

**BOARD OF PSYCHOLOGY**  
**Overview of Enforcement Activity**

<b>License &amp; Registration*</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13**</b>
Psychologist	20,307	21,019	21,527	22,020	22,278
Registered Psychologist	324	320	312	320	303
Psychological Assistant	1397	1429	1507	1635	1677
<b>Cases Opened</b>	<b>08/09</b>	<b>09/10</b>	<b>10/11</b>	<b>11/12</b>	<b>12/13**</b>
Complaints Received	786	712	785	747	163
Criminal Conviction Reports Received	72	54	48	70	7
Investigations Opened	93	80	83	107	10
Cases sent to AG/DA	22	39	37	45	10
<b>Filings</b>					
Accusations	8	23	21	27	5
Statement of Issues	9	8	4	4	1
Petition to Revoke Probation	0	0	0	3	0
Petitions to Compel Psych. Exam	0	0	1	1	0
Petitions for Penalty Relief	3	1	0	1	0
Petition for Reinstatement	1	1	0	2	0
Petitions for Reconsideration	0	1	0	0	1
<b>Filing Withdrawals/Dismissals</b>					
Accusations Withdrawn	0	0	2	0	0
Accusations Dismissed	0	1	0	1	0
Statement of Issues Withdrawn	5	0	2	1	0
<b>Citations</b>					
Citations Ordered	5	10	9	18	0
<b>Decisions (Penalty)</b>					
Revocations	1	3	2	4	1
Revocation, Stayed, Probation	7	9	12	11	2
Revocation, Stayed, Probation, Susp.	3	0	0	0	0
Voluntary Surrender	8	3	2	11	3
Reprimands	0	0	1	2	0
ISO/TRO/ASO Ordered	3	4	1	4	1
Statement of Issues-License Denied***	1	1	0	1	0
Statement of Issues-License Granted***	4	5	3	3	1
Petitions for Penalty Relief Denied***	1	0	0	0	0
Petitions for Penalty Relief Granted***	3	1	1	1	0
Petition for Reinstatement Granted***	1	0	0	0	1
Petition for Reinstatement Denied***	0	0	1	1	0
Reconsiderations Denied***	0	0	0	0	0
Reconsiderations Granted***	0	1	0	0	1
Orders Compelling Psych. Exam***	0	0	0	1	0
Other	2	0	2	0	0
<b>Total Decisions</b>	<b>24</b>	<b>21</b>	<b>20</b>	<b>32</b>	<b>7</b>
<b>Decisions (Violation Type)</b>					
Gross Negligence/Incompetence	5	4	4	3	0
Improper Supervision	0	0	1	0	0
Repeat Negligent Acts	0	0	0	1	0
Self Abuse of Drugs or Alcohol	2	3	3	12	2
Dishonesty/Fraud	0	3	0	2	0
Mental Illness	1	0	0	0	0
Aiding Unlicensed Practice	0	0	0	0	0
General Unprofessional Conduct	1	1	1	0	0
Probation Violation	1	0	0	2	1
Sexual Misconduct	6	1	2	6	3
Conviction of a Crime	7	9	8	5	1
Discipline by Another State Board	1	0	1	1	0
Other	0	0	0	0	0

\*Doesn't include cancelled, revoked, or surrendered license/registration

\*\* Numbers from 7/1/12 thru 9/25/12

\*\*\* Not included in Total Decisions or Violation Type

## EXPLANATION OF LANGUAGE

Below are broad, brief descriptions of statistical categories contained in the Board of Psychology's Overview of Enforcement Activity

**Cases Opened:** This category includes 1) all **complaints** that were received in the fiscal year indicated, regardless of source; 2) all **investigations** that were opened during that fiscal year as a result of a complaint filed with the board, regardless of when the complaint was received; and 3) all cases that were referred, during that fiscal year, to the **Office of the Attorney General or the District Attorney's Office**, regardless of when the complaint was originally received.

**Investigation** – After "informal" staff review, the complaint is "formally" investigated by in-house staff or by investigators (peace officers) of the Medical Board of California.

### **Filings:**

**Accusation** – Formal statement of charges against licensee.

**Statement of Issues** – Formal statement of reasons why an application for license/registration should be denied.

**Petition to Compel Psychological** - Request to compel licensee to submit a psychological examination.

**Petition for Penalty Relief** – A process whereby one can petition for reinstatement of their revoked or surrender license or request early termination of probation or modification of a condition of probation.

**Petition for Reconsideration** – A process whereby one can petition the Board to reconsider a final decision of the Board.

**Accusation/Statement of Issues Withdrawn** – The formal statement of charges/reasons is withdrawn by the board.

**Accusation Dismissed** – The case is dismissed after a hearing has been held and the dismissal decision is adopted by the Board.

**Statement of Issues – License Granted** – After a hearing, or as a result of a settlement, an applicant is granted a license or registration with or without terms and conditions (i.e. probation, coursework).

**Petitions for Penalty Relief Granted** – A Petition for Reinstatement of a license or registration is granted by the Board, or a Petition for Termination or Modification of Probation is granted by the Board.

**Reconsiderations Granted** – A Petition for Reconsideration is granted by the Board.

**Citations Ordered:** This tool is used for various minor violations such as false advertising or misrepresentation. Citations and fines are public information but are not considered to be disciplinary actions.

**Decision (Penalty):** - This category indicated the actual disciplinary action (penalty) rendered against the licensee or registrant that was ordered by the board in the fiscal year indicated.

**Revoked** - The license is canceled, voided, rescinded. The right to practice is ended.

**Revoked, Stayed, Probation** - "Stayed" means the revocation is postponed. Professional practice may continue so long as the licensee complies with specific probationary terms and conditions. Violation of probation may result in the revocation that was postponed.

**Suspension** - The licensee is prohibited from practicing for a specific period of time.

**License Surrender** - While charges are still pending, the licensee turns in the license - subject to acceptance by the board. The right to practice is ended.

**Reprimands/Reprovals** - An option that is most commonly negotiated between the Board, the licensee, and his/her counsel. Such a letter is an option in settlement of an Accusation. Typically, the letter of reprimand or reproof is a viable option if the violations alleged are relatively minor and no patient harm occurred. It includes a summary of the allegations, acknowledges the impropriety of the acts summarized and can include mandated coursework that the licensee must take, cost recovery to the Board for investigation and essentially may include any other term or condition listed in the Board's Disciplinary Guidelines.

**ISO – Interim Suspension Order** – When a licensee or registrant is required to immediately suspend the practice of psychology. This occurs through the hearing process in cases where the evidence indicates that the licensee is likely to engage in behaviors that present an immediate threat to the public health, safety and welfare.

**Other** - Includes atypical decisions that do not fall into the above categories.

**Decisions (Violation Type):** This category indicates each violation that a licensee or registrant committed that resulted in the disciplinary action that was rendered during the fiscal year indicated. These violations are grounds for disciplinary action as found in the *Laws and Regulations Relating to the Practice of Psychology*.



## Monthly Enforcement Report to DCA

## Board of Psychology 2011-2012

## Complaint Intake

### Complaints Received by the Program.

Measured from date received to assignment for investigation or closure without action.

Complaints	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Received	24	70	53	62	52	43	63	42	76	72	42	61
Closed	5	15	8	19	7	8	10	9	20	18	6	9
Referred to Investigation	15	59	34	55	48	36	53	36	61	52	43	47
Average Days to Close	4	6	6	5	9	5	10	5	4	3	3	3
Pending	7	3	14	2	3	2	6	10	6	8	1	6

Convictions/Arrest Reports	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Received	12	8	4	6	7	2	8	5	2	2	6	2
Closed	11	10	2	8	9	2	8	5	2	2	5	1
Average Days to Close	3	12	6	6	7	2	7	3	4	4	6	12
Pending	2	0	2	0	0	0	1	1	0	0	1	2

## Investigation

Complaints investigated by the program whether by desk investigation or by field investigation.

Measured by date the complaint is received to the date the complaint is closed or referred for enforcement action.

If a complaint is investigated by more than one approach (desk, field non-sworn, etc.) then,

categorize it by the last investigator category.

Desk Investigation	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Opened	18	69	36	63	54	38	57	41	54	54	48	48
Closed	44	47	31	60	44	28	64	38	52	52	49	38
Average Days to Complete	32	32	34	38	23	40	37	38	37	37	39	27
Pending	50	64	63	61	59	60	48	49	52	52	41	47

[illegible]

Field Investigation (Sworn)	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Opened	5	9	8	5	8	9	9	17	14	6	11	4
Closed	8	8	8	4	7	5	14	11	10	11	11	7
Average Days to Complete	258	402	380	282	475	374	366	374	312	260	442	468
Pending	75	77	78	79	80	84	79	86	89	84	84	81

All Investigations	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Closed	52	55	39	64	51	33	78	49	68	63	60	45
Average Days to Complete	67	86	105	54	85	90	96	114	72	76	113	95
Pending	125	141	141	140	139	144	127	86	145	136	125	128

### Enforcement Actions

	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Cases Referred to AG	4	2	3	1	2	3	4	2	2	5	2	0
Cases Pending at AG	46	48	46	44	44	46	49	48	46	50	48	40
SOIs Filed	0	1	0	0	0	0	0	0	1	0	1	1
SOI Withdrawn	0	0	0	0	0	0	0	0	0	0	1	0
SOI Dismissed	0	0	0	0	0	0	0	0	0	0	0	0
SOI Declined	0	0	0	0	0	0	0	0	0	0	0	0
Average Days to Complete SOIs	0	0	0	0	0	0	0	0	0	0	619	0
Accusations Filed	3	4	1	5	1	0	6	1	0	0	2	1
Accusation Withdrawn	0	0	0	0	0	0	0	0	0	0	0	0
Accusation Dismissed	0	0	0	0	0	0	1	0	0	0	0	0
Accusation Declined	1	0	0	0	0	0	0	1	0	0	0	1
Average Days to Complete Accusations	1352	0	0	0	0	0	1062	574	0	0	0	633
Proposed/Default Decisions	0	0	1	1	0	0	0	1	0	0	0	1
Stipulations Adopted	1	0	4	2	2	1	0	2	4	1	1	6

Disciplinary Orders	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Final Orders (Proposed Decisions Adopted, Board Decisions, Stipulations)	1	0	5	3	2	1	0	3	4	1	1	7
Average Days to Complete*	806	0	1087	715	1382	507	0	820	1007	1615	119	775
Interim Suspension Orders	0	0	1	1	0	1	0	0	0	0	0	0

Citations	Jul-11	Aug-11	Sep-11	Oct-11	Nov-11	Dec-11	Jan-12	Feb-12	Mar-12	Apr-12	May-12	Jun-12
Final Citations	1	0	3	3	0	2	3	2	2	0	0	2
Average Days to Complete*	124	0	368	175	0	107	291	380	366	0	0	319

\* - The number of days from receipt of complaint to the effective date of the citation or the effective date of the disciplinary order.



## Performance Measures

### Annual Report (2011 – 2012 Fiscal Year)

To ensure stakeholders can review the Board's progress in meeting its enforcement goals and targets, we have developed a transparent system of performance measurement. These measures are posted publicly on a quarterly basis.

This annual report represents the culmination of the four quarters worth of data.

#### Volume

Number of complaints and convictions received.

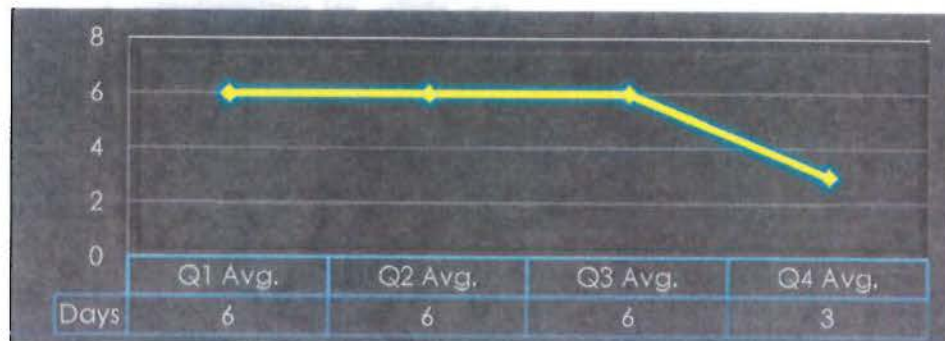
The Board had an annual total of 748 this fiscal year.



#### Intake

Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.

The Board has set a target of 9 days for this measure.



## Intake & Investigation

Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.

The Board has set a target of 80 days for this measure.



## Formal Discipline

Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board, and prosecution by the AG)

The Board has set a target of 540 days for this measure.



## Probation Intake

Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.

The Board has set a target of 7 days for this measure.

