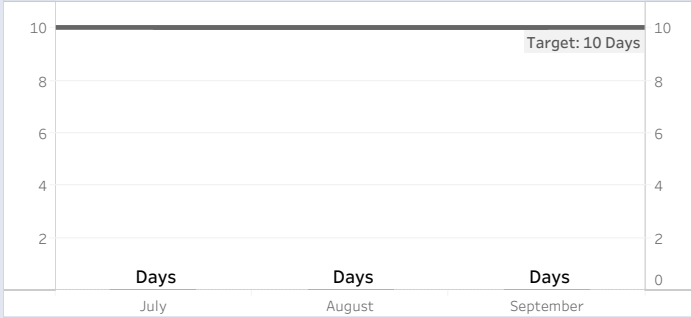
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

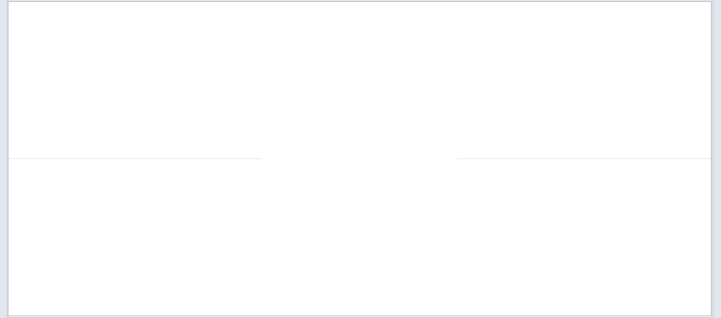
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2020: Q1 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
 SFY 2020: Q1 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q2

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

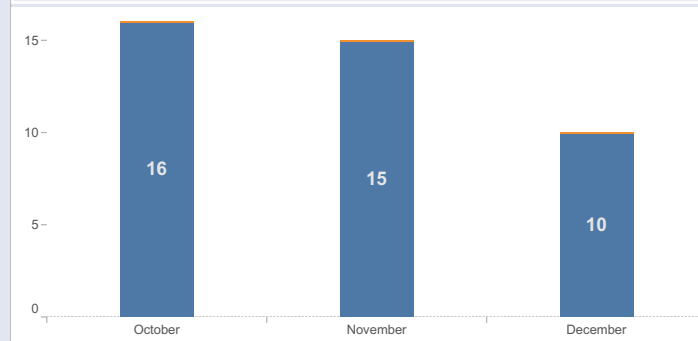
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

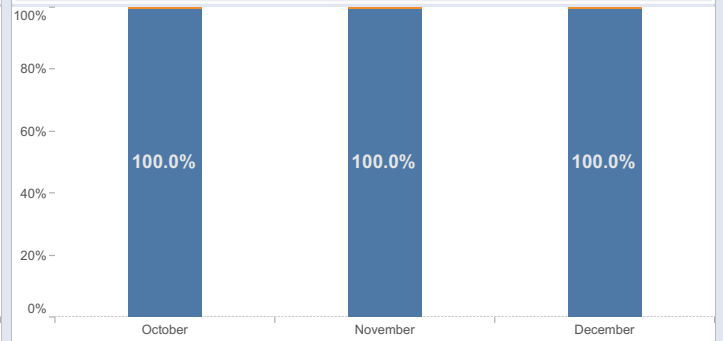
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
41	0	41

Professional Fiduciaries Bureau
SFY 2020:Q2 - Case Volume



Professional Fiduciaries Bureau
SFY 2020:Q2 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q2

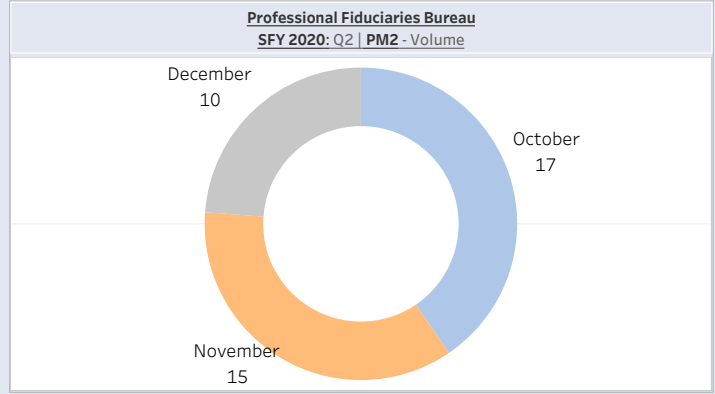
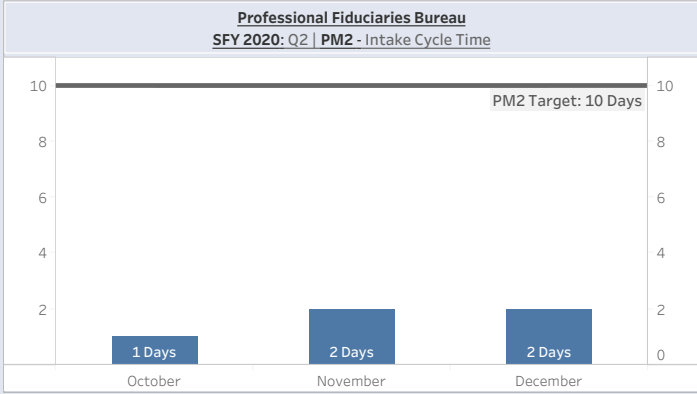
Processing Time
Actual Target

Case Volume by Month
October November December

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
42	10 Days	2 Days	▼ -8 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q2

Processing Time
 Actual Target

Case Volume by Month
 October November December

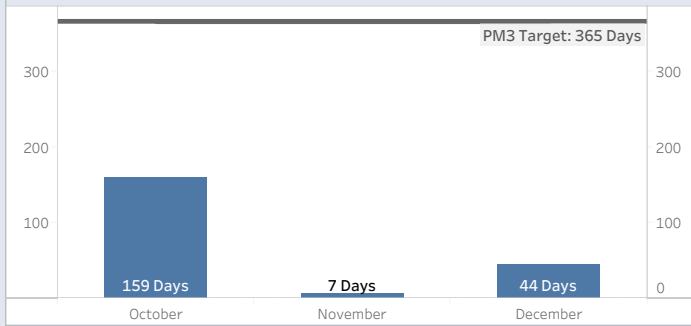
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

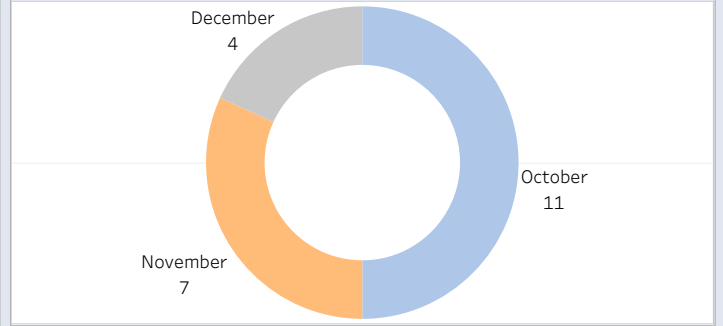
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
22	365 Days	90 Days	▼ -275 Days

Professional Fiduciaries Bureau
SFY 2020: Q2 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q2 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q2

Processing Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

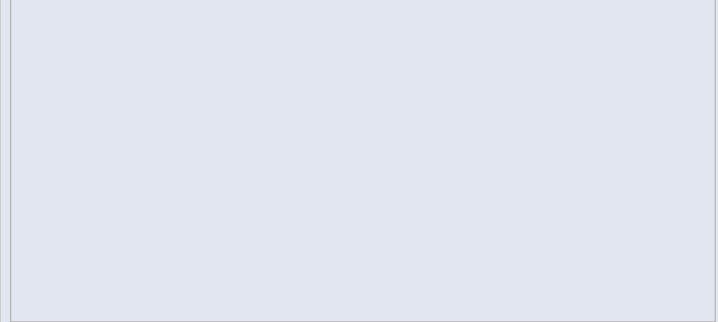
Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2020: Q2 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2020: None | PM4 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity

Professional Fiduciaries Bu..

Select a Fiscal Year

SFY 2020

Performance Measure

PM7

Select a Quarter

Q2

Processing Time

Actual

Target

Case Volume by Month

October

November

December

Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

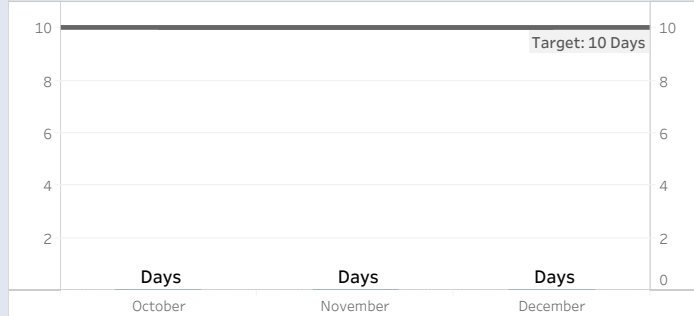
Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

Professional Fiduciaries Bureau PM7 Performance Summary

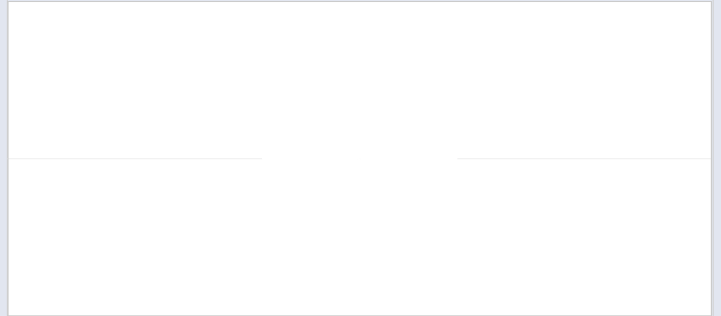
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2020: Q2 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q2 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2020 | Performance Measure: PM8 | Select a Quarter: Q2 | Processing Time: Actual (Selected), Target | Case Volume by Month: October (Selected), November, December

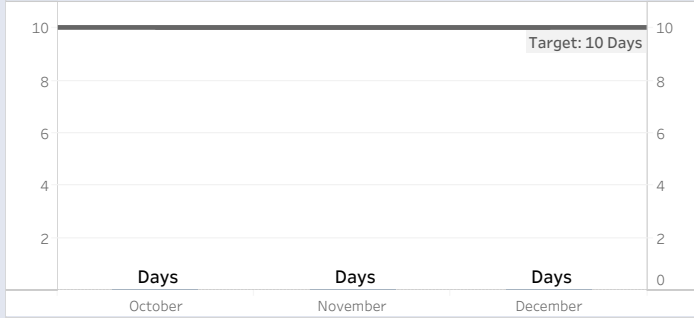
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Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

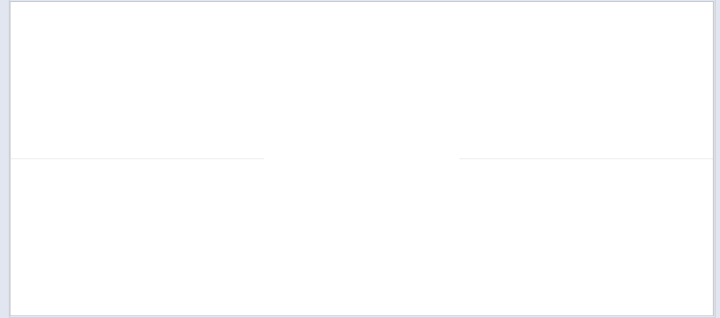
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2020: Q2 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q2 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q3

Case Type
Conviction/Arrest Volume (orange square)
Complaints Volume (blue square)

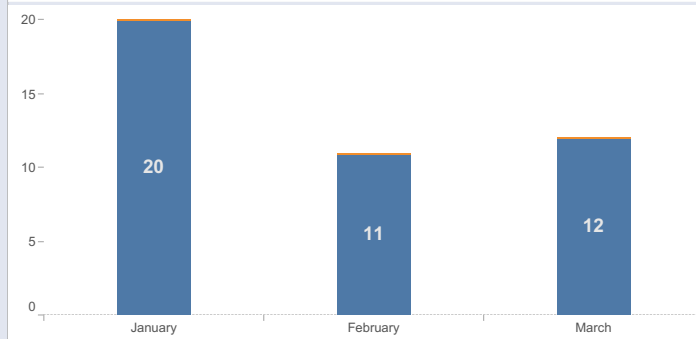
Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
43	0	43

Professional Fiduciaries Bureau
SFY 2020:Q3 - Case Volume



Professional Fiduciaries Bureau
SFY 2020:Q3 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q3

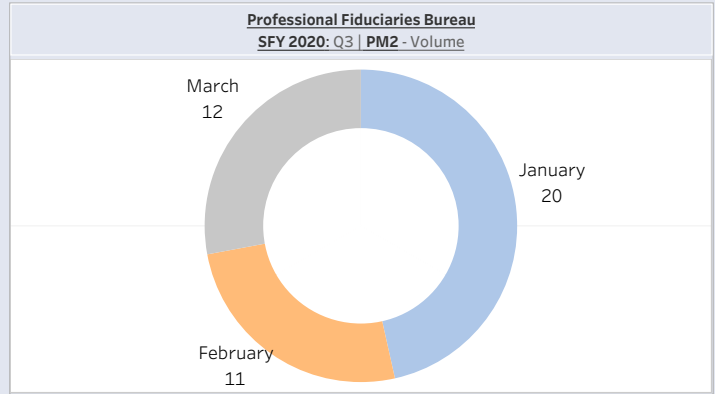
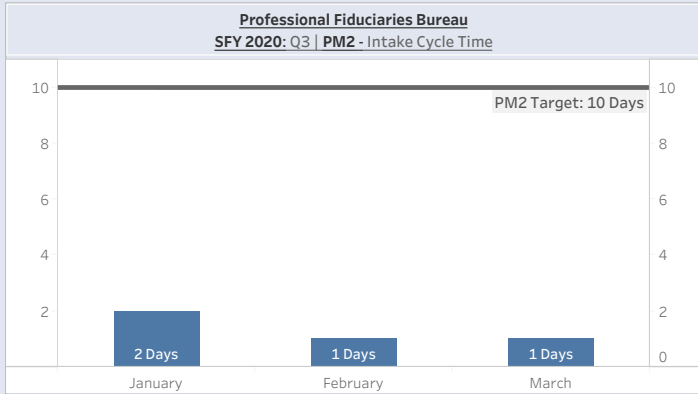
Processing Time
Actual Target

Case Volume by Month
January February March

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
43	10 Days	1 Days	▼ -9 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q3

Processing Time
 Actual Target

Case Volume by Month
 January February March

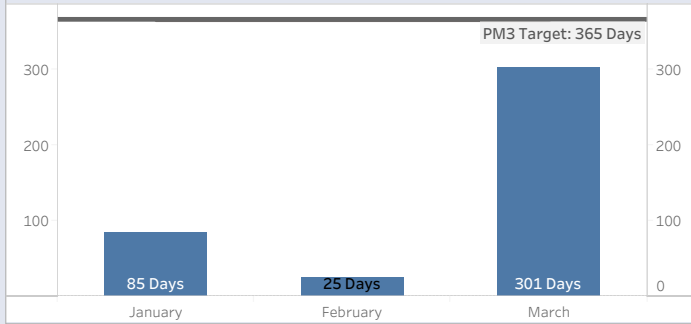
Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary

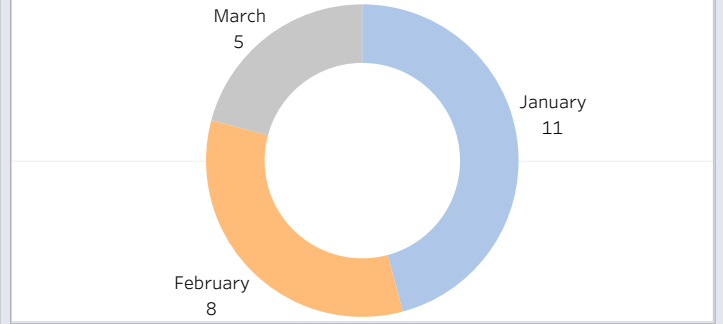
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
24	365 Days	110 Days	▼ -255 Days

Professional Fiduciaries Bureau
SFY 2020: Q3 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q3 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q3

Processing Time
Actual Target

Case Volume by Month
February

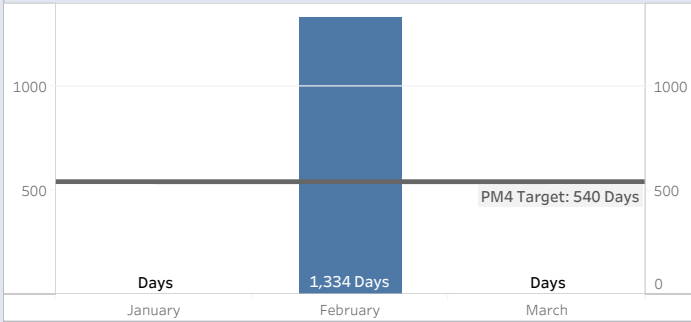
Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary

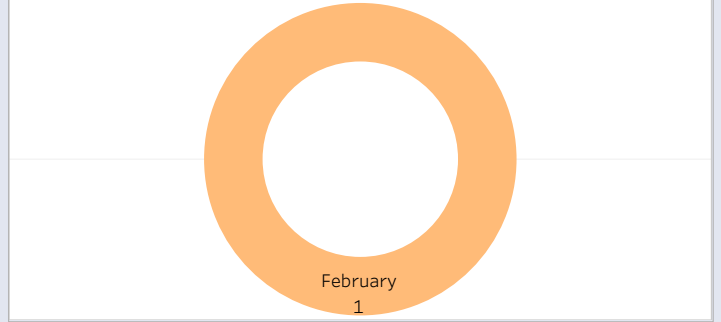
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
1	540 Days	1,334 Days	▲ 794 Days

Professional Fiduciaries Bureau
SFY 2020: Q3 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q3 | PM4 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2020
 Performance Measure: PM7
 Select a Quarter: Q3
 Processing Time: Actual Target
 Case Volume by Month: January February March

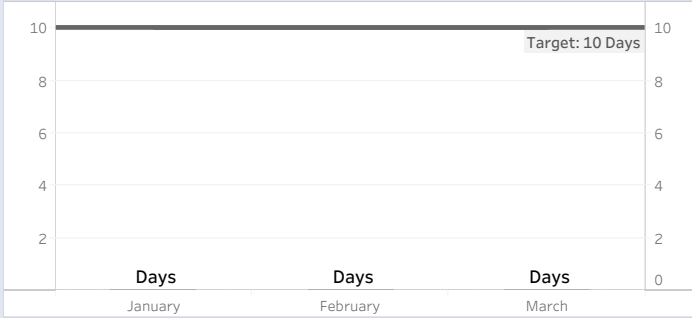
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

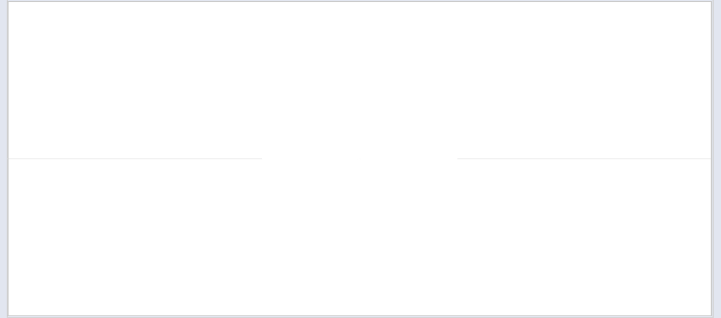
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2020: Q3 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2020: Q3 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2020
 Performance Measure: PM8
 Select a Quarter: Q3
 Processing Time: Actual Target
 Case Volume by Month: January February March

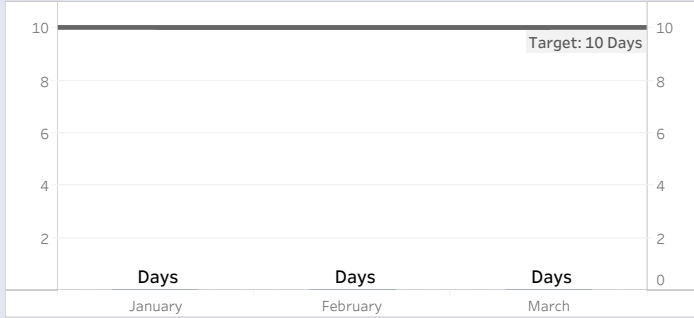
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

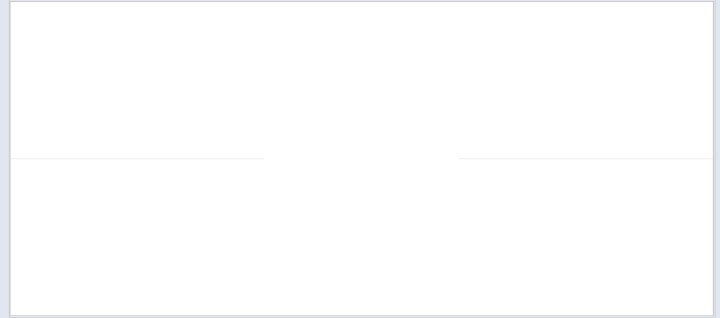
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2020: Q3 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
 SFY 2020: Q3 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

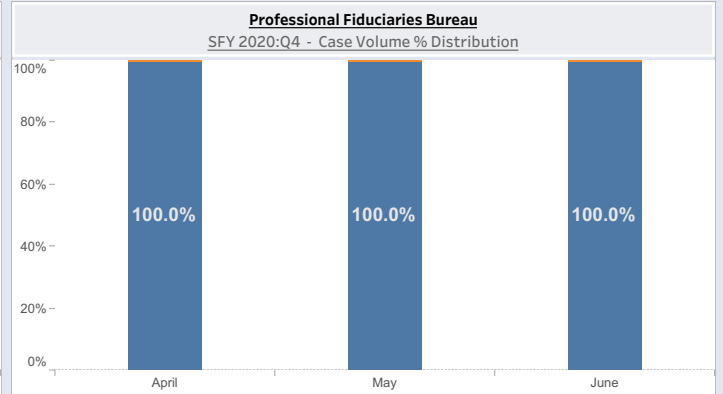
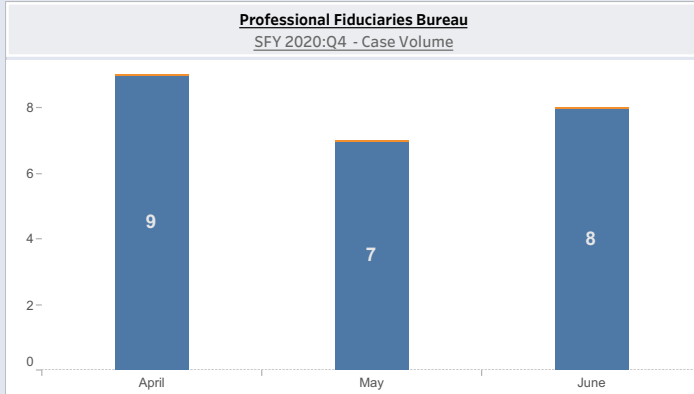
Select a Quarter
Q4

Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
24	0	24



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q4

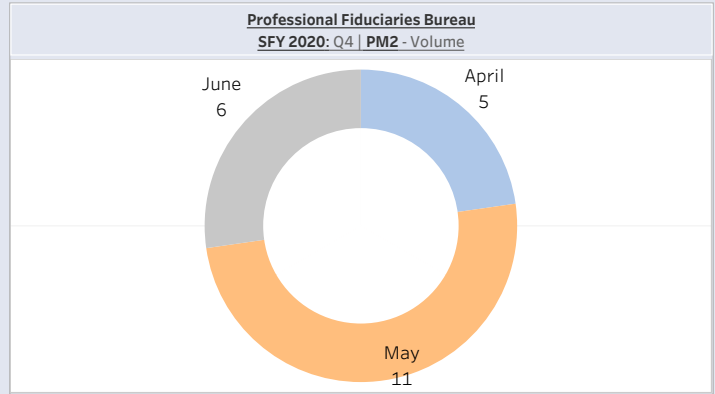
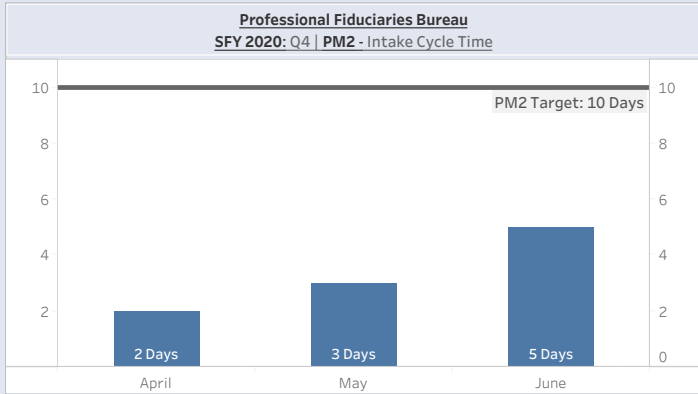
Processing Time
Actual Target

Case Volume by Month
April May June

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
22	10 Days	3 Days	▼ -7 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q4

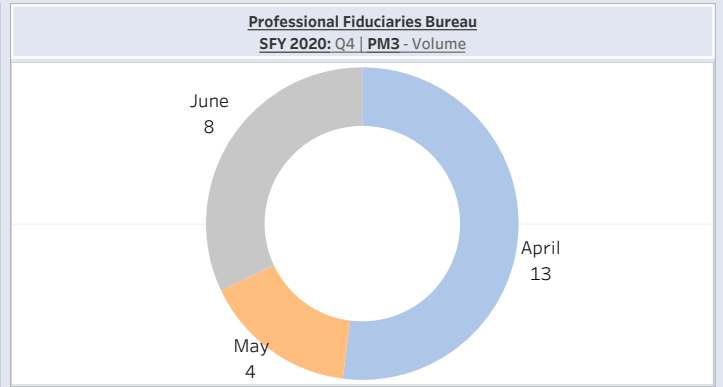
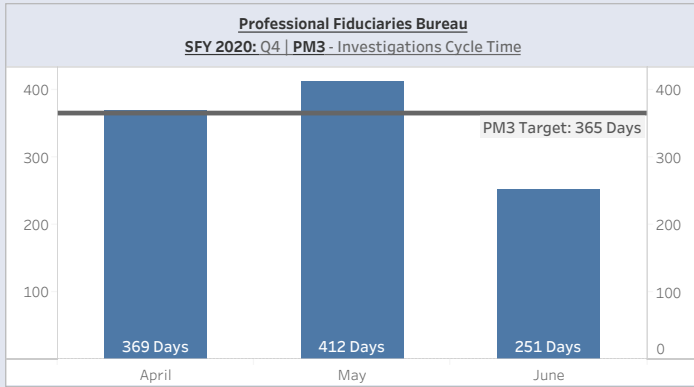
Processing Time
Actual Target

Case Volume by Month
April May June

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
25	365 Days	338 Days	▼ -27 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2020

Select a Quarter
Q4

Processing Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary

Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2020: Q4 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2020: None | PM4 - Volume

Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2020
 Performance Measure: PM7
 Select a Quarter: Q4
 Processing Time: Actual Target
 Case Volume by Month: April May June

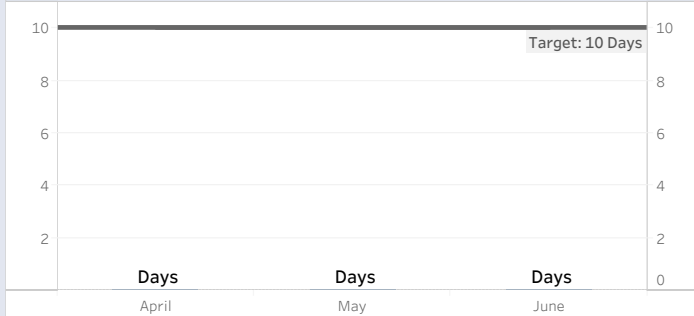
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

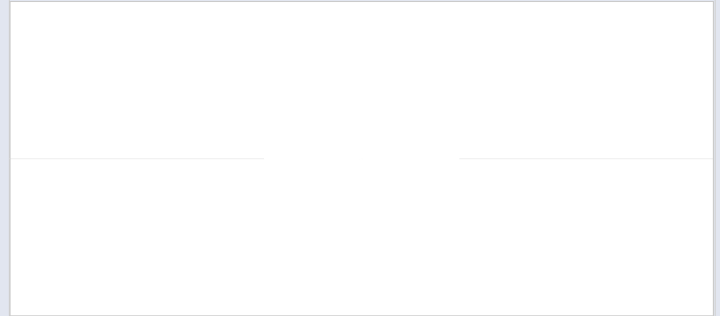
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2020: Q4 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2020: Q4 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2020 | Performance Measure: PM8 | Select a Quarter: Q4 | Processing Time: Actual (selected), Target | Case Volume by Month: April (selected), May, June

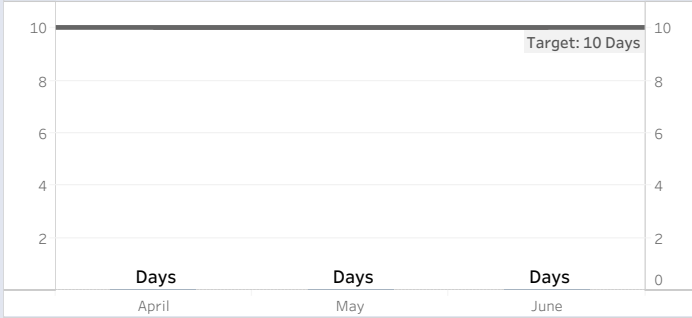
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

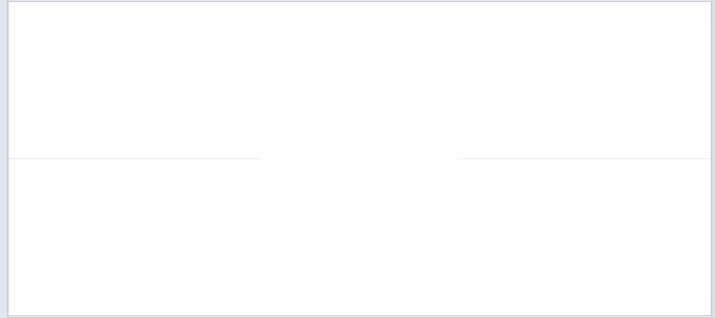
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2020: Q4 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2020: Q4 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q1

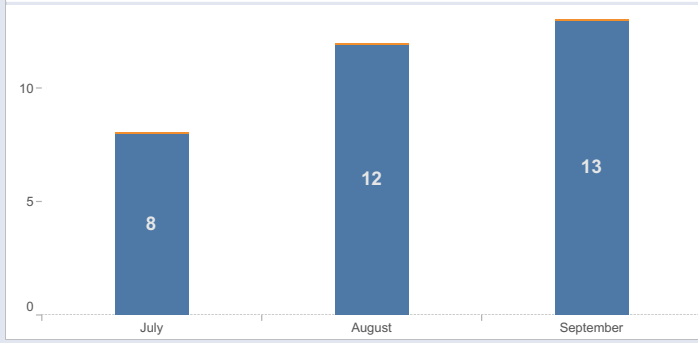
Case Type
Conviction/Arrest Volume (orange square) Complaints Volume (blue square)

Performance Measure 1 (Complaint Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

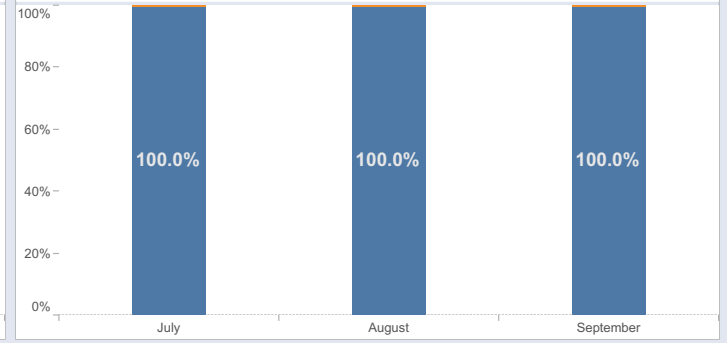
Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/16/2021

Complaints Volume	Conviction/Arrest Volume	Total Volume
33	0	33

Professional Fiduciaries Bureau
SFY 2021:Q1 - Case Volume



Professional Fiduciaries Bureau
SFY 2021:Q1 - Case Volume % Distribution



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q1

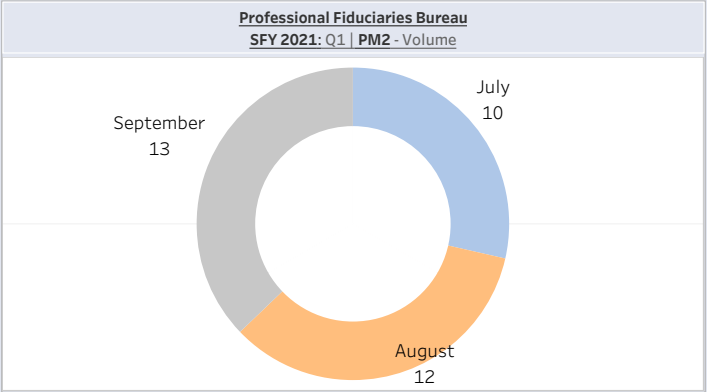
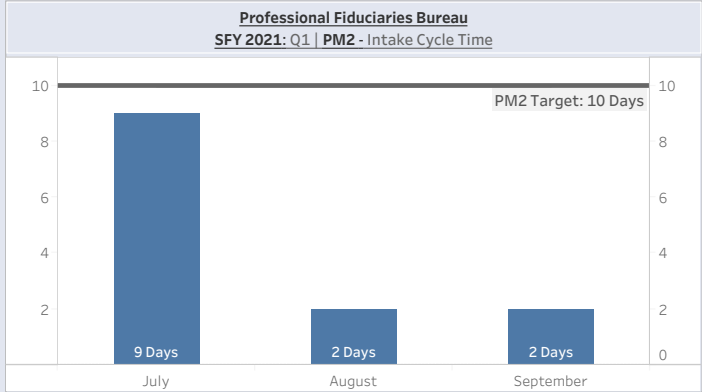
Processing Time
Actual Target

Case Volume by Month
July August September

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
35	10 Days	4 Days	▼ -6 Days



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q1

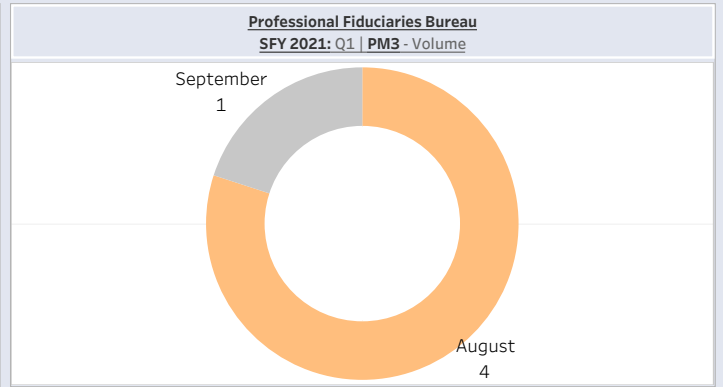
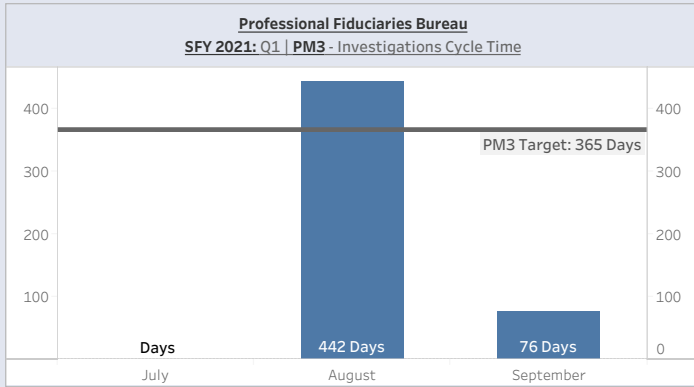
Processing Time
Actual Target

Case Volume by Month
August September

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/16/2021

Case Volume	Target	Actual	Variance
5	365 Days	369 Days	▲ 4 Days



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q1

Processing Time
 Actual Target

Case Volume by Month

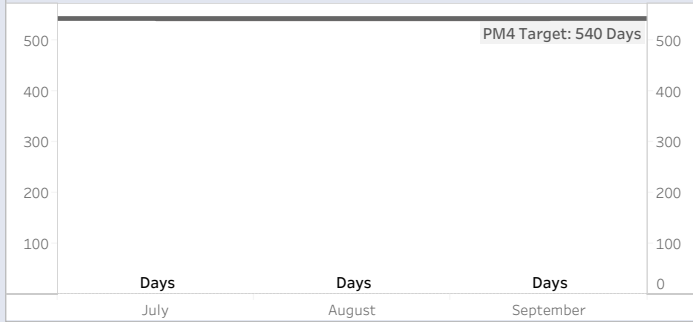
Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary

Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2021: Q1 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2021: None | PM4 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2021 | Performance Measure: PM7 | Select a Quarter: Q1 | Processing Time: Actual (Selected), Target | Case Volume by Month: July (Selected), August, September

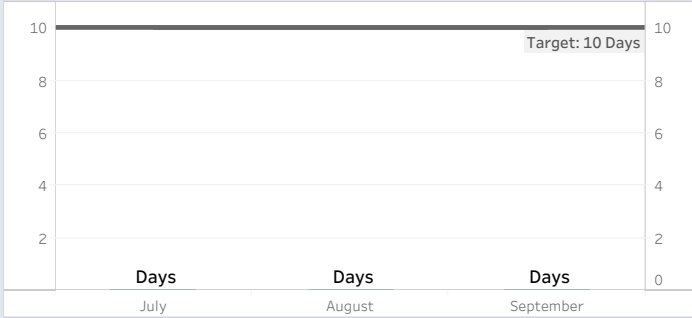
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

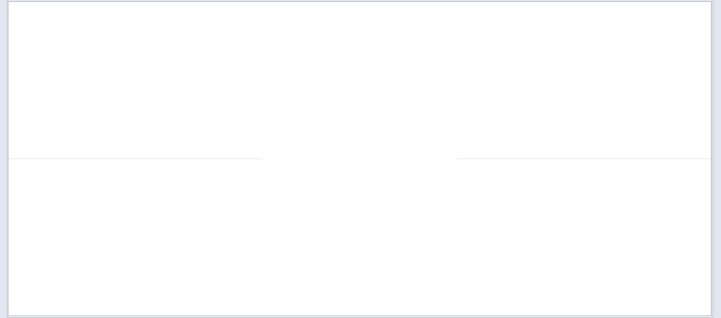
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q1 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q1 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2021 | Performance Measure: PM8 | Select a Quarter: Q1 | Processing Time: Actual (Selected), Target | Case Volume by Month: July (Selected), August, September

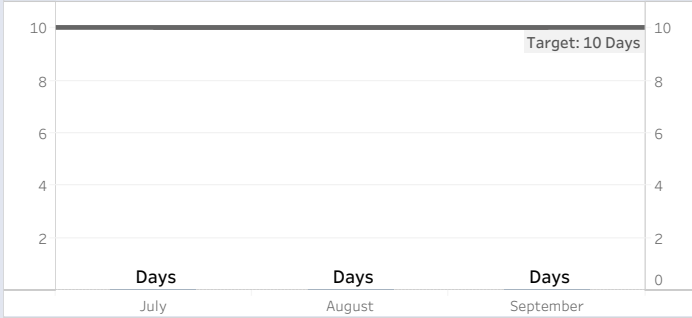
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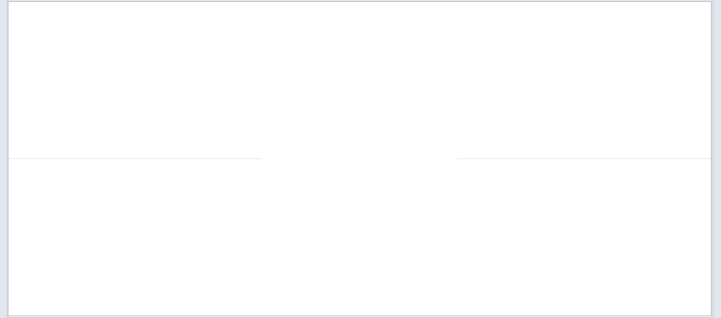
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q1 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q1 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some inst..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

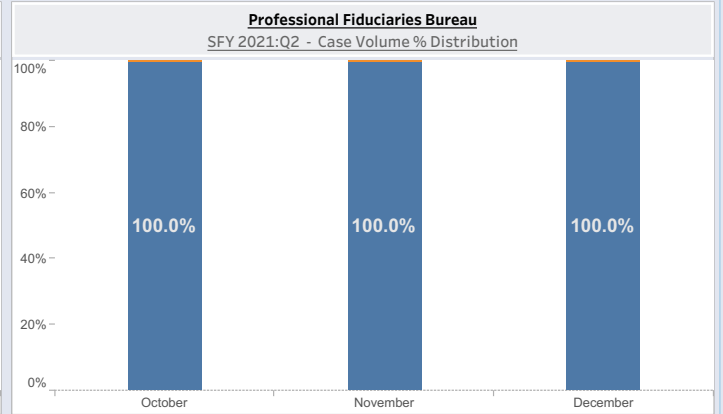
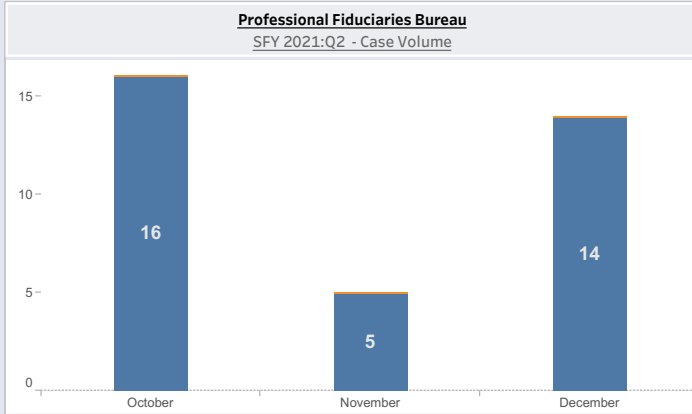
Select a Quarter
Q2

Case Type
Complaints Conviction/Arrest

Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
35	0	35



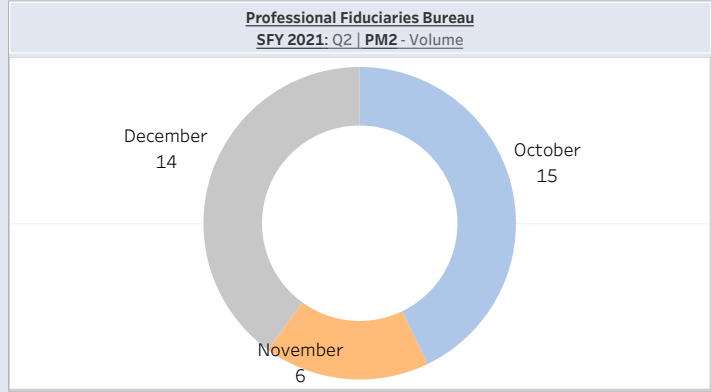
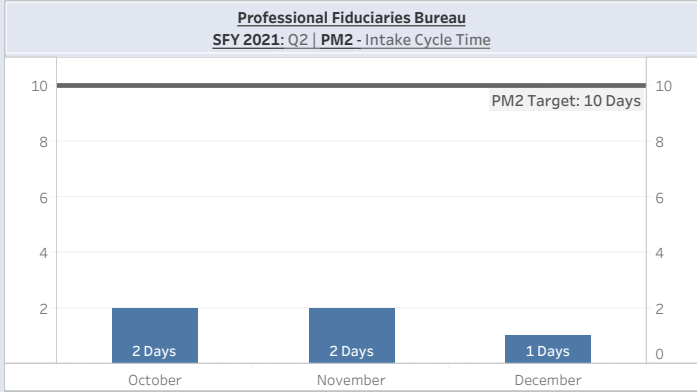
Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity: Professional Fiduciaries Bureau | Select a Fiscal Year: SFY 2021 | Select a Quarter: Q2 | Cycle Time: Actual (blue), Target (grey) | Case Volume by Month: October (light blue), November (orange), December (grey)

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
35	10 Days	2 Day(s)	▼ -8 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q2

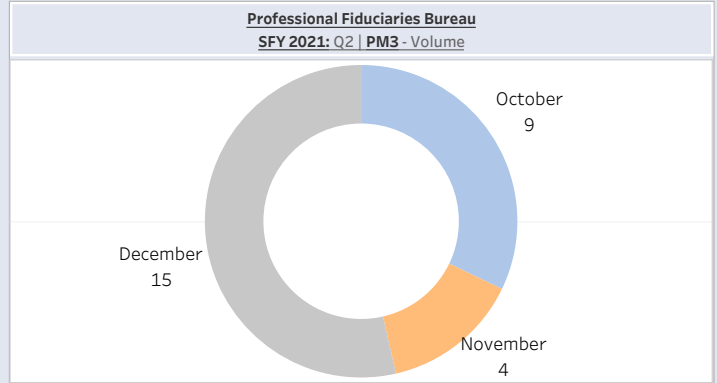
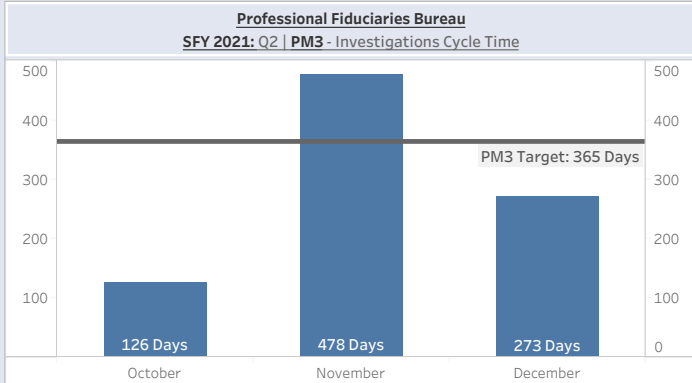
Cycle Time
Actual Target

Case Volume by Month
October November December

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
28	365 Days	255 Day(s)	▼ -110 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q2

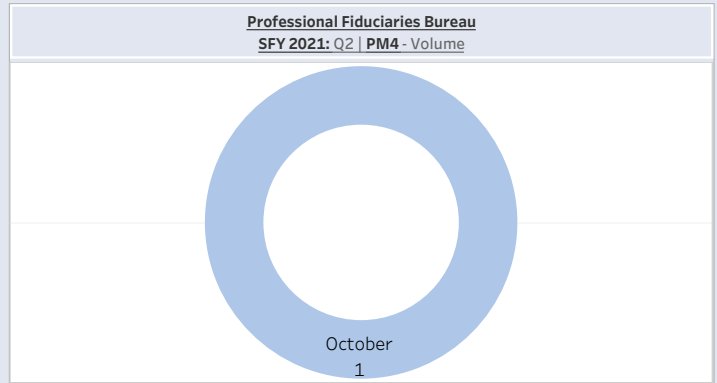
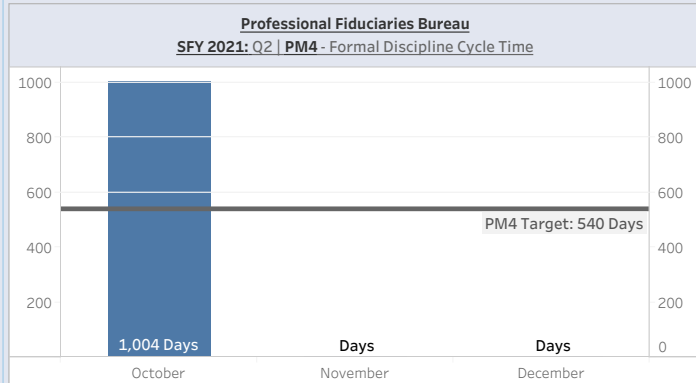
Cycle Time
Actual Target

Case Volume by Month
October

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
1	540 Days	1,004 Day(s)	▲ 464 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu..
 Select a Fiscal Year: SFY 2021
 Performance Measure: PM7
 Select a Quarter: Q2
 Cycle Time: Actual Target
 Case Volume by Month: October November December

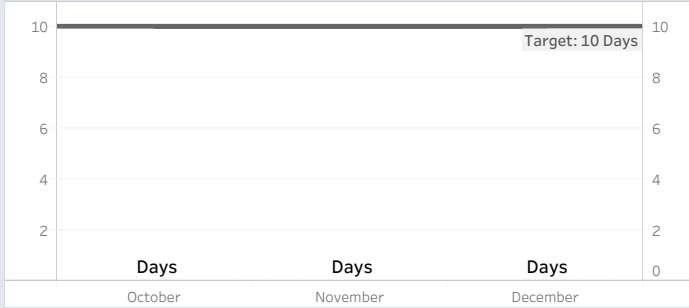
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

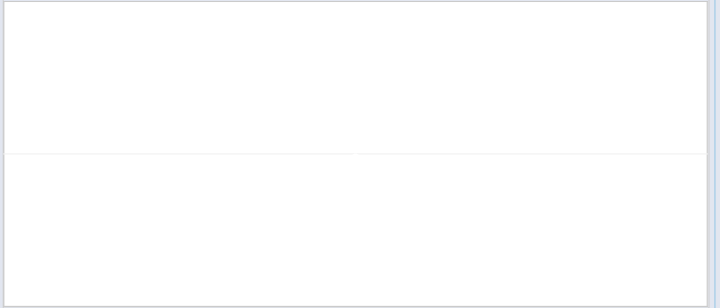
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
 SFY 2021: Q2 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
 SFY 2021: Q2 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu. | Select a Fiscal Year: SFY 2021 | Performance Measure: PM8 | Select a Quarter: Q2 | Cycle Time: Actual (Selected), Target | Case Volume by Month: October (Selected), November, December

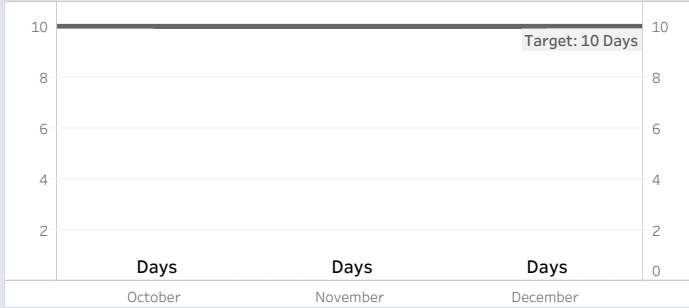
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Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

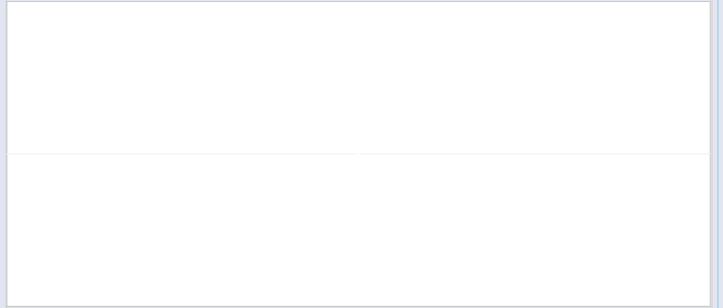
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q2 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q2 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

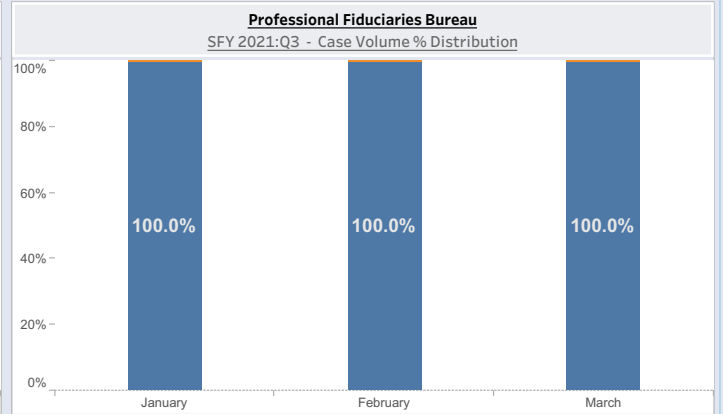
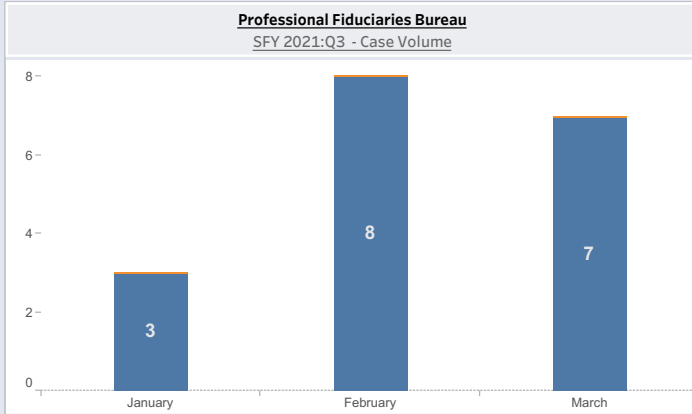
Select a Quarter
Q3

Case Type
Complaints Conviction/Arrest

Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
18	0	18



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q3

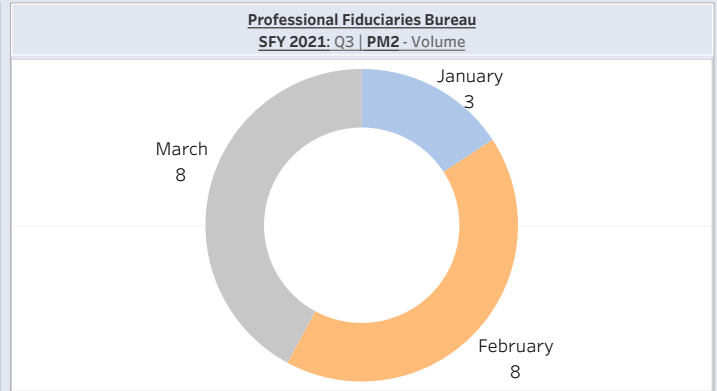
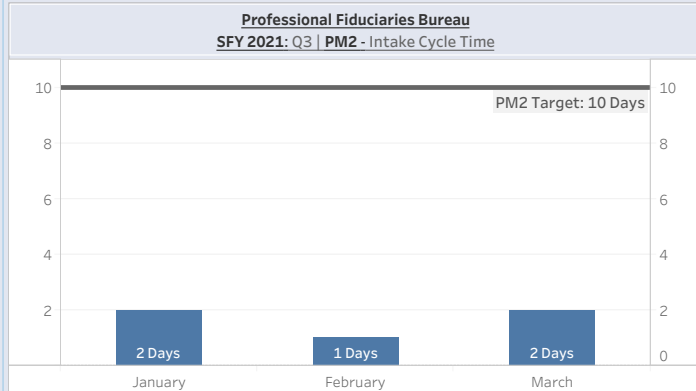
Cycle Time
Actual Target

Case Volume by Month
January February March

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
19	10 Days	2 Day(s)	▼ -8 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity

Professional Fiduciaries B..

Select a Fis..

SFY 2021

Select a Q..

Q3

Cycle Time

Actual

Case Volume by Month

January

February

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

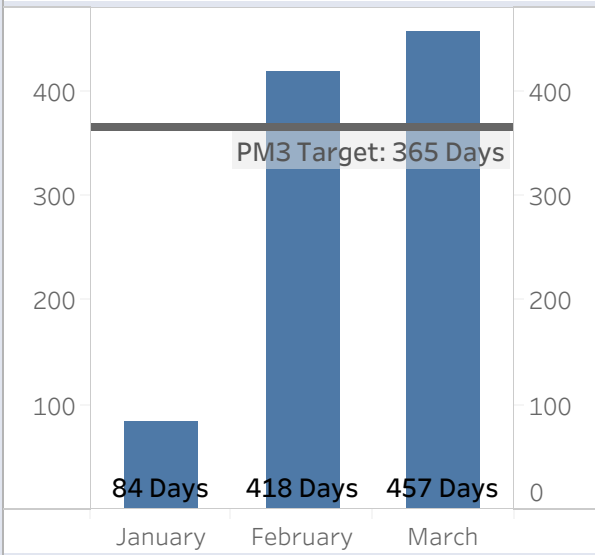
Professional Fiduciaries Bureau PM3 Performance Summary

Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
17	365 Days	329 Day(s)	▼ -36 Day(s)

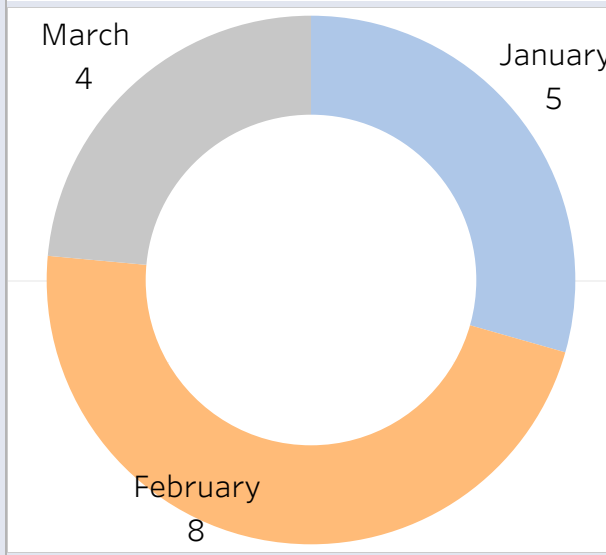
Professional Fiduciaries Bureau

SFY 2021: Q3 | PM3 - Investigations Cycle Time



Professional Fiduciaries Bureau

SFY 2021: Q3 | PM3 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interac..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q3

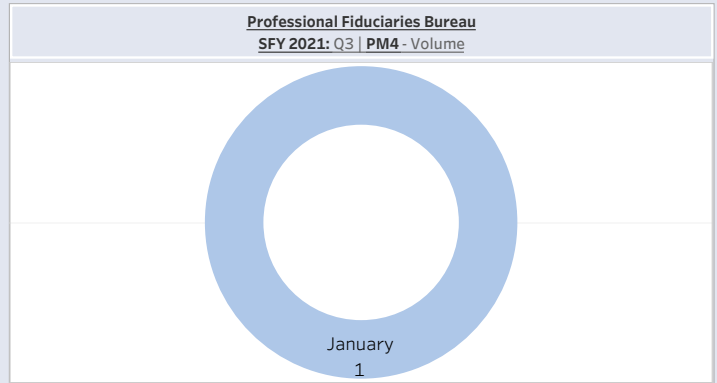
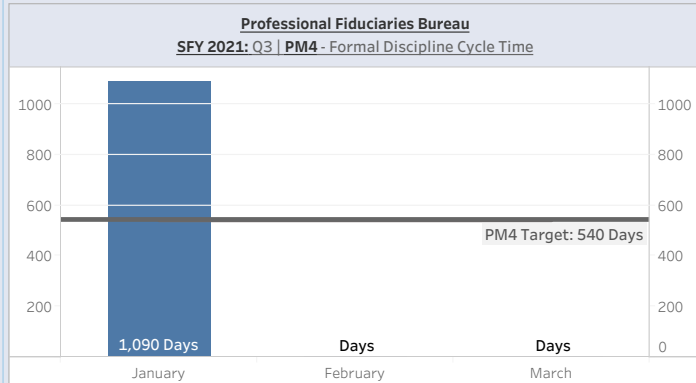
Cycle Time
Actual Target

Case Volume by Month
January

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
1	540 Days	1,090 Day(s)	▲ 550 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2021 | Performance Measure: PM7 | Select a Quarter: Q3 | Cycle Time: Actual (Selected), Target | Case Volume by Month: January (Selected), February, March

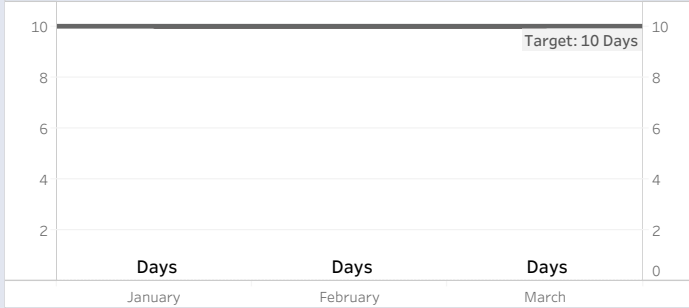
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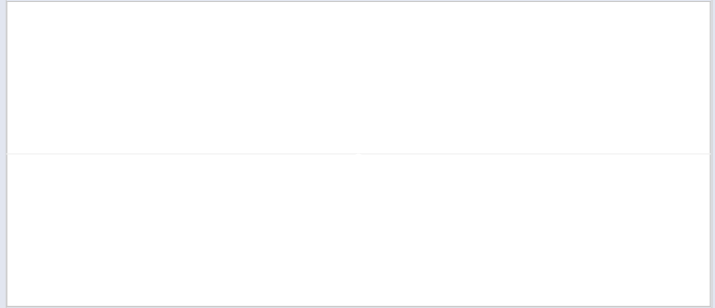
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q3 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q3 -PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu. | Select a Fiscal Year: SFY 2021 | Performance Measure: PM8 | Select a Quarter: Q3 | Cycle Time: Actual (Selected), Target | Case Volume by Month: January (Selected), February, March

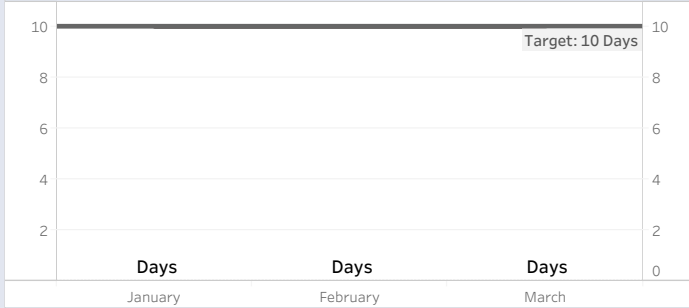
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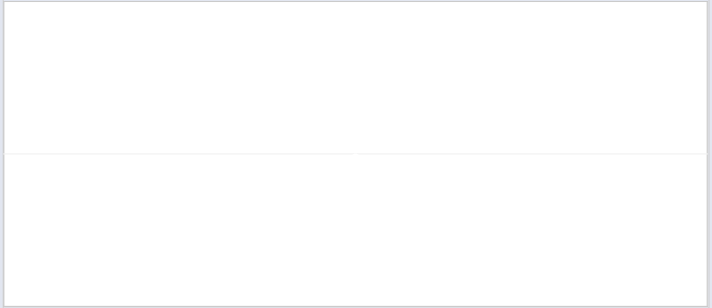
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q3 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q3 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q4

Case Type
 Complaints Conviction/Arrest

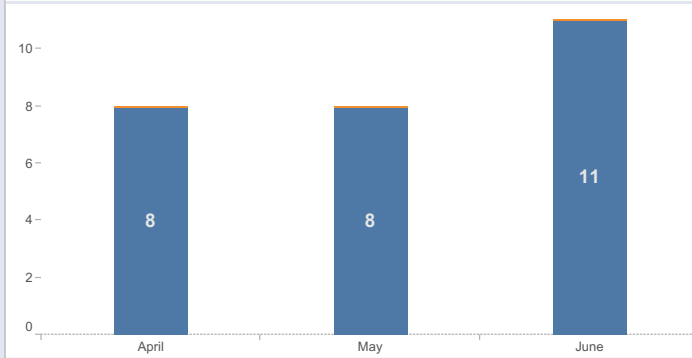
Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary

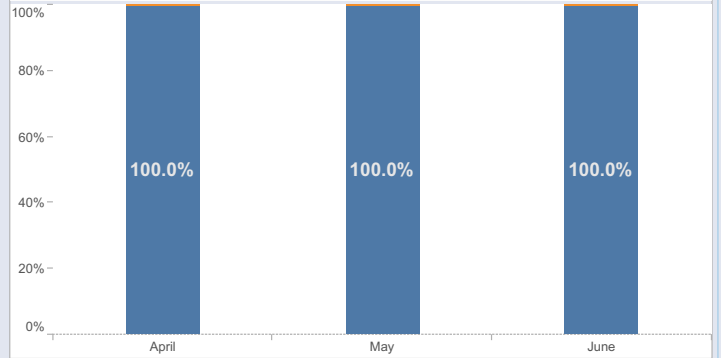
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
27	0	27

Professional Fiduciaries Bureau
SFY 2021:Q4 - Case Volume



Professional Fiduciaries Bureau
SFY 2021:Q4 - Case Volume % Distribution



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q4

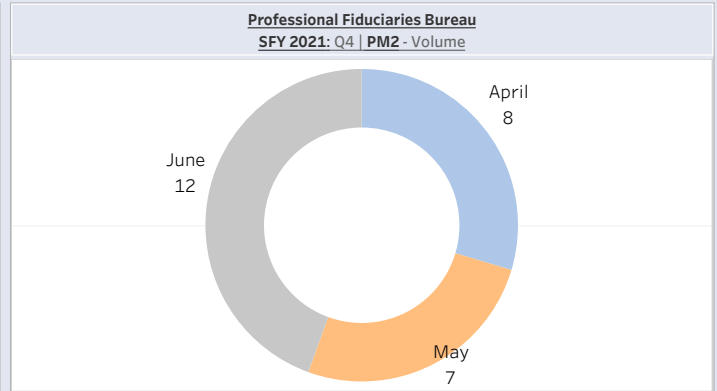
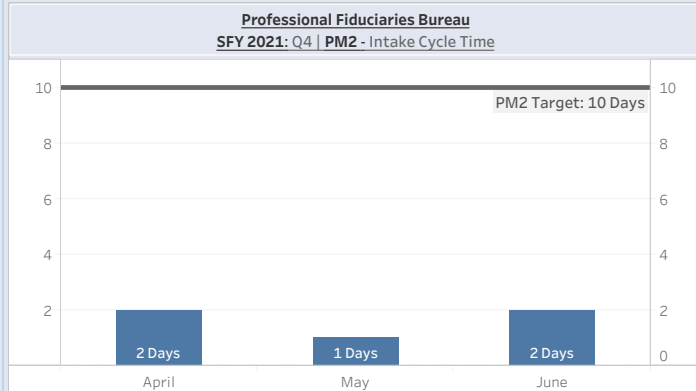
Cycle Time
Actual Target

Case Volume by Month
April May June

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
27	10 Days	2 Day(s)	▼ -8 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q4

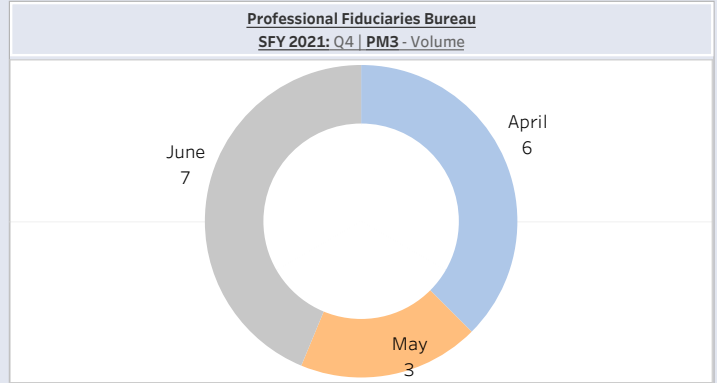
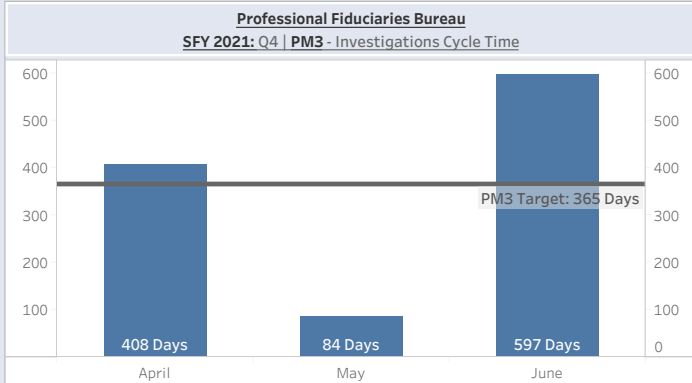
Cycle Time
Actual Target

Case Volume by Month
April May June

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
16	365 Days	430 Day(s)	▲ 65 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2021

Select a Quarter
Q4

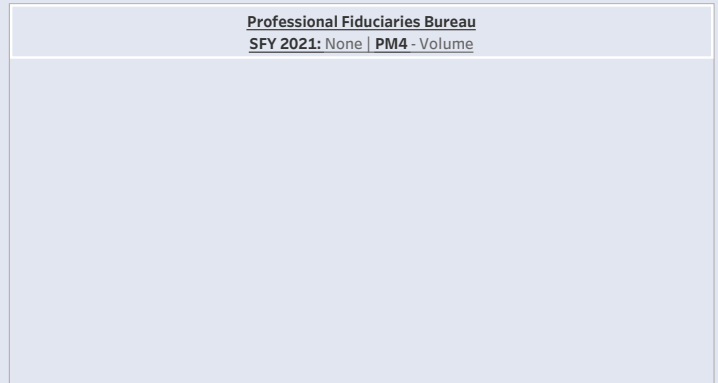
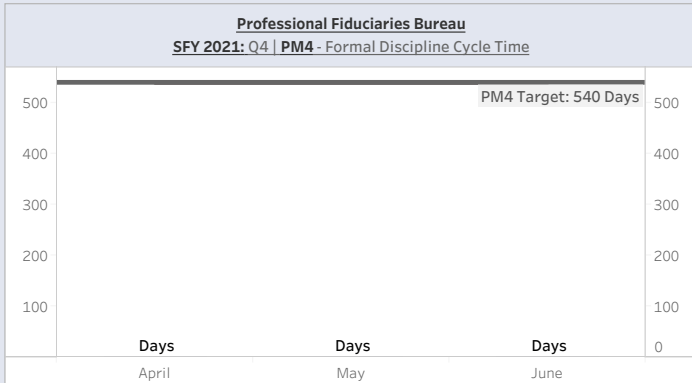
Cycle Time
 Actual Target

Case Volume by Month

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2021 | Performance Measure: PM7 | Select a Quarter: Q4 | Cycle Time: Actual (Selected), Target | Case Volume by Month: April (Selected), May, June

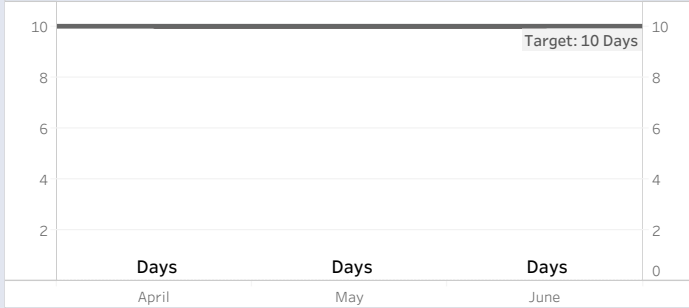
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

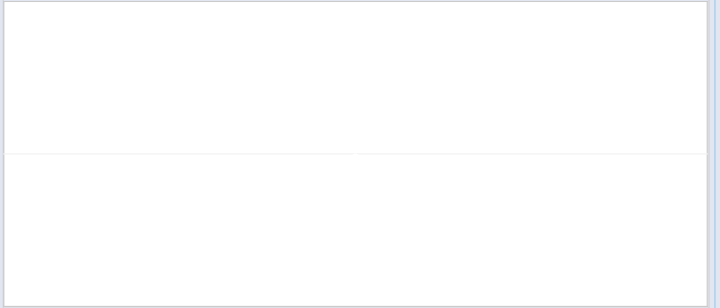
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q4 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q4 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu..
 Select a Fiscal Year: SFY 2021
 Performance Measure: PM8
 Select a Quarter: Q4
 Cycle Time: Actual Target
 Case Volume by Month: April May June

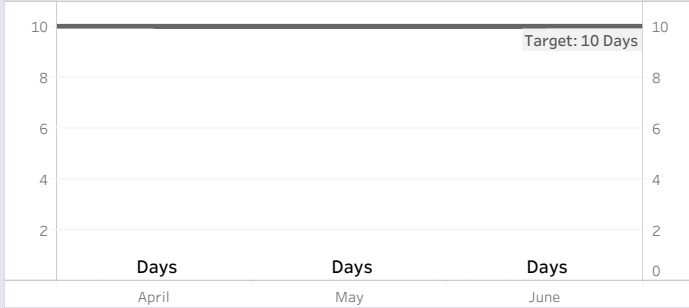
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

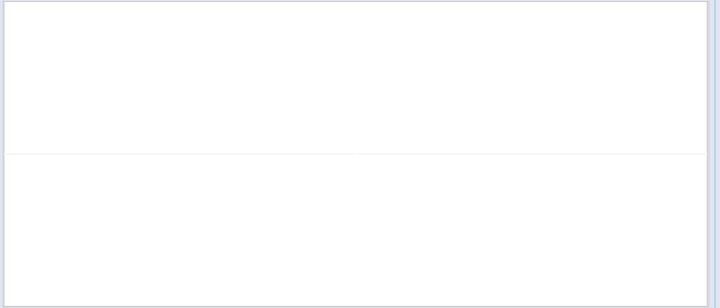
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2021: Q4 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2021: Q4 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

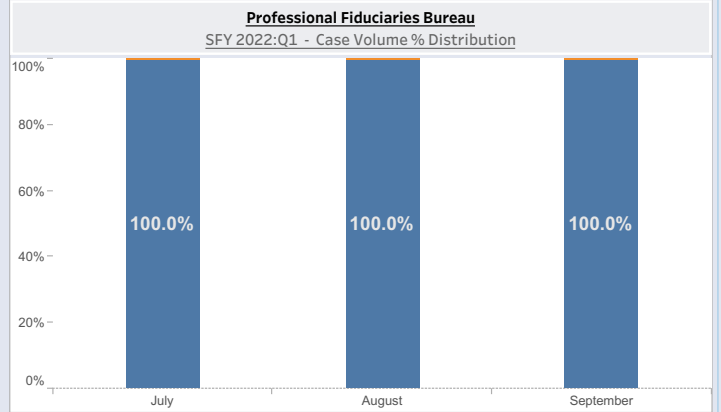
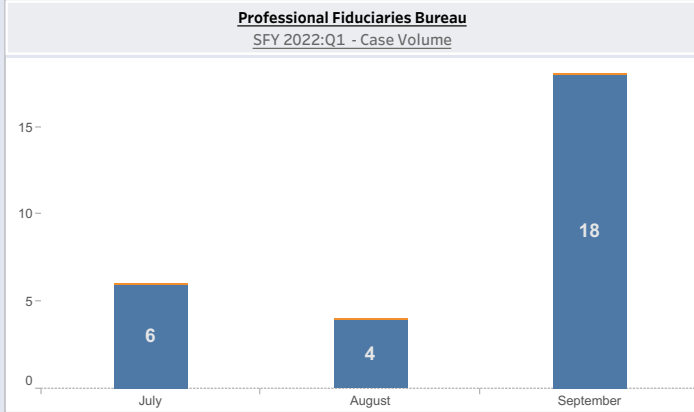
Select a Quarter
Q1

Case Type
Complaints Conviction/Arrest

Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
28	0	28



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q1

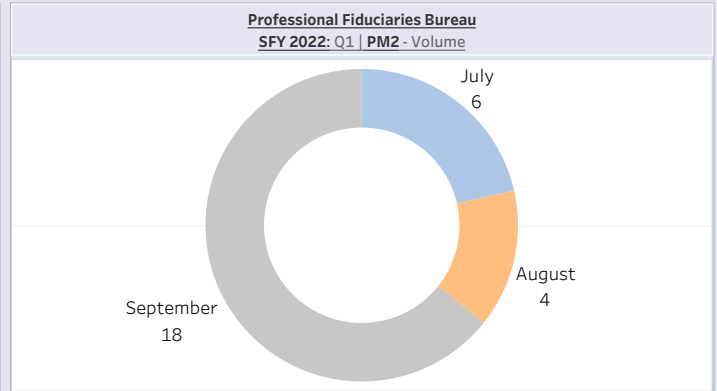
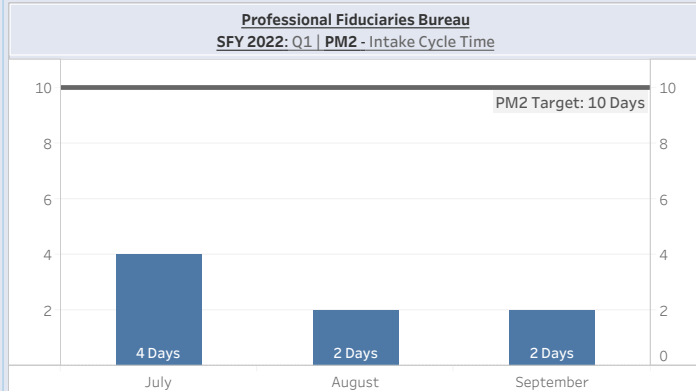
Cycle Time
Actual Target

Case Volume by Month
July August September

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
28	10 Days	2 Day(s)	▼ -8 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q1

Cycle Time
Actual

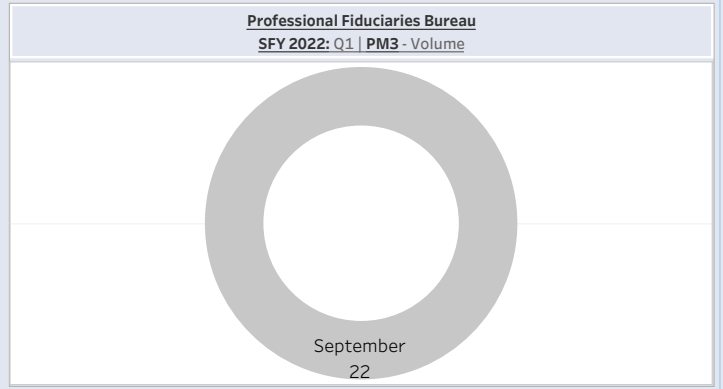
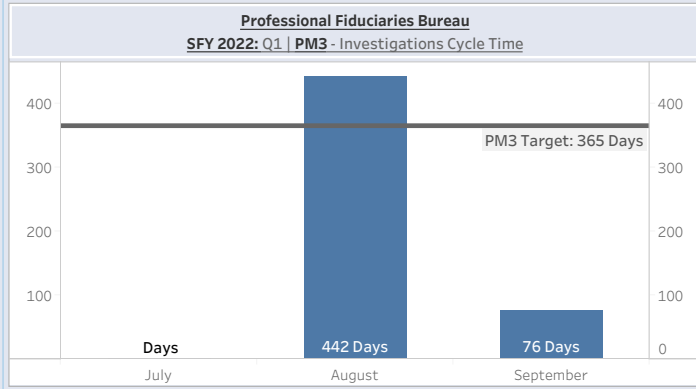
Target

Case Volume by Month
September

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
26	365 Days	64 Day(s)	▼ -301 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q1

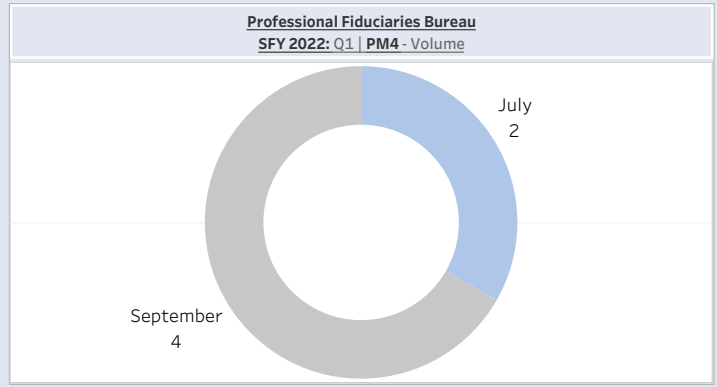
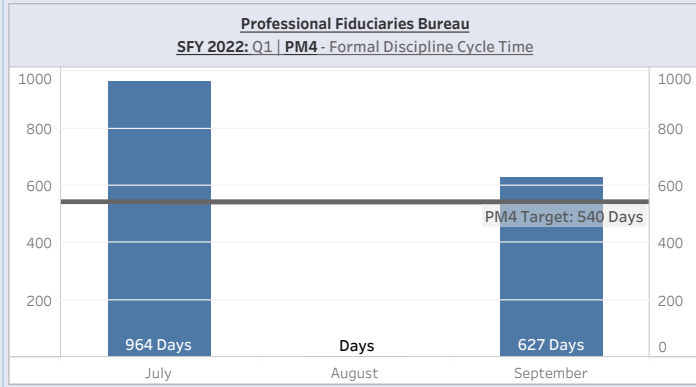
Cycle Time
Actual Target

Case Volume by Month
July September

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
6	540 Days	739 Day(s)	▲ 199 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2022
 Performance Measure: PM7
 Select a Quarter: Q1
 Cycle Time: Actual Target
 Case Volume by Month: July August September

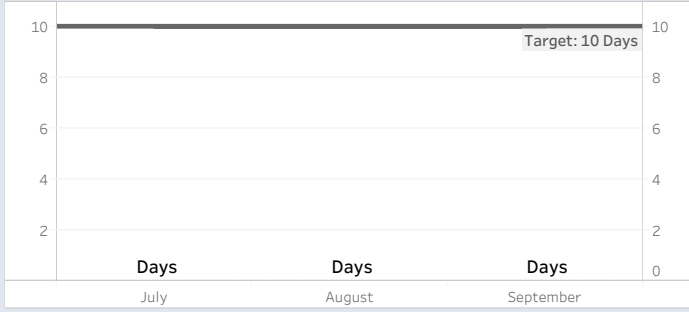
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

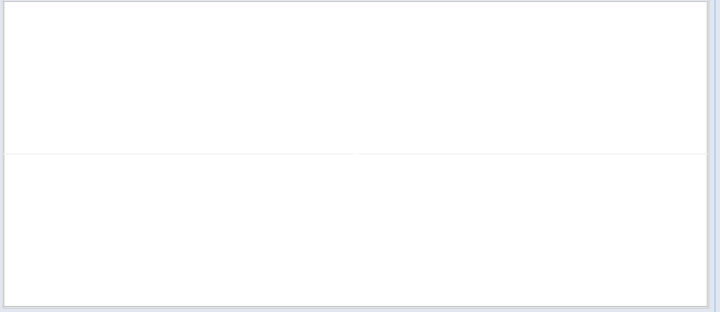
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q1 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q1 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu. | Select a Fiscal Year: SFY 2022 | Performance Measure: PM8 | Select a Quarter: Q1 | Cycle Time: Actual (Selected), Target | Case Volume by Month: July (Selected), August, September

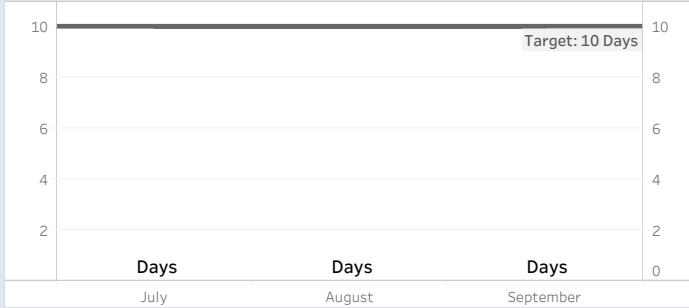
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

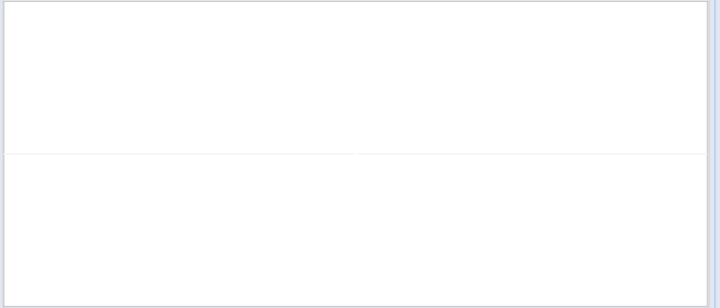
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q1 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q1 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

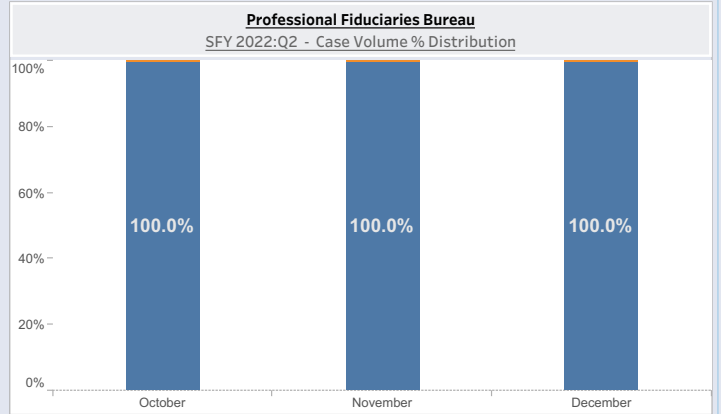
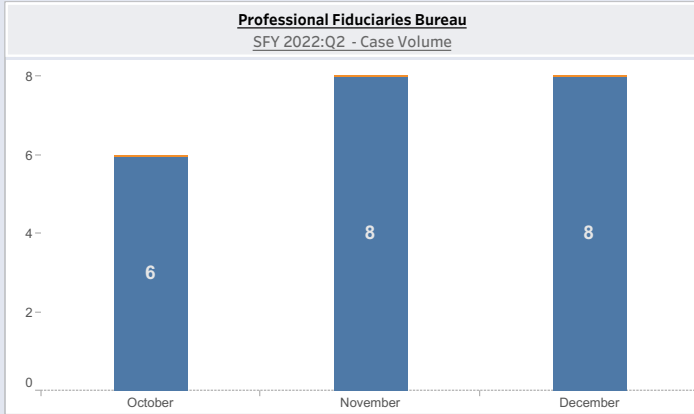
Select a Quarter
Q2

Case Type
Complaints Conviction/Arrest

Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
22	0	22



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q2

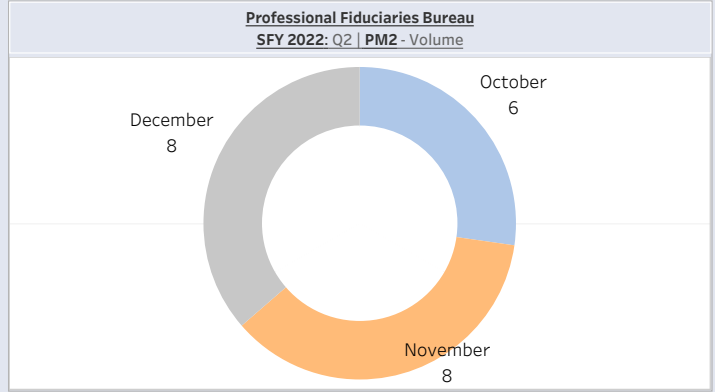
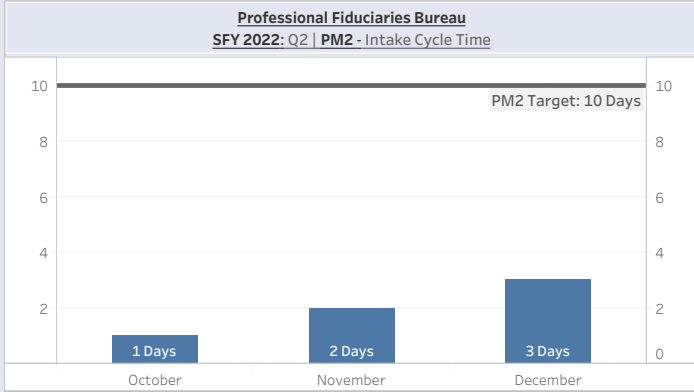
Cycle Time
Actual Target

Case Volume by Month
October November December

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
22	10 Days	2 Day(s)	▼ -8 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q2

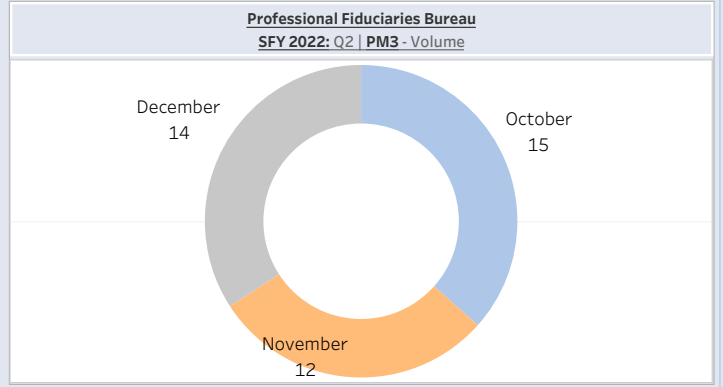
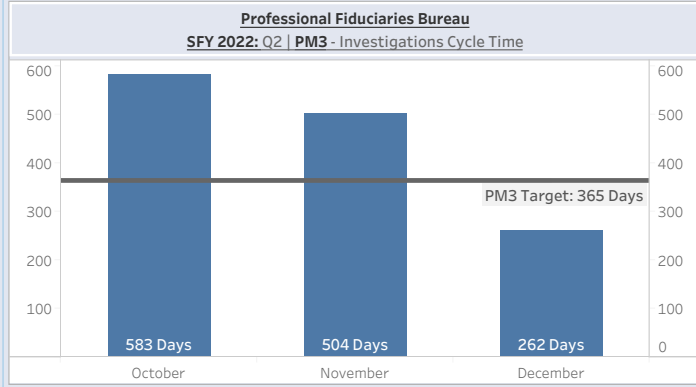
Cycle Time
Actual Target

Case Volume by Month
October November December

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
41	365 Days	450 Day(s)	▲ 85 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q2

Cycle Time
 Actual Target

Case Volume by Month

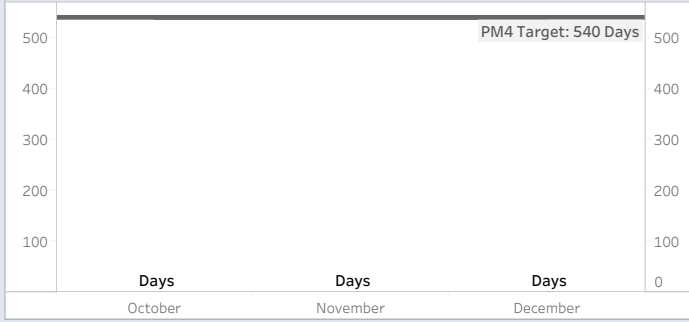
Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary

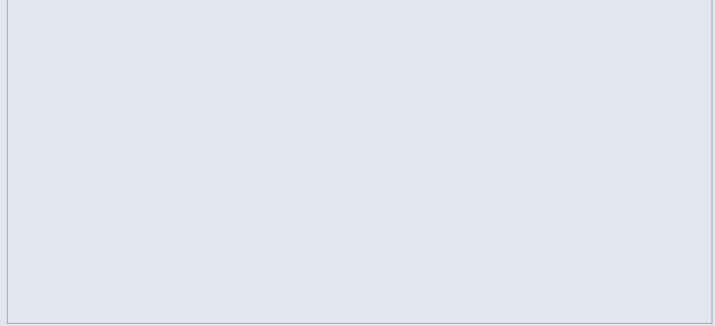
Data not available

Case Volume	Target	Actual	Variance
0	540 Days		

Professional Fiduciaries Bureau
SFY 2022: Q2 | PM4 - Formal Discipline Cycle Time



Professional Fiduciaries Bureau
SFY 2022: None | PM4 - Volume



Data Source: [California Department of Consumer Affairs, OIS/Data Governance Unit](#). The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu... | Select a Fiscal Year: SFY 2022 | Performance Measure: PM7 | Select a Quarter: Q2 | Cycle Time: Actual (Selected), Target | Case Volume by Month: October (Selected), November, December

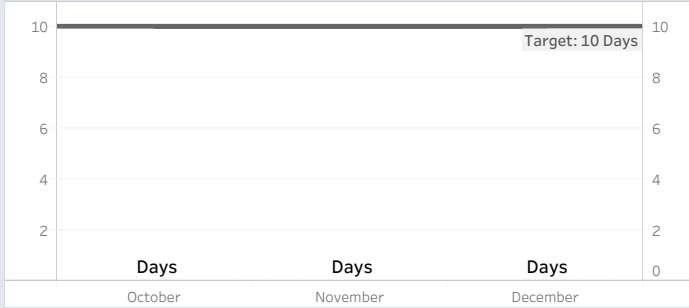
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

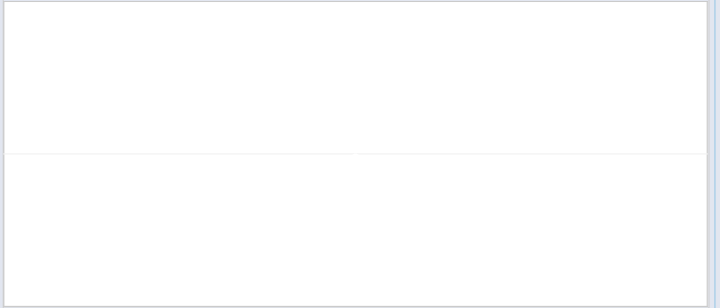
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q2 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q2 - PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu.. | Select a Fiscal Year: SFY 2022 | Performance Measure: PM8 | Select a Quarter: Q2 | Cycle Time: Actual (Selected), Target | Case Volume by Month: October (Selected), November, December

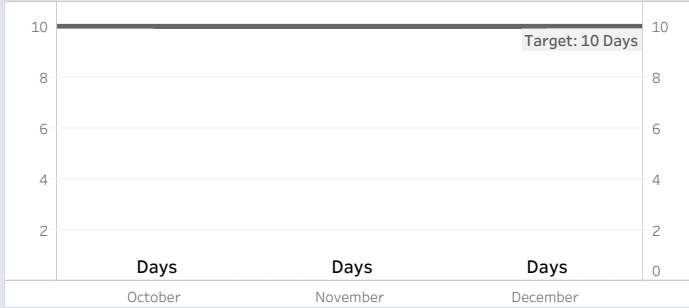
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

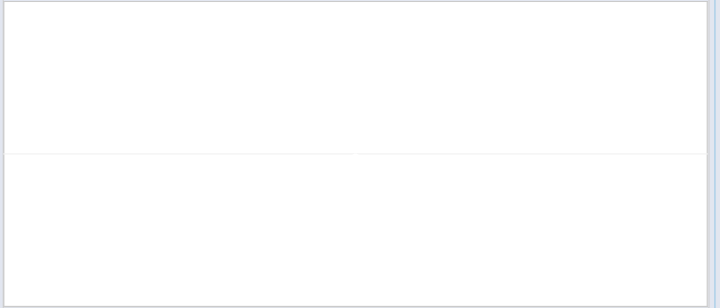
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q2 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q2 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

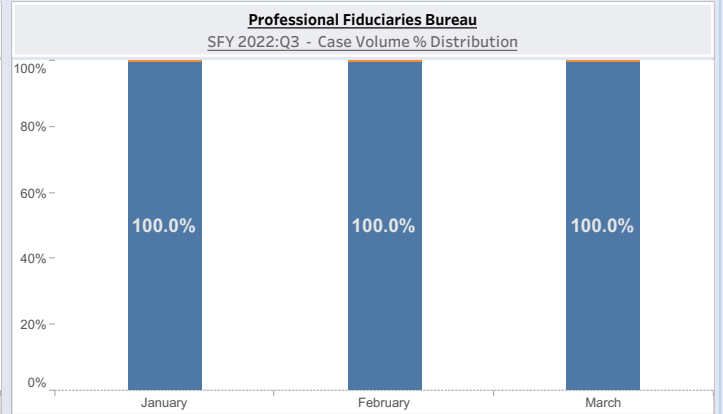
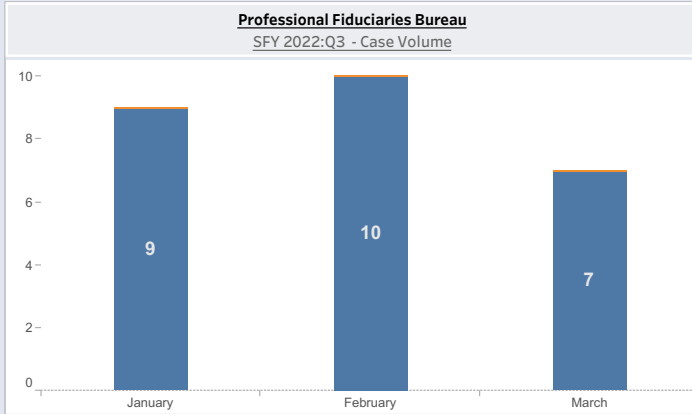
Select a Quarter
Q3

Case Type
Complaints Conviction/Arrest

Performance Measure 1 (Case Volume) – Total number of complaints and conviction/arrest notices received within the specified period.

Professional Fiduciaries Bureau New Cases Summary
Data last refreshed on 6/3/2022

Complaints	Conviction/Arrest	Total Volume
26	0	26



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some in..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q3

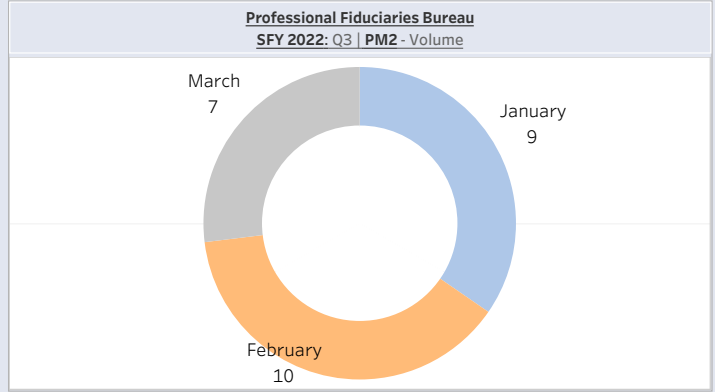
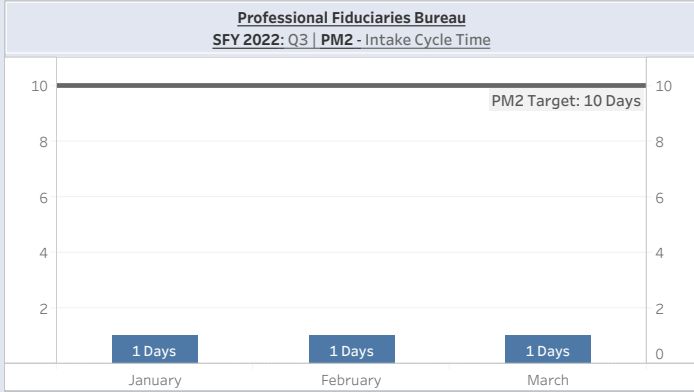
Cycle Time
Actual Target

Case Volume by Month
January February March

Performance Measure 2 represents the total number of complaint cases received and assigned for investigation and the average number of days (cycle time) from receipt of a complaint to the date the complaint was assigned for investigation or closed.

Professional Fiduciaries Bureau PM2 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
26	10 Days	1 Day(s)	▼ -9 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q3

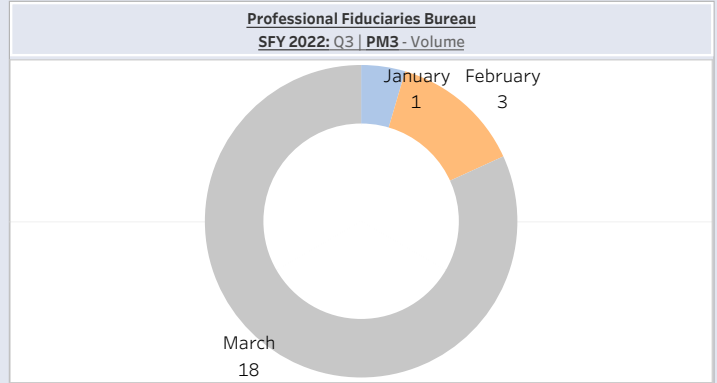
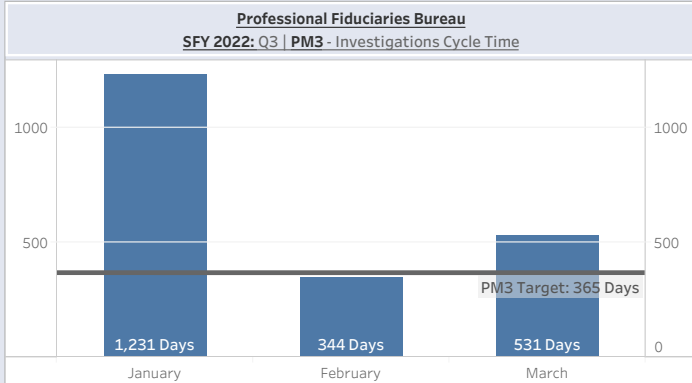
Cycle Time
Actual Target

Case Volume by Month
January February March

Performance Measure 3 (Investigation) – Total number of cases closed within the specified period that were not referred to the Attorney General for disciplinary action.

Professional Fiduciaries Bureau PM3 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
22	365 Days	537 Day(s)	▲ 172 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity
Professional Fiduciaries Bureau

Select a Fiscal Year
SFY 2022

Select a Quarter
Q3

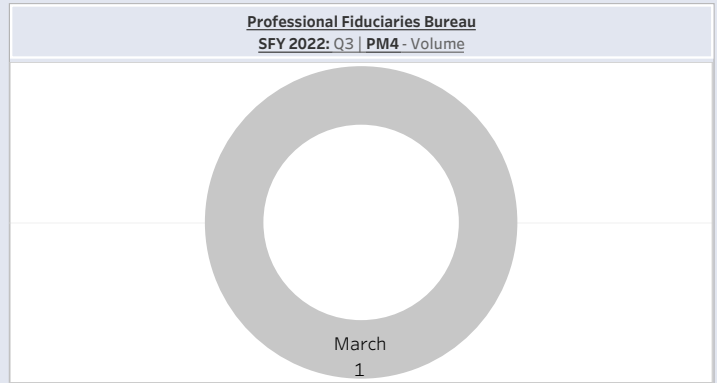
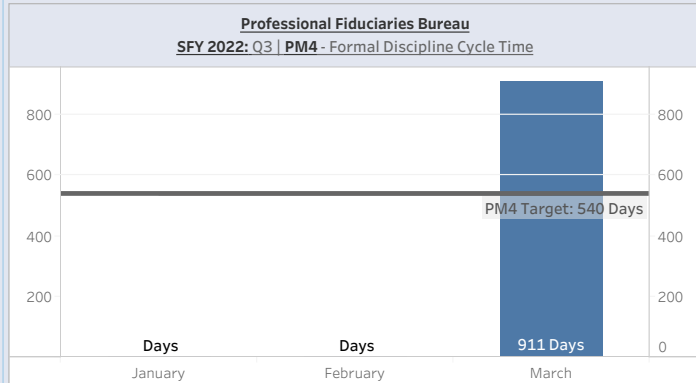
Cycle Time
Actual Target

Case Volume by Month
March

Performance Measure 4 (Formal Discipline) – Total number of cases closed within the specified period that were referred to the Attorney General for disciplinary action. This includes formal discipline, and closures without formal discipline (e.g. withdrawals, dismissals, etc.).

Professional Fiduciaries Bureau PM4 Performance Summary
Data last refreshed on 6/03/2022

Case Volume	Target	Actual	Variance
1	540 Days	911 Day(s)	▲ 371 Day(s)



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some ins..

Select a DCA Entity: Professional Fiduciaries Bu...
 Select a Fiscal Year: SFY 2022
 Performance Measure: PM7
 Select a Quarter: Q3
 Cycle Time: Actual Target
 Case Volume by Month: January February March

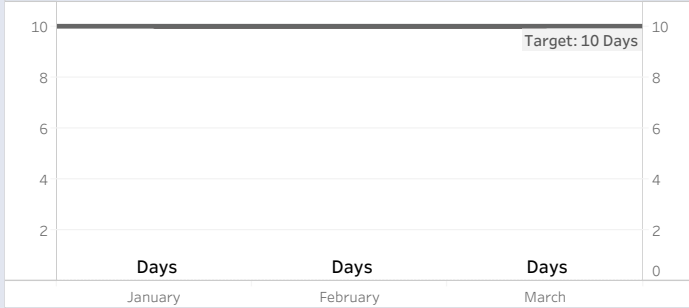
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

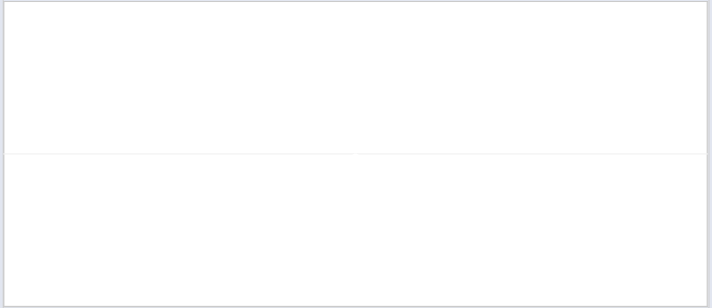
Professional Fiduciaries Bureau PM7 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q3 - PM7: Probation Intake Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q3 -PM7: Probation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Select a DCA Entity: Professional Fiduciaries Bu. | Select a Fiscal Year: SFY 2022 | Performance Measure: PM8 | Select a Quarter: Q3 | Cycle Time: Actual (Selected), Target | Case Volume by Month: January (Selected), February, March

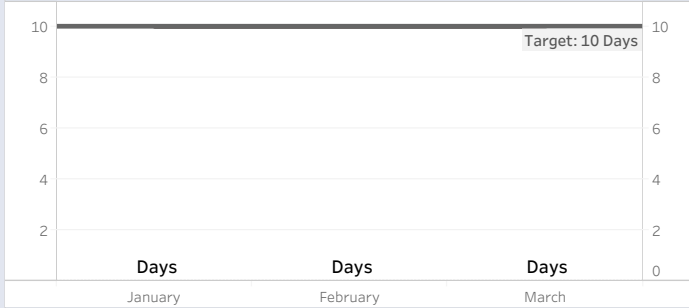
Performance Measure 7 (Probation Case Intake) - Total number of new probation cases and the average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

Performance Measure 8 (Probation Violation Response) - Total number of probation violation cases and the average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

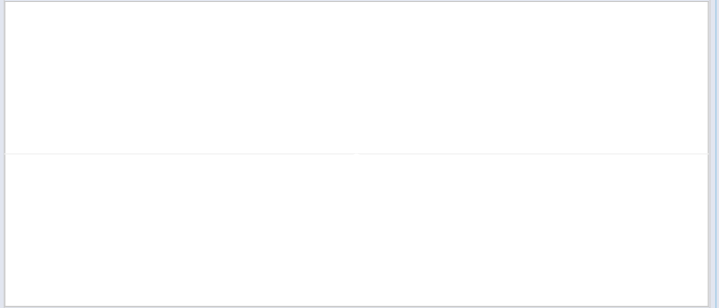
Professional Fiduciaries Bureau PM8 Performance Summary
Data not available

Case Volume	Target	Actual	Variance
0	10 Days		

Professional Fiduciaries Bureau
SFY 2022: Q3 - PM8: Probation Violation Response Cycle Time



Professional Fiduciaries Bureau
SFY 2022: Q3 - PM8: Probation Violation Cases



Data Source: California Department of Consumer Affairs, OIS/Data Governance Unit. The data included in this interactive tool is compiled from monthly enforcement statistical reporting from DCA Boards and Bureaus. In some instances historical enforcement performance data may differ slightly from the data reported in this tool due to errors and omissions in the previously released reports.

Performance Measure	Quarter	Month	Date	Target	Complaints Volume	Conviction/Arrest Volume	Total Volume	Intake Time	Investigation Time	Post Investigation Time	Pre AG Transmittal	Post AG Transmittal	Cycle Time
PM7	Q4	May	5/31/2021	10	0	0	0	0	0	0	0	0	0
PM8	Q4	May	5/31/2021	10	0	0	0	0	0	0	0	0	0
PM1	Q4	April	4/30/2021	0	8	0	8	0	0	0	0	0	0
PM2	Q4	April	4/30/2021	10	0	0	8	0	0	0	0	0	2
PM3	Q4	April	4/30/2021	365	0	0	6	0	0	0	0	0	408
PM4	Q4	April	4/30/2021	540	0	0	0	0	0	0	0	0	0
PM7	Q4	April	4/30/2021	10	0	0	0	0	0	0	0	0	0
PM8	Q4	April	4/30/2021	10	0	0	0	0	0	0	0	0	0
PM1	Q3	March	3/31/2021	0	7	0	7	0	0	0	0	0	0
PM2	Q3	March	3/31/2021	10	0	0	8	0	0	0	0	0	2
PM3	Q3	March	3/31/2021	365	0	0	4	0	0	0	0	0	457
PM4	Q3	March	3/31/2021	540	0	0	0	0	0	0	0	0	0
PM7	Q3	March	3/31/2021	10	0	0	0	0	0	0	0	0	0
PM8	Q3	March	3/31/2021	10	0	0	0	0	0	0	0	0	0
PM1	Q3	February	2/28/2021	0	8	0	8	0	0	0	0	0	0
PM2	Q3	February	2/28/2021	10	0	0	8	0	0	0	0	0	1
PM3	Q3	February	2/28/2021	365	0	0	8	0	0	0	0	0	418
PM4	Q3	February	2/28/2021	540	0	0	0	0	0	0	0	0	0
PM7	Q3	February	2/28/2021	10	0	0	0	0	0	0	0	0	0
PM8	Q3	February	2/28/2021	10	0	0	0	0	0	0	0	0	0
PM1	Q3	January	1/31/2021	0	3	0	3	0	0	0	0	0	0
PM2	Q3	January	1/31/2021	10	0	0	3	0	0	0	0	0	2
PM3	Q3	January	1/31/2021	365	0	0	5	0	0	0	0	0	84
PM4	Q3	January	1/31/2021	540	0	0	1	0	0	0	0	0	1090
PM7	Q3	January	1/31/2021	10	0	0	0	0	0	0	0	0	0
PM8	Q3	January	1/31/2021	10	0	0	0	0	0	0	0	0	0
PM1	Q2	December	12/31/2020	0	14	0	14	0	0	0	0	0	0
PM2	Q2	December	12/31/2020	10	0	0	14	0	0	0	0	0	1
PM3	Q2	December	12/31/2020	365	0	0	15	0	0	0	0	0	273
PM4	Q2	December	12/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q2	December	12/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q2	December	12/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q2	November	11/30/2020	0	5	0	5	0	0	0	0	0	0
PM2	Q2	November	11/30/2020	10	0	0	6	0	0	0	0	0	2
PM3	Q2	November	11/30/2020	365	0	0	4	0	0	0	0	0	478
PM4	Q2	November	11/30/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q2	November	11/30/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q2	November	11/30/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q2	October	10/31/2020	0	16	0	16	0	0	0	0	0	0
PM2	Q2	October	10/31/2020	10	0	0	15	0	0	0	0	0	2
PM3	Q2	October	10/31/2020	365	0	0	9	0	0	0	0	0	126

Performance Measure	Quarter	Month	Date	Target	Complaints Volume	Conviction/Arrest Volume	Total Volume	Intake Time	Investigation Time	Post Investigation Time	Pre AG Transmittal	Post AG Transmittal	Cycle Time
PM4	Q2	October	10/31/2020	540	0	0	1	0	0	0	0	0	1004
PM7	Q2	October	10/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q2	October	10/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q1	September	9/30/2020	0	13	0	13	0	0	0	0	0	0
PM2	Q1	September	9/30/2020	10	0	0	13	0	0	0	0	0	2
PM3	Q1	September	9/30/2020	365	0	0	1	0	0	0	0	0	76
PM4	Q1	September	9/30/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q1	September	9/30/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q1	September	9/30/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q1	August	8/31/2020	0	12	0	12	0	0	0	0	0	0
PM2	Q1	August	8/31/2020	10	0	0	12	0	0	0	0	0	2
PM3	Q1	August	8/31/2020	365	0	0	4	0	0	0	0	0	442
PM4	Q1	August	8/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q1	August	8/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q1	August	8/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q1	July	7/31/2020	0	8	0	8	0	0	0	0	0	0
PM2	Q1	July	7/31/2020	10	0	0	10	0	0	0	0	0	9
PM3	Q1	July	7/31/2020	365	0	0	0	0	0	0	0	0	0
PM4	Q1	July	7/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q1	July	7/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q1	July	7/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q4	June	6/30/2020	0	8	0	8	0	0	0	0	0	0
PM2	Q4	June	6/30/2020	10	0	0	6	0	0	0	0	0	5
PM3	Q4	June	6/30/2020	365	0	0	8	0	0	0	0	0	251
PM4	Q4	June	6/30/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q4	June	6/30/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q4	June	6/30/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q4	May	5/31/2020	0	7	0	7	0	0	0	0	0	0
PM2	Q4	May	5/31/2020	10	0	0	11	0	0	0	0	0	3
PM3	Q4	May	5/31/2020	365	0	0	4	0	0	0	0	0	412
PM4	Q4	May	5/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q4	May	5/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q4	May	5/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q4	April	4/30/2020	0	9	0	9	0	0	0	0	0	0
PM2	Q4	April	4/30/2020	10	0	0	5	0	0	0	0	0	2
PM3	Q4	April	4/30/2020	365	0	0	13	0	0	0	0	0	369
PM4	Q4	April	4/30/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q4	April	4/30/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q4	April	4/30/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q3	March	3/31/2020	0	12	0	12	0	0	0	0	0	0
PM2	Q3	March	3/31/2020	10	0	0	12	0	0	0	0	0	1

Performance Measure	Quarter	Month	Date	Target	Complaints Volume	Conviction/Arrest Volume	Total Volume	Intake Time	Investigation Time	Post Investigation Time	Pre AG Transmittal	Post AG Transmittal	Cycle Time
PM3	Q3	March	3/31/2020	365	0	0	5	0	0	0	0	0	301
PM4	Q3	March	3/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q3	March	3/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q3	March	3/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q3	February	2/28/2020	0	11	0	11	0	0	0	0	0	0
PM2	Q3	February	2/28/2020	10	0	0	11	0	0	0	0	0	1
PM3	Q3	February	2/28/2020	365	0	0	8	0	0	0	0	0	25
PM4	Q3	February	2/28/2020	540	0	0	1	0	0	0	0	0	1334
PM7	Q3	February	2/28/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q3	February	2/28/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q3	January	1/31/2020	0	20	0	20	0	0	0	0	0	0
PM2	Q3	January	1/31/2020	10	0	0	20	0	0	0	0	0	2
PM3	Q3	January	1/31/2020	365	0	0	11	0	0	0	0	0	85
PM4	Q3	January	1/31/2020	540	0	0	0	0	0	0	0	0	0
PM7	Q3	January	1/31/2020	10	0	0	0	0	0	0	0	0	0
PM8	Q3	January	1/31/2020	10	0	0	0	0	0	0	0	0	0
PM1	Q2	December	12/31/2019	0	10	0	10	0	0	0	0	0	0
PM2	Q2	December	12/31/2019	10	0	0	10	0	0	0	0	0	2
PM3	Q2	December	12/31/2019	365	0	0	4	0	0	0	0	0	44
PM4	Q2	December	12/31/2019	540	0	0	0	0	0	0	0	0	0
PM7	Q2	December	12/31/2019	10	0	0	0	0	0	0	0	0	0
PM8	Q2	December	12/31/2019	10	0	0	0	0	0	0	0	0	0
PM1	Q2	November	11/30/2019	0	15	0	15	0	0	0	0	0	0
PM2	Q2	November	11/30/2019	10	0	0	15	0	0	0	0	0	2
PM3	Q2	November	11/30/2019	365	0	0	7	0	0	0	0	0	7
PM4	Q2	November	11/30/2019	540	0	0	0	0	0	0	0	0	0
PM7	Q2	November	11/30/2019	10	0	0	0	0	0	0	0	0	0
PM8	Q2	November	11/30/2019	10	0	0	0	0	0	0	0	0	0
PM1	Q2	October	10/31/2019	0	16	0	16	0	0	0	0	0	0
PM2	Q2	October	10/31/2019	10	0	0	17	0	0	0	0	0	1
PM3	Q2	October	10/31/2019	365	0	0	11	0	0	0	0	0	159
PM4	Q2	October	10/31/2019	540	0	0	0	0	0	0	0	0	0
PM7	Q2	October	10/31/2019	10	0	0	0	0	0	0	0	0	0
PM8	Q2	October	10/31/2019	10	0	0	0	0	0	0	0	0	0
PM1	Q1	September	9/30/2019	0	6	0	6	0	0	0	0	0	0
PM2	Q1	September	9/30/2019	10	0	0	5	0	0	0	0	0	2
PM3	Q1	September	9/30/2019	365	0	0	0	0	0	0	0	0	0
PM4	Q1	September	9/30/2019	540	0	0	0	0	0	0	0	0	0
PM7	Q1	September	9/30/2019	10	0	0	0	0	0	0	0	0	0
PM8	Q1	September	9/30/2019	10	0	0	0	0	0	0	0	0	0
PM1	Q1	August	8/31/2019	0	13	0	13	0	0	0	0	0	0

F. QUARTERLY LICENSING PERFORMANCE MEASURES

Fiscal Year	Year	Quarter	Month	Date	License Type Code	License Type	Transaction Code	Application Type	Target Cycle Time Complete Applications	Volume Complete Applications	Cycle Time Complete Applications	Volume Incomplete Applications	Cycle Time Incomplete Applications	Volume Renewal Applications	Cycle Time Renewal Applications
6/30/2022	2022	Q4	June	6/30/2022	N/A	PF	N/A	Exam Application	45	3	21	0	0	0	0
6/30/2022	2022	Q4	June	6/30/2022	N/A	PF	N/A	Initial License Application	15	5	9	0	0	0	0
6/30/2022	2022	Q4	June	6/30/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	71	8
6/30/2022	2022	Q4	May	5/31/2022	N/A	PF	N/A	Exam Application	45	4	8	2	11	0	0
6/30/2022	2022	Q4	May	5/31/2022	N/A	PF	N/A	Initial License Application	15	8	4	0	0	0	0
6/30/2022	2022	Q4	May	5/31/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	58	22
6/30/2022	2022	Q4	April	4/30/2022	N/A	PF	N/A	Exam Application	45	4	21	0	0	0	0
6/30/2022	2022	Q4	April	4/30/2022	N/A	PF	N/A	Initial License Application	15	0	0	0	0	0	0
6/30/2022	2022	Q4	April	4/30/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	50	10
6/30/2022	2022	Q3	March	3/31/2022	N/A	PF	N/A	Exam Application	45	3	17	0	0	0	0
6/30/2022	2022	Q3	March	3/31/2022	N/A	PF	N/A	Initial License Application	15	9	2	0	0	0	0
6/30/2022	2022	Q3	March	3/31/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	65	9
6/30/2022	2022	Q3	February	2/28/2022	N/A	PF	N/A	Exam Application	45	11	2	0	0	0	0
6/30/2022	2022	Q3	February	2/28/2022	N/A	PF	N/A	Initial License Application	15	4	12	0	0	0	0
6/30/2022	2022	Q3	February	2/28/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	52	7
6/30/2022	2022	Q3	January	1/31/2022	N/A	PF	N/A	Exam Application	45	3	16	2	56	0	0
6/30/2022	2022	Q3	January	1/31/2022	N/A	PF	N/A	Initial License Application	15	3	10	0	0	0	0
6/30/2022	2022	Q3	January	1/31/2022	PF	PF	Renewal	Renewal Application	0	0	0	0	0	60	10
6/30/2022	2022	Q2	December	12/31/2021	N/A	PF	N/A	Exam Application	45	13	18	3	31	0	0
6/30/2022	2022	Q2	December	12/31/2021	N/A	PF	N/A	Initial License Application	15	5	7	0	0	0	0
6/30/2022	2022	Q2	December	12/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	59	15
6/30/2022	2022	Q2	November	11/30/2021	N/A	PF	N/A	Exam Application	45	1	25	2	31	0	0

6/30/2022	2022	Q2	November	11/30/2021	N/A	PF	N/A	Initial License Application	15	7	12	0	0	0	0	0	0
6/30/2022	2022	Q2	November	11/30/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	66	15	0
6/30/2022	2022	Q2	October	10/31/2021	N/A	PF	N/A	Exam Application	45	9	11	0	0	0	0	0	0
6/30/2022	2022	Q2	October	10/31/2021	N/A	PF	N/A	Initial License Application	15	3	6	0	0	0	0	0	0
6/30/2022	2022	Q2	October	10/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	82	14	0
6/30/2022	2022	Q1	September	9/30/2021	PF	PF	N/A	Exam Application	45	7	13	1	46	0	0	0	0
6/30/2022	2022	Q1	September	9/30/2021	PF	PF	N/A	Initial License Application	15	11	12	0	0	0	0	0	0
6/30/2022	2022	Q1	September	9/30/2021	PF	PF	N/A	Exam Application	45	7	13	1	46	0	0	0	0
6/30/2022	2022	Q1	September	9/30/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	77	28	0
6/30/2022	2022	Q1	August	8/31/2021	PF	PF	N/A	Exam Application	45	7	21	3	89	0	0	0	0
6/30/2022	2022	Q1	August	8/31/2021	PF	PF	N/A	Initial License Application	15	8	6	0	0	0	0	0	0
6/30/2022	2022	Q1	August	8/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	81	26	0
6/30/2022	2022	Q1	August	8/31/2021	PF	PF	N/A	Exam Application	45	11	23	0	0	0	0	0	0
6/30/2022	2022	Q1	July	7/31/2021	PF	PF	N/A	Exam Application	45	11	23	0	0	0	0	0	0
6/30/2022	2022	Q1	July	7/31/2021	PF	PF	N/A	Initial License Application	15	3	6	0	0	0	0	0	0
6/30/2022	2022	Q1	July	7/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	47	26	0
6/30/2022	2022	Q2	December	12/31/2021	N/A	PF	N/A	Exam Application	45	13	18	3	31	0	0	0	0
6/30/2022	2022	Q2	December	12/31/2021	N/A	PF	N/A	Initial License Application	15	5	7	0	0	0	0	0	0
6/30/2022	2022	Q2	December	12/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	59	15	0
6/30/2022	2022	Q2	November	11/30/2021	N/A	PF	N/A	Exam Application	45	1	25	2	31	0	0	0	0
6/30/2022	2022	Q2	November	11/30/2021	N/A	PF	N/A	Initial License Application	15	7	12	0	0	0	0	0	0
6/30/2022	2022	Q2	November	11/30/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	66	15	0
6/30/2022	2022	Q2	October	10/31/2021	N/A	PF	N/A	Exam Application	45	9	11	0	0	0	0	0	0
6/30/2022	2022	Q2	October	10/31/2021	N/A	PF	N/A	Initial License Application	15	3	6	0	0	0	0	0	0
6/30/2022	2022	Q2	October	10/31/2021	PF	PF	Renewal	Renewal Application	0	0	0	0	0	0	82	14	0
6/30/2022	2022	Q1	September	9/30/2021	PF	PF	N/A	Exam Application	45	7	13	1	46	0	0	0	0

Fiscal Year	DCA Entity	License Type	Application Type	Target Cycle Time Complete Applications	Volume Complete Applications	Cycle Time Complete Applications	Volume Incomplete Applications	Cycle Time Incomplete Applications
6/30/2021	Professional Fiduciaries Bureau	PF	Exam Application	45	84	47	17	133
6/30/2021	Professional Fiduciaries Bureau	PF	Initial License Application	15	89	15	0	0
6/30/2020	Professional Fiduciaries Bureau	PF	Exam Application	45	61	46	19	101
6/30/2020	Professional Fiduciaries Bureau	PF	Initial License Application	15	49	9	0	0
6/30/2019	Professional Fiduciaries Bureau	PF	Exam Application	45	102	48	19	94
6/30/2019	Professional Fiduciaries Bureau	PF	Initial License Application	15	65	6	0	0
6/30/2018	Professional Fiduciaries Bureau	PF	Exam Application	45	81	50	9	94
6/30/2018	Professional Fiduciaries Bureau	PF	Initial License Application	15	57	6	0	0