

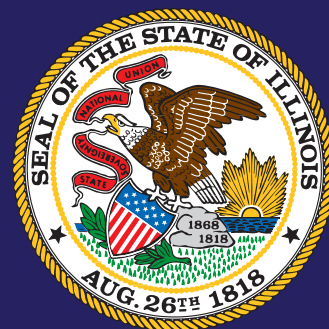
Annual Report FY23

Illinois Department of Financial and Professional Regulation



IDFPR

Illinois Department of
Financial and Professional Regulation



Letter From the Secretary



Welcome to the Illinois Department of Financial and Professional Regulation's Fiscal Year 2023 Annual Report!

The **Illinois Department of Financial and Professional Regulation ("IDFPR")** serves as the backbone to the Pritzker Administration's mission of ensuring strong consumer protections and promoting licensed professions, industries, and financial organizations in every community across our incredible state.

From visiting a primary care provider, to purchasing a home, or making a deposit in a state-chartered financial institution, IDFPR's more than 1.2 million licensed professionals and businesses serve the needs of Illinoisans each and every day across the Land of Lincoln.

Since Governor Pritzker was sworn into office, each of IDFPR's four Divisions have made great strides in advancing Illinois' shared mission, vision, and values. Here are a few highlights over the past year:

- The **Division of Banking**, through its own initiatives and partnerships with other educators, expanded financial literacy opportunities for all of Illinois on a variety of platforms;
- The **Division of Financial Institutions** added another profession for licensing and supervising in FY23, while developing an online application for another profession added to its purview in FY22;
- The **Division of Professional Regulation** provided clarification on a reproductive medication drug at the center of court rulings (including the U.S. Supreme Court), while expanding programs and resources for professionals seeking licensure in Illinois;
- The **Division of Real Estate** continued reviewing real estate regulation through an equity lens, ensuring qualified professionals obtained the necessary licenses to enter real estate professions while also being mindful of life circumstances and enabling second chances.

In addition to these highlights of the four Divisions, Department-wide initiatives continued to be successful, especially in communicating critical information to our licensees and the general public. IDFPR revamped its website, allowing for easier access of information and being compatible with mobile devices. We also continue to expand our presence on social media, providing us another avenue to communicate with professionals who both already work in Illinois and who are looking to join us.

I am proud of our team's extraordinary work and hope you enjoy reading about the many other achievements we have made throughout the 2023 Fiscal Year. Thank you for allowing us to serve the people of Illinois in the past year and we look forward to our continued partnership in the years ahead.

Sincerely,


Mario Treto, Jr.
Secretary

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About IDFPR

On July 1, 2004, the Office of Banks and Real Estate, the Department of Financial Institutions, the Department of Insurance, and the Department of Professional Regulation consolidated into a new state agency called the Illinois Department of Financial and Professional Regulation ("IDFPR") pursuant to the provisions of Executive Order Number 6 (2004). Each of the former agencies became a division of the new agency. The Division of Insurance separated from IDFPR on July 1, 2009 and became the Department of Insurance pursuant to the provisions of Executive Order Number 4 (2009). To this day:

- The **Division of Banking** regulates, charters, and supervises state-chartered banks, trust companies, savings institutions, mortgage banks, mortgage loan originators, pawnbrokers, check printers, and registered non-bank ATMs.
- The **Division of Financial Institutions** regulates and supervises non-banking financial institutions (including credit unions, currency exchanges, title insurance underwriters, consumer credit services) as well as a variety of other financial institutions.
- The **Division of Professional Regulation** licenses and regulates more than one million professionals and firms in Illinois, including a variety of healthcare-related professions (such as doctors, nurses, and veterinarians), as well as a variety of occupational professions (such as certified public accountants, barbers, engineers, and detectives).
- The **Division of Real Estate** licenses and regulates professionals involved in the buying and selling of property, including real estate brokers, appraisers, auctioneers, community association managers and home inspectors.

In August 2013, Illinois became the 20th state to legalize medical cannabis when the Compassionate Use of Medical Cannabis Program Act was signed into law. IDFPR became responsible for licensing and regulating the dispensaries that sell medical cannabis to patients, along with each dispensaries' Principal Officers, Agents-in-Charge, and Agents.

On June 25, 2019, Governor Pritzker signed the Cannabis Regulation and Tax Act, which made Illinois the 11th state to legalize adult use cannabis. IDFPR oversaw the successful rollout of the program, which allowed existing medical cannabis dispensaries to begin selling adult use cannabis on January 1, 2020. Similar to its medical cannabis licensing responsibilities, IDFPR licenses adult use cannabis dispensaries, along with the Principal Officers, Agents-in-Charge, and Agents at each dispensary. IDFPR is also responsible for tracking and reporting the sales made at adult use cannabis dispensaries.

Today, IDFPR employs hundreds of people who work to ensure the state's banks, financial institutions, and healthcare, occupational, and real estate professionals are properly licensed and follow the Acts and Rules that regulate their professions.

Springfield

320 West Washington Street
3rd Floor
Springfield, Illinois 62786

Chicago

555 West Monroe Street
5th Floor
Chicago, Illinois 60661

Des Plaines

9511 W. Harrison Street
Suite 300
Des Plaines, IL 60016

IDFPR Leadership Team

Mario Treto, Jr.
Secretary

Chasse Rehwinkel
Director, Division of Banking

Cecilia Abundis
Director, Division of Professional Regulation

Francisco Menchaca
Director, Division of Financial Institutions

Laurie Murphy
Director, Division of Real Estate

Executive Staff

Kristin DiCenso
Chief of Staff

Paul A. Isaac
Deputy Secretary

Dina Torrisi Martin
General Counsel

Jennifer Heydemann
Deputy General Counsel

Shelmun Dashan
Deputy Director, Division of Financial Institutions

Susana Soriano
Deputy Director, Division of Banking

David DeCarlo
Regulatory Innovation Officer

Ericka Johnson
Deputy Director, Division of Real Estate

Chet Reynolds
Facilities Manager

Brandon Purcell
Agency Purchasing Officer/Chief Operating Officer

S. Thanh Melick
Chief Fiscal Officer

Amanda Phelps
Director, Administrative Services

David Heineman
Chief Information Officer

Ciara Wagoner
Director, Legislative Affairs

Tyler Hanners
Director, Human Resources

Chris Slaby
Public Information Officer

Erin Johnson
Cannabis Regulation Oversight Officer

Division of Banking

About the Division of Banking



Chasse Rehwinkel
Director

The mission of the Illinois Department of Financial and Professional Regulation, Division of Banking ("DOB") is to educate the public and promote confidence in the banking industry through a balanced application of regulations in an efficient, professional, fair, and responsive manner.

The Division of Banking regulates state-chartered commercial banks, savings banks, trust companies, foreign bank offices, residential mortgage licensees (mortgage companies and loan originators), student loan servicers, and pawnbrokers.

| FY23 Division Licensee Count | |
|----------------------------------|---------------|
| State-chartered Commercial Banks | 243 |
| Savings Banks | 25 |
| Trust Companies | 15 |
| Foreign Bank Offices | 8 |
| Mortgage Loan Originators | 19,477 |
| Residential Mortgage Licensees | 999 |
| Student Loan Servicers | 37 |
| Pawnbrokers | 192 |
| Total | 20,996 |

Updates to the Illinois Community Reinvestment Act

IDFPR published its proposed rules to implement Illinois' historic Community Reinvestment Act ("CRA") and is currently responding to numerous public comments. The revised rules will then be reviewed by the Joint Committee on Administrative Rules, a bipartisan legislative oversight body that reviews agency rulemaking.

In preparation for CRA examinations to begin, IDFPR has been in constant contact with the Federal Deposit Insurance Corporation ("FDIC"), the Federal Reserve Bank of Chicago and the Federal Reserve Bank of St. Louis in order to monitor their bank examination schedule to eventually work on a similar examination cycle and not overburden our financial institutions. Additionally, our CRA Supervisor, a seasoned senior examiner previously employed by FDIC and the Federal Reserve Bank of Chicago, has been working closely with FDIC and the Federal Reserve to train four new CRA examiners.

Signed by Governor Pritzker in March 2021, Illinois became the first state in the Midwest to create a CRA. The Act sets state standards for IDFPR to examine low- and moderate-income lending by state-chartered banks, credit unions and non-bank mortgage lenders. This aims to incentivize more safe lending into low- and moderate-income communities by Illinois financial institutions.

Division of Banking

Promoting Financial Education

DOB continues to make financial education and outreach a priority. Our goal is to make difficult financial topics easier for everyone-not just those in the financial sector-to understand.

- We continued our partnership with the University of Illinois System to provide free, high-quality financial education.
 - Our podcast, Making Cents of Money, produced 21 new shows and was listened to 4,611 times in FY23. From inception through the end of FY23, our podcast has 64 episodes with 9,280 total listens. It is available on [Apple Podcasts](#), [Google Podcasts](#), [Spotify](#), and [SoundCloud](#).
 - Get \$avvy Illinois, the consumer and financial topic webinar series, had another successful year. We had nine webinars in the series this year. We had 526 live attendees and 1,042 plays on the [Get \\$avvy YouTube channel](#).
- DOB also hosted a series of webinars regarding the temporary waiver released by the Biden Administration for the Public Service Loan Forgiveness ("PSLF") program. This was a very unique opportunity for eligible borrowers who work in public service to receive credit towards federal student loan forgiveness, but was a time of confusion as well. DOB responded to this by doing extensive outreach around the topic and handling questions. In FY23, DOB featured:
 - 17 webinars
 - Two in-person events
 - 3,990 people registered for events.
 - 1,936 attended webinars live.
 - 980 views on the [IDFPR YouTube page](#).



Multi-State / Joint Examinations

DOB enjoys a robust working relationship with the Consumer Financial Protection Bureau ("CFPB"), dating back to 2011 when the Bureau was created to help ensure consumer protections in the financial sector. We have dedicated substantial resources to joint examinations in mortgage banking. For example, these examinations were instrumental in leading up to the National Mortgage Settlement, and we are currently coordinating examinations to ensure industry compliance with the Loan Originator Compensation Rule.



In FY23, DOB had an active role in supervising student loan servicers. For example, the State Regulators (with Illinois in a lead role) worked closely with the CFPB and the U.S. Department of Education to oversee the large-scale transfer of federal student loans in 2021. CFPB and Illinois examiners jointly reviewed many files to ensure accuracy in the transfer of the loan data. We are also conducting joint examinations to ensure the industry's proper implementation of the various loan forgiveness programs.

All of these coordinated efforts have resulted in very meaningful protections of consumers in Illinois.

Division of Financial Institutions

About the Division of Financial Institutions



Francisco Menchaca
Director

The mission of the Illinois Department of Financial and Professional Regulation, Division of Financial Institutions ("DFI") is to administer and enforce the laws and regulations pertaining to those financial institutions under its jurisdiction, and to protect the interests of the people of Illinois in their interactions with the various entities regulated by this agency. It also protects and educates the public and promotes confidence in the regulated industries through administration of statutory responsibilities in an efficient, professional, responsive, and innovative manner.

DFI is comprised of four sections:

- **Consumer Credit Section**, which licenses and supervises consumer installment lenders, payday and auto title lenders, sales finance agencies, debt management and debt settlement service providers, safety deposit box companies, development credit corporations, and collection agencies and consumer legal funders.
- **Credit Union Section**, which supervises state-chartered credit unions in Illinois.
- **Currency Exchange Section**, which licenses and supervises currency exchanges and money transmitters.
- **Title Insurance Section**, which licenses and supervises title insurance underwriters, independent escrowees, and registers individual title agents.

| Licensee Count | |
|--|------------------------------------|
| License Type | # of Licensees as of June 30, 2023 |
| Credit Unions | 164 |
| Currency Exchanges | 310 |
| Money Transmitters | 242 |
| Title Insurance Underwriters | 22 |
| Collection Agency Companies + Branches | 1330 |
| Consumer Installment Lenders | 537 |
| Sales Finance Agencies | 220 |
| Payday Lenders | 3 |
| Consumer Legal Funders | 12 |
| Debt Management Companies | 47 |
| Debt Settlement Companies | 5 |
| Safety Deposit Box Companies | 1 |
| TOTAL | 2,893 |

Division of Financial Institutions

CRA Implementation Update

Governor JB Pritzker signed the Illinois Community Reinvestment Act ("CRA") into law on March 23, 2021. The CRA was created to promote financial inclusion in low and moderate-income neighborhoods by incentivizing financial institutions to increase their banking and lending activities to unbanked and underbanked Illinoisans.

IDFPR held a series of pre-rulemaking hearings with industry stakeholders and consumer advocates in 2021. The Department filed first notice for CRA rules in December 2022, held three public hearings, and received more than 100 written public comments through March 2023. IDFPR is working hard in concert with the Division of Banking to finalize its comment responses and file second notice on the rules. Once finalized, Illinois will join just two other states in the country by conducting CRA examinations of its state-chartered depository and mortgage lending financial institutions.

Enforcement Highlights

- The Consumer Credit Section issued orders against several **Collection Agencies and Lenders** who were engaged in unlicensed Illinois activity. The orders imposed discipline on the unlicensed activity and brought the companies into compliance with Illinois law.
- Examiners in the DFI's Consumer Credit Section discovered several **Consumer Installment Lenders** charging fees that exceeded the legal limit. DFI vigorously pursued relief for impacted consumers, resulting in more than \$1 million in refunds and credits to consumers. DFI also obtained tens of thousands of dollars in fines. DFI remains committed to protecting consumers, promoting fair competition, and ensuring that lenders comply with the law.
- DFI also issued orders against unlicensed **Payroll Companies**. As a result of DFI's investigation and enforcement, the payroll companies agreed to obtain licensure and pay fines. DFI continues to investigate unlicensed money transmission in the State of Illinois. Licensure protects Illinois consumers by ensuring that, among other guard rails, money transmitter companies have a basic level of financial stability as well as a bond that consumers can collect on if the company does not repay consumers.

Collection Agencies Move to DFI and Licensing Backlog Eliminated

The Consumer Credit Section licensing team took on a more than six-month backlog of Collection Agency applications when DFI assumed oversight of Collection Agencies on January 1, 2023. Consumer credit licensing staff worked diligently to eliminate the backlog. Collection Agency applications are now reviewed within a month of receiving the application. The Consumer Credit licensing team worked closely with the Department of Information Technology ("DoIT") to develop and improve an online licensing application for Collection Agencies. DFI also provided substantial assistance to applicants who were unfamiliar with the online portal application process while learning the process themselves.

Consumer Legal Funding license implementation

The Consumer Credit licensing team took on licensing and supervising a new license in May 2022 with the passage of the Consumer Legal Funding Act. By the beginning of Fiscal Year 2023, the team - with the help of the Department of Information Technology ("DoIT") - developed an online application and began receiving new applications in July 2023. The Consumer Legal Funding credential now has 12 licensees operating under the new Act.

Division of Professional Regulation

About the Division of Professional Regulation



Cecilia Abundis
Director

The mission of the Illinois Department of Financial and Professional Regulation, Division of Professional Regulation ("DPR") is to serve, safeguard, and promote the health, safety, and welfare of the public by ensuring that licensure qualifications and standards for professional practice are properly evaluated, applied, and enforced.

End of Illinois' COVID-19 Public Health Emergency

The State of Illinois' public health emergency for COVID-19 ended on May 11, 2023. As a result, all guidance, variances, and proclamations issued by the Department that were tied to the public health emergency expired the day the emergency ended.



Professionals with a COVID-19 temporary permit or temporary reinstatement from IDFPR saw their permits extended from May 11, 2023 to July 11, 2023 (provided they applied for permanent licensure or reinstatement with the Department prior to the July 11, 2023 expiration). Professionals who submitted an application for permanent licensure or petitioned for reinstatement may continue to practice on their COVID-19 Temporary Permit until their submitted application or petition is approved, denied, or May 11, 2024, whichever occurs first. If no application for permanent licensure or petition for reinstatement was submitted to the Department, their IDFPR COVID-19 Temporary Permit or Temporary Reinstatement expired on July 11, 2023. Fee waivers for applications will also be granted to eligible frontline healthcare workers. More information about the waivers was published on the Department's website and may be found here: <https://idfpr.illinois.gov/content/dam/soi/en/web/idfpr/forms/covid19/2022-07-14-frontline-healthcare-fee-waiver-faqs.pdf>.

IDFPR continues to provide a COVID-19 webpage to the people of Illinois that lists Frequently Asked Questions ("FAQs"), details about the end of the public health emergency, and professional licensing information. That webpage may be found here: <https://idfpr.illinois.gov/covid-19.html>.

DPR Provides Statements on Reproductive Healthcare Rulings

In April 2023, federal judges in Texas and Washington state issued conflicting rulings regarding the future of the medication drug Mifepristone. Later that month, the U.S. Supreme Court stayed the Texas court ruling, which had stayed the 2000 FDA approval of Mifepristone pending litigation on the merits. In both instances, DPR issued a statement that clarified Mifepristone remains a legal reproductive healthcare option for women in Illinois and that IDFPR will not discipline physicians who prescribe - or pharmacists who fulfill - prescriptions of Mifepristone.

Each ruling may be found below:

[IDFPR Statement on Recent Federal Rulings About Mifepristone \(April 10, 2023\)](#)

[Updated IDFPR Statement on Recent Court Rulings About Mifepristone \(May 1, 2023\)](#)

Division of Professional Regulation

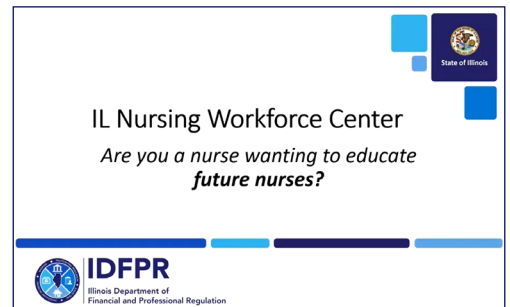
Expanding Programs and Resources for Nurses in Illinois

The Illinois Board of Nursing ("BON") maintained standards and continues to approve prelicensure licensed practical nurses ("LPN"), Bachelor's Degree of Science in Nursing ("BSN"), and Master in Nursing ("MSN") entry programs. In FY23, the BON approved three new LPN programs, one new BSN program, and one new MSN program. Currently, there are 138 programs in Illinois.

In addition, the Illinois Nursing Workforce Center ("INWC") modernized its website to be consistent with the presentation and format of other State of Illinois government websites. This new website makes it easier to find information and is more accessible on mobile devices, and also includes a new guide with resources for prospective and licensed nurses in Illinois (which may be found here: https://nursing.illinois.gov/content/dam/soi/en/web/nursing/documents/news/2023-04-11_IDFPR_Online_resources_Ltrhead_revisedfinalCEU.pdf). The revamped Nursing website may be found at <https://nursing.illinois.gov/>.



In FY23, the INWC also partnered with graduate nursing programs for a series of free webinars to highlight those programs, which are available to nurses seeking to become educators at higher education institutions across Illinois. The webinars were available to the public to attend, with recordings of each webinar now available on IDFPR's [YouTube page](#). A guide recapping the webinar series, along with details and direct links to each webinar, may be found here: https://nursing.illinois.gov/content/dam/soi/en/web/nursing/documents/news/2023-04-19_INWC_NsgFacultyWebinars_AllFinal.pdf.



Updates from the Chief Medical Coordinator

For the first time, the IDFPR team was invited to outreach to graduating class of Physician Assistants and Medical Residents as part of SIU School of Medicine practice management series conference. IDFPR team presented on the topic of "Protecting Your Licensure: Regulatory Issues" to SIU school of Medicine graduating Family Medicine residents and Physician Assistant Program students.

State Medical Board Member and IDFPR Chief Medical Coordinator Dr. Shami Goyal was appointed to United States Medical Licensing Examination ("USMLE") State Board Advisory Panel, a high-quality, collaborative approach to developing the USMLE Program. These individuals enable the USMLE to achieve its goals of assessing a physician's ability to apply knowledge, concepts, principles, and patient-centered skills.



Dr. Shami Goyal
IDFPR Chief Medical Coordinator

Division of Professional Regulation

Statewide Enforcement Update

DPR's complaint intake unit registered a total of 6,506 complaints in FY23. With a small team, they successfully executed and distributed complaints to other units for review.

In turn, the prosecutions unit completed 1,341 orders in FY23. The team has worked diligently to protect the constituents of Illinois by delivering fines and disciplines to licensees.

Notable cases in FY23 include:

- A **Massage Therapist** license was permanently revoked after Respondent was convicted of Battery/Makes Physical Contact, which involved sexual misconduct during the course of providing massage therapy services.
- A **Funeral Director and Embalmer** license reprimanded and fined in the amount of \$10,000 imposed based on unprofessional conduct.
- A **Professional Counseling** licensee was engaging in an inappropriate relationship with one patient's mother and making inappropriate sexual comments to another patient's mother. This led to indefinite suspension of the license for a minimum of three years.
- Improper storage, dispensing, and recordkeeping of controlled substances, along with a pattern of controlled substance dispensing errors and, prescription drug inventory discrepancies led to an aggregate \$125,000 fine, multiple **Pharmacy** licenses reprimanded, and a **Pharmacist** license Inactive for two years followed by three-year probation.
- A **Physician and Surgeon and Controlled Substance** licensee was indefinitely suspended for a minimum of two years for prescribing drugs classified as a controlled substance or narcotic for other than medically accepted therapeutic purposes and violating state or federal laws or regulations relating to controlled substances.

State of Illinois Athletic Commission Update

The State of Illinois Athletic Commission saw a 60% increase in amateur full contact martial arts events in 2022, which included mixed martial arts ("MMA"), Muay Thai, and kickboxing. Illinois also saw the return of elite level professional MMA in November 2022 with the return of the Bellator Sport Worldwide Promotion.

Medical and Adult Use Cannabis Update

As the regulator for dispensaries licensed under the Cannabis Regulation and Tax Act, the Illinois Department of Financial and Professional Regulation ("IDFPR") is charged with overseeing the licensing and enforcement of dispensaries in a way that is fair and equitable while also following state statute. In the past year, the Department expanded its staff and continued to improve its processes to fulfill this mission. Additionally, the court order enforcing the stay on issuing 185 new Conditional Adult Use Dispensing Organization Licenses was lifted.

One of IDFPR's many responsibilities is handling license renewals for agents, agents-in-charge, and principal officers. The Cannabis Control Section licenses more than 5,000 individuals, all of whom renew annually. As of FY23, IDFPR has issued the 27 first full adult use cannabis dispensary licenses to social equity applicants.

Division of Professional Regulation

Both medical and adult-use continued to diligently conduct inspections, having conducted 337 this past fiscal year. This led to 114 citations being issued in FY23.

Additionally, 198 Conditional Licenses were awarded in fiscal year 2023. Finally, this year DPR launched a new industry newsletter – the Cannabis Quarterly in October 2022. Each edition may be found on IDFP's website here: <https://idfpr.illinois.gov/profs/adultusecan/cannabisnewsletters.html>.



FY23 Active License Totals

| Board | Profession | In State | Out Of State | Total Active |
|---------------|---|----------|--------------|--------------|
| MEDICAL BOARD | | | | |
| | PHYSICIAN AND SURGEON | 40,817 | 14,503 | 55,320 |
| | CHIROPRACTIC PHYSICIAN | 3,685 | 292 | 3,977 |
| | VISITING PHYSICIAN PERMIT | 1 | 0 | 1 |
| | VISITING PHYSICIAN PROFESSOR | 17 | 0 | 17 |
| | TEMPORARY MEDICAL PERMIT | 7,175 | 15 | 7,190 |
| | LIMITED MEDICAL TEMPORARY PERMIT | 73 | 0 | 73 |
| | VISITING RESIDENT | 51 | 0 | 51 |
| | CONTINUING MEDICAL EDUCATION SPONSOR | 3 | 5 | 8 |
| | LICENSED PHYSICIAN CONTROLLED SUBSTANCE | 41,733 | 3,926 | 45,659 |
| NURSING BOARD | | | | |
| | REGISTERED PROFESSIONAL NURSE | 175,112 | 49,211 | 224,323 |
| | PRACTICAL NURSE | 22,046 | 1,663 | 23,709 |
| DENTAL | | | | |
| | TEMPORARY DENTAL TRAINING LICENSE | 80 | 1 | 81 |
| | LICENSED DENTIST | 9,368 | 1,636 | 11,004 |
| | REGISTERED DENTAL HYGIENIST | 7,785 | 931 | 8,716 |
| | SPECIALIST IN DENTISTRY | 1,490 | 174 | 1,664 |
| | RESTRICTED FACULTY LICENSE | 49 | 2 | 51 |
| | DENTAL SEDATION PERMIT | 541 | 38 | 579 |
| | APPROVED DENTAL/DENTAL HYGIENIST CE SPONSOR | 23 | 3 | 26 |
| | DENTIST CONTROLLED SUBSTANCE | 8,814 | 445 | 9,259 |

Division of Professional Regulation

| | | | | |
|--------------------|--|--------|-------|--------|
| DETECTIVE BOARD | | | | |
| | PRIVATE DETECTIVE | 775 | 117 | 892 |
| | PRIVATE SECURITY CONTRACTOR | 504 | 84 | 588 |
| | PRIVATE SECURITY CONTRACTOR AGENCY | 380 | 49 | 429 |
| | PRIVATE ALARM CONTRACTOR | 559 | 179 | 738 |
| | PRIVATE ALARM CONTRACTOR AGENCY | 418 | 82 | 500 |
| | PERMANENT EMPLOYEE REGISTRATION | 77,955 | 4,306 | 82,261 |
| | FIREARM CONTROL CARD | 5,392 | 636 | 6,028 |
| | FINGERPRINT VENDOR AGENCY | 110 | 1 | 111 |
| PHARMACY | | | | |
| | WHOLESALE DRUG DISTRIBUTOR | 257 | 1,035 | 1,292 |
| | PHARMACY TECHNICIAN | 37,737 | 2,488 | 40,225 |
| | REGISTERED PHARMACIST | 14,741 | 5,990 | 20,731 |
| | LICENSED PHARMACY | 2,464 | 1,315 | 3,779 |
| | CONTROLLED SUBSTANCE | 437 | 0 | 437 |
| | WHOLESALE DRUG THIRD PARTY LOGISTICS PROVIDER | 14 | 125 | 139 |
| | CONTROLLED SUBSTANCE DRUG DIST | 46 | 358 | 404 |
| | CONTROLLED SUBSTANCE | 2,424 | 728 | 3,152 |
| | WHOLESALE DRUG THIRD PARTY LOGISTICS PROVIDER CONTROLLED SUBSTANCE | 1 | 35 | 36 |
| ROOFING CONTRACTOR | | | | |
| | LICENSED ROOFING CONTRACTOR | 3,725 | 428 | 4153 |
| | QUALIFYING PARTY ROOFING CONTRACTOR | 9,180 | 1,086 | 10,266 |
| SOCIAL WORKER | | | | |
| | CLINICAL SOCIAL WORKER | 14,762 | 2,210 | 16,972 |
| | SOCIAL WORKER | 7,859 | 1,005 | 8,864 |
| | REGISTERED SOCIAL WORKER CE SPONSOR | 403 | 26 | 429 |
| ATHLETICS | | | | |
| | ATHLETICS - LICENSED BOXER | 31 | 29 | 60 |

Division of Professional Regulation

| | | | | |
|--|--|----|----|----|
| | ATHLETICS - LICENSED BOXING JUDGE | 15 | 1 | 16 |
| | ATHLETICS - LICENSED BOXING MANAGER | 1 | 0 | 1 |
| | ATHLETICS - LICENSED BOXING MATCHMAKER | 1 | 0 | 1 |
| | ATHLETICS - LICENSED BOXING PROMOTER | 3 | 0 | 3 |
| | ATHLETICS - LICENSED BOXING REFEREE | 4 | 1 | 5 |
| | ATHLETICS - LICENSED BOXING SECOND | 51 | 39 | 90 |
| | ATHLETICS - LICENSED TIMEKEEPER | 4 | 0 | 4 |
| | ATHLETICS - LICENSED MMA CONTESTANT | 3 | 17 | 20 |
| | ATHLETICS - LICENSED FCMA JUDGE | 4 | 1 | 5 |
| | ATHLETICS - LICENSED FCMA MANAGER | 1 | 0 | 1 |
| | ATHLETICS - LICENSED FCMA PROMOTER | 4 | 1 | 5 |
| | ATHLETICS - LICENSED FCMA REFEREE | 1 | 1 | 2 |
| | ATHLETICS - LICENSED FCMA SECOND | 3 | 32 | 35 |

Division of Real Estate

About the Division of Real Estate



Laurie Murphy
Director

The mission of the Illinois Department of Financial and Professional Regulation, Division of Real Estate ("DRE") is to serve, safeguard, and promote the public welfare by ensuring that qualifications and standards for licensed real estate related professions are properly evaluated, uniformly applied, and systematically enforced.

The Division of Real Estate strives to provide efficient service through effective communication and transparency in operations, while maintaining a commitment to excellence with both consumers and the industry.

The Division of Real Estate regulates the following six professions and entities:

- Appraisal Management Companies
- Auction
- Community Association Management ("CAM")
- Home Inspection
- Real Estate Appraisal
- Real Estate Brokerage

| FY23 Division License Count | |
|-----------------------------|---------------|
| Real Estate | 82,718 |
| Appraisal | 4,335 |
| Auctioneer | 1,085 |
| CAM | 2,006 |
| Home Inspector | 1,991 |
| Total | 92,135 |

Highlighted Division of Real Estate Profession: Community Association Managers and Community Association Firms

Marking the first substantive update since its inception, the new administrative Rules governing Community Association Managers and Community Association Management Firms (68 Ill. Adm. Code 1445) became effective **June 2, 2023**. The new Rules represent a major overhaul to the prior Rules, which were adopted in October 2011. Among the key provisions:

- Requires community association management firms engaging in the business in Illinois, regardless of when they were formed, to be licensed;
- Establishes the requirements and curriculum for continuing education;
- Sets forth the process for the Division's approval of continuing education providers, also known as education sponsors, and their courses;
- Defines the term "supervision" and how it applies to designated community association managers of firms;
- Articulates requirements for the insurance coverage required of designated community association managers or community association management firms; and
- Provides additional grounds for discipline to ensure the protection of the public and to maintain the integrity of the profession.

Division of Real Estate

Division of Real Estate Units

Complaint Intake Unit

The Complaint Intake Unit processes complaints against any individual or entity regulated by the Division of Real Estate, including complaints alleging unlicensed practice. The Complaint Intake Unit in conjunction with, if applicable, the profession's advisory board, will determine the Division's jurisdiction over the complaint and make recommendations for referral to the Investigations Unit or recommendation for closure.

| Complaints Received in Fiscal Year 2023 | |
|---|------------|
| Auction | 39 |
| Community Association Management | 191 |
| Home Inspection | 20 |
| Real Estate Appraisal | 156 |
| Real Estate Brokerage | 545 |
| Total | 951 |

**Note: These numbers do not include continuing education, tax, or child support cases.*

Investigations Unit

The Investigations Unit conducts statewide regulatory investigations of Division of Real Estate licensees who may be in violation of the laws and regulations governing their respective professions, who are the subject of complaints, or who are alleged to have committed fraud, deception, or misrepresentation. In FY23, the Investigations Unit opened **almost 500** cases for investigation in response to complaints received from Illinois consumers (see breakdown by profession below).

| Investigations Opened in Fiscal Year 2023 | |
|---|------------|
| Auction | 31 |
| Community Association Management | 109 |
| Home Inspection | 15 |
| Real Estate Appraisal | 42 |
| Real Estate Brokerage | 280 |
| Total | 477 |

Examinations Unit

The purpose of the Examinations Unit is to ascertain compliance of Illinois real estate licensees that are sponsoring brokers with the Illinois Real Estate License Act of 2000 ("Act") and Administrative Rules ("Rules").

Sponsoring brokers who are randomly selected for an examination receive a letter from the Department establishing a time for an on-site review or requesting that they complete a "Brokerage Verification Report" to assess the level of licensed real estate activity prior to scheduling an on-site examination. A Real Estate Professions Examiner will be assigned to conduct the review of business records, identify any deficiencies, and provide the applicable citations from the Act and Rules to assist with the correction of any issues. If deficiencies are found, a follow-up examination is performed to review those findings and ensure compliance.

Division of Real Estate

Total Number of Examinations in FY23: 674

Increase of approximately 19% from Fiscal Year 2022.

First Year Examinations Initiated and Completed in FY23

Examinations Conducted On-Site 46

Examinations Conducted by Mail 343

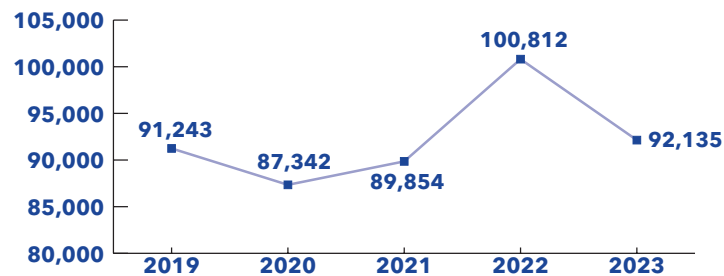
Other Examinations 58

**No on-site examinations were completed in the first half of FY22 due to COVID-19. Onsite examinations resumed January 1, 2023.*

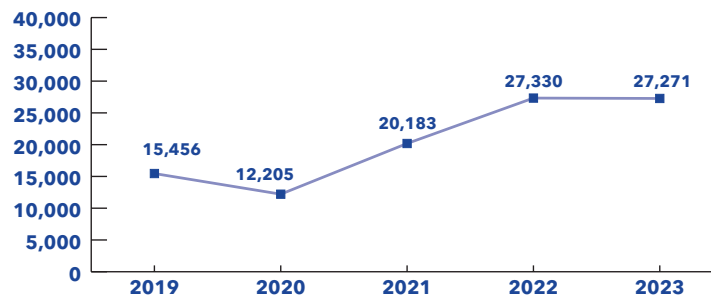
Licensing and Education Unit

The Licensing and Education Unit is responsible for reviewing, approving, maintaining, and issuing licenses across all Division of Real Estate professions which results in the unit managing a licensee population of more than **90,000** Illinois professionals.

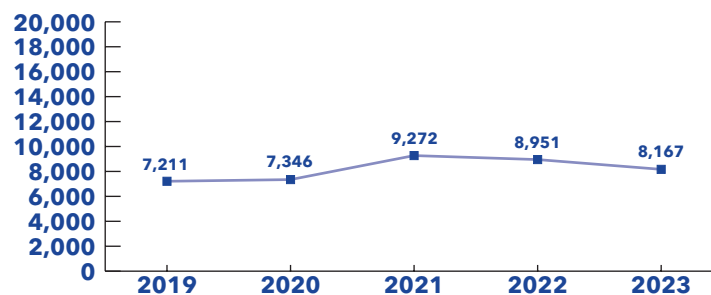
TOTAL NUMBER OF LICENSEES BY YEAR



TOTAL NUMBER OF LICENSURE EXAMS TAKEN BY YEAR



TOTAL NUMBER OF LICENSES ISSUED BY YEAR



Division of Real Estate

Prosecutions Unit

The Prosecutions Unit receives complaints after they have been reviewed and investigated by the Investigations Unit. Prosecutors review the evidence and determine an appropriate disposition for each case. In some instances, prosecutors may negotiate agreements imposing discipline with the individual or entity accused of violating licensing laws. In other cases, where a formal disciplinary hearing is necessary, prosecutors draft and file a formal complaint and prepare the case for hearing.

Approximately **240** new cases were referred to Prosecutions during the fiscal year. Numerous cases were resolved through the available dispositions based on the seriousness of violations.

| | |
|---------------------------------|-----|
| Administrative Warning Letters: | 20 |
| Revocations: | 15 |
| Suspensions: | 29 |
| Fines/fees: | 126 |
| Public Discipline: | 135 |
| Non-Public discipline: | 90 |
| Reprimands: | 6 |

Prosecutorial Highlights

- A **Real Estate Managing Broker** failed to return monies obtained in contemplation of real estate investments that never came to fruition and making false promises in connection with those investments and failed to respond to the Department's request for information within 30 days of the request. The real estate managing broker's license was revoked and they were fined \$15,000.
- A **Community Association Manager** license was suspended pending the outcome of a formal hearing for withdrawing association funds without authority and failing to account for or to remit said funds; engaging in gross overcharging for professional services not tendered or charging for services without authorization; and engaging in dishonorable, unethical, or unprofessional conduct of a character likely to deceive defraud or harm the public.
- A **Community Association Manager** was fined for paying an invoice to the manager's company for legal costs incurred without authorization to do so from the Condo Association and failed to give a designated Board Member access to Association bank accounts even after such requests were made.
- An **Auctioneer** performed an auction for a famous American artist. The perspective buyer questioned the authenticity of the signatures and was promised a refund if proof existed the signatures were not authentic. After proof was submitted that they were not authentic, the auctioneer failed to return the money and never sent prints. Further, the Auction Firm used an assumed name in the auction that was not in good standing with the State. After the auctioneer refunded the buyer and updated the registration with the Secretary of State, the Auctioneer and his firm were both fined.
- An **Appraiser** licensed in Illinois had an appraiser license revoked in another state for unprofessional conduct. While conducting an inspection of the subject property, the Respondent was captured on a security camera going into areas of the bedroom that he did not need to go into for the inspection. The Appraiser's Illinois license was revoked for engaging in this conduct and for failing to report the Sister State discipline to IDFPR.

Division of Real Estate

Second Chance Stories

- An applicant for a Real Estate Broker's license revealed in their application that they had several convictions for bad checks and for bank and mortgage fraud. These convictions happened more than 15 years ago and were the result of applicant's life circumstances at the time, which included being trapped in an abusive marriage and struggling with an addiction. The applicant was finally able to get away from the abusive spouse; however, the applicant's criminal activities caught up with them and led to a federal prison sentence. While in prison, the applicant successfully broke their addiction. Once out of prison, the applicant diligently restored their credit and has been gainfully employed for several years. The applicant had glowing letters from financial counselors and had actually become a counselor. In March 2023, the applicant successfully completed their license after a probationary period.
- An Auctioneer license was granted to an applicant who reported having a prior conviction for burglaries and possession of a stolen firearm at a young age because the applicant successfully turned their life around. After serving their sentence on the convictions, the applicant got married, had children, and started working. The applicant then chose to pursue a career as an auctioneer after the death of their father-in-law so that they could continue the family business.

Condominium and Common Interest Community Ombudsperson

Created in 2017, the mission of the Ombudsperson is to provide information to unit owners, condominium and common interest community associations, and their respective boards to help ensure they'll all better understand their rights and obligations under the Condominium Property Act and the Common Interest Community Association Act. To date, the Ombudsperson has responded to more than 1,200 inquiries in educating unit owners, associations, and their respective boards by providing educational materials and directing citizens to relevant resources.

Office of Innovation

About the Office of Innovation



David DeCarlo
Regulatory
Innovation Officer

The Office of Innovation identifies and researches emerging marketplace risks, trends, and opportunities related to innovation; meets with innovators, entrepreneurs, and consumer advocates; and coordinates innovation policy initiatives across the agency and with other state and federal regulators.

The Office also serves as a central point of contact at IDFPR for established firms and start-ups launching innovative products and services. Since the Office launched in December 2021, it has focused on applications of technology in the following areas:



Crypto and Digital Assets



**Embedded Finance and
Fintech-Bank Partnerships**



**Advanced Computing and
Data Analytics**

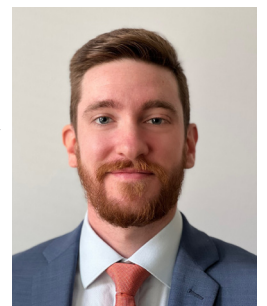
In addition to these three areas of focus, the Office's door is open for discussions to help innovators in any of IDFPR's regulated industries and professions to navigate regulatory approvals across IDFPR's four divisions. The office also welcomes conversations with anyone interested in responsible innovation in Illinois. Interested parties can get in touch with the Office of Innovation at <https://idfpr.illinois.gov/about/innovation.html>.

The Office is currently staffed by Regulatory Innovation Officer **David DeCarlo** and Fintech Policy Advisor **Jake Hamilton**. The office will continue to expand its initiatives during Fiscal Year 2024.

Highlights of FY23 Operations

The Office of Innovation introduced significant legislative initiatives and continued to meet with stakeholders on critical issues throughout the last fiscal year. Highlights of the Office's operations in FY23 include:

- At the start of the 2023 Illinois Spring legislative session, the Office introduced a package of legislation to solidify Illinois' status as a national leader in defending consumers against financial predators and to enhance consumer protections in the fintech and digital asset sectors.
- A key part of the Office's legislative package to regulate cryptocurrency and other digital assets, House Bill 3479, passed the Illinois House of Representatives in April 2023 with a bipartisan vote of 90-21 (read more about this bill in the "Legislative Spotlight" section below).
- The Office expanded in March 2023 by hiring Jake Hamilton (*pictured*) as Fintech Policy Advisor. Hamilton previously worked for the Division of Banking and the Institute of Government and Public Affairs at the University of Illinois. In his role as Fintech Policy Advisor, he assists the Regulatory Innovation Officer primarily on issues related to fintech and digital assets.



Office of Innovation

- In May 2023, Regulatory Innovation Officer DeCarlo traveled with Secretary Mario Treto, Jr. and other senior staff to Washington, D.C. to meet with other state financial regulators and federal policymakers for the Conference of State Bank Supervisors' ("CSBS") Annual Government Relations Fly-In.
- Following recent, groundbreaking developments in generative artificial intelligence ("AI"), the Office launched an internal AI working group to assess the implications of AI for IDFPR as well as the professions and institutions that the Department regulates.



In May 2023, Assistant Director of Banking Susana Soriano and Regulatory Innovation Officer David DeCarlo briefed U.S. Treasury Department officials on the Office of Innovation's policy initiatives.

Legislative Spotlight: House Bill 3479

On April 27, 2023, the Illinois House of Representatives passed House Bill 3479 (sponsored by Representative Mark Walker), an IDFPR initiative to better protect Illinois residents by establishing new regulation of digital assets and updating existing regulation of money transmission in Illinois. On May 8, the bill's sponsor in the Illinois Senate, Senator Laura Ellman, and Regulatory Innovation Officer DeCarlo testified before the Illinois Senate Executive Committee in a subject matter hearing about the bill. The bill remains under consideration in the Senate. In summary, HB 3479 would:

- Require digital asset exchanges and other digital asset businesses to obtain a license from IDFPR to operate in Illinois, similar to regulation already in place in New York and Louisiana and under consideration in California and New Jersey.
- Establish robust customer protections like those that already apply to traditional financial services, such as investment disclosures, customer asset safeguards, and customer service standards.
- Require companies to hold adequate financial resources to operate effectively and to have plans and procedures for addressing critical risks, such as cybersecurity, business continuity, fraud, and money laundering.
- Amend the Corporate Fiduciary Act ([205 ILCS 620](#)) to allow existing trust companies and new "special purpose" trust companies to act as corporate fiduciaries for the custody of customers' digital assets.
- Replace the Transmitters of Money Act ([205 ILCS 657](#)) with the Uniform Money Transmission Modernization Act, a model law supported by the electronic payments industry and state regulators across the country to harmonize the regulation of money transmitters across state lines and better protect consumers.

Office of Legislative Affairs

About the Office of Legislative Affairs



Ciara Wagoner
Director

The Office of Legislative Affairs manages and responds to the multitude of constituent-related inquiries IDFPF receives from elected officials, the Governor's Office, industry groups, and from constituents directly. The vast majority of inquiries center on businesses and licensees needing help obtaining or renewing a license. Once an inquiry is received, the Office of Legislative Affairs works closely with various individuals in IDFPF's Licensing and Testing Units to resolve the inquiries and provide every Illinois resident and business the support they need and deserve. The Office of Legislative Affairs contains a Constituent Affairs Unit to coordinate and respond to constituent-related licensing inquiries.

2023 Spring Legislation Impacting the Illinois Department of Financial and Professional Regulation

House Bill 1367 (Rep. Anthony DeLuca/Sen. Javier Cervantes) was signed into law as Public Act 103-0419 on August 4, 2023. The legislation exempts licensed funeral directors and embalmers from continuing education requirements if they have been practicing for at least 40 years.

House Bill 1612 (Sen. Robert Peters/Rep. Curtis Tarver) was signed into law as Public Act 103-0522 on August 11, 2023. The legislation requires the Department of Financial and Professional Regulation to collect and annually publish the racial and ethnic makeup of applicants who were denied licensure by the Department.

House Bill 1615 (Rep. Maura Hirschauer/Sen. Karina Villa) was signed into law as Public Act 103-0285 on July 28, 2023. The legislation creates the Illinois Nursing Workforce Center Advisory Board and provides that the Illinois Nursing Workforce Center's primary goals shall include developing a strategic plan for the nursing workforce in the State.

House Bill 2043 (Rep. Jay Hoffman/Sen. David Koehler) was signed into law as Public Act 103-0289 on July 28, 2023. Makes various changes to the Illinois Credit Union Act.

House Bill 2072 (Rep. Gong-Gershowitz/Sen. Laura Fine) was signed into law as Public Act 103-0024 on June 9, 2023. The legislation requires insurance or dental plans to allow for providers to opt out of being included in leased networks and adds protections for dental providers around contracting.

House Bill 2077 (Rep. Dave Vella/Sen. Steve McClure) was signed into law as Public Act 103-0245 on August 4, 2023. The legislation provides clarification to items within the Dental Practice Act and E-Prescription requirements.

House Bill 2094 (Sen. Seth Lewis/ Rep. Jennifer Sanalidro) was signed into law as Public Act 103-0292 on July 28, 2023. The legislation ensures consumers are not misled with deceptive mailing from a solicitor from a mortgage company that is not connected to the consumer's mortgage company.

House Bill 2098 (Rep. Curtis Tarver/Sen. Elgie Sims) was signed into law as Public Act 103-0427 on August 4, 2023. The legislation exempts beneficiaries from the definition of a seller who has both never occupied the residential real property and never had management responsibility for the residential property.

Office of Legislative Affairs

House Bill 2102 (Rep. Costa Howard/Sen. Glowiak Hilton) was signed into law as Public Act 103-0428 on August 4, 2023. The legislation allows a health care employer, upon receipt of a waiver, to hire any individual for a position involving direct care who has been convicted of certain offenses.

House Bill 2145 (Rep. Marcus Evans/Sen. Napoleon Harris) was signed into law as Public Act 103-0026 on June 9, 2023. The legislation provides authority for the Department of Financial and Professional Regulation or the Department of Public Health to suspend or revoke licenses to engage in certain businesses where the licensee has not properly insured its workers' compensation obligations.

House Bill 2274 (Rep. Travis Weaver/Sen. Win Stoller) was signed into law as Public Act 103-0302 on July 28, 2023. The legislation allows individuals to be eligible for a speech-language pathology assistant license if they have a bachelor's degree in speech-language pathology or communication science and disorders and have completed 100 hours of a comparable assistant program that was supervised by a licensed speech-language pathologist.

House Bill 2308 (Rep. Ann Williams/Sen. Laura Fine) was signed into law as Public Act 103-0155 on June 30, 2023. The legislation requires that a licensed practitioner or an accredited medical or chiropractic radiographer be physically present in the room while a patient is being irradiated.

House Bill 2325 (Sen. Laura Ellman/Rep. Margaret Croke) was signed into law as Public Act 103-0156 on June 30, 2023. This legislation provides that mortgage loan originators may work from a remote location.

House Bill 2332 (Rep. Nicholas Smith/Sen. Kimberly Lightford) was signed into law as Public Act 103-0029 on June 9, 2023. The legislation raises the permit fee for coroners and medical examiners to cremate a cadaver.

House Bill 2365 (Rep. Lindsey LaPointe/Sen. Karina Villa) was signed into law as Public Act 103-0433 on August 4, 2023. The legislation allows for social workers who have taken but unsuccessfully completed traditional examination to use an examination alternative for a license to engage in the independent practice of clinical social work.

House Bill 2450 (Rep. Dagmara Avelar/Sen. Ram Villivalam) was signed into law as Public Act 103-0531 on August 11, 2023. The legislation requires medical professionals to undergo one hour of continuing education training for cultural competency and sets additional requirements and limitations surrounding continuing education for medical professionals.

House Bill 2756 (Rep. Jenn Ladisch Douglass/Sen. Celina Villanueva) was signed into law as Public Act 103-0039 on June 9, 2023. The legislation requires massage license professionals to undergo one hour of continuing education training for domestic violence and sexual assault awareness and requires those who are licensed under the act to complete 25 instead of 24 continuing education hours.

House Bill 2826 (Rep. Curtis J. Tarver/Sen. Robert Peters) was signed into law as Public Act 103-0534 on August 11, 2023. The legislation requires IDFPR to not require self-disclosure of criminal background information in instances where it has already been stated that criminal background information cannot be used against an applicant.

Office of Legislative Affairs

House Bill 2948 (Rep. Theresa Mah/Sen. Omar Aquino) was signed into law as Public Act 103-0537 on August 11, 2023. The legislation requires the Division of Professional Regulation in the Department of Financial and Professional Regulation to retain one full-time employee to assist with licensing for international applicants and provide education and information resources to community groups.

House Bill 3109 (Rep. William Hauter/Sen. Sally Turner) was signed into law as Public Act 103-0442 on August 4, 2023. The legislation requires that the State Medical board shall consider the latest recommendations of the Federation of State Medical Boards when determining the mental capacities of applicants for a medical license.

House Bill 3206 (Rep. Tony McCombie/Sen. Paul Faraci) was signed into law as Public Act 103-0180 on June 30, 2023. The legislation requires the Department of Financial and Professional Regulation to supplement all paper-based certificates, licenses, and authorities with a digitally verified electronic credential.

House Bill 3233 (Rep. Elizabeth “Lisa” Hernandez/Sen. Karina Villa) was signed into law as Public Act 103-0338 on July 28, 2023. The legislation requires the Illinois DREAM Fund Commission to produce materials to help educate people about the purpose of the Fund and provides a process for customers who transmit money internationally to donate to the fund.

House Bill 3295 (Rep. Harry Benton/Sen. Julie A. Morrison) was signed into law as Public Act 103-0408 on July 31, 2023. The legislation requires IDFPR’s Military Liaison duties to include notifying military members of federal assistance programs available that will reimburse costs associated with licensing fees and professional credentials.

House Bill 3631 (Rep. Hoan Huynh/Sen. Mike Simmons) was signed into law as Public Act 103-0453 on August 4, 2023. The legislation prohibits pharmacy benefit managers from retaliating against pharmacists for disclosing information in government proceedings if they have reasonable cause to believe that the disclosed information is evidence of a violation of a state or federal law, rule, or regulation.

Senate Bill 0218 (Sen. Ann Gillespie/Rep. Lakesia Collins) was signed into law as Public Act 103-0065 on June 9, 2023. The legislation allows physician assistants who practice in Federally Qualified Health Centers to practice without a collaborative agreement.

Senate Bill 0247 (Sen. Michael W. Halpin/Rep. Lance Yednock) was signed into law as Public Act 103-0066 on June 9, 2023. The legislation makes it so that not-for-profit corporation may be organized to do engineering for conservation services.

Senate Bill 0285 (Sen. David Koehler/Rep. Anna Moeller) was signed into law as Public Act 103-0477 on August 4, 2023. The legislation removes a requirement that the date a controlled substance is dispensed must be part of the Prescription Monitoring Program (PMP). The legislation also requires a dispenser to electronically transmit required information as defined in administrative rules.

Senate Bill 0303 (Sen. Julie A. Morrison/Rep. Bob Morgan) was signed into law as Public Act 103-0068 on June 9, 2023. The legislation allows a pharmacy technician to qualify as having completed certain education and training requirements if they instead have 500 hours of equivalent work experience.

Office of Legislative Affairs

Senate Bill 0380 (Sen. David Koehler/Rep. Daniel Didech) was signed into law as Public Act 103-0478 on August 4, 2023. The legislation allows certain individuals to bring action against a health care provider who knowingly used the person's reproductive material without their consent.

Senate Bill 1617 (Sen. Julie A. Morrison/Rep. Martin Moylan) was signed into law as Public Act 103-0096 on June 9, 2023. The legislation requires recredentialing under the Health Care Professional Data Collection Act to be undertaken for a period not more than three years (rather than once every two years).

Senate Bill 1785 (Sen. David Koehler/Rep. Sharon Chung) was signed into law as Public Act 103-0228 on June 30, 2023. The legislation provides that the written collaborative agreement between a physician and an advanced practice registered nurse shall be for services for which the collaborating physician can provide adequate collaboration.

Senate Bill 1987 (Sen. Julie A. Morrison/Rep. Dave Vella) was signed into law as Public Act 103-0245 on June 30, 2023. The legislation adds to the Illinois Controlled Substances Act chemical compounds, not approved by the USDA, that are derived from Benzodiazepine or Thienodiazepine.

Other IDFPR Legislative Initiatives

Division of Real Estate

Senate Bill 1866 (Sen. Javier Cervantes/Rep. Martin Moylan) was signed into law as Public Act 103-0236 on June 30, 2022. The legislation amends various acts under the jurisdiction of the Division of Real Estate ("DRE") to ensure consistent statutory language and regulatory standards across DRE statutes. Additionally, the bill waived continuing education requirements for returning service members, prohibits predatory listing agreements, protects consumers from real estate fraud, and reinforces that real estate licensees can use individual Taxpayer Identification Numbers in place of Social Security Numbers.

Division of Professional Regulation

House Bill 2395 (Rep. Marcus Evans/Sen. Glowiak Hilton) was signed into law as Public Act 103-0309 on July 28, 2023. The legislation is an omnibus package that contains sunset extension language for Electrologists, CPAs, Private Detectives, and Veterinary Medicine, extending those Acts to January 1, 2029.

Senate Bill 2057 (Sen. Christopher Belt/Rep. Bob Morgan) was signed into law as Public Act 103-0251 on June 30, 2023. The legislation extends the sunset of the Illinois Occupational Therapy Practice Act to January 1, 2029, and makes modernizing changes to the Act.

Senate Bill 1716 (Sen. Suzy Glowiak Hilton/Rep. Bob Morgan) was signed into law as Public Act 103-0387 on July 28, 2023. The legislation extends the sunset of Registered Surgical Assistant and Registered Surgical Technologist Title Protection Act to January 1, 2029, and makes modernizing changes to the Act.

Division of Financial Institutions

House Bill 3296 (Rep. Margaret Croke/Sen. Laura Ellman) was signed into law as Public Act 103-0107 on June 27, 2023. The legislation increases the regulatory fee cap in the Illinois Credit Union Act to \$210,000 from \$142,000.

Human Resources

About Human Resources



Tyler Hanners
Director

Human Resources is committed to advancing IDFP's mission and strategic priorities to protect the residents of Illinois. We will accomplish this by serving the state in an ethical fashion along with striving to create a workplace culture of productivity, engagement, unity, and inclusion to provide the agency with the most innovative and talented workforce.

As part of the Secretary's Office, we are guided by three principles of work: ethics, efficiency, and fostering success.

IDFP at a Glance: FY 2023 (as of May 8, 2023)

449 Total Permanent Staff

Full Time Staff

- Union - 346
- Exempt - 50
- Merit Comp - 53

Personal Service Contracts

(individuals who work at IDFP on contract)

- DPR Coordinators - 4
- Athletics - 14
- Law Clerks - 21

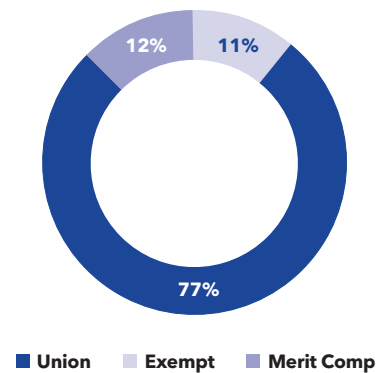
75 Day Retiree Appointments

- Division of Banking - 12
- Division of Financial Institutions - 1
- Legal Affairs - 1

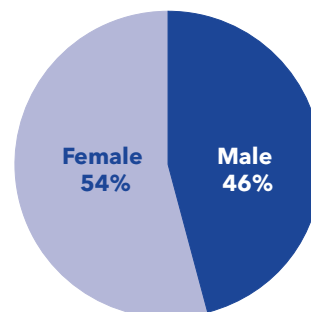
Interns

- University of Illinois Springfield Graduate Public Service Internship

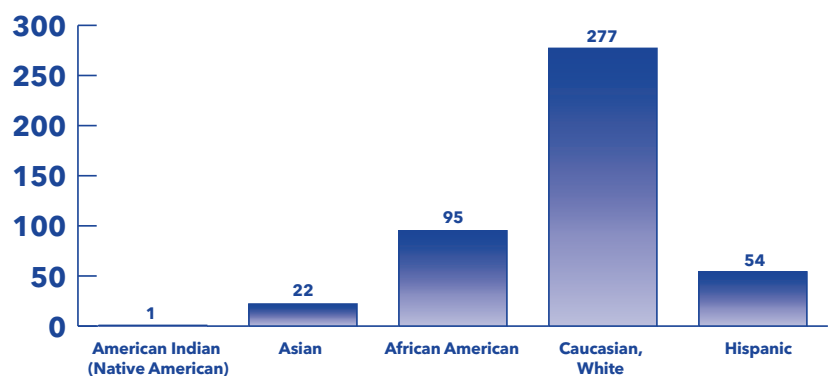
Breakdown



Gender



By Ethnicity



Human Resources

Human Resources Highlights

Filled Vacancies - Separations - Postings

All IDFPR job vacancies are posted and filled in accordance with all applicable state laws, rules, and regulations that govern the state of Illinois hiring process. IDFPR is committed to creating a diverse workforce that is representative of the residents it serves. This commitment includes fostering and maintaining a workplace where everyone is valued for their skills, experience, and unique perspectives and that all employees have an opportunity to participate and contribute.

FY 23 Filled Vacancies

- Quarter #1 (Q1) - 21
- Quarter #2 (Q2) - 10
- Quarter #2 (Q3) - 24
- Quarter #4 (Q4) - 26

FY 23 Employee Separations

- Quarter #1 (Q1) - 17
- Quarter #2 (Q2) - 16
- Quarter #2 (Q3) - 15
- Quarter #4 (Q4) - 17

FY 23 Job Vacancies Posted

- Quarter #1 (Q1) - 21
- Quarter #2 (Q2) - 10
- Quarter #2 (Q3) - 45
- Quarter #4 (Q4) - 32

Improving the Hiring Process

The State of Illinois, along with IDFPR, is currently in the process of modernizing their state hiring system. This modernization will provide the agency with new tools to help streamline hiring, payroll, benefits, and more. The project will be rolled out with different modules to help State Agencies adjust to the new system over time via the schedule provided below.

Release 1A

Released May 2023

Non-Coded Agencies*

Modules:

- Employee Central

Release 1B

Scheduled for Q1 2024

Coded and Non-Coded Agencies**

Modules:

- Employee Central
- Onboarding
- Recruiting
- Compensation

Future Releases

Release date TBD

Coded and Non-Coded Agencies

Modules:

- Learning Management
- Payroll
- Timekeeping

*Non-coded: position not covered by certain parts of the state personnel code

**Coded: position covered by the state personnel code

Countdown to Go-Live: Release 1B (“R1B”)

The new schedule for R1B is now available! The upcoming release is scheduled to Go-Live on Q1 2024. R1B is for coded and non-coded agencies who are in-scope for the following modules:

| Employee Central | Onboarding | Recruiting | Compensation |
|---|--|--|--|
| The main hub that connects State employee data to other modules and allows employees to self-service most HR needs. | The module that manages the process for onboarding new employees and allows them to complete required documents. | The module that manages creating job postings, viewing applicants, and approving job requisitions. | The module that helps HR staff manage, track, and automate employee salaries, bonuses, and other incentives. |

Fiscal Operations

Fiscal Overview



Thanh Melick
Chief Financial
Officer

IDFPR operations are funded by initial and renewal licensure fees, examinations, and levied fines from regulated individuals and industries. Traditionally, no support is provided by the State's General Revenue Fund.

IDFPR makes an annual appropriation request to the Governor's Office of Management and Budget (GOMB), who then submits a comprehensive plan of all agencies and departments that report to the Governor to the Illinois General Assembly for approval. Once the legislation that contains the budget requests is approved by both houses of the Illinois General Assembly, legislation is returned to the Governor to sign into law. Appropriation gives authority for the Department to make expenses as allotted and have those expenses paid out by the Illinois State Comptroller's Office.

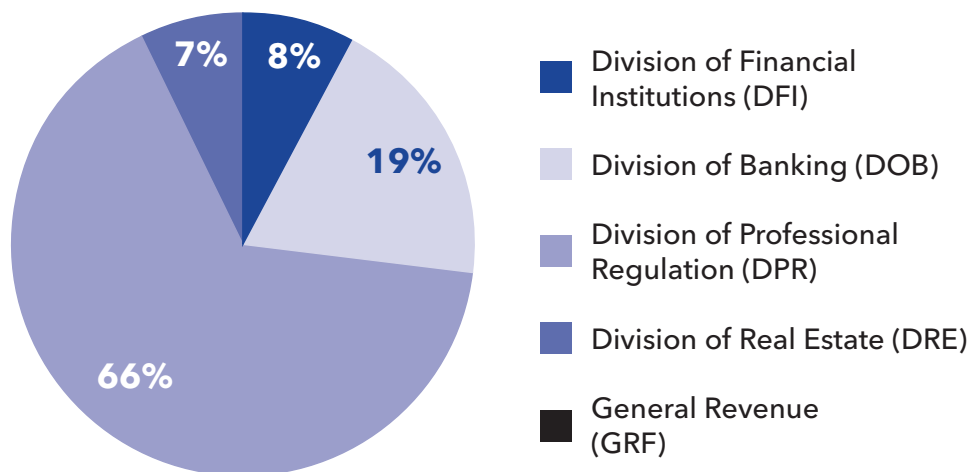
The annual appropriation request is made to support the staff and operations required to regulate and enforce Illinois State statutes as outlined by the Acts of the regulated professions within the purview of the Department. IDFPR manages 27 separate state dedicated purpose funds that are subject to the appropriations process. These funds are divided into four operational Divisions - Division of Banking, Division of Financial Institutions, Division of Professional Regulations and Division of Real Estate - all of which report to the agency head, Secretary of the Illinois Department of Financial and Professional Regulation.

Data source: The Illinois Office of Comptroller's website: (<https://illinoiscomptroller.gov/>)

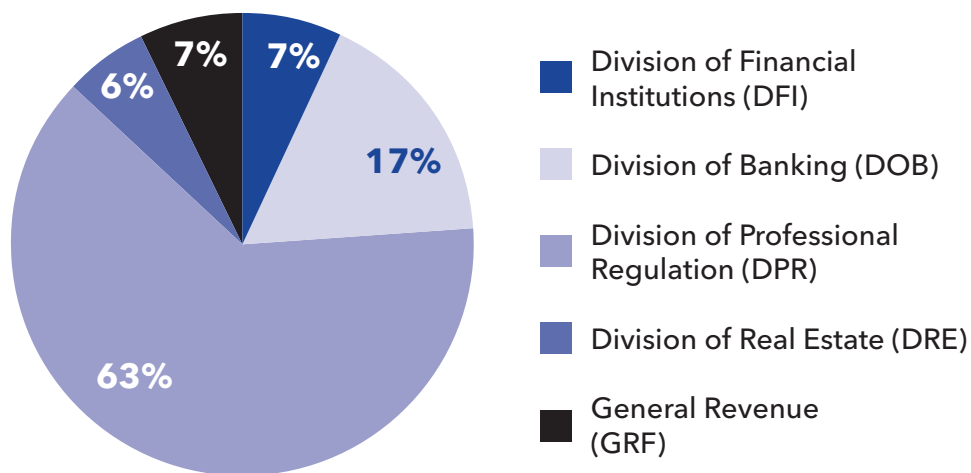
Appropriations by Division

| Comparison of FY22 to FY23 Appropriations | | | | |
|---|--------------------------|-------------------------|-------------------------|--------------|
| Division | FY22 | FY23 | Change | |
| | | | \$ | % |
| Division of Financial Institutions (DFI) | \$ 11,088,000.00 | \$ 11,261,000.00 | \$ 173,000.00 | 1.6% |
| Division of Banking (DOB) | \$ 24,245,200.00 | \$ 24,856,700.00 | \$ 611,500.00 | 2.5% |
| Division of Professional Regulation (DPR) | \$ 86,218,800.00 | \$ 94,838,500.00 | \$ 8,619,700.00 | 10.0% |
| Division of Real Estate (DRE) | \$ 8,636,400.00 | \$ 8,958,400.00 | \$ 322,000.00 | 3.7% |
| General Revenue (GRF) | \$ - | \$ 10,000,000.00 | \$ 10,000,000.00 | N/A |
| Agency Total | \$ 130,188,400.00 | \$149,914,600.00 | \$ 19,726,200.00 | 15.2% |

FY22 Appropriations



FY23 Appropriations



Fiscal Operations

Appropriations by Fund

Comparison of FY22 to FY23 Appropriations by Fund

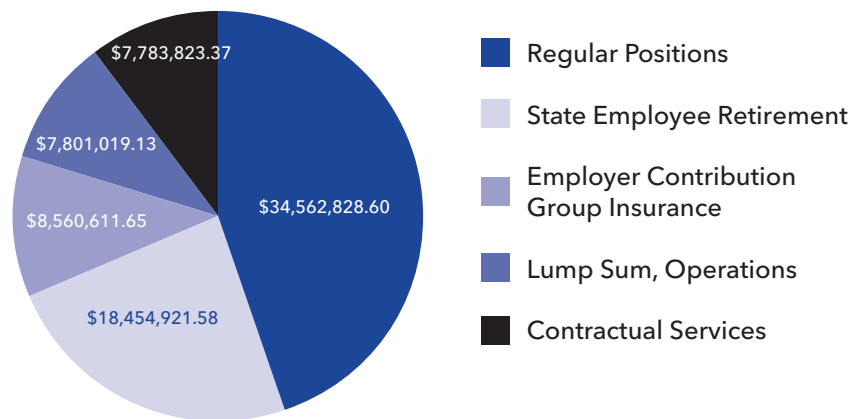
| Fund Name | Fund | FY22 | FY23 | Change | |
|---|-------------|-------------------------|--------------------------|-------------------------|--------------|
| | | | | \$ | % |
| Financial Institution Fund | 0021 | \$ 6,422,700.00 | \$ 6,624,300.00 | \$ 201,600.00 | 3.1% |
| Credit Union Fund | 0243 | \$ 4,665,300.00 | \$ 4,636,700.00 | \$ (28,600.00) | -0.6% |
| DFI Total | | \$ 11,088,000.00 | \$ 11,261,000.00 | \$ 173,000.00 | 1.6% |
| Residential Finance Regulatory Fund | 0244 | \$ 3,797,400.00 | \$ 4,008,100.00 | \$ 210,700.00 | 5.5% |
| Pawnbroker Regulation Fund | 0562 | \$ 228,500.00 | \$ 233,700.00 | \$ 5,200.00 | 2.3% |
| Savings Bank Regulatory Fund | 0579 | \$ 605,800.00 | \$ 605,800.00 | \$ - | 0.0% |
| Bank and Trust Company Fund | 0795 | \$ 19,613,500.00 | \$ 20,009,100.00 | \$ 395,600.00 | 2.0% |
| DOB Total | | \$ 24,245,200.00 | \$ 24,856,700.00 | \$ 611,500.00 | 2.5% |
| General Professions Dedicated Fund | 0022 | \$ 5,174,600.00 | \$ 6,674,800.00 | \$ 1,500,200.00 | 29.0% |
| Illinois State Pharmacy Disciplinary Fund | 0057 | \$ 1,952,400.00 | \$ 2,756,800.00 | \$ 804,400.00 | 41.2% |
| Compassionate Use of Medical Cannabis Fund | 0075 | \$ 7,713,800.00 | \$ 7,028,700.00 | \$ (685,100.00) | -8.9% |
| Illinois State Medical Disciplinary Fund | 0093 | \$ 4,852,300.00 | \$ 5,909,600.00 | \$ 1,057,300.00 | 21.8% |
| Registered Certified Public Accountants' Administration and Disciplinary Fund | 0151 | \$ 654,500.00 | \$ 654,500.00 | \$ - | 0.0% |
| Professional Regulation Evidence Fund | 0192 | \$ 300.00 | \$ 300.00 | \$ - | 0.0% |
| Professions Indirect Cost Fund | 0218 | \$ 46,221,800.00 | \$ 49,838,600.00 | \$ 3,616,800.00 | 7.8% |
| Nursing Dedicated and Professional Fund | 0258 | \$ 2,478,800.00 | \$ 2,930,000.00 | \$ 451,200.00 | 18.2% |
| Optometric Licensing and Disciplinary Board Fund | 0259 | \$ 269,500.00 | \$ 235,200.00 | \$ (34,300.00) | -12.7% |
| Athletics Supervision and Regulation Fund | 0505 | \$ 20,000.00 | \$ 20,000.00 | \$ - | 0.0% |
| Cemetery Oversight Licensing and Disciplinary Fund | 0792 | \$ 1,368,500.00 | \$ 1,368,500.00 | \$ - | 0.0% |
| Illinois State Dental Disciplinary Fund | 0823 | \$ 1,122,300.00 | \$ 1,134,700.00 | \$ 12,400.00 | 1.1% |
| Design Professionals Administration and Investigation Fund | 0888 | \$ 925,700.00 | \$ 805,200.00 | \$ (120,500.00) | -13.0% |
| Cannabis Regulation Fund | 0912 | \$ 13,462,800.00 | \$ 15,480,100.00 | \$ 2,017,300.00 | 15.0% |
| Illinois State Podiatric Disciplinary Fund | 0954 | \$ 1,500.00 | \$ 1,500.00 | \$ - | 0.0% |
| DPR Total | | \$ 86,218,800.00 | \$ 94,838,500.00 | \$ 8,619,700.00 | 10.0% |
| Appraisal Administration Fund | 0386 | \$ 1,621,400.00 | \$ 1,583,800.00 | \$ (37,600.00) | -2.3% |
| Home Inspector Administration Fund | 0746 | \$ 95,500.00 | \$ 2,300.00 | \$ (93,200.00) | -97.6% |
| Community Association Manager Licensing and Disciplinary Fund | 0829 | \$ 413,700.00 | \$ 596,100.00 | \$ 182,400.00 | 44.1% |
| Real Estate Research and Education Fund | 0849 | \$ 34,000.00 | \$ 34,000.00 | \$ - | 0.0% |
| Real Estate License Administration Fund | 0850 | \$ 6,471,800.00 | \$ 6,742,200.00 | \$ 270,400.00 | 4.2% |
| DRE Total | | \$ 8,636,400.00 | \$ 8,958,400.00 | \$ 322,000.00 | 3.7% |
| GENERAL REVENUE | 0001 | \$ - | \$ 10,000,000.00 | \$ 10,000,000.00 | N/A |
| Agency Total | | \$130,188,400.00 | \$ 149,914,600.00 | \$ 19,726,200.00 | 15.2% |

Fiscal Operations

Appropriated Expenditures

As previously noted, appropriated expenditures once signed into law, pay for the staff and operations required to regulate, and enforce Illinois State statutes as outlined by the Acts of the regulated professions within the purview of the Department. The pie chart below categorizes the types of expenses that typically occur each fiscal year; staff salaries and related payroll benefits are the largest expenses, as staff are the Departments largest commodity.

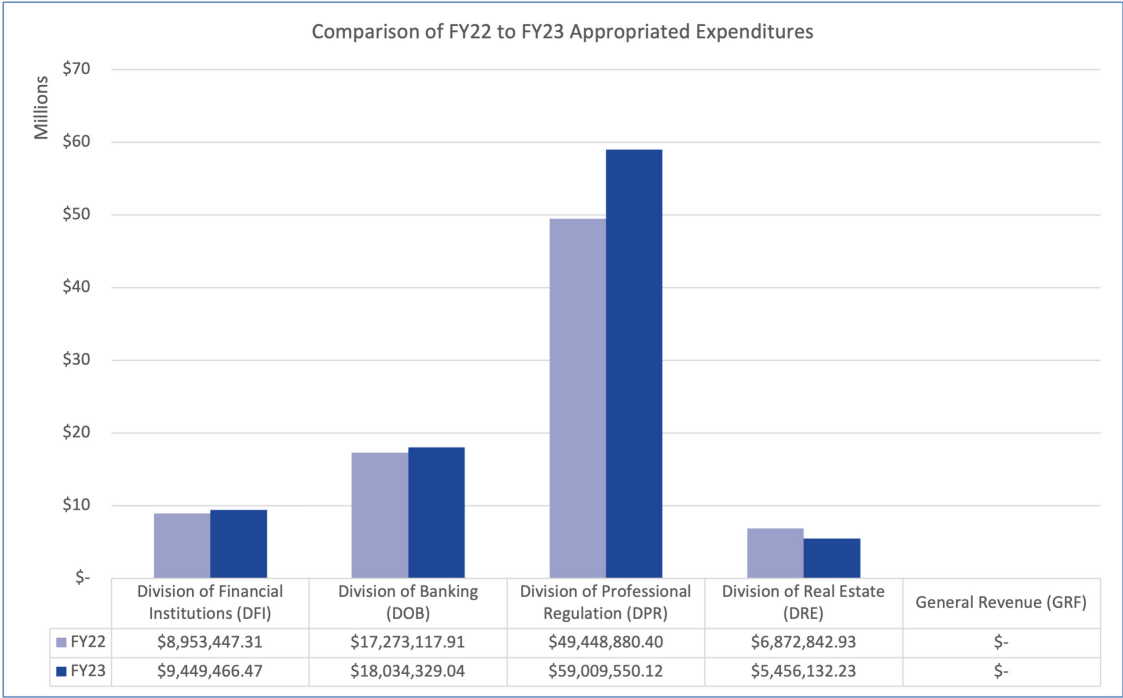
IDFPR's Top 5 Categories of Expenses based on FY23 Actuals



Expenditures by Division

| Comparison of FY22 to FY23 Appropriations | | | | |
|---|-------------------------|-------------------------|------------------------|--------------|
| Division | FY22 | FY23 | Change | |
| | | | \$ | % |
| Division of Financial Institutions (DFI) | \$ 8,953,447.31 | \$ 9,449,466.47 | \$ 496,019.16 | 5.5% |
| Division of Banking (DOB) | \$ 17,273,117.91 | \$ 18,034,329.04 | \$ 761,211.13 | 4.4% |
| Division of Professional Regulation (DPR) | \$ 49,448,880.40 | \$ 59,009,550.12 | \$ 9,560,669.72 | 19.3% |
| Division of Real Estate (DRE) | \$ 6,872,842.93 | \$ 5,456,132.23 | \$ (1,416,710.70) | -20.6% |
| General Revenue (GRF) | \$ - | \$ - | \$ - | N/A |
| Agency Total | \$ 82,548,288.55 | \$ 91,949,477.86 | \$ 9,401,189.31 | 11.4% |

Expenditures by Division



Fiscal Operations

Appropriated Expenditures by Fund

Comparison of FY22 to FY23 Expenditures by Fund

| Fund Name | Fund | FY22 | FY23 | Change | |
|---|-------------|-------------------------|-------------------------|--------------------------|---------------|
| | | | | \$ | % |
| Financial Institution Fund | 0021 | \$ 5,929,147.26 | \$ 5,709,105.71 | \$ (220,041.55) | -3.7% |
| Credit Union Fund | 0243 | \$ 3,024,300.05 | \$ 3,740,360.76 | \$ 716,060.71 | 23.7% |
| DFI Total | | \$ 8,953,447.31 | \$ 9,449,466.47 | \$ 496,019.16 | 5.5% |
| Residential Finance Regulatory Fund | 0244 | \$ 3,529,360.02 | \$ 3,694,060.23 | \$ 164,700.21 | 4.7% |
| Pawnbroker Regulation Fund | 0562 | \$ 219,297.84 | \$ 112,364.85 | \$ (106,932.99) | -48.8% |
| Savings Bank Regulatory Fund | 0579 | \$ 110,382.78 | \$ 90,031.70 | \$ (20,351.08) | -18.4% |
| Bank and Trust Company Fund | 0795 | \$ 13,414,077.27 | \$ 14,137,872.26 | \$ 723,794.99 | 5.4% |
| DOB Total | | \$17,273,117.91 | \$ 18,034,329.04 | \$ 761,211.13 | 4.4% |
| General Professions Dedicated Fund | 0022 | \$ 4,183,384.55 | \$ 5,336,355.38 | \$ 1,152,970.83 | 27.6% |
| Illinois State Pharmacy Disciplinary Fund | 0057 | \$ 1,895,954.48 | \$ 1,873,761.74 | \$ (22,192.74) | -1.2% |
| Compassionate Use of Medical Cannabis Fund | 0075 | \$ 2,064,070.05 | \$ 2,076,390.38 | \$ 12,320.33 | 0.6% |
| Illinois State Medical Disciplinary Fund | 0093 | \$ 4,373,169.51 | \$ 5,592,440.32 | \$ 1,219,270.81 | 27.9% |
| Registered Certified Public Accountants' Administration and Disciplinary Fund | 0151 | \$ 588,525.12 | \$ 547,577.78 | \$ (40,947.34) | -7.0% |
| Professional Regulation Evidence Fund | 0192 | \$ - | \$ - | \$ - | N/A |
| Professions Indirect Cost Fund | 0218 | \$ 27,781,613.13 | \$ 33,134,436.27 | \$ 5,352,823.14 | 19.3% |
| Nursing Dedicated and Professional Fund | 0258 | \$ 1,513,572.75 | \$ 2,269,571.33 | \$ 755,998.58 | 49.9% |
| Optometric Licensing and Disciplinary Board Fund | 0259 | \$ 210,834.12 | \$ 152,632.34 | \$ (58,201.78) | -27.6% |
| Athletics Supervision and Regulation Fund | 0505 | \$ 51.00 | \$ - | \$ (51.00) | -100.0% |
| Cemetery Oversight Licensing and Disciplinary Fund | 0792 | \$ 1,180,632.00 | \$ 1,054,543.59 | \$ (126,088.41) | -10.7% |
| Illinois State Dental Disciplinary Fund | 0823 | \$ 811,373.54 | \$ 672,714.73 | \$ (138,658.81) | -17.1% |
| Design Professionals Administration and Investigation Fund | 0888 | \$ 583,554.51 | \$ 663,369.21 | \$ 79,814.70 | 13.7% |
| Cannabis Regulation Fund | 0912 | \$ 4,262,145.64 | \$ 5,634,597.05 | \$ 1,372,451.41 | 32.2% |
| Illinois State Podiatric Disciplinary Fund | 0954 | \$ - | \$ 1,160.00 | \$ 1,160.00 | N/A |
| DPR Total | | \$ 49,448,880.40 | \$ 59,009,550.12 | \$ 9,560,669.72 | 19.3% |
| Appraisal Administration Fund | 0386 | \$ 1,173,177.14 | \$ 455,079.54 | \$ (718,097.60) | -61.2% |
| Home Inspector Administration Fund | 0746 | \$ 86,672.94 | \$ - | \$ (86,672.94) | -100.0% |
| Community Association Manager Licensing and Disciplinary Fund | 0829 | \$ 71,467.47 | \$ 200,826.11 | \$ 129,358.64 | 181.0% |
| Real Estate Research and Education Fund | 0849 | \$ 34,000.00 | \$ 32,000.00 | \$ (2,000.00) | -5.9% |
| Real Estate License Administration Fund | 0850 | \$ 5,507,525.38 | \$ 4,768,226.58 | \$ (739,298.80) | -13.4% |
| DRE Total | | \$ 6,872,842.93 | \$ 5,456,132.23 | \$ (1,416,710.70) | -20.6% |
| GENERAL REVENUE | 0001 | \$ - | \$ - | \$ - | N/A |
| Agency Total | | \$ 82,548,288.55 | \$91,949,477.86 | \$ 9,401,189.31 | 11.4% |

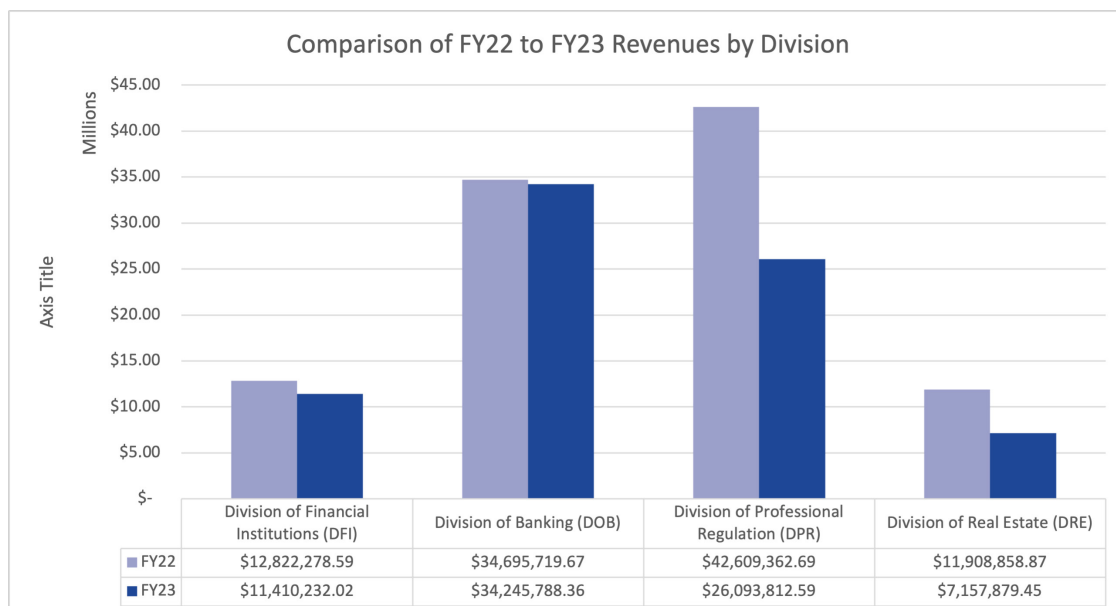
Fiscal Operations

Revenues by Division

IDFPR receives revenues based on statutes and rules. Each regulated profession follows a different revenue cycle as well as ever changing license populations. Revenues for the Division of Banking and Division of Financial are based on the asset sizes of regulated institutions. Revenues for the Division of Professional Regulation and Division of Real Estate are based on initial and renewal license population on two-, three- and four-year renewal cycles. In a given renewal year, the fee schedule is set at rates to support operations until the next renewal cycle.

Comparison of FY22 to FY23 Appropriated Expenditures

| Division | FY22 | FY23 | Change | |
|---|--------------------------|-------------------------|---------------------------|---------------|
| | | | \$ | % |
| Division of Financial Institutions (DFI) | \$ 12,822,278.59 | \$ 11,410,232.02 | \$ (1,412,046.57) | -11.0% |
| Division of Banking (DOB) | \$ 34,695,719.67 | \$ 34,245,788.36 | \$ (449,931.31) | -1.3% |
| Division of Professional Regulation (DPR) | \$ 42,609,362.69 | \$ 26,093,812.59 | \$ (16,515,550.10) | -38.8% |
| Division of Real Estate (DRE) | \$ 11,908,858.87 | \$ 7,157,879.45 | \$ (4,750,979.42) | -39.9% |
| Agency Total | \$ 102,036,219.82 | \$ 78,907,712.42 | \$ (23,128,507.40) | -22.7% |



Fiscal Operations

Revenues by Fund

Comparison of FY22 to FY23 Revenue by Fund

| Fund Name | Fund | FY22 | FY23 | Change | |
|---|-------------|-------------------------|-------------------------|---------------------------|---------------|
| | | | | \$ | % |
| Financial Institution Fund | 0021 | \$ 9,188,115.21 | \$ 6,863,361.84 | \$ (2,324,753.37) | -25.3% |
| TOMA Consumer Protection Fund | 0241 | \$ - | \$ 500,000.00 | \$ 500,000.00 | N/A |
| Credit Union Fund | 0243 | \$ 3,608,163.38 | \$ 4,039,470.18 | \$ 431,306.80 | 12.0% |
| Debt Settlement Consumer Protection Fund | 0615 | \$ 26,000.00 | \$ 7,400.00 | \$ (18,600.00) | -71.5% |
| DFI Total | | \$ 12,822,278.59 | \$ 11,410,232.02 | \$ (1,412,046.57) | -11.0% |
| Residential Finance Regulatory Fund | 0244 | \$ 9,123,713.00 | \$ 7,487,309.00 | \$ (1,636,404.00) | -17.9% |
| Pawnbroker Regulation Fund | 0562 | \$ 206,640.00 | \$ 197,370.00 | \$ (9,270.00) | -4.5% |
| Savings Bank Regulatory Fund | 0579 | \$ 562,490.50 | \$ 757,885.93 | \$ 195,395.43 | 34.7% |
| Bank and Trust Company Fund | 0795 | \$ 24,802,876.17 | \$ 25,803,223.43 | \$ 1,000,347.26 | 4.0% |
| DOB Total | | \$ 34,695,719.67 | \$ 34,245,788.36 | \$ (449,931.31) | -1.3% |
| General Professions Dedicated Fund | 0022 | \$ 12,241,060.25 | \$ 12,782,553.70 | \$ 541,493.45 | 4.4% |
| Illinois State Pharmacy Disciplinary Fund | 0057 | \$ 2,187,762.72 | \$ 1,394,363.29 | \$ (793,399.43) | -36.3% |
| Compassionate Use of Medical Cannabis Fund | 0075 | \$ 2,155,820.00 | \$ 1,818,720.00 | \$ (337,100.00) | -15.6% |
| Illinois State Medical Disciplinary Fund | 0093 | \$ 4,213,273.54 | \$ 4,168,422.86 | \$ (44,850.68) | -1.1% |
| Registered Certified Public Accountants' Administration and Disciplinary Fund | 0151 | \$ 4,357,949.20 | \$ 308,568.53 | \$ (4,049,380.67) | -92.9% |
| Professional Regulation Evidence Fund | 0192 | \$ - | \$ - | \$ - | N/A |
| Professions Indirect Cost Fund | 0218 | \$ 587,650.73 | \$ 1,124,519.10 | \$ 536,868.37 | 91.4% |
| Nursing Dedicated and Professional Fund | 0258 | \$ 1,923,742.52 | \$ 1,108,783.60 | \$ (814,958.92) | -42.4% |
| Optometric Licensing and Disciplinary Board Fund | 0259 | \$ 997,522.14 | \$ 46,688.00 | \$ (950,834.14) | -95.3% |
| Athletics Supervision and Regulation Fund | 0505 | \$ 7,978.95 | \$ - | \$ (7,978.95) | -100.0% |
| Cemetery Oversight Licensing and Disciplinary Fund | 0792 | \$ 48,615.00 | \$ 49,745.00 | \$ 1,130.00 | 2.3% |
| Illinois State Dental Disciplinary Fund | 0823 | \$ 5,170,857.62 | \$ 391,435.50 | \$ (4,779,422.12) | -92.4% |
| Design Professionals Administration and Investigation Fund | 0888 | \$ 1,513,687.51 | \$ 1,375,175.00 | \$ (138,512.51) | -9.2% |
| Cannabis Regulation Fund | 0912 | \$ 7,168,200.00 | \$ 1,069,600.00 | \$ (6,098,600.00) | -85.1% |
| Illinois State Podiatric Disciplinary Fund | 0954 | \$ 35,242.51 | \$ 455,238.01 | \$ 419,995.50 | 1191.7% |
| DPR Total | | \$ 42,609,362.69 | \$ 26,093,812.59 | \$ (16,515,550.10) | -38.8% |
| Division of Real Estate General Fund | 0267 | \$ - | \$ - | \$ - | N/A |
| Appraisal Administration Fund | 0386 | \$ 2,078,878.56 | \$ 910,091.47 | \$ (1,168,787.09) | -56.2% |
| Real Estate Recovery Fund | 0629 | \$ 122,402.49 | \$ 163,363.77 | \$ 40,961.28 | 33.5% |
| Home Inspector Administration Fund | 0746 | \$ 124,315.00 | \$ 709,657.00 | \$ 585,342.00 | 470.9% |
| Community Association Manager Licensing and Disciplinary Fund | 0829 | \$ 555,078.63 | \$ 199,905.00 | \$ (355,173.63) | -64.0% |
| Real Estate Research and Education Fund | 0849 | \$ - | \$ - | \$ - | N/A |
| Real Estate License Administration Fund | 0850 | \$ 9,028,184.19 | \$ 5,174,862.21 | \$ (3,853,321.98) | -42.7% |
| DRE Total | | \$ 11,908,858.87 | \$ 7,157,879.45 | \$ (4,750,979.42) | -39.9% |
| GENERAL REVENUE FUND | 0001 | \$ - | \$ - | \$ - | N/A |
| Agency Total | | \$102,036,219.82 | \$ 78,907,712.42 | \$ (23,128,507.40) | -22.7% |

Administrative Services



Amanda Phelps
Deputy Director
of Administrative
Services

IDFPR Facilities Updates

The importance of updating the IDFPR office spaces is underscored by a multitude of benefits. First and foremost, updates ensure compliance with safety regulations. Accompanied with increased security measures, they foster a healthier and more secure environment that prioritizes the well-being of agency staff as well as visitors to our facilities. Additionally, modernizing the office space allows us to improve workflow, optimize space usage, more easily integrate modern technology, and positively impact employee morale.

Springfield Office (320 W. Washington Street, Springfield, IL 62786)

- Security Updates and Badge Reader Installation
 - September 22, 2022: employee badge readers were installed and activated at the security desk on the first-floor main entrance.
 - September 26, 2022: new tools and processes including daily sign-in logs, temporary badges for employees, and visitor badges were implemented to compliment the new badge readers.
 - January 3, 2023: security cameras at external entrances went online.
 - July 18, 2023: a new "Visitor Request Form" was implemented to provide advanced notice to Administrative Services and Security at each IDFPR facility that official visitors will be accessing secured areas.
- Workspace Construction on Second and Third Floors, Bathrooms Remodel and Gender-Neutral Bathroom Installation
 - June 6, 2023: plans for the second and third floor construction, including the bathrooms remodel and installation of the 3rd floor gender-neutral bathroom, were approved.
 - Construction to the second and third floor workspace is set to begin FY24 on August 21, 2023.
 - Demolition of the existing bathrooms will follow and is scheduled for September 1, 2023.
- Drinking Water Filtration System Installation
 - September 20, 2022: reverse osmosis water filtration systems were installed in each of the break rooms on the second, third, and fifth floors.
- East Elevator Rebuild
 - Two of the four elevators in the Springfield office were rebuilt and fully operational in May 2023.
- Reception Upgrades
 - August 16, 2023: reception television was installed and the agency informative slide deck went live.
 - The IDFPR agency reception sign was installed October 18, 2023.



Chicago Headquarters (555 W. Monroe, Chicago, IL 60661)

- Reception Desk Upgrade and Administrative Law Hearing Room Upgrade
 - July 14th, 2022: agileResource installed a new reception desk on the fifth floor and a new judge's desk in the hearing room on the fifth floor.

Administrative Services

Agency-Wide (Chicago, Des Plaines, and Springfield Offices)

- Video Conference Room Additions
 - February 1, 2023: Administrative Services announced additional video conference units were added to our Chicago office to assist our staff in hosting both internal and external meetings, conducting interviews, and holding hearings.
 - Presently, the agency has four video conference rooms in the Chicago office, two in the Springfield office, and one in the Des Plaines office.
- Xerox Upgrades
 - February 10, 2023: new Xerox devices were delivered to the Springfield and Chicago offices. Installation took a week and old devices were removed on February 22, 2023.

The Connection Call Center FY23 Statistics

Phone Statistics

Total FY23 Annual Calls: 591,348

Average Wait Time for Caller: 3 minutes 40 seconds (**decrease of more than a minute** from FY22)

Average Wait Time Before Caller Ended the Call: 3 minutes 23 seconds

Average Time for Representative to Assist the Caller: 7 minutes 15 seconds

Virtual Queue Statistics

Average Number of Callback Requests Each Month: 8,345 (**decrease of more than 70%** from FY22)

Average Time for a Callback to be Made: 8 minutes 2 seconds: (**decrease of more than 80%** from FY22)

Average Number of Callbacks Rejected: 2,258 (**decrease of almost 80%** from FY22)

Average Monthly Attempts by the Call Center to Return Phone Calls: 8,716

Average Answered Success Rate: 67%

Average Voicemail Answer Rate: 30%

Annual Inventory and Portable Equipment

- Administrative Services completed IDFPR's Annual Physical Inventory for the Chicago, Des Plaines, and Springfield facilities, including portable equipment. Portable equipment is defined as, but not limited to, the following types of assets: cell phones, laptops, internet hot spots, voice recorders, transcription kits, printers, and scanners.
- The team had a **100% success rate**, accounting for 150 IDFPR-owned trackable assets **valued at almost \$900,000**.
- We also assisted the Illinois Department of Innovation and Technology ("DoIT") with the annual inventory of their assets and successfully located more than 1,800 IT assets on their behalf.

Strategic Records Project Updates

Despite various setbacks and transferring more physical records than expected from other relocating agency units to the Record Services Office, the Strategic Records Proposal ("SRP") has made significant progress in developing and implementing digital procedures in various IDFPR units after launching parts of its Phase II, Transition to Digital Processes.

Phase I accomplishments include the completion of agency's unit manager and supervisor interviews to identify workflows and record storage practices. After the initial round of interviews, follow up discussions were held to

Administrative Services

generate ideas to overcome workflow and technical barriers to the transition to digital procedures. As a result, final unit digital processes were developed via partnerships between the Records Officer and various agency's managers and administrators for review and implementation for some DFPR units. Likewise, front-end born digital document contacts were documented and methods were implemented to preserve the digital record throughout the records lifecycle. Finally, the Phase I activities resulted in the identification of almost 1,000 boxes and over 3,000 microfilm reels with expired retention periods for destruction.

Simultaneously with the wind down of work on Phase I, Phase II projects advanced. Several units implemented digital record keeping procedures during the reporting period of which many are the largest record producing units in the agency. Division of Professional Regulation units which have completely implemented digital recordkeeping include Complaint Intake, Enforcement Administration, Investigations, and Prosecutions. Moreover, other units have drafted and will be implementing digital recordkeeping by the end of Calendar Year 2023. The Division of Real Estate units anticipated to be transitioned to digital records by the end of the year include Complaint Intake, Investigations and Prosecutions. Currently, Record Services is helping the IDFPD Clerk of the Court with the development of digital conversion procedures.

Besides the SRP's main efforts, other agency projects have assisted with IDFPD's digital transition, including purchases of new equipment and processes for digitization of mail. One example is the roll out of information technology hardware to aid with processing digital files while field staff work at remote locations. Additionally, in a new initiative, the agency implemented scanning of incoming mail allowing correspondence to be uploaded into agency databases for faster workflows and retrieval.

Future Phase II plans involve converting microfilm reels to digital files so that they are more easily accessible to agency staff to decrease response times to public requests for agency records.

Administrative Services Unit Help Desk Implementation

On May 30, 2023, the Administrative Services team announced a collaboration with the Department of Innovation and Technology ("DoIT") on the implementation of the Administrative Services portion of the agency's internal Help Desk. Administrative Services currently assists IDFPD agency staff on a wide variety of employee service requests across all three of our locations. Some of these requests include but are not limited to onboarding and offboarding of employees, employee/investigator/board member IDs, on-site visitor requests, facilities and physical space accommodations, conference room reservations, and procurement requests. On June 26, 2023, we updated the Administrative Services Help Desk to also include records requests.

Since the inception of the Administrative Services Help Desk on May 31, 2023, through July 28, 2023, the team has received and processed a total of 527 tickets (requests for assistance by IDFPD staff). Of those 527 tickets, 211 were processed Upstate and 316 were processed Downstate. Of the 316 processed Downstate, 106 were records requests.

The new Help Desk has allowed for a more streamlined support that is both quick and efficient, improving overall productivity, and minimizing employee downtime. It has also granted Administrative Services staff a deeper understanding of our agency's specific requirements and unique workflow creating a more personalized and tailored support, as well as allowing for more control over the support process and ensuring accountability amongst the team. It is the hope of the Administrative Services team that an added benefit to the launch of the Help Desk is that it will foster a positive work culture promoting community and collaboration amongst IDFPD employees.

Language Access Plan & Diversity, Equity and Inclusion (DEI) Initiatives

DEI & Language Access Plan Updates

In the dynamic landscape of government services, prioritizing equitable access and inclusivity remains paramount. Throughout the FY23, the IDFPR Language Access Plan Coordinator - in close collaboration with the Language Access Plan Working Group - continued to advance efforts in fostering equitable communication and service delivery within our agency.

Since the inception of the Working Group, the Department has diligently assessed, determined, and documented our language access requirements, initially identifying eleven (11) key languages for our Limited English Proficiency (LEP) audience. These languages include Spanish, Hindi, Italian, Polish, Tagalog, Chinese, Ukrainian, Vietnamese, French, Cantonese, and Arabic. Further analysis during FY23 revealed additional languages accessed, namely Korean (1), Mandarin (4), Romanian (1), Russian (25), and Turkish (2).

Telephone calls remain a prevalent means of contact for licensees, including Limited English Proficient ("LEP") individuals, reaching out to IDFPR. Over the course of FY23, the Agency's help desk received an average of 49,279 calls per month, totaling 591,348 calls. Notably, 5,384 calls were from individuals seeking assistance in languages other than English, averaging approximately 448 calls each month. Among these, 5,326 calls were in Spanish. To address this, the Connection Call Center staff have been internally equipped to provide interpretive services through dedicated bilingual personnel on-site and an interpretation line.

Internally, our Language Access Plan ("LAP") has seen several successful initiatives come to fruition. These include the translation of 54 vital documents, ranging from informational brochures for licensees and consumers to vital information for prospective applicants in the Social Equity Criteria adult-use cannabis lottery. "I Speak" cards (**pictured, right**) tailored to the Agency's needs were introduced and distributed to both the Springfield and Chicago reception areas on February 1, 2023.

Furthermore, Standard Operating Procedures have been established for accessing Propio, TTY NEXTALK, and Multilingual Connections interpreting services. Procedures for identifying LEP individuals were developed and conveyed to frontline staff on February 1, 2023. In a bid to facilitate communication, Language Access Complaint forms were translated into twelve (12) languages, including simplified Chinese script, and made available on the IDFPR website from May 2, 2023. Additionally, machine translation for web content was incorporated, enabling accessibility via Google Translate on [IDFPR.illinois.gov](https://idfpr.illinois.gov).

The Department's Office of Human Resources has actively identified staff members proficient in languages



Need an interpreter? IDFPR can help!

Are you in need of an interpreter for assistance? Please point to the icon below with the language of your choice!

| | | |
|--|--|---|
| <p>¿Necesita un intérprete? ¡Por favor señale aquí!</p> <p>Spanish</p> | <p>Besoin d'un interprète ? Veuillez pointer ici !</p> <p>French</p> | <p>Hai bisogno di un interprete? Si prega di indicare qui!</p> <p>Italian</p> |
| <p>Potrzebujesz tłumacza? Proszę wskazać tutaj!</p> <p>Polish</p> | <p>Потрібен перекладач? Будь ласка, вкажіть тут!</p> <p>Ukrainian</p> | <p>दुभाषिया चाहिए? कृपया यहाँ इंगित करें!</p> <p>Hindi</p> |
| <p>هل تحتاج إلى مترجم? امن فضلك أشر هنا</p> <p>Arabic</p> | <p>需要口譯員嗎? 請點這裡!</p> <p>Traditional Chinese</p> | <p>需要口譯員嗎? 請指出呢度!</p> <p>Cantonese</p> |
| <p>Cần thông dịch viên? Hãy chỉ vào đây!</p> <p>Vietnamese</p> |  <p>IDFPR Illinois Department of Financial and Professional Regulation</p> | <p>Kailangan ng interpreter? Paki point dito!</p> <p>Tagalog</p> |



Language Access Plan & DEI Initiatives

other than English, both linguistically and culturally, to deliver services and act as interpreters. These bilingual employees receive supplemental pay for their contributions. Presently, IDFPF employs seventeen (17) supplemental positions and has enlisted Spanish-speaking Illinois Department of Central Management certified interviewers to aid in identifying qualified bilingual candidates. These efforts are further bolstered by increased visibility at job fairs across the state.

| FY23 Language Line Usage | |
|--------------------------|--------------|
| Month/Year | # of Calls |
| 2022 | 653 |
| Jul | 117 |
| Aug | 112 |
| Sep | 143 |
| Oct | 102 |
| Nov | 90 |
| Dec | 89 |
| 2023 | 564 |
| Jan | 120 |
| Feb | 76 |
| Mar | 113 |
| Apr | 92 |
| May | 68 |
| Jun | 95 |
| Grand Total | 1,217 |

| FY23 Call Center Dedicated Spanish Agents | |
|---|--------------|
| Month/Year | # of Calls |
| July 2022 | 310 |
| August 2022 | 388 |
| September 2022 | 420 |
| October 2022 | 363 |
| November 2022 | 323 |
| December 2022 | 236 |
| January 2023 | 310 |
| February 2023 | 239 |
| March 2023 | 425 |
| April 2023 | 391 |
| May 2023 | 354 |
| June 2023 | 408 |
| Total | 4,167 |

| FY23 Languages Accessed via the Language Line | |
|---|--|
| Language | |
| Arabic | |
| Cantonese | |
| Italian | |
| Korean | |
| Madarin | |
| Polish | |
| Romanian | |
| Russian | |
| Spanish | |
| Turkish | |
| Ukrainian | |
| Vietnamese | |

Public Outreach



Chris Slaby
Public Information
Officer

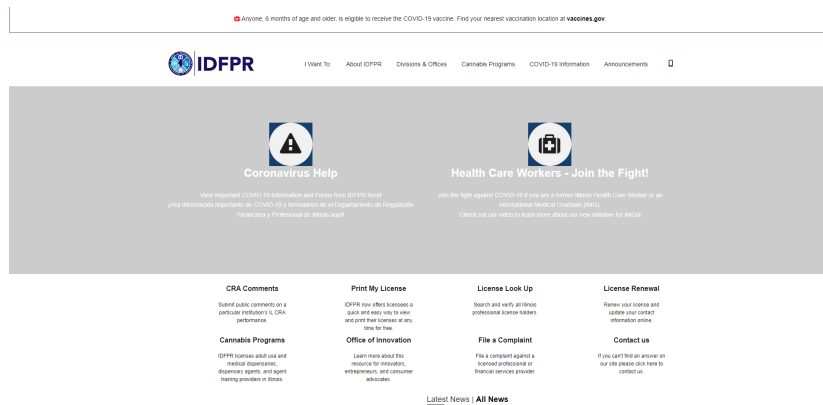
Public Outreach by IDFPR in FY23

IDFPR is committed to ensuring vital updates and information is effectively communicated to the licensees we oversee, everyone who calls Illinois home, and anyone who is looking to learn more about becoming a licensed professional in the Land of Lincoln.

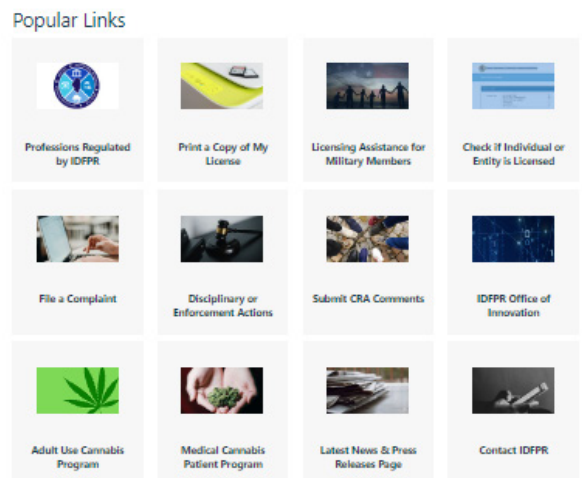
Improved IDFPR Website Launched

IDFPR is committed to ensuring licensees and anyone looking to find information on its website may do so as efficiently as possible. In January 2023, the Department began transitioning the website to Adobe Experience Manager ("AEM"). This online platform has become the standard program to support websites for Illinois offices and agencies. AEM allows for more flexible, creative website design that is supported on both mobile and desktop devices.

The new IDFPR website launched at the end of March 2023, providing a streamlined website that makes it easier for anyone to locate the information they need. In addition, the color scheme of the new website (dark blue and gold) has also been implemented in other public-facing materials to ensure continuity.



(Previous IDFPR Website)



(Revamped IDFPR Website)



(New IDFPR Social
Media Graphics)

Public Outreach

Communicating the End of the COVID-19 Public Health Emergency

Since the onset of the COVID-19 pandemic in early 2020, IDFPR used its website, social media platforms, and email to communicate critical updates to with licensees and the general public. In May 11, 2023, Illinois' public health emergency ended in alignment with the end of the national public health emergency.

IDFPR used social media and alerts on its website to highlight that all proclamations, variances, and declarations issued regarding professional licensing in Illinois during the public health emergency expired on May 11.

IDFPR has continued to offer a COVID-19 resource webpage that, along with summarizing the end of the state public health emergency, also provides Frequently Asked Questions ("FAQs") for eligible healthcare workers to receive fee waivers when applying for, renewing, or reinstating a license in Illinois.

The Department also communicated critical next step updates for healthcare workers who obtain a temporary work permit or license reinstatement to provide care to Illinois residents during the height of the COVID-19 pandemic. Along with the date being extended from May 11, 2023 to July 11, 2023, temporary permit/license holders are allowed to keep practicing if they've submitted an application for licensure and until the application is approved, denied, or May 11, 2024 (whichever occurs first). This update was communicated to eligible professionals via a direct email from the Department and was also highlighted multiple times on IDFPR's social media platforms.



Public Outreach

Expanded Presence on Social Media

IDFPR maintains an active social media presence to provide critical updates for licensees and to answer questions about the professional licensing process. These efforts in turn increase the number of followers on each of IDFPR's social media platforms, meaning future posts will reach an even greater number of individuals.

Facebook

- 227,853 people reached through posts.
- 20,411 total followers (including 1,307 new followers in FY23, an **increase of 7%**).
- Most popular posts:
 - January 24, 2023 - Online account assistance for professional licensees (11,581 people reached).
 - March 9, 2023 - Deadline extended for the Social Equity Criteria Lottery (5,371 people reached).
 - May 6, 2023 - Happy National Nurses Month (3,407 people reached).

Twitter

- 268,751 people reached through posts.
- 1,914 total followers (including 142 new followers in FY23).

LinkedIn

- 4,265 total followers (**increase of 43%**)
- 8,572 page views.

Instagram

- 1,655 people reached through posts (**increase of 129.5%** from FY22).
- 377 total followers (**increase of 135%** from FY22).

YouTube

- IDFPR placed a new focus on using informational videos more effectively for the general public in FY23. This led to:
 - 20 videos being produced and uploaded to IDFPR's YouTube page in FY23
 - 4,111 views totaling almost 272 hours (or more than 11 days) in FY23.
 - The number of subscribers increasing 67% (from 99 to 166).

By the Numbers in FY23

386 Social media posts
Increase from 375 in FY 2022

44 Press releases and notices

10 Alerts on the IDFPR website

Public Outreach

Ensuring a Qualified Workforce and Proper Oversight in Illinois

IDFPR wants to make sure everyone looking to join the workforce in Illinois obtains any professional license(s) required before they are able to work. In FY23, IDFPR attended ten job and community fairs throughout the state to explain the professional licensing process to prospective applicants and answer any questions.

In addition, teams and individuals from IDFPR attended more than 30 professional events across the state and country. We constantly connect and network with our regulatory counterparts, both at the state and federal levels, to ensure Illinois remains a national leader in strong but appropriate regulatory oversight for the professions we license and oversee.

Want IDFPR to attend your professional event? Contact Chris Slaby, public information officer, at Christopher.Slaby@illinois.gov.



IDFPR Project Manager Diane Casas attended the State & Legislative Issues Community Town Hall meeting in Calumet City in October 2022. Pictured with House Assistant Majority Leader Marcus Evans, Jr.



We are always ready and wanting to help answer any questions about professional licensing in Illinois! Linda Roberts, Manager of the Illinois Nursing Workforce Center, did just that at the first ever Chicago Nurse Expo in Chicago in August 2022.



Secretary Mario Treto, Jr., Division of Real Estate Director Laurie Murphy, and Deputy Division of Real Estate Director Ericka Johnson represented Illinois at the Association of Real Estate License Law Officials' ("ARELLO") Mid-Year Conference in Boston, Massachusetts. The conference brought together real estate regulators from all over the country so best practices in real estate regulation could be discussed and shared. Illinois is well-represented on this global organization, with Secretary Treto on its Board of Directors and Director Murphy as the Chair of the Examination Accreditation Committee.



The IDFPR team welcomed and met with leaders from the Ministry of Health in Singapore in April 2023. We discussed our efforts to expand Illinois' healthcare workforce to include more internationally trained healthcare professionals and shared insights into our role in the regulation of private healthcare information.



Secretary Mario Treto, Jr. led a team from IDFPR to attend the Illinois Association of Hispanic State Employees' 34th Annual Training Conference in Oakbrook. Held in October 2022, the event offers workshops on topics that affect state employees and Hispanic communities. The IDFPR team highlighted current job opportunities at IDFPR with attendees.

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