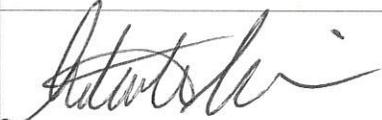




MEMORANDUM

DATE	July 29, 2015
TO	Board of Psychology Members
FROM	 Antonette Sorrick Executive Officer
SUBJECT	CPS Program Analysis Update: Agenda Item 10(b)

Background:

Attached is the CPS Report.

Action Requested:

No action required.

July 30, 2015



California Board of Psychology
Program Analysis
Final Report

SUBMITTED BY:

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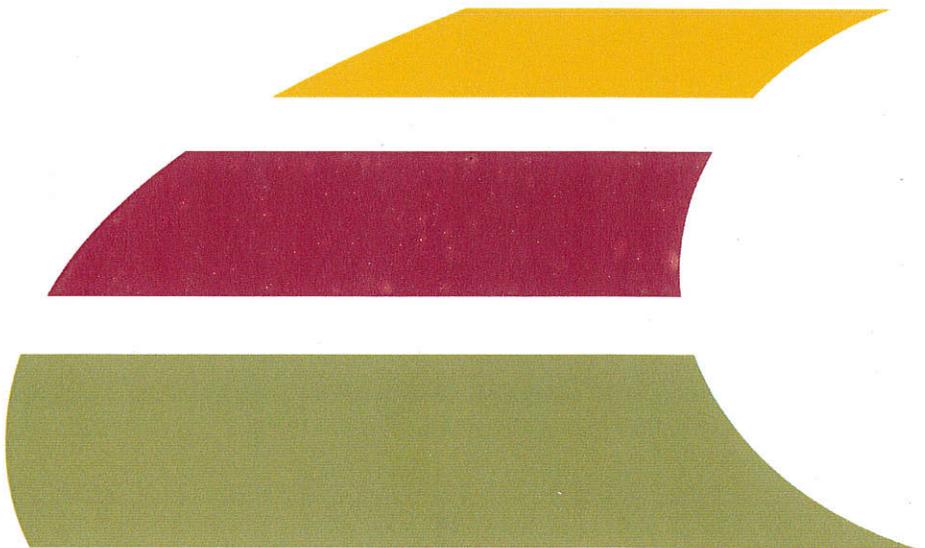


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Attachment 1: Board of Psychology Strategic Plan Update as of June 201596

Executive Summary

The California Board of Psychology (Board) is a regulatory body under the organizational structure of the California Department of Consumer Affairs. The Board's mission is to advance quality psychological services for Californians by ensuring ethical and legal practice, and supporting the evolution of the profession. The Board licenses and regulates psychologists, psychological assistants, and registered psychologists.

In October 2014, the Board engaged CPS HR Consulting (CPS) to conduct a classification review and analysis of staffing workload, policies and procedures to improve the performance of the following functional operations units/programs:

- Licensing & Examinations Unit
- Enforcement & Probation Unit
- Administration Unit

The study scope included:

- A review of pertinent legislation, regulations, policies and procedures, organizational structure, operating statistics and past performance;
- A review of staff classifications, responsibilities, tasks, methods and workload for each functional operations program; and
- Document and review through staff collaboration, key "as-is" business processes used within each functional program to identify opportunities to optimize operational effectiveness and efficiency.

The study scope did not include evaluating DCA functions such as Accounting, Purchasing/ Contracting, Human Resources, and Information Technology, etc. that effect Board operations.

The classification review methodology, results and recommendations are presented under a separate cover. However, the results and recommendation are incorporated into the body of this report.

The following summarizes the study recommendations:

Executive Unit Program

1. Make the changes recommended in the CPS HR classification review to upgrade the Assistant Executive Officer to a SSM II.

Administration Unit Program

2. Make the changes recommended in the CPS HR classification review to upgrade the AGPA to a SSM I.
3. Make the changes recommended in the CPS HR classification review to strengthen the Program Technician's duty statement to emphasize the technical aspects of the duties.

Licensing & Examinations Unit Program

4. Make the changes recommended in the CPS HR classification review to upgrade the AGPA to a SSM I.
5. Make the changes recommended in the CPS HR classification review to strengthen the Program Technician's duty statement to emphasize the technical aspects of the duties.
6. To ensure the assigned Licensing work gets completed, request approval through a budget change proposal (BCP) to establish a half-time AGPA position to cover the workload that is not currently being performed.
7. Keep the Board website updated and explore the use of webinars and an email outreach program to current and prospective licensees.
8. Assign the PT II to assist the OT with eliminating the NLI form backlogs. It may be beneficial to submit a budget change proposal to expand the availability of the PT from a part-time to a full-time position

Enforcement & Probation Unit Program

9. Conduct an in-depth workload assessment of the AGPA and SI positions to determine if more administrative support are warranted for all of the unit's business processes.
10. Identify opportunities for the EM to delegate certain high volume, low-risk authorizations to EAs to reduce backlogs due to document waiting and processing time for all of the unit's business processes.

Strategic Plan and Organizational Effectiveness

11. Implement the proposed organization chart to include the proposed upgraded positions.

Introduction

Background

The Certification Act of 1958 started the regulation of the psychology profession in California. The Board was initially an examining committee under the California Medical Board. In 1990, the Board became official and is now one of more than 40 regulatory entities that fall under the organizational structure of the California Department of Consumer Affairs (DCA).

The Board licenses and regulates psychologists, psychological assistants, and registered psychologists. Licensed psychologists may practice in any private or public setting. Psychological assistants may provide limited psychological services to the public under the direct supervision of a psychologist or board-certified psychiatrist to whom they are registered. Registered psychologists are allowed to engage in psychological activities only at an approved nonprofit community agency that receives at least 25% of its funding from a governmental source. The Board is funded entirely through license, application and examination fees and receives no revenue from the State's General Fund. The following describes the Board governance structure and functional operations programs/units.

Board Governance Structure

The Board consists of nine members who are appointed for four-year terms. The Governor appoints five licensed members and two public members. The Senate Rules Committee appoints one public member and the Speaker of the Assembly appoints one public member. Public members cannot be licensed by the Board or by any other DCA healing arts Board. Each member may serve a maximum of two terms. The Board meets quarterly in locations across the state. The Board is a member of the Association of State and Provincial Psychology Boards (ASPPB) responsible for the licensure and certification of psychologists throughout the United States and Canada.

The three standing Board committees are:

- **Licensing Committee:** the goal is to ensure valid licensing policies and procedures and a valid and reliable examination process, and to make recommendations on changes as appropriate. Works with the ASPPB and the DCA's Office of Professional Examination Services.
- **Policy and Advocacy Committee:** the goal is to advocate and promote legislation that advances the ethical and competent practice of psychology to protect consumers of psychological services. This committee reviews and tracks legislation and recommends positions on legislation.
- **Outreach and Consumer Education Committee:** the goal is to provide critical information to all Californians regarding the evolving practice of psychology, relevant and emerging issues in the field of psychology, and the work of the Board.

These committees meet only at publicly scheduled and noticed meetings and are subject to the Bagley-Keene Open Meetings Act.

There are also three additional ad hoc committees which address specific matters that are not required to hold public meetings and they include the:

- **Telepsychology Committee,**
- **Sunset Review Committee,** and
- **Enforcement Committee.**

The Board appoints the Executive Officer to manage the organization efficacy to best serve the interests of consumers of psychological services in California. The Board and its staff protect and advocate for Californians through licensing, continuing education, enforcement, legislation & regulation, and outreach programs.

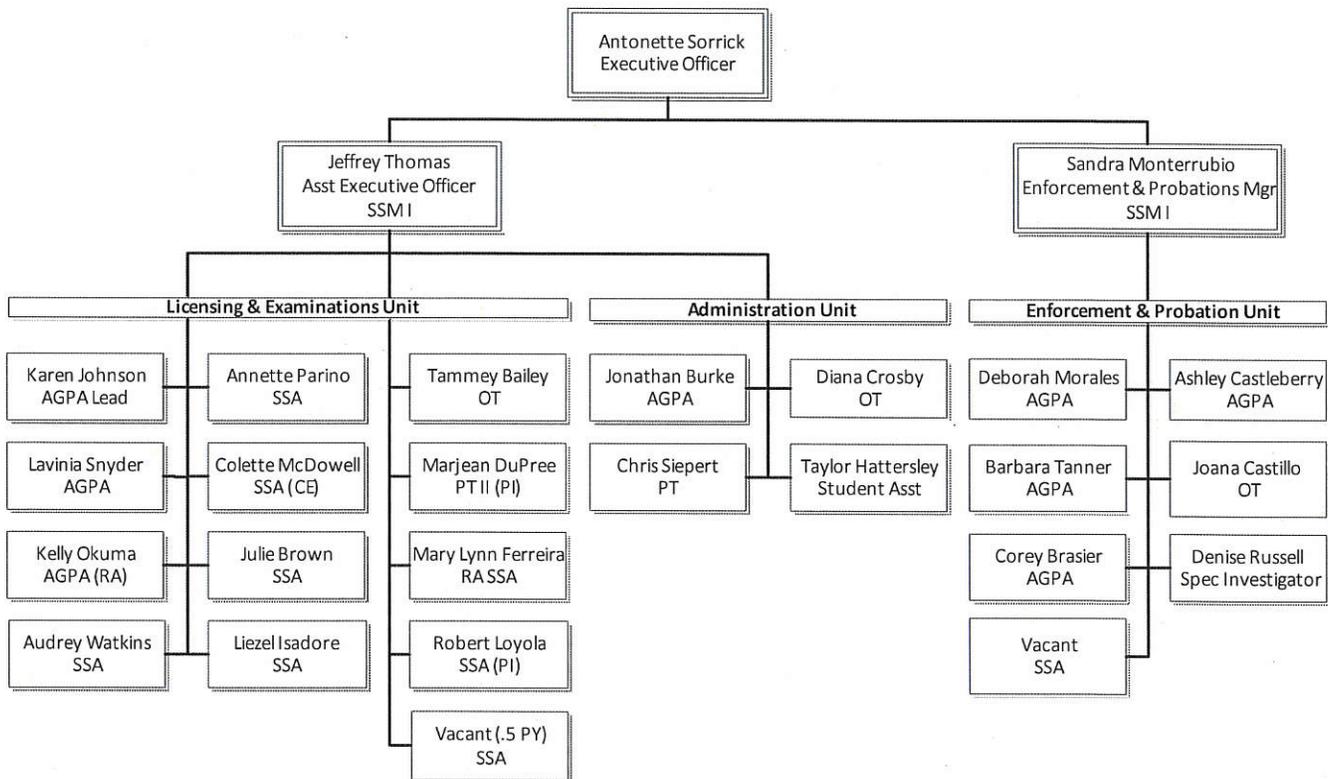
Functional Operations Units/Programs

The Board operates the following three functional operations units/programs:

- **Administration Unit** is responsible for providing administrative, program and clerical support for the Board. Functions include legislative bill creation and analysis, regulation preparation, budget oversight, information technology, and administrative management of the Board including staffing levels, fiscal resources, organizational structure, policies and procedures, and customer service.
- **Licensing & Examinations Unit** is responsible for receiving and reviewing initial applications for obtaining a license from candidates or applicants, and overseeing examinations, continuing education and license renewal, license reactivation, and outreach processes.
- **Enforcement & Probation Unit** is responsible for investigating complaints filed against licensed psychologists and psychological assistants, as well as those who conduct unlicensed practice of psychology. The Unit manages the administrative citation and fine process, maintains the Expert Reviewer Program, coordinates the formal discipline process with the Office of the Attorney General and Office of Administrative Hearings, negotiates settlements and monitors probationer compliance to disciplinary orders.

Over the last three-year period, Board authorized staffing levels at the beginning of each fiscal year varied from 19 in FY 12-13, 17 in FY 13-14, and 20 in FY 14-15 with a substantial vacancy factor over the years ranging from 12% to 26%. Figure 1 shows the Board organization structure in October 2014 when the engagement started. At that time, there were 20 authorized positions, 1 blanket position, 5 temporary help positions and 2.5 vacancies. During the course of this review, the vacant positions were filled. The Student Assistant, who filled a non-funded position, departed in May 2015. This position is not considered a true vacancy and will not be refilled.

Figure 1
Board Organization Chart as of October 2014



Study Approach

Study Purpose

- Document the duties and workload for existing and temporary staff, identify other duties that could be performed, and ensure staff are classified appropriately.
- Document and evaluate business processes to identify opportunities to improve program and process effectiveness, efficiency and economy.
- Evaluate program compliance and performance against pertinent legislation, regulations, policies and established performance metrics.
- Prepare incremental deliverables, monthly status reports, draft and final reports with recommendations for improvement.

Scope and Methodology

- Review pertinent legislation, regulations, policies and procedures, organizational structure, operating statistics and past performance;

- Review staff classifications, responsibilities, tasks, methods and workload for each functional operations program; and
- Document and review through staff collaboration, key “as-is” business processes used within each functional program to identify opportunities to optimize operational effectiveness and efficiency.

The results of the classification/position allocation review are incorporated into this study but the formal presentation of the analysis and recommendations are presented under a separate cover.

The study scope did not include evaluating DCA functions that effect Board operations such as Accounting, Purchasing/Contracting, Human Resources, and Information Technology, etc. or preparing proposed “to-be” business process flowcharts.

Constraints and Data Qualifications

CPS relied on information received from internal Board management and staff interviews, detailed Position Description Questionnaires (PDQs), and reviews of unaudited information.

Acknowledgment

CPS wishes to thank everyone at the Board for their invaluable and timely contributions.

Study Results

Program Analysis Findings and Recommendations

In Fiscal Year 2014-15, the Board experienced significant staff hiring (25% job fills) that resulted in increased productivity, elimination of processing backlogs in licensing, stabilization in enforcement activities, increased staff training and development, and advancement of proposed regulatory changes.

The following analysis presents for each Board unit/program the workload and classification review results followed by a summary of performance against established metrics (if available), a description of major business “as is” processes, and high level recommendations to improve or enhance compliance with State requirements/regulations, and/or gain efficiencies.

Also included is an analysis of Organizational Effectiveness and a proposed organization chart resulting from the Board classification review and this program analysis.

The Executive Unit

Unit/Program Description

The two authorized positions in the Executive Unit include the Executive Officer (EO) and the Assistant Executive Officer (AEO). This unit is responsible for overall Board management.

Staffing and Workload Analysis

During this study, this unit was staffed with 1 EO and 1 AEO. Overall, the workloads look reasonably balanced with the EO focusing most time on policy level matters while the AEO spends most time on management and administrative matters. There is adequate backup and limited duplication of effort. Furthermore, it appears all assigned work is getting completed.

Executive Officer

The EO is responsible for providing leading the organization, including interpreting and executing the intent of Board policies to the public and other governmental agencies, chief media contact, planning and implementing the Board’s strategic goals and outcomes, and initiating legislative and regulatory changes.

Work distribution chart 1A below shows how the EO spends most of her time overseeing the use of resources in the three units/programs, serving as primary legislative contact and lobbyist, and developing and implementing regulations through the Administration Unit. The EO reports that all assigned work is being completed.

Chart 1A
Executive Officer Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Antonette Sorrick-Executive Officer		
Reports to: Michael Erickson, Ph.D.	#Auth Suprv	27
Duties	Freq	% Time
Maintain an effective and efficient Licensing and Administrative Program which ensures competent, qualified individuals are licensed and that their licenses are renewed. Oversee staffing, training and budgeting for both programs.	D	20%
Maintain an effective and efficient Enforcement Program which protects consumers of psychological services from unlicensed, incompetent, grossly negligent, or otherwise dangerous practitioners. Manage the annual enforcement budget, approve and sign each accusation filed against licensees, and work with the Deputy Attorney General (DAG) assigned to the case through hearing or in negotiating settlements pursuant to the Board's Disciplinary Guidelines.	D	20%
Direct and coordinate the implementation of the Board's Licensing, Policy and Advocacy, and Outreach and Education committee work.	W	10%
Serve as the Board primary legislative contact and lobbyist.	W	10%
Identify contemporary issues that warrant attention and involvement of the Board. Recommend regulations or legislative proposals or amendments to address issues affecting consumers of psychological services, the Board, or psychology licensees and applicants.	W	10%
Develop and implement regulations adopted by the Board in compliance with the Administrative Procedures Act and legislatively mandated standards.	W	10%
Analyze the resource needs of the Board's Programs. Develop the Board's annual budget. Represent the Board before the Department of Finance and the Legislature. Approve major monetary expenditures and the redirection of funds.	AS	5%
Oversee training and utilization of enforcement Expert Reviewers, examination Experts, investigators, Deputy Attorneys General, Consumer Services Representatives, and DCA legal staff.	W	5%
Chief media contact representing the Board's actions and activities, present a professional and proactive image for the Board.	AS	5%
Represent the Board before such bodies as the Medical Board, professional health organizations, public interest groups, consumer and victims groups, schools and other stakeholder entities.	AS	5%
Total Time %		100%
Work Not Getting Done		
None		

Assistant Executive Officer

The AEO is responsible for providing direct supervision over 17 employees and program oversight in the Licensing & Examinations and Administration units. The AEO works closely with the EO in strategic and tactical planning, developing and monitoring the Board's budget, personnel matters, and operating procedures for all units/programs. In addition, the AEO also acts as a consultant and high-level expert to the EO and Board on complex policy and program issues.

Work distribution chart 1B below shows the AEO spends most of his time providing oversight in all operational areas; directing the development and implementation of plans, policies and procedures;

acting as a consultant to the EO and Board; managing sensitive Board communications; and working closely with the EO and Administration Unit to develop legislation and regulations. The AEO also reports attending outreach activities, and various professional association conventions, and that all assigned work is being completed.

Chart 1B
Assistant Executive Officer Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Jeffrey Thomas - Assistant Executive Officer		
Reports to: Antonette Sorrick, Executive Officer	# Auth Suprv	17
Duties	Freq	% Time
Provide oversight for the planning and coordination of regulatory activities in all areas of operations including: licensure by examination, renewals, continuing education, public services and information, cashiering, and administrative services such as budgeting, personnel, information technology, and other staff services functions.	D	20.0%
Direct the development and implementation of policies, strategic plans, and operating procedures for all programs, taking into consideration emerging issues, current statutes, fiscal constraints, and multiple board priorities for the three distinct professions regulated by	D	10.0%
Provide guidance, expertise, and supervision to program coordinators and staff.	AS	5.0%
Assess and identify training needs and implement appropriate training.	AS	2.5%
Approve/deny staff leave requests as appropriate and ensure adequate workload coverage.	AS	2.5%
Track staff absences, review and signoff attendance forms.	M	5.0%
Review and approve staff travel claim forms.	AS	2.5%
Provide staff with annual performance appraisals.	A	2.5%
Counsel staff on performance/behavior issues and work with the Executive Officer and Office of Human Resources on all progressive disciplinary actions.	AS	5.0%
Act as consultant and high-level expert to the EO and nine-member board on complex policy and program issues. Attend Board and Committee meetings. In absence of Executive Officer, function as chief executive with authority over executive administrative matters.	AS	15.0%
Manage sensitive Board communications, including contacts with media, Governor's Office and Legislative inquiries, inquiries from control agencies, complex public records act requests, and difficult or controversial complaints and inquiries requiring executive oversight. Participate in complex meetings with high-level State officials, appear at Legislative hearings, make presentations to stakeholder groups and represent Board on policy issues.	AS	10.0%
Continuously evaluate Board statutes, regulations, and policies to identify needed modifications or additions in light of current regulatory environment. Develop recommended changes for Board consideration.	D	10.0%
Direct the planning, development and monitoring of the Board's budget to ensure appropriate allocation of resources and solvency of fund condition. Approve major fiscal expenditures and redirection of funds.	M	5.0%
Complete special projects for Executive Officer and Board Members such as assisting with preparation of complex reports to the Legislature, such as the Sunset Review Report.	AS	5.0%
Total Time %		100.0%
Work Not Getting Done		
None		

Classification Review Results

The CPS HR classification review reveals the EO and AEO are: a) classified appropriately, and b) there are options that could support an upgrade to a Staff Services Manager (SSM) II if organizational changes were made to justify support to a higher level.

Recommendations

1. Make the changes recommended in the CPS HR classification review to upgrade the Assistant Executive Officer to a SSM II.

The Administration Unit

Unit/Program Description

The four authorized positions in the Administration Unit are responsible for providing administrative, program and clerical support for the Board. Functions include legislative bill creation and analysis, regulation preparation, budget oversight, information technology, and administrative management of the Board including staffing levels, fiscal resources, organizational structure, policies and procedures, and customer service.

Staffing and Workload Analysis

During this study, this unit was staffed with one Associate Governmental Program Analyst (AGPA) that serves as the Administrative Coordinator (AC) and reports to the AEO. One Office Technician (OT), one Program Technician (PT) and one Student Assistant (SA) report to the AC. (In, May the Student Assistant departed and the position will not be refilled.) Overall, the workloads look balanced with adequate backup and limited duplication of effort. Furthermore, it appears most assigned work is getting completed.

AGPA Workload

Work distribution chart 2A below shows the AGPA spends half his time on critically important work such as drafting, submitting and tracking various regulatory and legislative proposals, and legislative analyses that will impact the Board. In addition, this position also organizes information for quarterly Board meetings, prepares special reports; provides administrative support by tracking the Board's budget, prepares equipment purchase and service contracts, coordinates document posting to the Board's website and social media platforms; and holds weekly staff meeting and directs unit workload. The AGPA reports that all assigned work is being completed.

OT Workload

Work distribution chart 2A also reveals the OT workload which indicates all duties performed are of critical importance. These include answering the main telephone line and responding to various issues from the public; processing licensee requests, preparing purchase and/or service contracts; performing personnel tasks related to payroll, hiring, separation and tracking training; maintaining Board meeting agenda and minutes binders; coordinates service calls for equipment; and serves as back-up for purchase orders and vendor contact, and researching travel for Board members. The OT reports needing one to two hours per week to update 2015 laws and regulations, and to purchase and PDF books.

Chart 2A

Associate Governmental Program Analyst and Office Technician Work Distribution Charts

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Jonathan Burke - AGPA			Diana Jo Crosby - OT		
Reports to: J. Thomas	# Auth Suprv	0	Reports to: J. Thomas	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Drafts regulatory and legislative language and the necessary proposals required for them to become effective.	W	20%	Answer the main telephone line and my own, return and make calls to the consumer, have contact with the public on various issues, (this includes but is not limited to: DCA staff, Board members, office staff and licensees).	D	50%
Writes, submits and tracks legislative proposals and regulatory proposals including ISOP, STD 333, Notice, STD 400, etc.	W	15%	Process the following requests from our licensees: address change, name change, duplicate wall certificate and duplicate pocket certificate.	D	15%
Tracks and prepares analyses of all legislation that will impact the Board of Psychology. Writes position letters to legislators, committees and the Governor's Office communicating the Board's position.	W	15%	Prepare various contracts for purchases and/or services, research vendors by checking SB/DVBE status and any contracts with the state, research type of contract (CMAS, LP, etc.), prepare and complete paperwork for the contract, follow-up on status of process.	W	12%
Writes, prepares and tracks special reports like the Business Continuity Plan, Records Retention Schedule, Special Board Committees, and Public Record Act Requests.	W	10%	Prepare and email Std. 634s to staff, proof 634s for errors and submit to staff for corrections, pick-up and distribute pay to staff, prepare and process hire packets and separation paperwork, forward Personnel paperwork to the pertinent Personnel Specialist, update Board and staff roster, track training paperwork.	W	6%
Tracks the Board's budget throughout the fiscal year and produces reports for the Budget Office and Board.	M	10%	Maintain meeting minutes and agenda binders, secure hotel and/or meeting room by contracting with the vendor, arrange A/V needs for each meeting are met, contract with the local CHP office to provide security at our Board meetings.	AS	5%
Coordinates, oversees and organizes the preparation of Board packets for quarterly meetings including preparing meeting minutes and complex list of action items following Board meetings.	Q	5%	Coordinate service calls for equipment, maintain equipment binders by filing meter readings, repair invoices and maintenance invoices, prepare survey request (find best method of disposal). Contact Donea if able to donate item.	W	5%
Writes justifications and scope of work portion of contracts for major purchases of equipment or service contracts.	AS	5%	Back-up for purchase orders, preparing reproduction requests (business cards, nameplates and documents), review and reconcile invoices, contact vendor if corrections need to be made.	W	4%
Coordinates posting of documents to the Board's website and social media platforms.	AS	5%	Back-up for researching flight schedules and scheduling flights for staff and Board members, contact hotel with payment information, reserve meeting rooms for staff for committee or task force meetings.	AS	3%
Act or lead for 3 Admin Unit support staff. Includes assigning and directing their work.	AS/W	10%			
Lead weekly admin meetings	AS/W	5%			
Total Time %		100%	Total Time %		100%
Work Not Getting Done			Work Not Getting Done		
None			2015 Laws and Regulations Update and Purchase of Books and PDF	1-2 hrs/wk	

PT Workload

Work distribution chart 2B displays the PT workload which indicates 45% of this position's time is processing license renewals and license verification requests. The balance of the time is spent on administrative tasks such as backing up the primary receptionist on the phone and with mail delivery, ordering and paying for equipment and supplies, and serving as the travel liaison for Board members which includes preparing their travel claims and per diem reports. This position also assists with the preparation and distribution of Board meeting materials and posting Board meeting agendas. The PT reports all assigned work is getting done.

SA Workload

Work distribution chart 2B also shows the SA workload. This workload consists largely of conducting internet research on behalf of the Board, compiling and analyzing statistics, assisting the AC with tracking legislation and bill analyses, and proofreading documents for submission to the Office of Administrative Law. This position also backs-up reception phone and mail duties, monitoring social media sites, and assisting with quarterly Board meeting related duties. The SA

also reports that all assigned work is getting completed. (In May, the Student Assistant departed. The position will not be refilled.)

Chart 2B

Program Technician and Student Assistant Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Chris Siepert - PT			Taylor Hattersly - Student Assistant		
Reports to: J. Thomas	# Auth Suprv	0	Reports to: J. Thomas	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Process license renewals. Send out letters to applicants to correct errors. Review batch and online renewals and cashiering reports to identify any issues or errors and take appropriate action. Process and monitor revenue refund and transfer requests and dishonored checks.	D	25%	Research for the Board using internet searches, legal library and other written reports and publications. Assist in compiling and analyzing statistics.	D	25%
Receive and process license verification requests. Search through BreEZe for verifying information and complete the forms and/or generate a letter of good standing.	W	20%	Assist Administrative Coordinator by tracking legislation, bill analyses, and updating staff regarding upcoming hearings and reporting deadlines.	W	25%
Back up primary receptionist. Answer phone calls and provide public with general information or direct them to the people that can help them.	D	20%	Compile, review, and proofread rulemaking documents for submission to the Office of Administrative Law.	W	25%
Order supplies and pay for office supplies and IT equipment and monitor supplies. Ensure equipment is operating properly, initiate service requests for repair. Review and reconcile repair bills.	W	15%	Back up for answering telephone line, opening/distributing mail, delivery of documents, receptionist, typing form letters, filing and monitoring social media sites.	D	15%
Travel Liaison for Board members and Board Meetings. Prepare and track travel claims and Per Diem Reports for Board Members. Reconcile differences with Accounting Office and maintain attendance records for Board Members.	W	10%	Assist with quarterly board packet materials production and assembly. Assist in Board meeting preparation, note taking and drafting Board meeting minutes.	Q	10%
Assist with preparation and posting of agenda items and assembly of Board Meeting materials. Prepare and distribute Board Meeting packets.	Q	5%			
Back up to open and distribute daily mail, complete daily cashiering logs. Back up to prepare a variety of contracts for goods and	W	5%			
Total Time %		100%	Total Time %		100%
Work Not Getting Done			Work Not Getting Done		
None					

Classification Review Results

The CPS HR classification review reveals: a) Administration unit staff are classified appropriately; b) there are options that could support an upgrade for the AGPA to a SSM I if organizational changes were made to justify support to a higher level; and c) the PT duty statement should be strengthened by emphasizing technical aspects of the duties.

Unit Statistics and Performance Measures

The Department of Consumer Affairs Annual Reports summarize licensing and enforcement activity performed by the Board but administrative activity is not tracked and reported. However, as a measure of Organizational Effectiveness, the unit tracks training for Board members and staff. This information is presented in the Organizational Effectiveness section of this report.

Major Business Process Review

The Administration unit maintains an extensive Administrative Procedure Manual and is the primary actor in the Board's Legislative and Regulatory Processes.

The Board's Administrative Procedure Manual covers a wide variety of topics including the Board mission and vision, Board Meeting Procedures, and Travel and Salary Policies & Procedures. In addition, the manual contains Other Policies & Procedures, such as, but not limited to, strategic planning, Board member conduct, Board member removal and resignation, election of officers, communications, statement of economic interests, ethics and sexual harassment training, conflict of interest, and Board member training. Other areas covered include duties of the Board President and Vice President; Executive Officer appointment, role, recruitment and selection; the various Board committees; and association membership.

The following describes the current "as is" processes and high level improvements, if any, for the proposed "to be" processes.

Board Legislative Process

The purpose of this 22-step process is to identify and communicate the need for Board-related legislation to a legislator and secure Governor approval of the legislation.

The participants in the process include the following: Board staff [Executive Officer (EO), Assistant Executive Officer (AEO), and Administrative Services Coordinator (ASC)], Board members, and a legislative member to carry the legislation, Governor's Office Legislative Unit, Assembly and Senate committees, and ultimately the Governor.

Flowchart Page 1

As the following flowchart displays, the process starts when the Board EO identifies a need for new legislation, or a change in existing legislation, and a legislative member to carry the legislation. After conferring with the AEO and ASC, the ASC takes over as the primary actor in the process. The ASC prepares a legislative proposal, which is reviewed by the EO and AEO, and prepared for Board review and approval.

After Board approval, the ASC submits the proposal to the Governor's Legislative Unit and the Senate Business, Professions and Economic Development (BPED) Committee or to a potential legislative member. Either the Committee or member agrees to take up the bill and advises the ASC or EO.

Flowchart Page 2

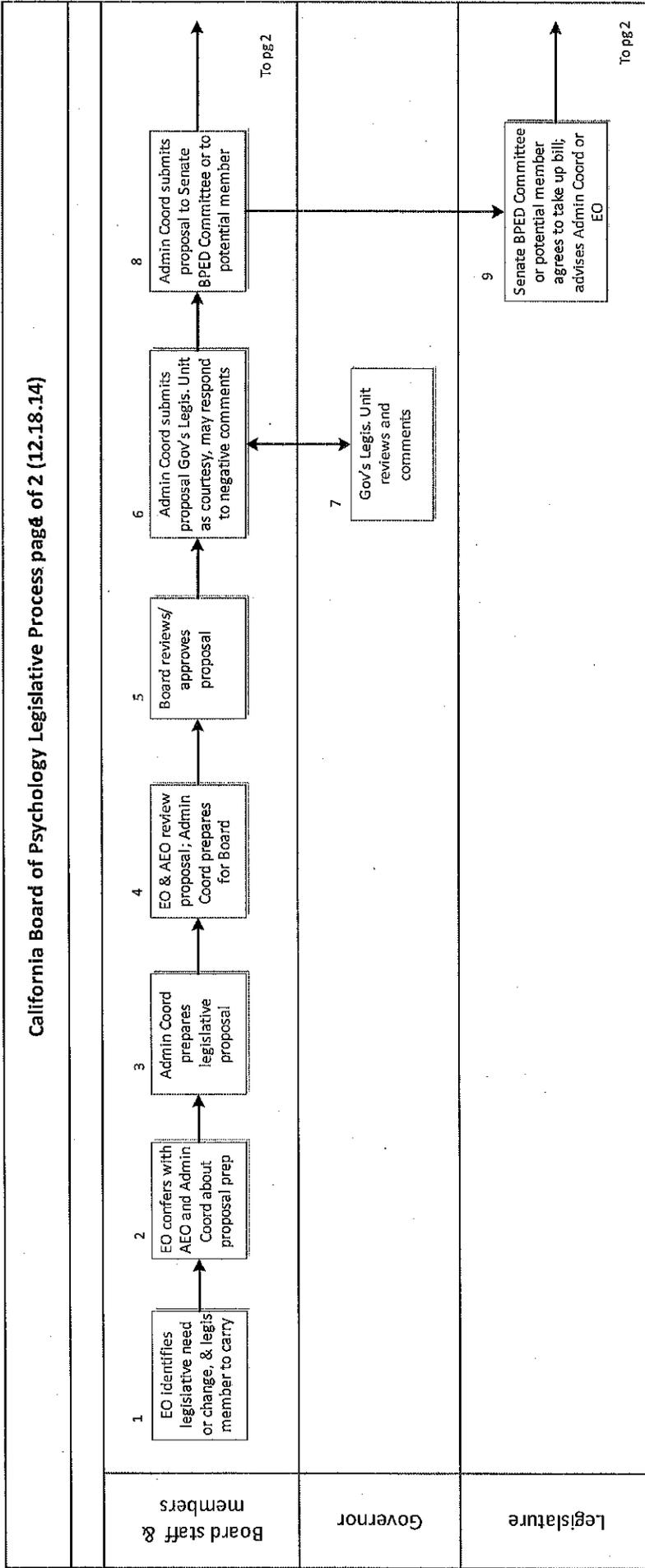
The legislative measure is numbered, titled, read in the house of origin and assigned to a policy committee. The first house Policy & Fiscal Committees hold public hearings and readings, passes the bill and forwards it to the second house where similar activities are performed. The second house returns the bill to the first house, who sends the bill to the Governor for approval (signature) or veto.

While the measure is moving through the legislature, the ASC tracks and analyzes the bill, works with the Board to prepare and approve support letters, and submits the support letters to the member author and all committees through which the bill passes. If required, the ASC testifies at all

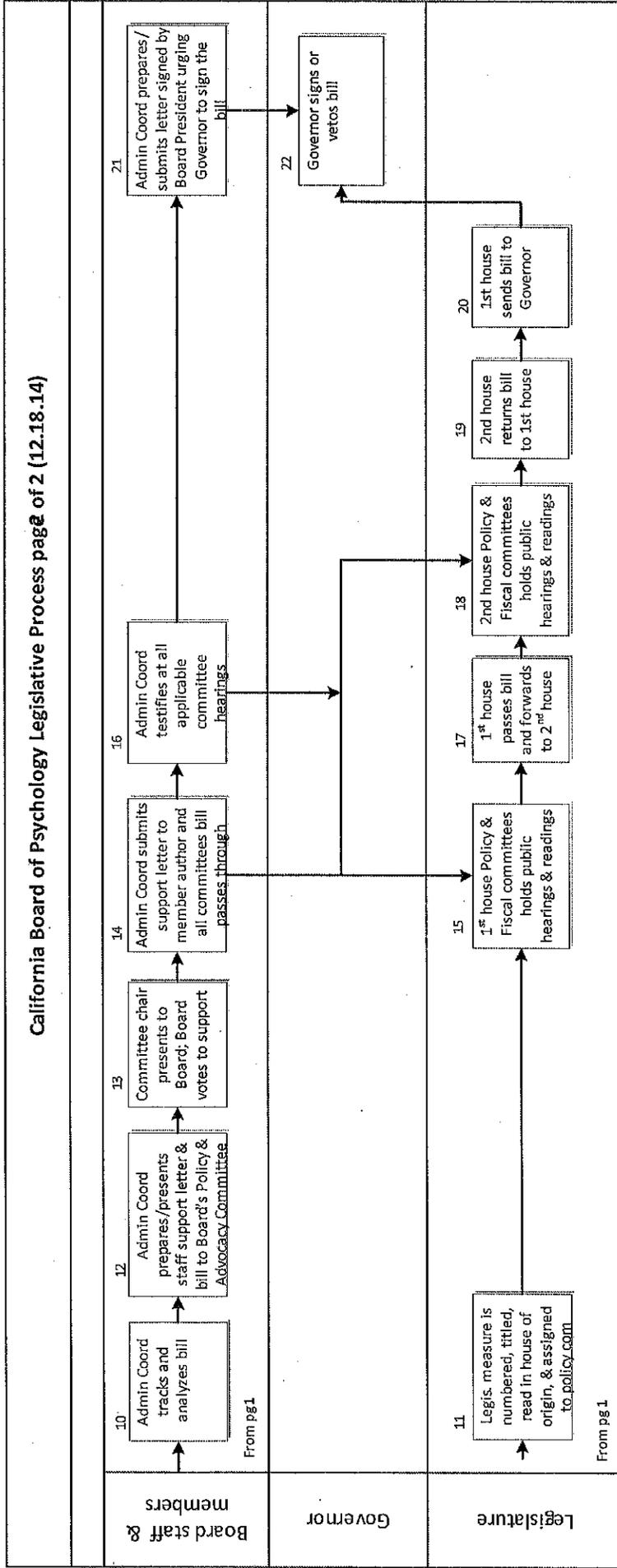
applicable committee hearings, and prepares and submits a letter signed by the Board President urging the Governor to sign the bill.

Proposed Process Improvements

According to the ASC, this process is very time consuming but the various steps are mandated by other entities or determined by the Board's meeting calendar. Consequently, CPS does not propose any improvements for this process.



California Board of Psychology Legislative Process page 2 of 2 (12.18.14)



Board Regulatory Process

The purpose of this 29-step process is to identify and create or change Board-related regulations.

The participants in the process include the following: Board staff [Executive Officer (EO), Assistant Executive Officer (AEO), and Administrative Services Coordinator (ASC)]; Board members; DCA Legal and Executive Offices, and Legislative and Regulatory Review Division; the Business, Consumer Services and Housing Agency (Agency); Department of Finance (DOF); Office of Administrative Law (OAL); and the Secretary of State (SOS).

Flowchart Page 1

As the following flowchart displays, the process starts when the Board EO identifies a need for a new regulation, or a change in an existing regulation. After conferring with the AEO and ASC, the ASC takes over as the primary actor in the process. The ASC prepares a regulation or change per the OAL Administrative Procedures Act (APA). The EO and AEO review and revise the regulation or change, the ASC prepares the document and a hearing notice, and sends the document and notice to stakeholders and the Board website. This starts a 45-day comment period. The comments are returned to and compiled by the ASC.

The Board holds a noticed hearing and allows for public comment and testimony. The Board addresses the comments and either accepts or rejects them.

Flowchart Page 2

The Board may or may not adopt a regulation or change, vote to proceed or not to proceed, or make and approve changes. If the Board adopts the regulation/change, the ASC prepares a Final Statement of Reasons and an Order of Adoption, and sends the documents to DCA Legal and various other DCA departments for review. DCA Legal, the Legislative and Regulatory Review Division and the Director review and approve the documents, then submit them to the Agency for approval. Agency-approved documents are sent to the DOF for review. Once approved, DCA receives the documents and forwards the original to the ASC who delivers the package to the OAL.

OAL has 30 working days to review the documents. Once approved, OAL submits the documents to the SOS for filing, and advises the Board and ASC of the filing. The SOS endorses and files the certified copy. Within 15 working days of the SOS filing, the ASC posts the regulation to the Board's website. Within five days of posting, the ASC sends the website link to the OAL.

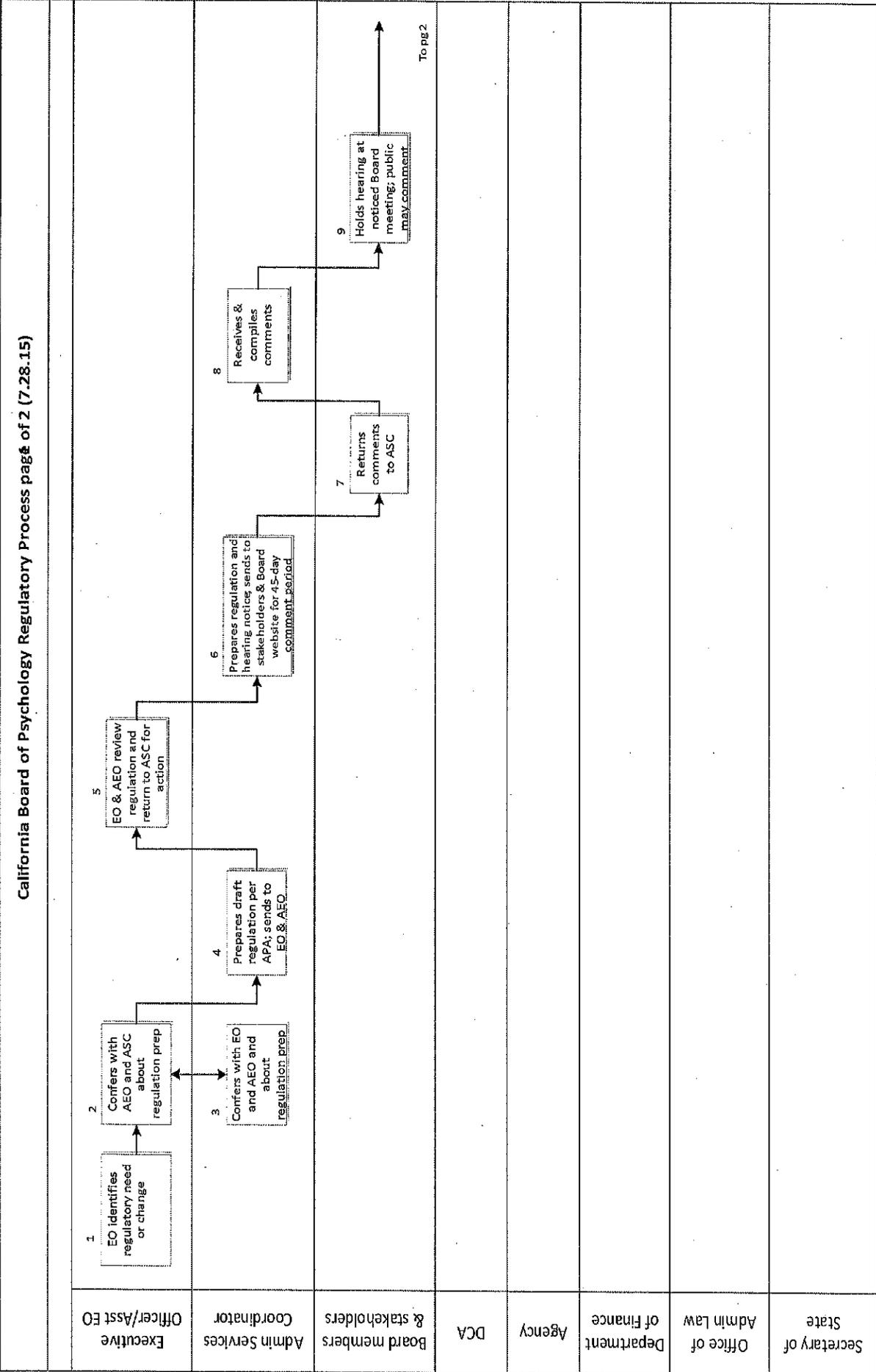
If the Board votes to not proceed with rulemaking, the ASC prepares a Notice of Decision not to Proceed with Rulemaking Action, and posts the notice on the Board's website. However, if the Board votes to proceed but with changes, it makes and approves the changes, and the ASC prepares a revised regulation and notice and sends the documents to pre-identified stakeholders and the Board website for a 15-day comment period. If no negative comments are received, the EO may adopt the package depending on the motion the Board passes. Any negative comments

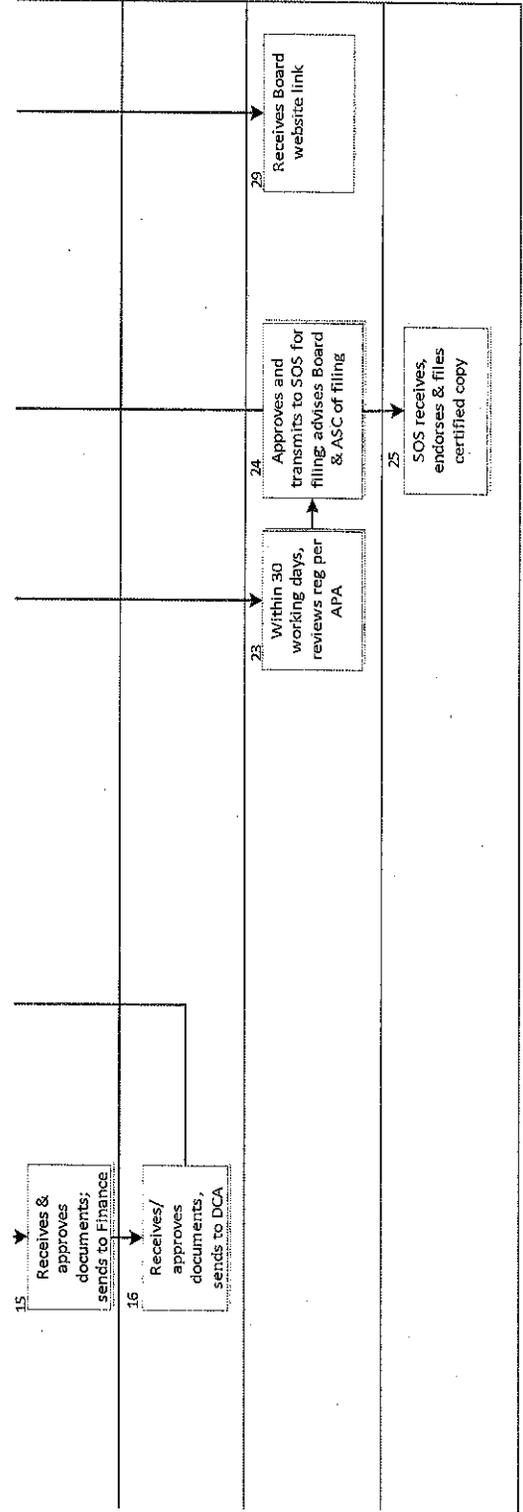
must be addressed by the entire Board and the ASC must summarize the arguments in the Final Statement of Reasons.

The ASC delivers the package to the OAL with similar processing as previously described until the ASC posts the regulation to the Board's website and sends the website link to the OAL.

Proposed Process Improvements

According to the ASC, this process is very time consuming due to the extra steps related to noticing and filing mandated by the APA (box 3), lengthy processing done by all the other participating entities that is out of the Board's control, and by the Board's meeting calendar. Consequently, CPS does not propose any improvements for this process.





Recommendations

2. Make the changes recommended in the CPS HR classification review to upgrade the AGPA to a SSM I.
3. Make the changes recommended in the CPS HR classification review to strengthen the Program Technician's duty statement to emphasize the technical aspects of the duties.

The Licensing & Examinations Unit

Licensing Requirements

To become a licensed psychologist in California, the Business & Professions (B&P) Code mandates individuals must meet educational and supervised professional experience requirements as well as pass two examinations, or qualify to have one of the examinations waived. Specifically, B&P codes section 2914 requires individuals to possess an earned doctorate degree in psychology, educational psychology, education with a specialization in counseling psychology or educational psychology from an approved or accredited educational institution. In addition, B&P section 2914 and the California Code of Regulations (CCR) section 1387 require 3,000 hours of supervised professional experience, at 1,500 hours of which must be completed post-doctorally.

The California Psychology licensing law requires all applicants to take and pass the national Examination for Professional Practice in Psychology (EPPP) and the California Psychology Supplemental Examination (CPSE). Both examinations are computer-administrated by various approved vendors. However, CCR section 1388.6 enables an applicant licensed in another state for five or more years and holding specific credentials to waive taking the EPPP and CPSE and instead take the California Psychology Law and Ethics Examination (CPLÉE).

CPS understands the Board has applied to the Office of Administrative Law to approve regulations to require only the CPLÉE for all applicants. This would eliminate the need to take the CPSE. However, the waiver would still apply to the EPPP. The change is anticipated for on or about July 1, 2015. The Board will offer the CPLÉE four times a year.

Unit/Program Description

The 11.5 authorized positions within the Licensing & Examinations Unit are responsible for receiving and reviewing initial applications for obtaining a license from candidates or applicants, and overseeing examinations, continuing education and license renewal, license reactivation, and outreach processes.

Staffing and Workload Analysis

During this study, this unit was staffed with one Associate Governmental Program Analyst (AGPA) that serves as the Licensing Coordinator (LC) and reports to the Assistant Executive Officer, one half-time AGPA, one AGPA retired annuitant, six Staff Services Analyst (SSA), and one SSA retired annuitant, one Office Technician, and one Program Technician II permanent intermittent. Overall, the workloads look balanced with adequate backup and limited duplication of effort. Furthermore, it appears most assigned work is getting completed.

AGPA Licensing Coordinator Workload

Work distribution chart 3A below shows the Licensing Coordinator spends 85% of her time on critically important work such as leading, directing, assigning work and training staff; attending essential meetings; preparing licensing-related legislative bill analysis; and monitoring and updating licensing applications, forms and publications. This position also transmits exam eligibility scores to examination vendors and attends quarterly board meetings. The AGPA reports more time is needed to provide quality control over applications (4 hours/week) and to conduct special projects on approved schools (8 hours).

Half-Time AGPA Workload

This is a fully funded, but half-time filled position. Work distribution chart 4A for this position reveals 60% of her spent is spent as the Exams Coordinator and BreEZe Coordinator. In the first role, she is responsible for the development of two key examinations. In the second role, she serves as the subject matter expert for the development of the BreEZe licensing system. This includes identifying appropriate business requirements and data conversions for the system. A review of 165 BreEZe helpdesk tickets from May 2013 through December 2014 reveals 69 of the tickets were for licensing fixes. Other fixes included tickets for, but not limited to, Enforcement, examinations, letters, reports, applications, and interfaces

This position also conducts research and prepares reports based on examination information, assists in legislative bill analysis related to licensing, develops regulatory amendments, and provides oversight for cashiering. This AGPA reports needing 20-25 hours per week to test BreEZe issues, develop and run reports. It is evident this position requires more than half-time to complete the assigned workload.

Chart 3A

AGPA Licensing Coordinator and half-time AGPA Work Distribution Charts

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded			K. Johnson - AGPA Licensing Coordinator			L. Snyder - AGPA (0.5 PY)		
Reports to: J. Thomas	# Auth	% Time	Reports to: K. Johnson	Suppr	% Time	Reports to: K. Johnson	Suppr	% Time
Duties	Freq	% Time	Duties	Freq	% Time	Duties	Freq	% Time
Leads, directs and provides guidance to Licensing Unit staff (SSAs); assigns and evaluates the work for all licensing staff; develops and implements performance measures; provides examples of staff performance to AED for potential counseling or corrective action or for inclusion in IDP, performance appraisals or probationary reports.	D	35.0%	Exams Coordinator: responsible for development of CA Psychology Supplemental Examination and CA Psychology Laws and Ethics Examination.	B	30.0%			
Attends Division and department meetings essential to licensing unit; facilitates weekly licensing staff meetings and provides minutes of meetings.	W/AS	20.0%	BreEze Coordinator: SME to DCA BreEze system for exam and licensing programs' needs; determine appropriate requirements and data conversions for BreEze system.	AS	30.0%			
Assists in preparing licensing related legislative bill analyses including recommendations on Board positions and impact on licensing program; assists in analysis and development of documents required for facilitating rulemaking process and analyzes new regulations.	AS	5.0%	Conducts research and prepares reports based on information and data gathered, compiled and interpreted related to examinations, Board policies and issues for EO and Board members.	AS	10.0%			
Responds to questions and complaints received from applicants, licensees and consumers; responds to emails and phone calls.	D	5.0%	Assists in preparation of examination-related legislative bill analyses; drafts amendments to proposed legislation; advises executive staff and Board members of potential impact, including fiscal and Board operations.	AS	10.0%			
Gathers, compiles, edits and interprets multiple data sources, including ATS, CAS and BreEze; develops detailed technical documents, reports and	AS	10.0%	Provides oversight to staff responsible for cashing, including completion of daily check logs and submission to DCA Central Cashiering Unit.	D	10.0%			
Trains new staff and provides ongoing refresher training for all licensing staff; develops and updates procedures outlining the steps to follow to completing tasks and daily assignments; and updates procedures manuals.	AS	10.0%	Analyzes and develops amendments to the CA Code of Regulations regarding examinations; analyzes new regulations; prepares annual update to the Laws and Regulations publication; presents regulatory updates and draft regulatory language at Board and/or committee meetings.	AS/A	10.0%			
Attends quarterly Board meetings; prepares and presents agenda items for the Licensing Committee; prepares and presents appeals to the Board that are received from applicants.	Q	5.0%						
Receives and transmits exam eligibility and scores to exam vendors; responds to appeals of failed scores on licensing examinations.	AS	5.0%						
Monitors and updates licensing applications, forms and publications.	AS	5.0%						
Total Time %		100.0%			100.0%			
Work Not Getting Done			Work Not Getting Done					
Quality control view of applications	4 hrs/wk		BreEze issues such as testing/creating		18-20 hrs/wk			
Special projects (approved schools)	8 hrs		Developing and running reports		5 hrs/wk			
			BreEze staff training		No estimate			

AGPA Retired Annuitant Workload

Work distribution chart 4B indicates more than 80% of this position's time is performing critical licensing duties including researching analytical assignments; reviewing applications and documentation received to satisfy deficiencies, and verifying supervisor license status and eligibility. The balance of the time is spent on administrative tasks such as entering information on the BreEze transaction checklist, and responding to phone calls and emails. The AGPA reports all assigned work is getting done.

SSA Continuing Education Coordinator Workload

Work distribution chart 3B also shows the workload for the incumbent SSA Continuing Education Coordinator (CEC). This workload consists largely of auditing renewing psychologists to ensure compliance with continuing education requirements and determining the merit of issuing an administrative citation and/or fine for licensees found to be deficient. This position also schedules and participates in informal hearings and coordinates citation cases with the Office of the Attorney General. Additional work includes formulating policies, regulations, forms and desktop procedures relating to the continuing education program. The SSA CEC also reports needing 2-4 hours per week to update the audit history in BreEze and to file audit files.

Chart 3B

AGPA Retired Annuitant and SSA Continuing Education Coordinator Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually

Bold = critical importance

Critical duties are bolded			K. Okuma - AGPA			Collette McDowell - SSA CEC Coordinator			
Reports to: J. Thomas			Suppr	0	Reports to: J. Thomas			Suppr	0
Duties			Freq	% Time	Duties			Freq	% Time
Receive and research analytical assignment; confer with legal counsel when necessary; prepare requested reports, forms, documentation and correspondence; present completed staff work to management/executive staff.	D	30.0%			Audits the continuing education of 10% of renewing psychologists to ensure compliance with the continuing education requirements. Reviews and manages continuing education documents submitted in response to audit. Includes all correspondence (initial notices, follow up notifications, etc.), running reports to identify licensees eligible for audit, etc.	D	45.0%		
Review applications, noting any omissions/deficiencies on a checklist. Complete the checklist based on information contained on or in support of the application. Verify qualifications of employer. Verify educational qualifications by email, notify employer and applicant of any deficiencies. Enter all available information on transaction check list (Breeze). File the folders in the file room.	D	5.0%			Interprets and applies laws and regulations relating to the continuing education program. Responds orally and in writing to inquiries regarding continuing education requirements.	AS	15.0%		
Review documentation received to satisfy deficiencies. If deficiencies are not satisfied, contact employer or applicant by email for additional information. Enter available information on transaction check list (Breeze).	D	25.0%			Determines merit for issuance of an administrative citation and/or fine for licensees who are found to be delinquent. Develops and issues citation order. Develop and maintain comprehensive citation and fine tracking system.	AS	20.0%		
Verify license status and eligibility of supervisor. Review databases for criminal, complaint and license disciplinary histories of supervisor and applicant. Summarize any pertinent information and forward to enforcement unit for	D	3.0%			Schedules and participates in informal hearings and coordinates citation appeal cases with the Office of the Attorney General for administrative proceedings. Consults with the Enforcement Program Manager and provides relevant information to initiate disciplinary action against licensees who fail to comply with the CE requirements or who have perjured themselves.	AS	5.0%		
Enter all remaining information on transaction check list (Breeze) generating registration/license number. Review and approve or disapprove supervisor's agreement and plan if submitted with application. Send email to supervisor and applicant advising of approval of registration/license and status of	AS	0.0%			Assists licensees who wish to reactivate their inactive licenses by calculating the reactivation fee, ensuring compliance with the renewal/reactivation requirements and updating BreEZe accordingly.	AS	5.0%		
Respond to emails and telephone calls and messages, file registration folders, documents, emails and correspondence.	D	18.0%			Compiles and prepares statistical reports (re compliance and renewal statistics, for example) as well as explanatory cover letters for inclusion in Board meeting agenda packets. Assists with preparing Board meeting materials. Attends Board and Committee meetings. Reviews and edits minutes. (Typically quarterly)	Q	3.0%		
Email supervisor and psychological assistant notifying them of the withdrawal of incomplete applications when no response is received to request for additional information. Enter withdrawal code in Breeze. File folder.	AS	1.0%			Formulates policies and develops regulations relating to the continuing education program. Coordinates meetings regarding policy/regulation changes.	AS	2.0%		
					Maintains continuing education desk procedures manual.	AS	3.0%		
					Examines renewal forms and reports to resolve license hold and exception issues and update BreEZe as required.	AS	2.0%		
Total Time %				100.0%	Total Time %				100.00%
Work Not Getting Done					Work Not Getting Done.				
None					Updating BreEZe with audit history		1-2 hrs/wk		
					Filing audit files (due to BreEZe not being updated and lack of space in file room currently)		1-2 hrs/wk		

SSA Workload

The following work distribution charts 3C through 3E show the workload for six SSAs.

Work distribution chart 3C displays workload for SSA incumbents Parino and Watkins. Parino reports spending about 65% of her time reviewing licensing and registration applications, including evaluating background credentials, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on updating information in BreEZe and representing the Board at outreach events. Parino reports needing 2-3 hours per day to complete emails and phone calls within the required timeframe.

Watkins also reports spending about 65-70% of her time reviewing licensing and registration applications, including evaluating background credentials, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on pulling files and copying and assembling documents for complaints and disciplinary action. Watkins reports all work is being completed on time.

Chart 3C
Work Distribution Chart for SSAs Parino and Watkins

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded					
A. Parino - SSA			A. Watkins - SSA		
Reports to: K. Johnson	# Auth Suprv	0	Reports to: K. Johnson	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Review applications for licensing and registration	D	25.0%	Review applications for licensing and registration	D	15.0%
Review verification of supervised professional experience	D	10.0%	Credential evaluations of educational background , including unit counts and classes taken	D	20.0%
Credential evaluations of educational background , including unit counts and classes taken	D	5.0%	Contacts applicants, supervisors, school registrars, etc., by phone, email or in writing to obtain supporting documents and clarification of documentation; search file room for missing documents	D	25.0%
Contacts applicants, supervisors, school registrars, etc., by phone, email or in writing to obtain supporting documents and clarification of documentation	D	15.0%	Approves applicants for exams; sends letters and emails and issues registrations	D	12.0%
Analyze and interpret laws and regulations pertaining to psychology licensure or registration	D	10.0%	Assemble and copy documents regarding conviction, disciplinary action and complaints	D	2.0%
Input and update applicant information into BreEZe system	D	10.0%	Respond to emails, mail and telephone inquiries on licensing requirements and procedures	D	5.0%
Respond to emails, mail and telephone inquiries on licensing requirements and procedures	D	20.0%	Input and update applicant information into BreEZe system	D	15.0%
Represent Board at consumer and psychological events to explain outreach materials to applicants, licensees and consumers.	AS	5.0%	Pulling files as a result of email or phone inquiry; return file	AS	6.0%
Total Time %		100.0%	Total Time %		100.0%
Work Not Getting Done			Work Not Getting Done		
Emails and phone calls (get done but not in required timeframe)		2-3 hrs/day	None reported		

Work distribution chart 3D displays workload for SSA incumbents Brown and Olson. Brown reports spending 55% of her time reviewing licensing applications, including evaluating background credentials, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on verifying disciplinary action in BreEZe, provides support to investigative and enforcement staff, and assisting with preparation of presentations. Brown reports that all assigned work is being completed on time.

Olson also reports spending about 80% of her time in critical activities reviewing licensing and registration applications, including evaluating background credentials, reviewing and verifying supervised professional experience, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on verifying disciplinary action in BreEZe, assisting investigative and enforcement staff, and representing the Board at outreach events. Olson reports needing about two hours per week to complete filing/purging of school institutional files.

Chart 3D
Work Distribution Chart for SSAs Brown and Olson

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded

J. Brown - SSA			M. Olson - SSA		
Reports to: K. Johnson	# Auth Suprv	0	Reports to: K. Johnson	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Performs credential evaluations of educational background	D	7.0%	Review and process licensing and registration applications to ensure they comply with Board statutes, regulations and policies for psychologists, psychological assistants and registered psychologists	D	20.0%
Verifies supervised professional experience forms to determine if experience meets requirements of Board's laws and regulations; input and update applicant information in	D	15.0%	Perform credential evaluations of applicant educational background, which may involve unit counts; review of educational institution	D	15.0%
Responds to written, telephone and in-person inquiries from applicants, licensees, professional associations, health care facilities, educational institutions, and state and federal licensing agencies	D	10.0%	Review and evaluate verifications of supervised professional experience forms to determine if experience meets Board's laws and regulations	D	10.0%
Contacts applicants, supervisors, school registrars, etc., by phone, email or in writing to obtain supporting documents and clarification of documentation	D	5.0%	Contacts applicants, supervisors, school registrars, etc., by phone, email or in writing to obtain supporting documents and clarification of documentation	D	10.0%
Verifies prior or current disciplinary information on all applicants on BreEZe system; refers applicants with prior or current disciplinary information or criminal history to	D	15.0%	Input and update applicant information into BreEZe system	D	10.0%
Acts as licensing expert to investigative and enforcement staff on legal interpretation of laws and regulations	AS	5.0%	Responds to written, telephone and in-person inquiries from applicants, licensees, professional associations, health care facilities, educational institutions, and state and federal licensing agencies	D	20.0%
Assist Lead Analyst with identifying and presenting recommendations for improvement to Licensing and Examination procedures and process	AS	5.0%	Checks the BreEZe system for prior or current disciplinary information on all applicants on BreEZe system; refers applicants with prior or current disciplinary information or criminal history to Enforcement Unit	D	5.0%
Assist with preparation of oral and written presentations	AS	5.0%	Provide legal interpretations of laws and regulations to investigative and enforcement staff in connection with psychological assistant registration, psychologist registration and psychological licensure	AS	5.0%
Review licensing applications	D	33.0%	Represent Board at consumer and psychological events to explain outreach materials to applicants, licensees and consumers.	AS	5.0%
Total Time %		100.0%	Total Time %		100.0%
Work Not Getting Done			Work Not Getting Done		
None reported			Filing/Purging of School's Institutional files		2 hrs/week

Work distribution chart 3E displays workload for SSA incumbents Ferreira and Isadore. Ferreira reports spending about 85% of her time reviewing applications for psychological assistants, including verifying the supervisor's license status and eligibility, emailing employers and psychological assistants of any deficiencies, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on entering data into the Transaction Check List, filing application folders, and emailing supervisors and psychological assistants notifying them of withdrawal. Ferreira reports all assigned work is completed.

Isadore also reports spending 100% of her time reviewing licensing and registration applications, including evaluating background credentials, verifying the supervisor's license status and eligibility, contacting applicants and supervisors for supporting documentation, and responding to emails, mail and telephone inquiries. The balance of the time is spent on checking the BreEZe system for pulling files and copying and assembling documents for complaints and disciplinary action. Isadore reports all work is completed.

Chart 3E
Work Distribution Chart for SSAs Ferreira and Isadore

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

M.L. Ferreira - RA			L. Isadore - SSA		
Reports to: K. Johnson	# Auth Suprv	0	Reports to: K. Johnson	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Review applications to employ psychological assistants	D	30.0%	Review licensing and registration applications	D	30.0%
By email, notify employer and psychological assistant of any deficiencies; enter transactions into BreEZe	D	20.0%	Evaluates credentials of applicant educational background	D	10.0%
Review documents to satisfy deficiencies	D	15.0%	Review and evaluate verifications of supervised professional experience forms to determine if experience meets Board's laws and regulations	D	10.0%
Verify supervisor's license status and eligibility to qualify a supervisor	D	10.0%	Contacts applicants, supervisors, school registrars, etc., by phone, email or in writing to obtain supporting documents and clarification of documentation	D	15.0%
Enter all remaining info on Transaction Check List generating registration number; review and approve/disapprove supervisor's agreement/plan	D	10.0%	Input and update applicant information into BreEZe system	D	10.0%
Receive and respond to emails, telephone calls and telephone messages	D	10.0%	Responds to written, telephone and in-person inquiries from applicants, licensees, professional associations, health care facilities, educational institutions, and state and federal licensing agencies	D	20.0%
File open and completed application folders	AS	3.00%	Checks the BreEZe system for prior or current disciplinary information on all applicants on BreEZe system; refers applicants with prior or current	D	5.0%
Email supervisor and psychological assistant notifying them of withdrawal	AS	2.0%			
Total Time %		100.0%	Total Time %		100.0%
Work Not Getting Done			Work Not Getting Done		
None reported			None reported		

Outreach Activities

In accordance with Strategic Plan Goal Five, Outreach, two SSAs (Parino and Olson) each report spending about five percent of their time supporting the outreach effort by representing the Board at consumer and psychological events. However, the Governor's statewide moratorium on travel has restricted Board participation at these events.

According to the Executive Officer, about \$900,000 reverts annually to the Board that could be spent for non-travel related outreach. In the absence of travel, the Board has taken advantage of contracting with the DCA Communications Division to use social media for outreach. The Board plans to use the Public Affairs Office to be more proactive with Op-eds, press releases, media advisories, and the production of YouTube informational videos. The objective is to leverage the Board's online communications to achieve outreach goals that are hindered by the travel restrictions. An example is the instructional video on the Board's website on how to apply to be a Licensed Psychologist <http://www.psychology.ca.gov/applicants/index.shtml>.

In addition to keeping the Board website updated, the Board may also want to explore the use of webinars and an email outreach program to current and prospective licensees.

PT and OT Workload

Work distribution chart 3F displays workload for incumbent PT DuPree, a part-time employee, and workload for incumbent OT Bailey. DuPree reports spending 90% of her time in critical activities such as opening and distributing mail to staff, creating folders for new applicants, entering new applicant transactions into BreEZe, logging in fee checks, and responding to emails and telephone inquiries. The balance of the time is spent on distributing documents to staff or filing them. DuPree reports all assigned work is completed.

Bailey also reports spending about 85% of her time with psychological assistant processing, including handling returned mail and voice mail messages, responding to emails and calls, ensuring fingerprint cards are complete and faxed to the Department of Justice, filing renewal forms and updating BreEZe. Bailey reports needing 200 hours to clean up no longer interested (NLI) form backlogs for psychologist, psychologist assistant, and registered psychologist. The Department of Justice requires a NLI form every time a registration is terminated, cancelled or application file has been withdrawn. In addition, the OT requires about 10 hours to enter changes into BreEZe, and 25 hours/week to respond to all emails within 24 hours.

Given the PT’s current workload, it appears the PT position could help the OT eliminate these backlogs and maintain an even workload going forward. This may require submission of a budget change proposal to make the part-time PT position a full-time position.

Chart 3F
Work Distribution Chart for PT II DuPree and OT Bailey

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

M. DuPree - PT II			T. Bailey - OT		
Reports to: K. Johnson	Auth Suprv	0	Reports to: K. Johnson	Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Open and distribute mail to appropriate staff	D	25.0%	Handle returned mail from applicants or psychological assistants	AS	5.0%
Enter new applicant transactions into BreEZe data system; create Excel log on incoming checks	D	20.0%	Return voicemail messages, respond to emails, answer calls	D	55.0%
Create folders for new applicants; send confirmation email to	D	20.0%	Mail laws and regulation booklets	AS	1.0%
Act as back up for answering main telephone line or emails	AS	15.0%	Process manual renewals in BreEZe for psychological assistants	AS	15.0%
As back up for entering address and name change for licensed psychologist into BreEZe	D	10.0%	Ensure fingerprint hard cards are complete; log complete cards to be processed by DOJ & FBI; distribute Live Scan Forms to assigned analyst	AS	2.0%
Distribute documents to assigned analyst or file documents	D	10.0%	File renewal forms, terminations, name/address change notifications, and no longer interested (NLI) forms in folders	AS	10.0%
			Update Psychologist Assistant and Psychologist information into BreEZe	AS	7.0%
			Complete NLI forms and fax to DOJ; enter into BreEZe	AS	5.0%
Total Time %		100.0%	Total Time %		100.0%
Work Not Getting Done			Work Not Getting Done		
None reported			Psychologist NLI backlog		100 hrs
			Psychologist Assistant & Registered Psychologist NLI backlog		100 hrs
			Change expiration dates of registrations cancelled in BreEZe		10 hrs
			Respond to emails within 24 hours		25 hrs/wk

Classification Review Results

The CPS HR classification review reveals: a) Licensing & Examinations Unit personnel are classified appropriately; b) there are options that could support an upgrade for the AGPA Licensing Coordinator to a SSM I if organizational changes were made to justify support to a higher level; and c) the PT duty statement should be strengthened by emphasizing technical aspects of the duties.

Unit Statistics and Performance Measures

The Department of Consumer Affairs Annual Reports summarize Board licensing activity. The following table 1 displays the licensing applications received, licenses issued and renewed by licensure type during Fiscal Years (FY) 2012-13 through 2014-15. The table shows licensing in each professional category has remained relatively stable over the three-fiscal year period. The Board received the most applications for the Psychologist license, but most licenses issued were for Psychological Assistants. The largest number of licenses renewed were for Psychologist.

Table 1
Board of Psychology Licensing Activity from FY 2012-13 through FY 2014-15

Licensure	Psychologist			Registered Psychologist			Psychological Assistant		
	FY 12-13	FY 13-14	FY 14-15	FY 12-13	FY 13-14	FY 14-15	FY 12-13	FY 13-14	FY 14-15
Applications Received	1,242	1,412	660	187	169	118	949	1,017	519
Licenses Issued	686	636	452	168	120	102	809	807	585
Licenses Renewed	8,629	9,778	4,668	0	0	0	889	1,364	358

Source: DCA Annual Report and Board of Psychology

CCR section 1381.6 prescribes application processing time performance measures of within 60 days of receipt for psychological assistant and registered psychologist applications and within 180 days for licensed psychologist applications. However, the Board's internal goal is much faster at 14 days to complete processing. For most of the fiscal year, Licensing staff have met this internal goal. However, in the past two months the processing time has slipped a week to three weeks because of the absence of a licensing analyst. Either way, the Licensing unit is substantially outperforming the legally prescribed application processing performance measures.

The following table 2 displays the examination activity during fiscal years 2012-13, 2013-14 and 2014-15 (through 12/31/14). The table reveals examination activity for each type of exam has also remained relatively stable over the three-fiscal year period. The EPPP has been taken the most, followed by the CPSE, and CPLEE the least.

Table 2
Board of Psychology Examination Activity from FY 2012-13 through FY 2014-15

Examination	EPPP			CPSE			CPLEE		
	FY 12-13	FY 13-14	FY 14-15*	FY 12-13	FY 13-14	FY 14-15*	FY 12-13	FY 13-14	FY 14-15*
Totals	1,483	1,366	942	985	1,073	662	115	89	51
Pass	873	840	425	848	726	403	71	55	33
Fail	610	526	517	137	347	259	44	34	18

Source: DCA Annual Report and Board of Psychology

Major Business Process Review

The Licensing & Examinations Unit oversees and performs five major business processes:

- Psychologist License and Psychological Assistant Registrant Renewal process
- License Reactivation process
- Continuing Education Audit process
- Continuing Education Exemption-Exception process
- Continuing Education Coordinator Citation & Fine process

The following describes the current “as is” processes and high level improvements, if any, for the proposed “to be” process.

Psychologist License and Psychological Assistant Registrant Renewal Process

The purpose of this 28-step process is to renew licenses for Licensed Psychologists and renew registrations for Psychological Assistants.

The participants in the process include the following: DCA/Print Vendor, DCA Cashiering, Licensee/Registrant (L/R), Board Mail Processor, Administrative Technician (AT), Licensing Technician (LT) and the Licensing Continuing Education Coordinator (CEC).

Flowchart Page 1

As the following flowchart displays, the process starts when DCA initiates batch renewal transactions in BreZE. The Print Vendor generates and mails renewal notices to L/Rs.

An L/R receives the notice, completes and submits the renewal application with a fee either online or offline through the US mail. For online transactions, DCA Cashiering receives and processes coupons and payments and returns the coupon to the Board Mail Processor for filing.

For offline transactions, the Board Mail Processor receives the renewal applications and fee checks, logs in the checks, and forwards to DCA Cashiering for processing. The Board Mail Processor distributes the new applications to the AT and the renewal applications to the LT.

Flowchart Page 2

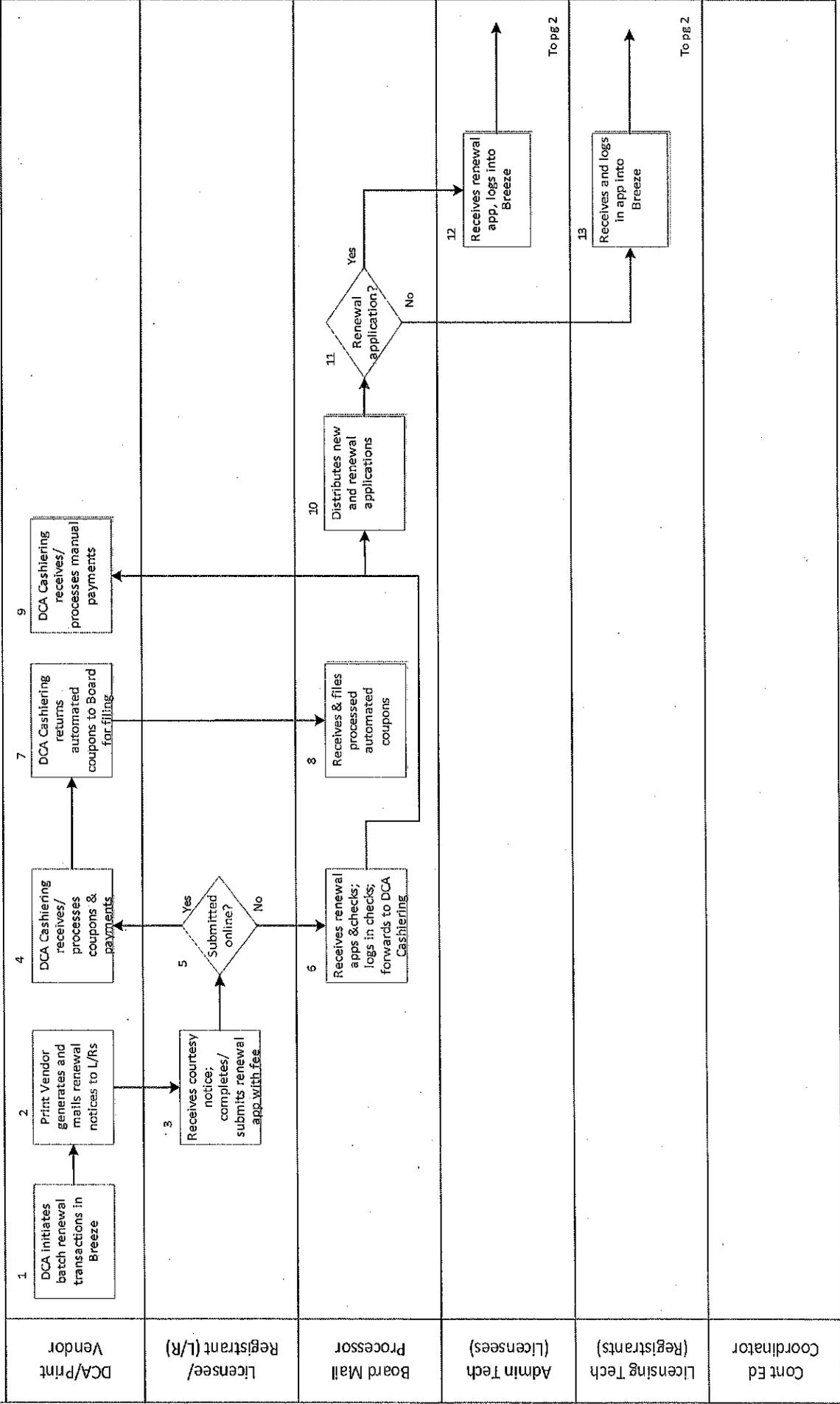
The AT processes Licensee renewal applications by forwarding requests for a CE exemption or exception to the CEC for review. The AT reviews applications without requests for deficiencies. If there are deficiencies, the AT prepares and sends the Licensee a deficiency letter. If the matter is resolved, the AT approves the application in BreEZe and notifies the Print Vendor. The Print Vendor prepares and mails the pocket license card to the Licensee.

The LT reviews Registrant renewal applications for deficiencies. If there are deficiencies, the LT prepares and sends the Registrant a deficiency letter. If the matter is resolved, the LT approves the application in BreEZe and notifies the Print Vendor. The Print Vendor prepares and mails the pocket registration card to the Registrant.

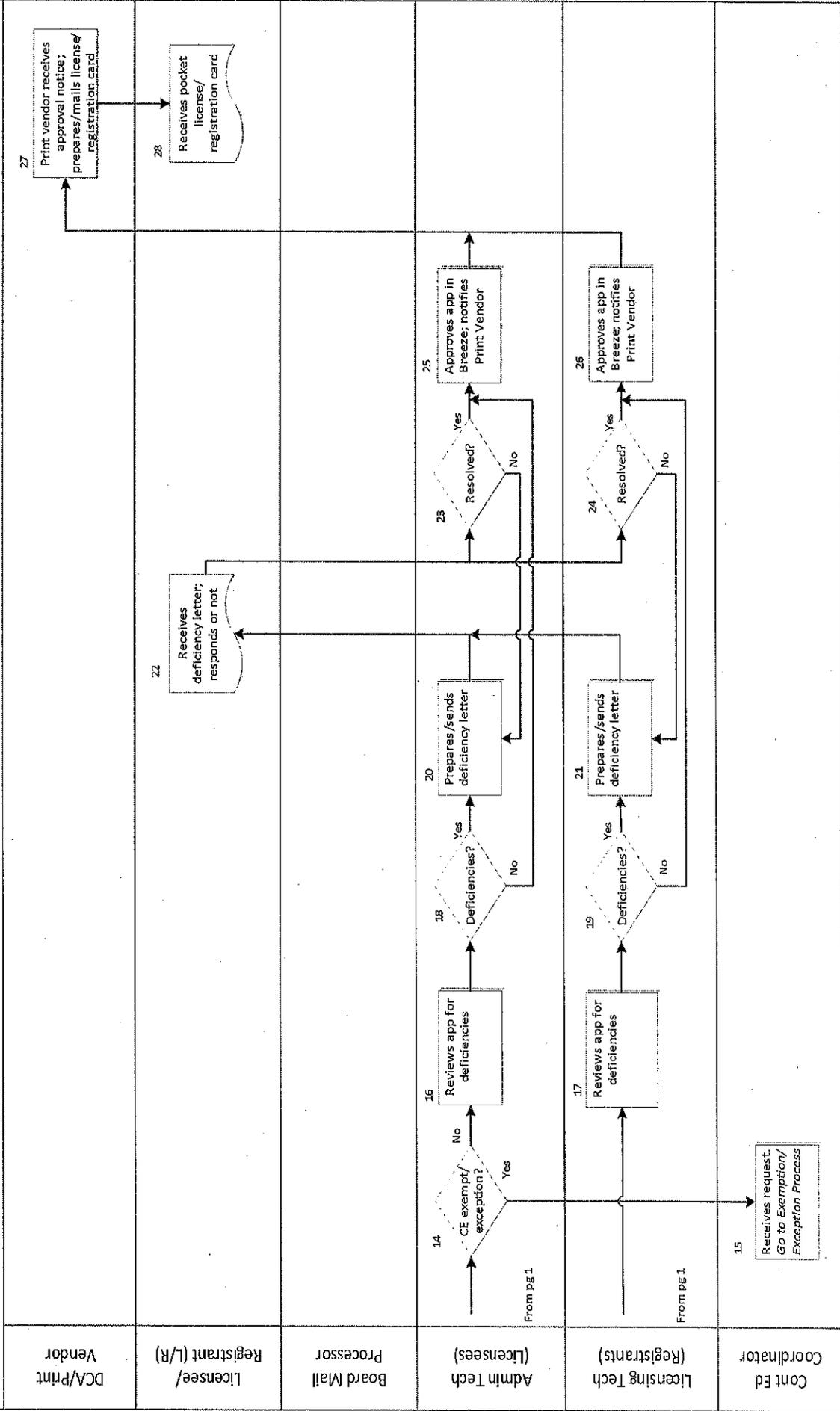
Proposed Process Improvements

According to the Licensing Coordinator, this process becomes backlogged at the AT and LT positions because of the high volume of renewals. These staff are unable to process the renewals in a timely manner because of all their other duties. Furthermore, it does not appear that eliminating or consolidating tasks would improve the situation, nor is this process likely to be fixed by more automation through BreEZe. Hiring an additional technician each for Licensing and for Registration appears to be the only solution at this time.

California Board of Psychology Psychologist License and Psychological Assistant Registration Renewal Process page 2 (12.22.14)



California Board of Psychology Psychologist License and Psychological Assistant Registration Renewal Process page 2 (12.22.14)



License Reactivation Process

The purpose of this 19-step process is to reactivate a prior psychology license with the Board.

The participants in the process include the following: Licensee, Licensing Continuing Education Coordinator (CEC), Administrative Office Technician (OT), DCA Cashiering and the Printing Vendor.

Flowchart Page 1

As the following flowchart displays, the process starts when the Licensee completes and submits a reactivation application with fee to the Board. As the primary actor in this process, the CEC receives, verifies and processes the application and fee, and that the continuing education requirements are met.

The CEC determines if the application and the payment are sufficient. If either are deficient, the CEC attempts to resolve the matter. If the CEC cannot resolve either matter, s/he prepares and sends the Licensee a deficiency letter who either responds or not. If the Licensee does not respond or resolve either or both the matters, the CEC prepares and sends the Licensee a denial letter. If either or both matters are resolved, the CEC approves the application and updates BreZE.

Flowchart Page 2

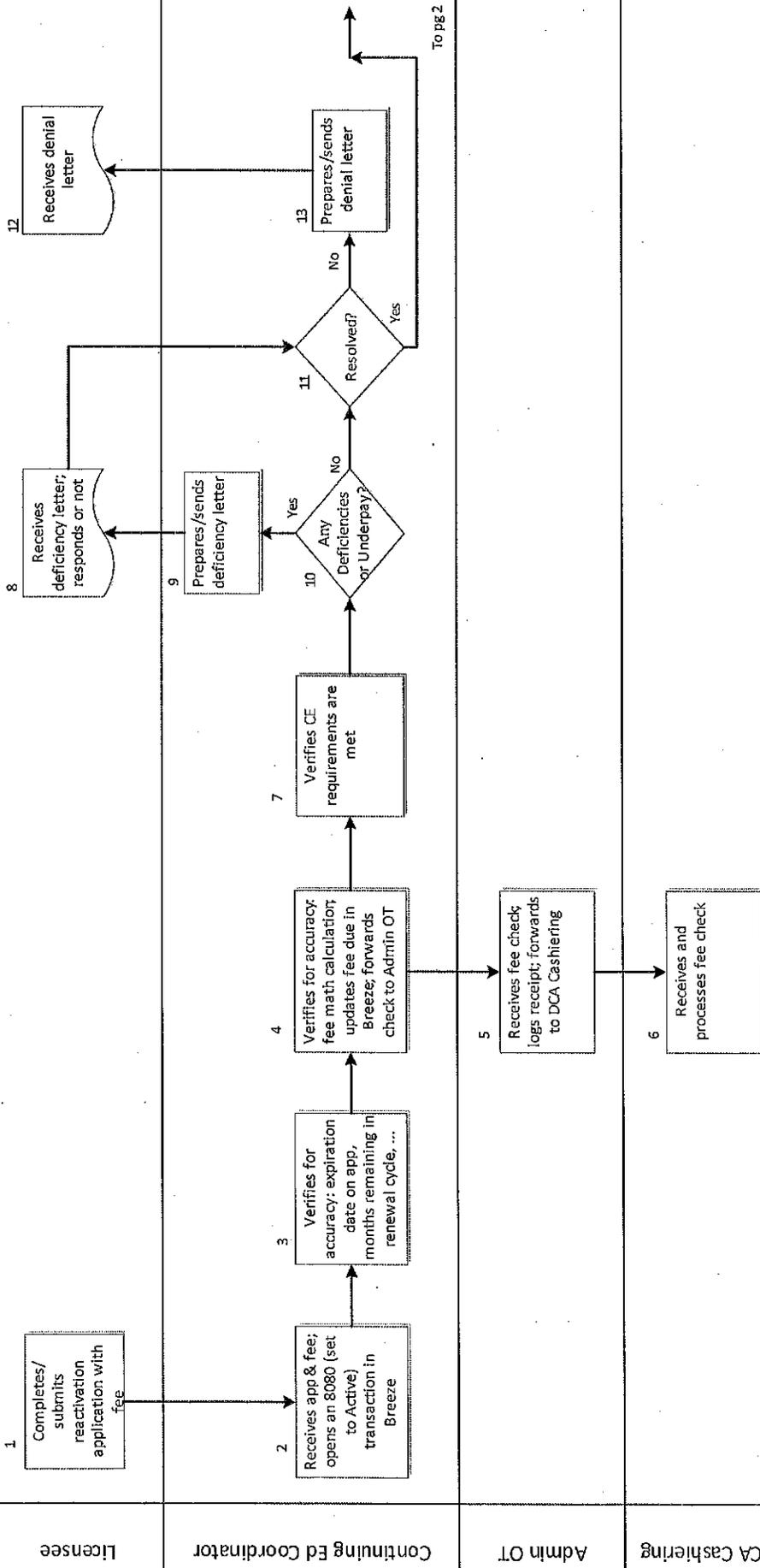
Next, the CEC completes and approves the transaction, and notifies the Print Vendor of the application approval who prints and mails a pocket license card to the Licensee.

Proposed Process Improvements

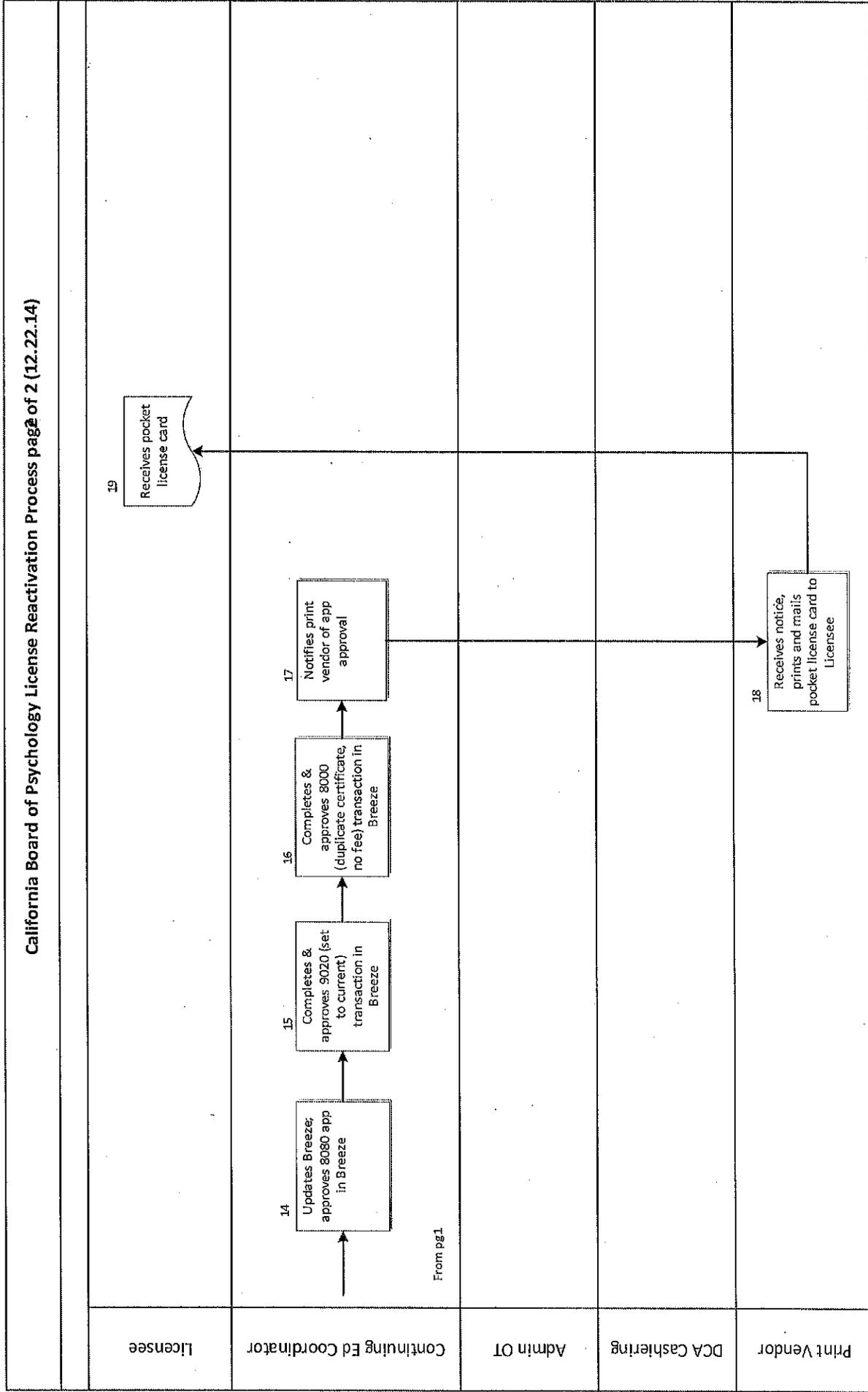
According to the Licensing Coordinator, this process does not need any improvements at this time.

California Board of Psychology License Reactivation Process page 2 (12.22.14)

Includes Continuing Education subprocess



California Board of Psychology License Reactivation Process page 2 (12.22.14)



Continuing Education Audit Process

The purpose of this 21-step process is to audit the continuing education requirements of Licensees.

The participants in the process include the Licensing Continuing Education Coordinator (CEC) and the Licensee.

Flowchart Page 1

As the following flowchart displays, the process starts when the CEC exports a list of auditees from BreZE in accordance with the continuing education audit procedures. As the primary actor in this process, the CEC randomly selects a 10% sample of Licensees to audit. The CEC prints color and black & white letters and mails the letters to selected Licensees.

The Licensee has 30 days to respond to the audit letter and may or may not respond within the required timeframe.

If the Licensee responds timely, the CEC reviews the response for compliance with continuing education requirements. If the Licensee is fully compliant, the CEC prepares and mails a compliance letter to the Licensee and closes the case.

Flowchart Page 2

If the Licensee does not respond timely or the response is non-compliant, the CEC prepares a correction letter and sends it to the Licensee by certified mail and email, if available.

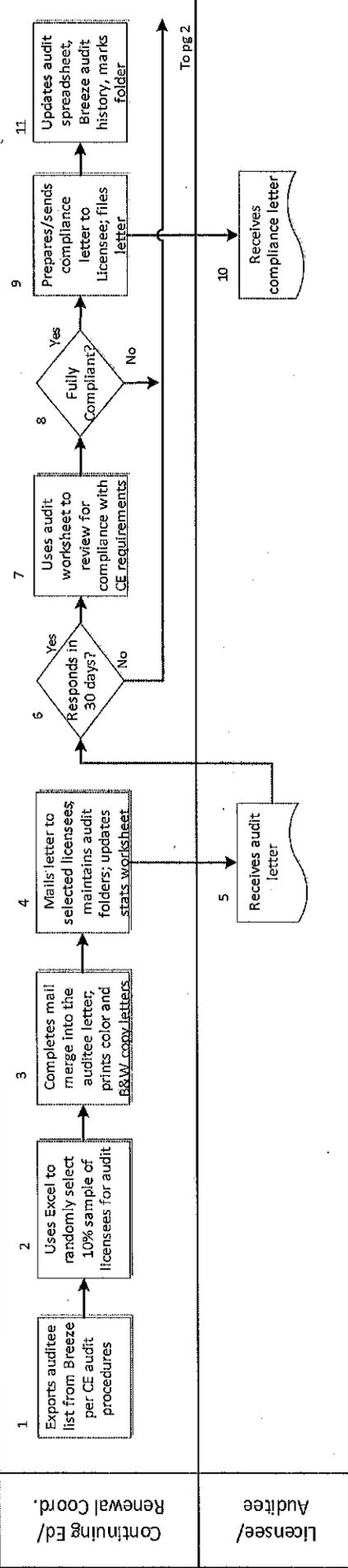
If the Licensee responds timely, the CEC reviews the response for compliance with continuing education requirements. If the Licensee is fully compliant, the CEC prepares and mails a compliance letter to the Licensee and closes the case.

If the Licensee does not respond timely or the second response is non-compliant, the CEC prepares a final notice of untimeliness/noncompliance, and prepares the file for the Cite and Fine process.

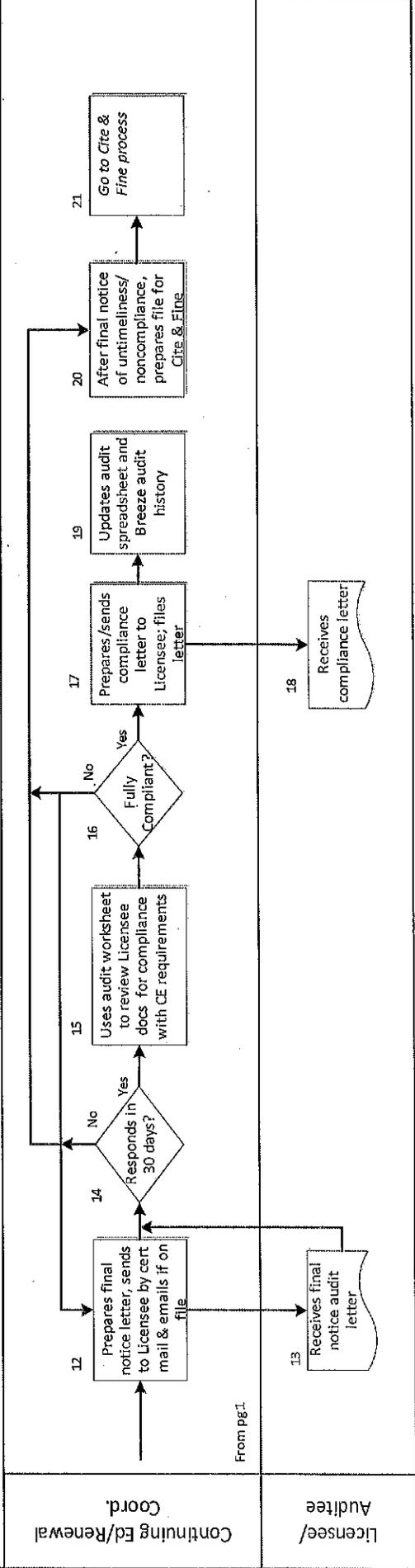
Proposed Process Improvements

According to the Licensing Coordinator, this process does not need any improvements at this time. However, with the implementation of the new regulations the audit process will become more technical and will require advanced analytical skills.

California Board of Psychology Continuing Education Audit Process pageof 2 (12.19.14)



California Board of Psychology Continuing Education Audit Process pageof 2 (12.19.14)



Continuing Education Exemption-Exception Process

The purpose of this 8-step process is provide Licensees with the opportunity to request and educational exemption or exception as part of the licensing renewal process.

The participants in the process include the following: Licensees, Licensing Continuing Education Coordinator (CEC) and the Assistant Executive Officer (AEO).

As the following flowchart displays, the process starts when the Licensee submits an exemption/exception request to the Board. As the primary actor in this process, the CEC receives and reviews the request, and sends it with documentation to the AEO for approval or denial.

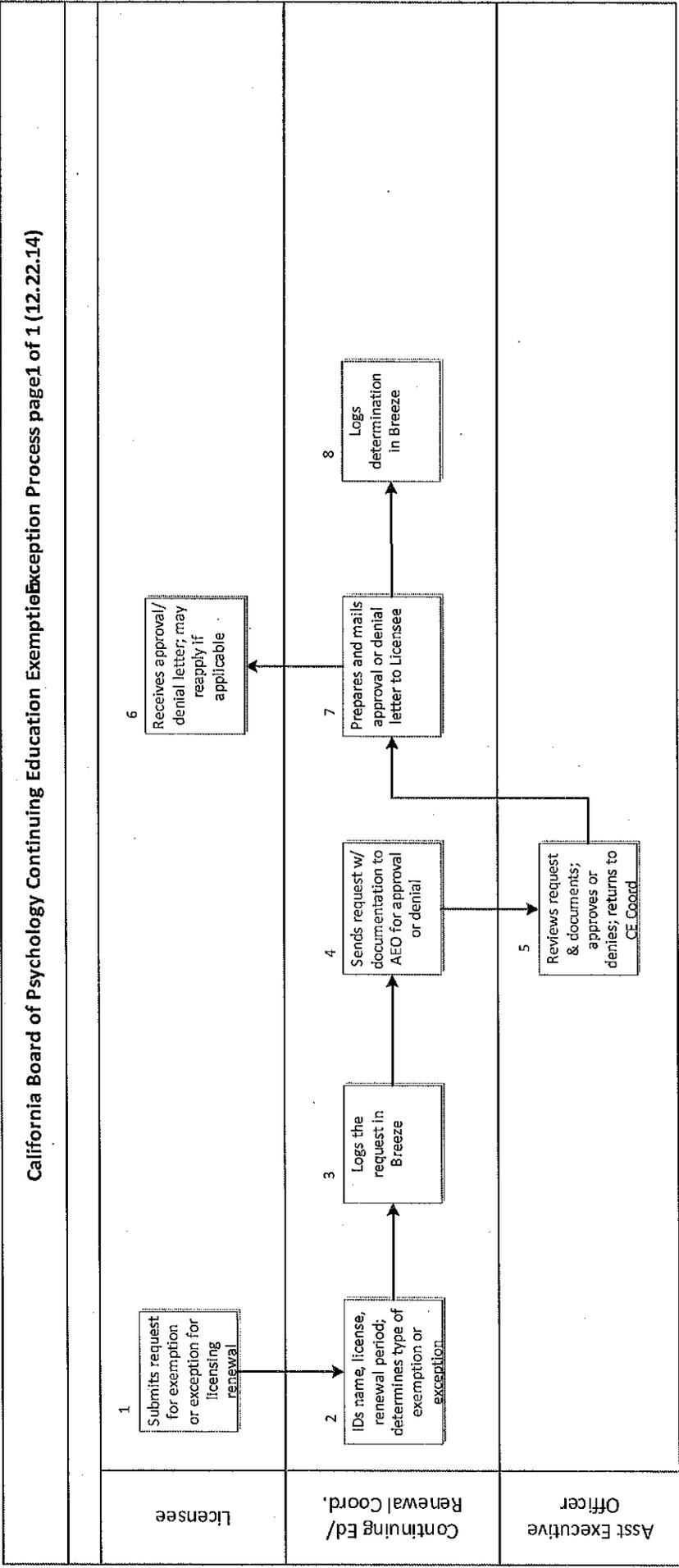
The AEO reviews the request and support documentation, approves or denies the request and returns to the CEC.

The CEC prepares and mails an approval or denial letter to the Licensee.

The Licensee receives either an approval or denial letter. If approved, the process stops. However, if the Licensee receives a denial letter, s/he may reapply and the process starts over.

Proposed Process Improvements

According to the Licensing Coordinator, this process does not need any improvements at this time.



Continuing Education Coordinator Citation & Fine Process

The purpose of this 58-step process is to describe the process to issue citations and fines to psychologists who fail to comply with Continuing Education (CE) requirements or misrepresent the number of hours of CE accrued when renewing their license. In general, licensed psychologists are required to self-certify 36 hours of CE for each two-year renewal period. This includes a minimum of nine “live” hours in which there is real time interaction with an instructor.

The participants in the process include the following: Subject of the Citation (Subject), Administration Office Technician (AOT), Continuing Education Coordinator (CEC), Executive Officer/Board (EO/B), Health Quality Investigation Unit (HQIU), Attorney General (DAG), Office of Administrative Hearings (OAH) and Administrative Law Judge (ALJ).

Flowchart Page 1

As the following flowchart displays, the process starts with the CEC opening a complaint for insufficient CE. This includes reviewing the case for Business & Professions (B&P) code violations, completing a Cite & Fine Order, cover letter and declaration of service. The EO reviews the citation package, signs off and returns it to the CEC. The CEC makes copies, mails the original to the Subject by certified mail, and enters the date sent on the calendar and into the Citation Log.

The Subject receives the citation package and either agrees to pay the fine or not. If the Subject pays and mails the fine, the AOT receives and opens the mail, copies the check and forwards the check copy and package to the CEC, and sends the check to DCA Cashiering.

The CEC receives the abatement order and check copy from the AOT, monitors a payment plan if in place, prepares and sends a closure letter to the Subject, and closes the case in BreEZe. The Subject receives the closure letter.

If the Subject does not pay the fine, s/he may ask for an informal conference within 10 days of issuance of the Citation package. If the CEC receives the response after 10 days, s/he prepares and sends the Subject a letter denying the informal conference but advises same that s/he may request an ALJ hearing within 30 days the citation issuance date.

Flowchart Page 2

If the Subject requests an informal conference within the 10-day time limit, the CEC checks with the EO for a date and time, confirms the date and time by phone and email with the Subject, and gives the EO the file within one week of the meeting.

The informal conference is held as scheduled in person or by phone with the Subject, CEC and EO. If there are no changes as a result of the conference, the CEC prepares and sends a letter informing the Subject the original Cite & Fine stands. If there are changes, the CEC prepares a revised Cite & Fine, obtains the EO signature, and mails to the Subject.

The Subject receives either citation package and either agrees to pay the fine or not. If the Subject pays and mails the fine, the AOT receives and opens the mail, copies the check and forwards the check copy and package to the CEC, and sends the check to DCA Cashiering.

The CEC receives the abatement order and check copy from the AOT, monitors a payment plan if in place, prepares and sends a closure letter to the Subject, and closes the case in BreZE. The Subject receives the closure letter.

If the Subject does not pay the fine, s/he may again ask for an informal conference and the process repeats itself, or s/he may or may not request an ALJ hearing. If the Subject does not request a hearing, the CEC places a hold on his/her license until paid and/or refers to the Franchise Tax Board for collection.

Flowchart Page 3

If the Subject does not request an ALJ hearing within 30 days of the Cite & Fine issuance date, the CEC prepares and sends the Subject a letter declining the ALJ hearing, places a hold on the license until paid, and/or refers to the Franchise Tax Board for collection.

If the Subject does request an ALJ hearing within the allowable time period, the CEC notifies the Licensing Manager, prepares a memo to the Supervising DAG, and forwards the memo and supporting documents to the AOT to send.

The Supervising DAG receives the package, assigns to a DAG, and sends a letter to the CEC advising of case acceptance and the DAG assignment.

The ALJ hearing is held and the proposed decision is sent to the CEC for a Board vote. The CEC sends the proposed decision to the Board for a vote and calendars the 100-day deadline.

The Board votes to adopt or non-adopt the proposed decision. If adopted, the CEC makes copies of the Decision & Order, and mails a copy to all parties. The CEC contacts Licensing to put a hold on the license until paid and/or refers to the Franchise Tax Board for collection, closes the case and files until after citation is paid in full.

Flowchart Page 4

If the proposed decision is not adopted, the CEC prepares and sends a Notice of Non-Adopt to all parties.

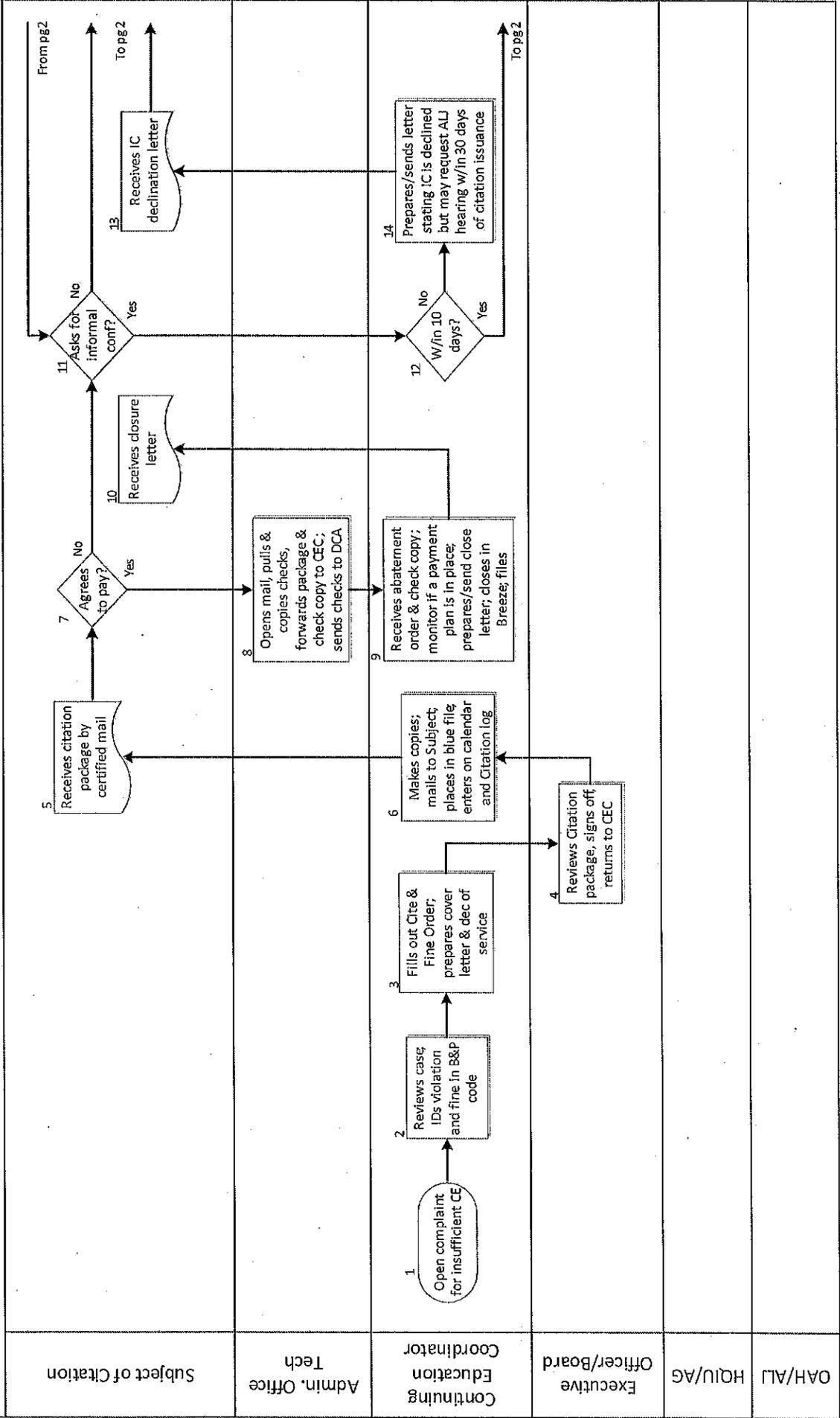
After the Board reviews the transcripts and exhibits in closed session, Legal Counsel rewrites the Decision for a Board vote, the President of the Board signs and returns to the CEC.

The CEC copies and mails the Decision and Order to all parties, enters the information into BreZE, and contacts Licensing to put a hold on the license until paid and/or refers to the Franchise Tax Board for collection, closes the case and files until after citation is paid in full.

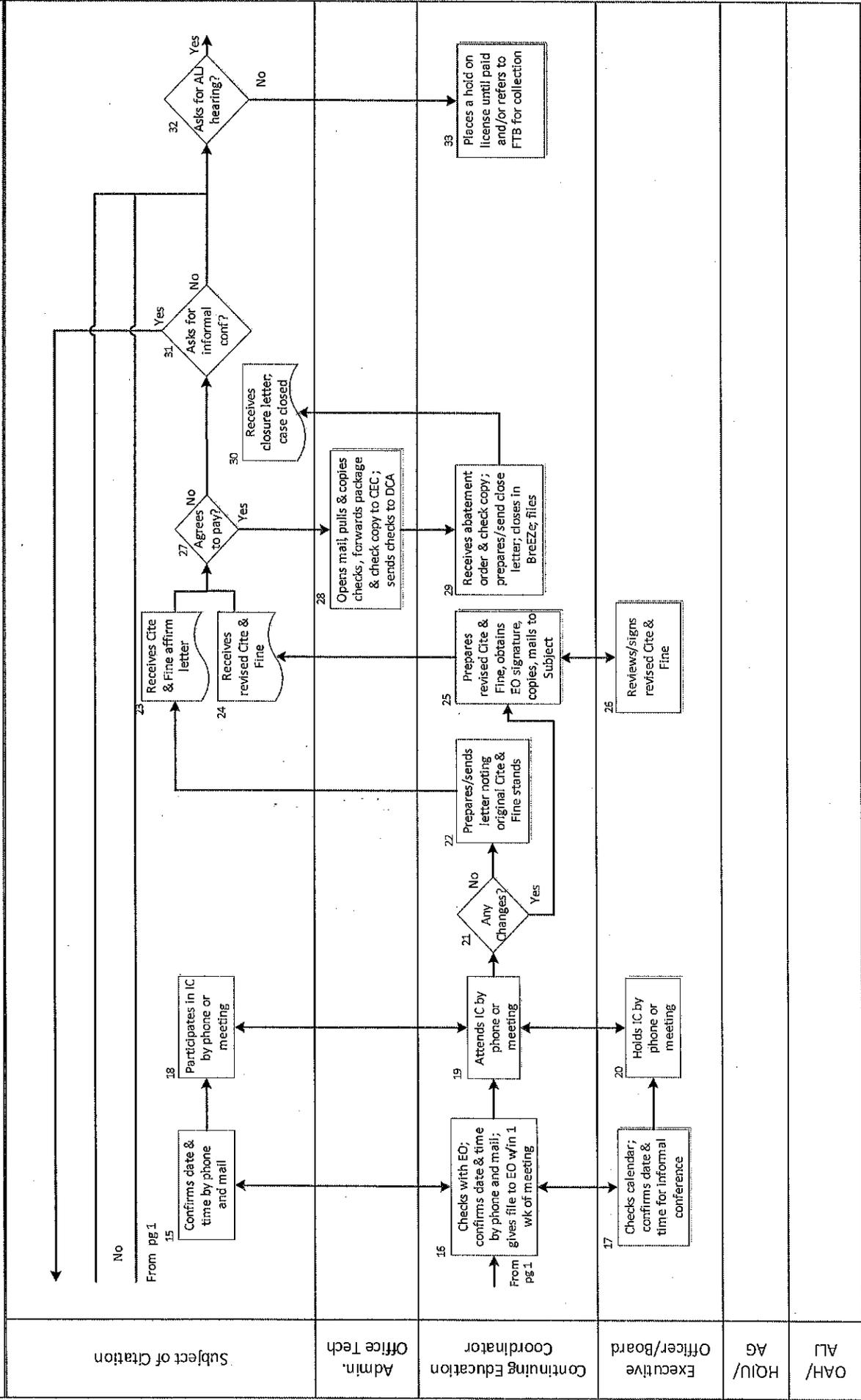
Proposed Process Improvements

According to the Licensing Coordinator, this process is new to the CEC position and does not currently demonstrate any problems.

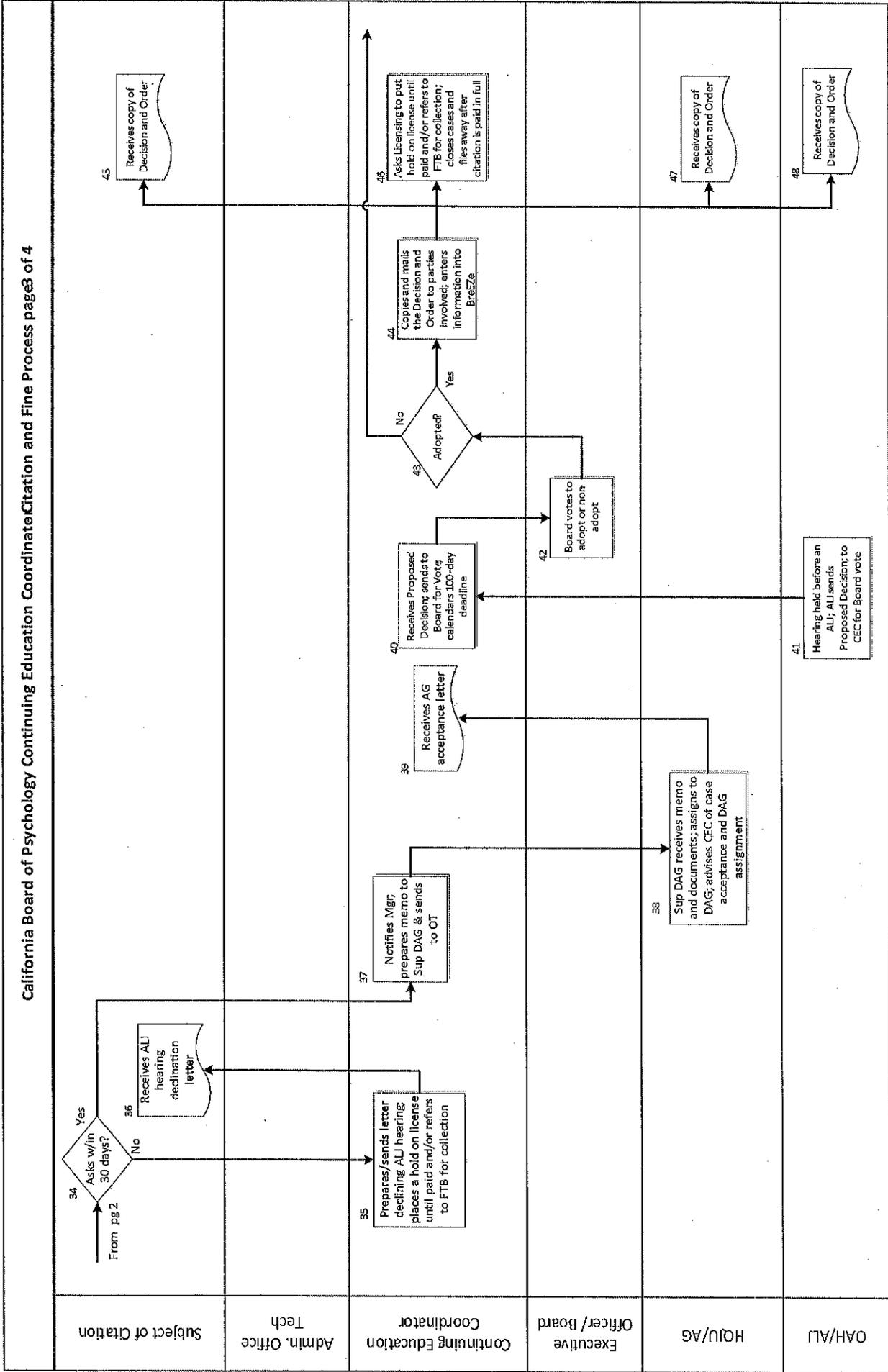
California Board of Psychology Continuing Education Coordinator/Citation and Fine Process page 1 of 4



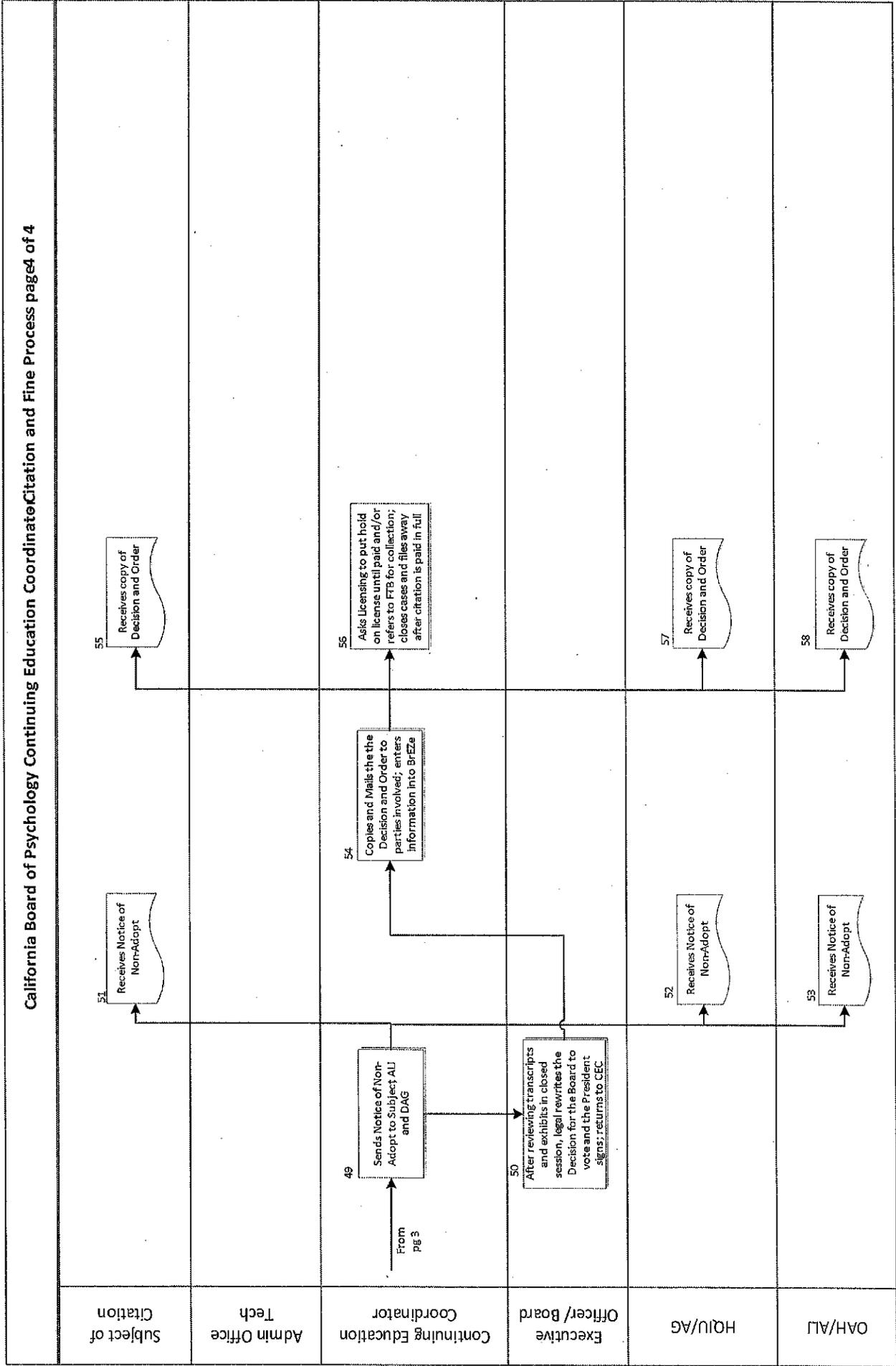
California Board of Psychology Continuing Education Coordinate Citation and Fine Process page 2 of 4



California Board of Psychology Continuing Education Coordinate Citation and Fine Process page 3 of 4



California Board of Psychology Continuing Education Coordinate Citation and Fine Process page 4 of 4



Recommendations

4. Make the changes recommended in the CPS HR classification review to upgrade the AGPA to a SSM I.
5. Make the changes recommended in the CPS HR classification review to strengthen the Program Technician's duty statement to emphasize the technical aspects of the duties.
6. To ensure the assigned Licensing work gets completed, request approval through a budget change proposal (BCP) to establish a half-time AGPA position to cover the workload that is not currently being performed.
7. Keep the Board website updated and explore the use of webinars and an email outreach program to current and prospective licensees.
8. Assign the PT II to assist the OT with eliminating the NLI form backlogs. It may be beneficial to submit a budget change proposal to expand the availability of the PT from a part-time to a full-time position.

The Enforcement & Probation Unit

Unit/Program Description

The eight authorized positions in the Enforcement & Probation Unit are responsible for investigating complaints filed against licensed psychologists and psychological assistants, as well as those who conduct unlicensed practice of psychology. The Unit manages the administrative citation and fine process, maintains the Expert Reviewer Program, coordinates the formal discipline process with the Office of the Attorney General and Office of Administrative Hearings, negotiates settlements and monitors probationer compliance to disciplinary orders.

Staffing and Workload Analysis

During this study, this unit was staffed with one Staff Services Manager I (SSMI) who reports to the Executive Officer. Four Associate Governmental Program Analysts (AGPA), one Staff Services Analyst (SSA), one Office Technician (OT), and one Special Investigator (SI) report to the SSMI. In general, there is necessary duplication of duties due to the heavy workloads. With the exception of one staff member, all of the assigned work is not getting completed. A more in-depth workload assessment of the AGPA and SI positions is warranted to determine if more administrative support might help to balance their workloads.

SSM I Workload

Work distribution chart 4A below shows the SSMI (Monterrubio) spends most of her time on critically important work such as managing the Enforcement program and its various processes, negotiating settlement agreements with violators, liaising with Enforcement-related agencies, and handling personnel matters. In addition, this position also coordinates completion of various meeting reports, and works on special projects and reports, purchase and service contracts, coordinates document posting to the Board's website and social media platforms; and holds weekly staff meeting and directs unit workload. Monterrubio reports needing about 32 hours more a week to review staff work, provide staff guidance, hold individual staff meetings, and update and maintain the Enforcement manual.

Chart 4A

Staff Services Manager I Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded

S. Monterrubio- SSM I		
Reports to: A. Sorrick	# Auth Suprv	7
Duties	Freq	% Time
Manage the Board's Enforcement Program which includes complaints, investigations, citation and fine, expert reviewer, formal discipline and probation process.	D	60%
Negotiate settlement agreements by applying the Board's Disciplinary Guidelines; Ensure that the time frames in the Administrative Procedures Act are met.	AS/D	10%
Responsible for enforcement-related liaison activities with the Health Quality Investigative Unit (DCA), the office of the Attorney General, the Office of Administrative Hearings, other state agencies, consumers and various professional organizations.	AS /W	10%
Recruit, train, evaluate performance and prepare all personnel related reports for the Enforcement Unit.	AS	5%
Provide status reports and updates to the Executive Officer on critical enforcement activities.	AS /W	3%
Attend various board and committee meetings.	AS	3%
Recruit, train, evaluate performance and prepare all personnel related reports for the Enforcement Unit.	AS	4%
Coordinate completion of all Board meeting and Enforcement committee meeting reports and all disciplinary actions scheduled for hearing.	AS/D	3%
Special Projects such as the Strategic Plan and special reports to the Board, professional organizations and others as needed.	AS/D	2%
Total Time %		100%
Work Not Getting Done		
Review Staff Work.		15 hours /week
Provide Minimal guidance to staff.		8 hours/week
Update and maintain Board's Enforcement Manual.		2 hours/week
One on one meetings with staff.		7 hours/week

AGPA Workload

The following work distribution charts 4B and 4C display the heavy workloads for the four AGPAs in this unit.

Work distribution chart 4B displays workload for AGPA incumbents Brasier and Castleberry. Brasier reports spending 80% of his time on duties of critical importance. These include evaluating and analyzing complaints and requesting additional information; reviewing and processing accusations, stipulations, statements of issue, proposed decisions, etc.; analyzing substantive issues for subject matter expert review; assisting with formal investigations; consulting with the Attorney General's Office; and determining merit for administrative citation and fine. This position also compiles enforcement statistical data, updates case activity and

information in BreEZe, testifies at administrative hearings, and drafts high level correspondence regarding case-related matters. Brasier reports needing about four hours a week to review new complaints, recommendations for expert review or field investigation, and to follow-up on ongoing investigations.

Castleberry reports spending about 75% of her time performing critical activities similar to Brasier. In addition, a minor aspect of her workload is updating and maintaining the Enforcement Manual. Like Brasier, Castleberry reports needing about four hours per week to perform similar follow-up activities as well 24-26 hours (one-time) to update the Enforcement Manual.

Chart 4B

Associate Governmental Program Analyst Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually

Bold = critical importance

C. Brasier - AGPA			Ashley Castleberry - AGPA		
Reports to: S. Monterrubio	# Auth Suprv	0	Reports to: S. Monterrubio	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Evaluate and analyze complaints and related evidence. Request additional information as needed. Conduct case-related research. Track complaint caseload. Determine whether possible violations exist, determine merit for expert review or formal field investigation.	D	40%	Evaluate and analyze complaints and related evidence. Request additional information as needed. Conduct case-related research. Track complaint caseload. Determine whether possible violations exist, determine merit for expert review or formal field investigation.	D	40%
Review, prepare and process accusations, stipulations, statements of issue, proposed decisions, orders, etc. received from Office of the Attorney General (OAG).	W	15%	Review, prepare and process accusations, stipulations, statements of issue, proposed decisions, orders, etc. received from Office of the Attorney General (OAG).	W	15%
Prepare written analysis of substantive issues for subject matter expert review for approval by the Enforcement Program Manager. Select proposed Expert. Confer with experts during case review. Track Expert	W	5%	Prepare written analysis of substantive issues for subject matter expert review for approval by the Enforcement Program Manager. Select proposed Expert. Confer with experts during case review.	W	5%
Evaluate expert review for violations. Determine merit for formal investigation or transmittal to the Office of the Attorney General.	W	5%	Evaluate expert review for violations. Determine merit for formal investigation or transmittal to the Office of the Attorney General.	W	5%
Assist Division of Investigation, Health Quality Investigations Unit with formal investigations. Select expert for final case review. Analyze final investigation report to determine whether additional investigation is needed, if case should be transmitted to OAG, or if case should be closed.	W	5%	Assist Division of Investigation, Health Quality Investigations Unit with formal investigations. Select expert for final case review. Analyze final investigation report to determine whether additional investigation is needed, if case should be transmitted to OAG, or if case should be closed.	W	5%
Consult with OAG regarding administrative disciplinary actions. Evaluate case violations and mitigation offered by subject. Negotiate settlements.	W	5%	Consult with OAG regarding administrative disciplinary actions. Evaluate case violations and mitigation offered by subject.	W	5%
Determine merit for administrative citation and fine. Verify evidence to substantiate violations and apply appropriate psychology licensing laws. Draft and issue citation order. Prepare case to be sent to OAG for administrative proceedings.	W	5%	Determine merit for administrative citation and fine. Verify evidence to substantiate violations and apply appropriate psychology licensing laws. Draft and issue citation order. Prepare case to be sent to OAG for administrative proceedings.	W	5%
Compile statistical data relating to the Board's enforcement program for inclusion in various reports and for submission to Board Members at Quarterly Board Meetings	Q	5%	Provide verbal and written responses to complex inquiries regarding enforcement matters. Draft high-level correspondence regarding case-related matters and requests for analysis of various legal and regulatory interpretations and positions of the Board.	W	5%
Update case activities and information in the BreEZe system. Assist Board and DCA BreEZe teams to develop and enhance the system.	Q	5%	Update case activities and information in the BreEZe system. Assist Board and DCA BreEZe teams to develop and enhance the	W	5%
Confer with colleagues, train other staff, and answer/make phone calls	D	5%	Confer with colleagues, train other staff, and answer/make phone	D	5%
Prepare for, travel to, and testify on behalf of the Board at statewide administrative hearings.	M	3%	Prepare for, travel to, and testify on behalf of the Board at statewide administrative hearings.	M	3%
Provide verbal and written responses to complex inquiries regarding enforcement matters. Draft high-level correspondence regarding case-related matters and requests for analysis of various legal and regulatory interpretations and positions of the Board.	Q	2%	Update Enforcement Manual.	W	2%
Total Time %		100%	Total Time %		100%
Work Not Getting Done			Work Not Getting Done		
Recommendations for Expert Review/field investigation	2-3 hrs/week		Recommendations for Expert Review/field investigation.	2 hrs/wk	
Follow up with field investigators concerning ongoing investigations	4 hrs/mo		Follow up with field investigators concerning ongoing	6 hrs/mo	
Review new complaints and subsequent correspondence	2 hrs/day		Update Enforcement Manual.	24-26 hrs/total	
			Maintain Enforcement Manual.	2 hrs/mo	

Work distribution chart 4C displays workload for AGPA incumbents Morales and Tanner. Morales reports spending 70% of her time performing critical activities similar to Brasier and Castleberry. She also manages the expert reviewer program, including training. Like Brasier and Castleberry, Morales reports needing about four hours per week to perform similar follow-up activities, including updating and maintaining various expert, investigation and disciplinary action spreadsheets. The spreadsheets could potentially be maintained in BreEZe or a separate database for faster data retrieval and reporting.

Tanner reports spending about 80% of her time in critical activities concerning probation, such as tracking probation compliance and preparing related reports, responding to probationer questions by email, mail or telephone, attends probationer intake appointments, and works on related projects. She is also the unit's BreEZe liaison. In addition, she performs a variety of administrative tasks such as requests, resolves accounting and billing problems, and email overflow. Tanner reports needing about two hours per day to process reports.

Chart 4C
Associate Governmental Program Analyst Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded			Deborah Morales - AGPA			Barbara Tanner - AGPA		
Reports to: S. Monterrubio	# Auth Suprv	0	Reports to: S. Monterrubio	# Auth Suprv	0			
Duties	Freq	% Time	Duties	Freq	% Time			
Evaluate and analyze complaints and related evidence. Request additional information as needed. Conduct case-related research. Track complaint caseload. Determine whether possible violations exist, determine merit for expert review or formal field investigation.	D	25%	Track Probation compliance with terms of disciplinary orders, including reviewing all documents submitted by probationers, practice monitors, and therapists to ensure that all terms and conditions of the probationary orders are met. Prepares reports to support filing of a Petition to Revoke Probation or decisions on petitions for reduction or termination of probation.	D	50%			
Review, prepare and process accusations, stipulations, statements of issue, proposed decisions, orders, etc. received from Office of the Attorney General (OAG).	W	15%	Respond to probationer questions through email, written correspondence or phone.	W	25%			
Manage expert reviewer program. Develop expert reviewer criteria and establish program needs. Coordinate expert reviewer nominations for Board member review and voting. Coordinate annual expert reviewer training workshop and training.	D	15%	Improve probation process workflows.	W	5%			
Prepare written analysis of substantive issues for subject matter expert review for approval by the Enforcement Program Manager. Select proposed expert. Confer with experts during case review. Track Expert case load.	D	5%	Sits on the BreEZe related Enforcement User's Group, resolves accounting issues, report development	W	5%			
Assist Division of Investigation, Health Quality Investigations Unit with formal investigations. Select expert for final case review. Analyze final investigation report to determine whether additional investigation is needed, if case should be transmitted to OAG, or if case should be closed.	W	5%	Research or administration requests	W	5%			
Consult with OAG regarding administrative disciplinary actions. Evaluate case violations and mitigation offered by subject. Negotiate settlements.	W	5%	Attend meetings and training.	W	4%			
Determine merit for administrative citation and fine. Verify evidence to substantiate violations and apply appropriate psychology licensing laws. Draft and issue citation order. Prepare case to be sent to OAG for administrative	W	5%	Email overflow, Admin DCA notices, training notices, catastrophic leave requests	W	2%			
Report licensing and certification actions taken by the Board to the Association of State and Provincial Psychology Boards. Calendar and submit details of all Board actions taken within statutory deadlines.	W	5%	Short term projects like FTB intercept and probationer billing	AS	2%			
Update case activities and information in the BreEZe system. Assist Board and DCA BreEZe teams to develop and enhance the system.	D	5%	Accounting Resolutions	AS	1%			
Confer with colleagues, train other staff, and answer/make phone calls	W	5%	On-site monitoring visits, intake appointments for probationers	AS	1%			
Evaluate expert review for violations. Determine merit for formal investigation or transmittal to the Office of the Attorney General.	W	5%						
Prepare for, travel to, and testify on behalf of the Board at statewide administrative hearings.	Q	3%						
Provide verbal and written responses to complex inquiries regarding enforcement	AS	2%						
Total Time %			Total Time %			100%		
Work Not Getting Done			Work Not Getting Done					
Follow up with field investigators concerning ongoing investigations		6 hrs/mo	Report Processing		2hrs/day			
Update and maintain expert, investigation and disciplinary action spreadsheets		2 hrs/wk						
Review new complaints and subsequent correspondence.		1.5 hrs/day						
Update and maintain Enforcement Manual		2hrs/wk						

SSA and SI Workload

Work distribution chart 4D displays workload for SSA incumbent Loyola and SI incumbent Russell. Loyola reports spending 100% of his time performing mission-critical duties such as performing desk investigations of consumer complaints; reviewing, preparing and processing accusations, stipulations, statements of issue, proposed decisions, etc.; preparing cases for Board review; preparing responses to complex Enforcement inquiries; and providing supporting documentation. Loyola reported all assigned work was being completed, but he was new to the position and did not yet have a full workload.

As the sole Special Investigator (SI) in the unit, Russell has a heavy workload comparable to the AGPAs with 100% of her time dedicated to critical activities. Most of her time is spent conducting administrative law investigations and investigative report writing. The balance of the time is consumed by performing internal administrative functions such as maintaining various logs, drafting correspondence, preparing cases for administrative law adjudication, and traveling to and testifying at administrative hearings. Russell reports needing about two hours a week to follow-up on ongoing investigations and maintain the Enforcement manual once it is updated. She estimates needing about 24-36 hours to update the Enforcement manual.

Chart 4D

Staff Services Analyst and Special Investigator Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Robert Loyola - SSA			Denise Russell- SI		
Reports to: S. Monterrubio	# Auth Suprv	0	Reports to: S. Monterrubio	# Auth Suprv	0
Duties	Freq	% Time	Duties	Freq	% Time
Perform desk investigations of incoming consumer complaints.	D	60%	Administrative law investigations – examines a variety of records and information to detect, secure or verify suspected administrative violations and violators of the laws, rules and regulations. Independently evaluate and analyze consumer and patient complaints and related evidence, such as conviction data, arrest reports, court documents, malpractice award notifications (801 reports), peer review reports (805 reports) and license reinstatement/probation early termination applications. Request additional information and releases from related parties, request patient records and responses, analyze information received from the parties and request additional information, if needed. Conduct case-related research. Apply regulatory and ethical requirements to determine whether possible violations exist. Determine merit for cases requiring expert review, formal field investigation and/or investigative interviewing of Subjects, Complainants and/or witnesses. Assist Division of Investigation, Health Quality Investigation Unit (HQIU), with formal investigation process.	D	55%
Review, prepare and process accusations, stipulations, statements of issue, proposed decisions, orders, etc. received from Office of the Attorney General (OAG).	W	15%	Investigative report writing – draft concise, detailed reports of the events of the investigation, including documented evidence, statements from witnesses and a general case synopsis to ensure the findings are fully supported by the facts and other evidence. Create investigative plans, including: review of the complaint and for report, requesting information, interviewing subjects/complainants/witnesses, analyzing the data, and writing the investigative reports.	W	30%
Prepares cases for Board mail ballots or Board meetings.	Q	10%	Administrative functions and logs – prepare and perform internal administrative functions such as case activity logs, subpoena logs, copying and tracking. Provide verbal and written responses to complex inquiries regarding enforcement matters. Draft high-level correspondence regarding case-related matters and requests for analysis of various legal and regulatory interpretations and positions of the Board. Update case activities and information in the BreEze system. Assist Board and DCA BreEze teams to develop and enhance the system.	W	5%
Provides verbal and written responses to complex inquiries regarding enforcement matters.	D	10%	Case preparation and administrative law adjudication – confer with Deputy Attorney General and DCA Legal to prepare Statement of Issue, Accusation, Cite and Fine, Consumer Notice and other legal notices regarding administrative disciplinary actions. Evaluate case violations and mitigation offered by subject. Negotiate settlements. Confer with Enforcement Program Manager regarding the appropriate level of discipline, as needed.	W	5%
Prepares and provides supporting documents.	D	5%	Prepare for, travel to, and testify on behalf of the Board at statewide administrative hearings.	W	5%
Total Time %		100%	Total Time %		100%
Work Not Getting Done			Work Not Getting Done		
None			Follow up with field investigators concerning ongoing investigations		6 hrs/mo
			Update Enforcement Manual		24-36 hrs/total
			Maintain Enforcement Manual		2 hrs/mo

OT Workload

Work distribution chart 4E displays workload for OT incumbent Castillo. Castillo reports spending 100% of her time performing critical activities, including handling complaint intake; application intake and processing for the Expert Reviewer program; preparing cases to send to Expert Reviewers or investigation; processing certificates of licensure and Public Records Act requests; responding to emails, mail and telephone inquiries; and providing other clerical support. Castillo reports needing about 13 hours a week to do Expert referrals, Expert Reviewer payables and filing.

Chart 4E
Office Technician Work Distribution Chart

Legend: AS = As Needed, W = Weekly, M = Monthly, Q = Quarterly, S = Semiannually, A = Annually
Bold = critical importance

Critical duties are bolded

Joana Castillo - OT		
Reports to: S. Monterrubio	# Auth Suprv	0
Duties	Freq	% Time
Complaint Intake: Open new complaints received via mail or online; assign/track to enforcement staff; refer to another agency if it is not within BOP jurisdiction.	D	40%
Expert Reviewer Program: Application intake and processing: request for services, prepare cases for review, track deadlines and expenses; maintain contracts and payroll records.	D	30%
Prepare cases to send to Expert or investigation; respond to mail or phone inquiries; filing, update Enforcement Manual and other clerical support for the Unit.	W	20%
Process certificates of licensure and Public Records Act requests.	W	10%
Total Time %		100%
Work Not Getting Done		
Expert Reviewer payment data entry		2 hrs/wk
Expert Referral		8hrs/wk
Filing		3hrs/wk

Classification Review Results

The CPS HR classification review reveals the Enforcement Unit personnel are classified appropriately.

Unit Statistics and Performance Measures

The Department of Consumer Affairs Annual Reports and Quarterly Enforcement Reports summarize Board enforcement activity. The following seven tables display the Enforcement activities and results during FY 2012-13 through 2014-15.

Table 3A shows the number of consumer complaints received, closed referred to investigation and pending. The number of complaints received, referred for investigation and pending increased ever fiscal year.

Table 3A
Board of Psychology Consumer Complaints from FY 2012-13 through FY 2014-15

Action	FY 2012-13	FY 2013-14	FY 2014-15
Received	707	643	705
Closed without investigation	94	124	17
Referred for investigation	571	629	412
Pending	6	23	51

Source: DCA Annual Report and Board of Psychology

The performance measure from complaint receipt to the date the complaint is assigned is nine days. During the fourth quarter of 2014, the actual Board average was seven days.

Table 3B displays the investigations and convictions opened closed, and pending. The number of investigations grew over the three-fiscal year period but the number of closures declined. The number of convictions opened and closed during FY 2013-14 was abnormally large (* through 12/31/14).

Table 3B
Board of Psychology Investigations and Convictions from FY 2012-13 through FY 2014-15

Action	Investigations			Conviction/Arrest Complaints		
	FY 2012-13	FY 2013-14	FY 14-15*	FY 2012-13	FY 2013-14	FY 14-15*
Opened	676	643	434	42	133	27
Closed	622	512	323	44	124	28
Pending	123	131	111	0	6	5

Source: DCA Annual Report and Board of Psychology

Table 3C discloses the number of days it took to complete an investigation. Most investigations were completed during this three-fiscal year time period in 90 days or less.

Table 3C
Board of Psychology Investigation Cycle Time from FY 2012-13 through FY 2014-15

Days	FY 12-13	FY 13-14	FY 14-15*
Up to 90 days	499	412	251
91 to 180 days	49	52	43
181 days to 1 year	33	15	12
1 to 2 years	37	23	14
2 to 3 years	3	9	2
Over 3 years	1	0	0
Avg days to complete	65	82	87

Source: DCA Annual Report and Board of Psychology

The performance measure for completing the entire enforcement process for cases not submitted to the Attorney General’s Office is 80 days. During the fourth quarter of 2014, the actual Board average was 56 days.

Table 4 reveals the citations & fines issued, withdrawn/dismissed and the average number of days it took to issue. The number citations & fines and average days to issue increased over this three-fiscal year period.

Table 4
Board of Psychology Citations & Fines from FY 2012-13 through FY 2014-15

Action	FY 2012-13	FY 2013-14	FY 2014-15*
Issued	10	4	7
Issued with a fine	10	4	7
Withdrawn	1	0	0
Dismissed	0	0	0
Avg days to issue	227	307	228

Source: DCA Annual Report and Board of Psychology

Table 5 shows the civil and criminal actions the Board referred for action and actions filed. The number of referrals for action of all types decreased over this three-fiscal year period.

Table 5
Board of Psychology Civil and Criminal Actions from FY 2012-13 through FY 2014-15

Action	FY 2012-13	FY 2013-14	FY 2014-15*
Referrals for action	6	1	NA
Criminal actions filed	4	0	NA
Civil actions filed	0	0	NA

Source: DCA Annual Report and Board of Psychology

Table 6a displays the Attorney General discipline cases opened, closed and pending. The number of Attorney General cases opened and closed remained stable over this three-fiscal year period.

Table 6a
Attorney General Office Discipline Cases from FY 2012-13 through FY 2014-15

Action	FY 2012-13	FY 2013-14	FY 2014-15*
Cases opened	38	39	20
Cases closed	23	31	NA
Cases pending	57	44	NA

Source: DCA Annual Report and Board of Psychology

Table 6b discloses the days to complete Attorney General discipline cases. Most Attorney General cases took one to two years to complete and the average number of days to discipline decreased over this three-year fiscal period.

Table 6b
Days to Complete Attorney General Office Discipline Cases from FY 2012-13 through FY 2014-15

Action	FY 2012-13	FY 2013-14	FY 2014-15*
1 year	4	5	NA
1 to 2 years	2	13	NA
2 to 3 years	6	6	NA
3 to 4 years	11	4	NA
Over 4 years	0	3	NA
Avg days to discipline	985	868	NA

Source: DCA Annual Report and Board of Psychology

The performance measure for completing the entire enforcement process for cases submitted to the Attorney General’s Office is 540 days. During the fourth quarter of 2014, the actual Board average was 1,018 days.

Major Business Process Review

The Enforcement & Probation Unit oversees and performs five major business processes:

- Complaint and Discipline process
- Citation & Fine process
- Cease and Desist process
- Statement of Issues process

The following describes the current “as is” processes and high level improvements, if any, for the proposed “to be” process.

Complaint and Discipline Process

The purpose of this very complex, lengthy and repetitive 186-step process is to describe the complaint and discipline tasks performed when anyone believes a psychologist, psychological assistant or registered psychologist has acted illegally, irresponsible or unprofessionally.

The participants in the process include the following: Complainant, Subject of the Complaint (Subject), Enforcement Office Technician (OT), Enforcement Analyst (EA), Enforcement Manager (EM), Executive Officer (EO), Expert Reviewer (ER), the Division of Investigation’s Health Quality Investigation Unit (HQIU) and the Attorney General’s Office (AG).

Flowchart Page 1

As the following flowchart displays, the process starts with the Complainant submitting a complaint form in a variety of ways to the Board. The OT receives the complaint, logs it into BreEZe and prepares a new file. Within 10 days of receipt, the OT prepares/sends an acknowledgement letter to the Complainant and forwards the file to an EA.

The EA reviews the complaint and determines if it's within the Board's jurisdiction, if there are other complaints/referrals against the Complainant, and/or if it concerns sexual misconduct. If the complaint is outside of the Board's jurisdiction, the EA prepares a recommendation to close the complaint for EM approval. If approved, the EA prepares/sends a closure letter to the Complainant and closes the case.

For sexual misconduct complaints, the EA prepares a recommendation for referral to HQIU for EM approval. If approved, the EA forwards the referral to the OT who sends it to HQIU for action.

Flowchart Page 2

If the complaint is within jurisdiction and everything else is satisfactory, the EA reviews the complaint for similar allegations then decides whether to refer to the HQIU or AG. If the EA decides to refer the complaint out, the EA prepares a referral recommendation for EM approval. If approved, the EA sends the approved referral to HQIU or AG by certified mail.

If there is no referral, the EA determines if more information is needed. If yes, the EA prepares/sends a letter with a 14-day deadline to the Complainant who may or may not respond. If the Complainant response is not received within the time limit, the EA prepares a closure letter for EM approval then sends it to the Complainant and closes the case.

Flowchart Page 3

If more information is not required, the EA completes the review and either: a) prepares/sends a letter with a 14-day deadline to the Subject who may or may not respond, or refers to b) HQIU or to c) an Expert Reviewer. The outside referrals require the EA to prepare recommendations for EM approval. If approved for HQIU, the OT receives the information from the EA, prepares/sends a letter to the Complainant and sends the complaint information to HQIU by certified mail.

If approved for an Expert Review, the OT identifies an available ER and sends her/him the information, and prepares/sends a letter to the Complainant advising her/him of the referral to the ER. The ER reviews the complaint, prepares a report and sends it to the OT.

If the Subject does not respond within the 14-day time limit, the EA prepares/sends a final notice with a 7-day deadline to the Subject. If the Subject does respond on time, the EA reviews the response and determines if it's satisfactory. If the response is sufficient, the EA prepares/sends a closure letter for EM approval. Once approved, the EA sends the closure letter to the Complainant and Subject of the Complaints, and closes the case.

Flowchart Page 4

If the Subject response to the 7-day letter is not received on time, the EA refers the complaint to the Citation & Fine process.

If the Subject response is received within seven days but more explanation is required, the EA prepares/sends the Subject another letter requesting an explanation within 7-14 days.

If the Subject response is not received with 7-14 days, the EA prepares/sends the Subject a final notice with a 7-day deadline. If the Subject response is not received on time, the EA refers the complaint to the Citation & Fine process.

Flowchart Page 5

If the 7-day response is satisfactory, the EA prepares/sends a closure letter for EM approval. Once approved, the EA sends the closure letter to the Complainant and Subject of the Complaint, and closes the case. If the response is on time but unsatisfactory, the EA can once again elect to send the case to an ER.

The EA identifies three ERs, prepares the expert recommendation for EM approval. After approval the EA sends the package to the OT who determines ER availability and sends copies to the ERs for review, and prepares/sends a letter to the Complainant advising him/her of the ER referral.

Upon receipt of the ER report, the OT forwards the report to the EA and the Statement of ER Services to Accounts Payable. The EA reviews the report.

Flowchart Page 6

If the ER needs more information, the EA prepares/sends letters to both the Complainant and Subject of the Complaint requesting more information within 7-14 days. Upon receipt, the EA refers the information to the ER who prepares a supplemental report.

The OT receives the supplement report and forwards it to the EA for review. If the information is sufficient, the EA determines whether there was no violation or departure. The EA prepares closure letters for EM approval, sends them to the Complainant and Subject, and closes the case.

If the information shows the case is not clear, the EA determines whether the case has 1-2 simple departures from the law. If yes, the EA determines whether the case warrants a citation or an educational letter. If a citation, the EA refers the complaint to the Citation & Fine process. If an educational letter, the EA prepares closure and educational letters for EM approval, sends the closure letter to the Complainant and the educational letter to the Subject, and closes the case.

Flowchart Page 7

However, if the EA determines the case has two simple departures or one extreme departure, s/he prepares a HQUI referral for EM approval. After approval, the EA sends the package and

referral letter to the OT, who sends the package to HQIU and a referral notice to the Complainant.

HQIU receives the referral, prepares an investigative report and sends it to the EA.

The EA reviews the report and confers with the EA about whether the violation is major or minor. If the violation is major, the EA advises HQIU who sends the decision and supporting information to the AG for discipline. If the violation is considered to be minor, the EA decides to either close the case or refer it to the Citation & Fine process. If the decision is to close the case, the EA prepares/sends closure letters to the Complainant and Subject of the Complaint, and closes the case.

Flowchart Page 8

Upon receipt of the case from HQIU, the AG assigns the case to a Deputy Attorney General (DAG) and the EA receives an acknowledgment. The DAG prepares/sends the initial pleadings to the EA for review.

The EA reviews the pleadings, presents them to the EO for signature, and serves the initial pleadings to the Complainant, Subject, EM, ER and Supervising Investigator.

The Subject of the Complaint may file a Notice of Defense (NOD) with the AG. If the AG receives a NOD, the DAG schedules a prehearing settlement conference and hearing dates with the Office of Administrative Law (OAL), and sends Notices of Hearing to the Subject and the EA, who forwards the notice to the Supervising Investigator.

If the AG does not receive a NOD, the DAG drafts a Default Decision and submits it to the EA for a Board vote.

The DAG confers with the EA about possible settlement terms, and holds the prehearing settlement conference with the EA and the Subject. If a settlement is reached, the DAG drafts the Stipulated Settlement, sends it to the Subject and his/her Counsel for signature. Upon receipt, the DAG sends the signed settlement to the EA. If the decision is to revoke or surrender the license, the EO must sign/approve the settlement and return to the EA. The EA copies and mails the Decision & Order to all parties, sends copies to the Probation Monitor, enters BreZE and closes the case.

Flowchart Page 9

If a settlement is not reached, a hearing is held before an Administrative Law Judge (ALJ). The ALJ submits a proposed decision to the EA for a Board vote. The EA sends the proposed decision to the Board for a vote with a 100-calendar day deadline.

The Board votes to adopt/hold for the Stipulated Settlement or to adopt/non-adopt for the Proposed Decision. If the vote is to adopt/hold for the Stipulated Settlement, the EA copies and mails the Decision & Order to all parties, sends copies to the Probation Monitor, enters BreZE and closes the case. If the vote is to non-adopt the Proposed Decision, the EA sends a Notice of

Non-Adopt to the Subject, ALJ and the DAG. After holding a closed session, Legal Counsel rewrites the Decision for the Board, the President signs and returns it to the EA. The EA copies and mails the Decision & Order to all involved parties, sends copies to the Probation Monitor if appropriate, reports to ASPPB, and closes the case.

Flowchart Page 10

If the Board does not non-adopt, the Board may choose to hold the matter over for discussion or resolve issues with the Stipulated Settlement terms and send the Settlement agreement back to the Attorney General for editing. The DAG adjusts the terms, sends to the EA for review, who returns the document to the DAG. The DAG sends the Stipulated Settlement to the Subject and Counsel for signature. Upon receipt, the DAG sends the signed Stipulated Settlement to the Analyst for signatures.

Flowchart Page 11

If the license is to be revoked or surrendered, the EO reviews, signs and returns to the EA. If the license is not revoked or surrendered, the EA sends to the Board to vote to adopt/non-adopt for the Proposed Decision and the President signs.

If adopted, the EA copies and mails the Decision & Order to all involved parties, sends copies to the Probation Monitor if appropriate, reports to ASPPB, and closes the case.

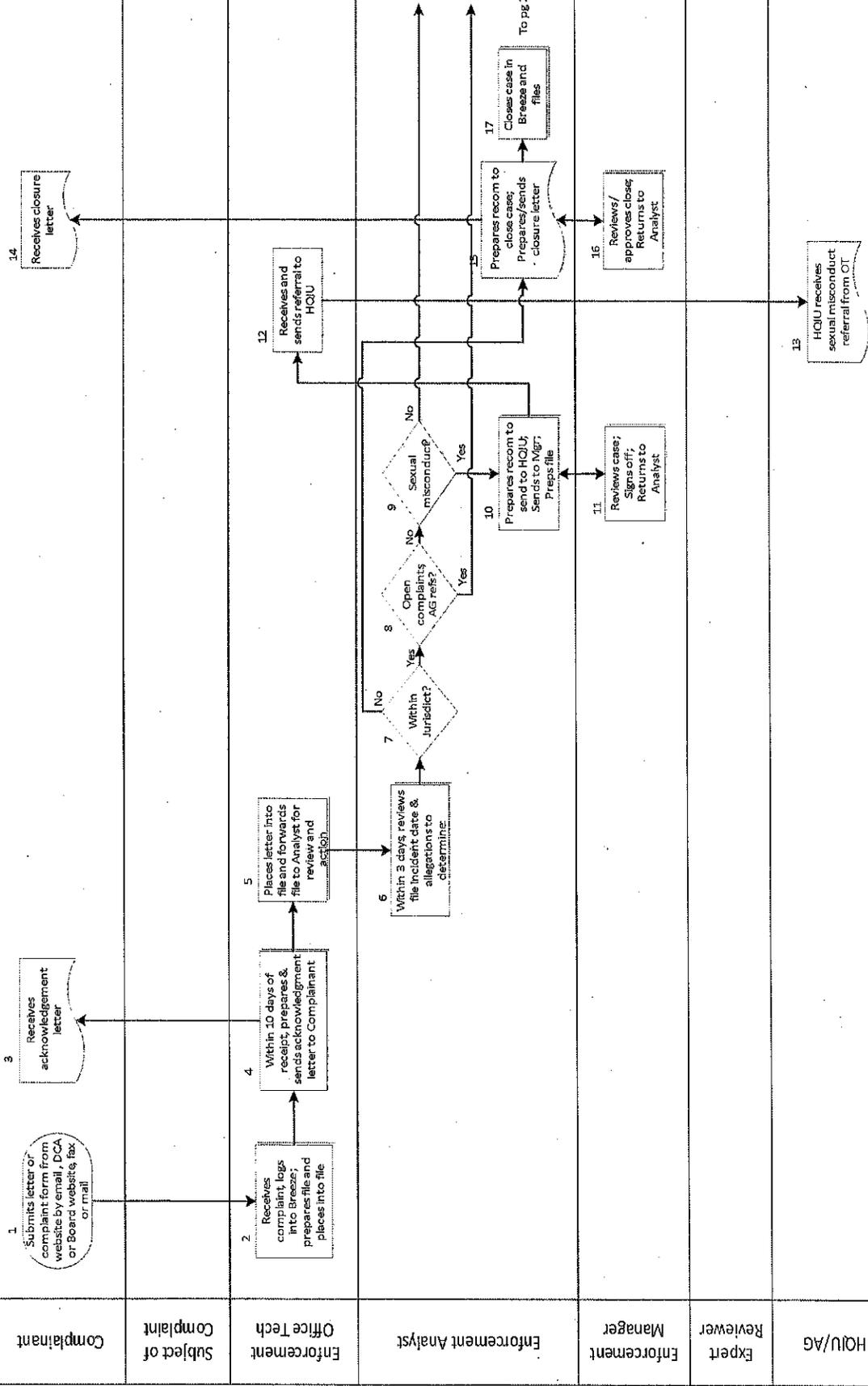
If not adopted, the EA sends the Notice of Non-Adopt to the Subject, ALJ and the DAG. The EA copies and mails the Decision & Order to all involved parties, sends copies to the Probation Monitor if appropriate, reports to ASPPB, and closes the case.

If the Subject's license is revoked or surrendered, he/she mails the license to the Board. If put on probation, the Subject contacts the Probation Monitor for instructions.

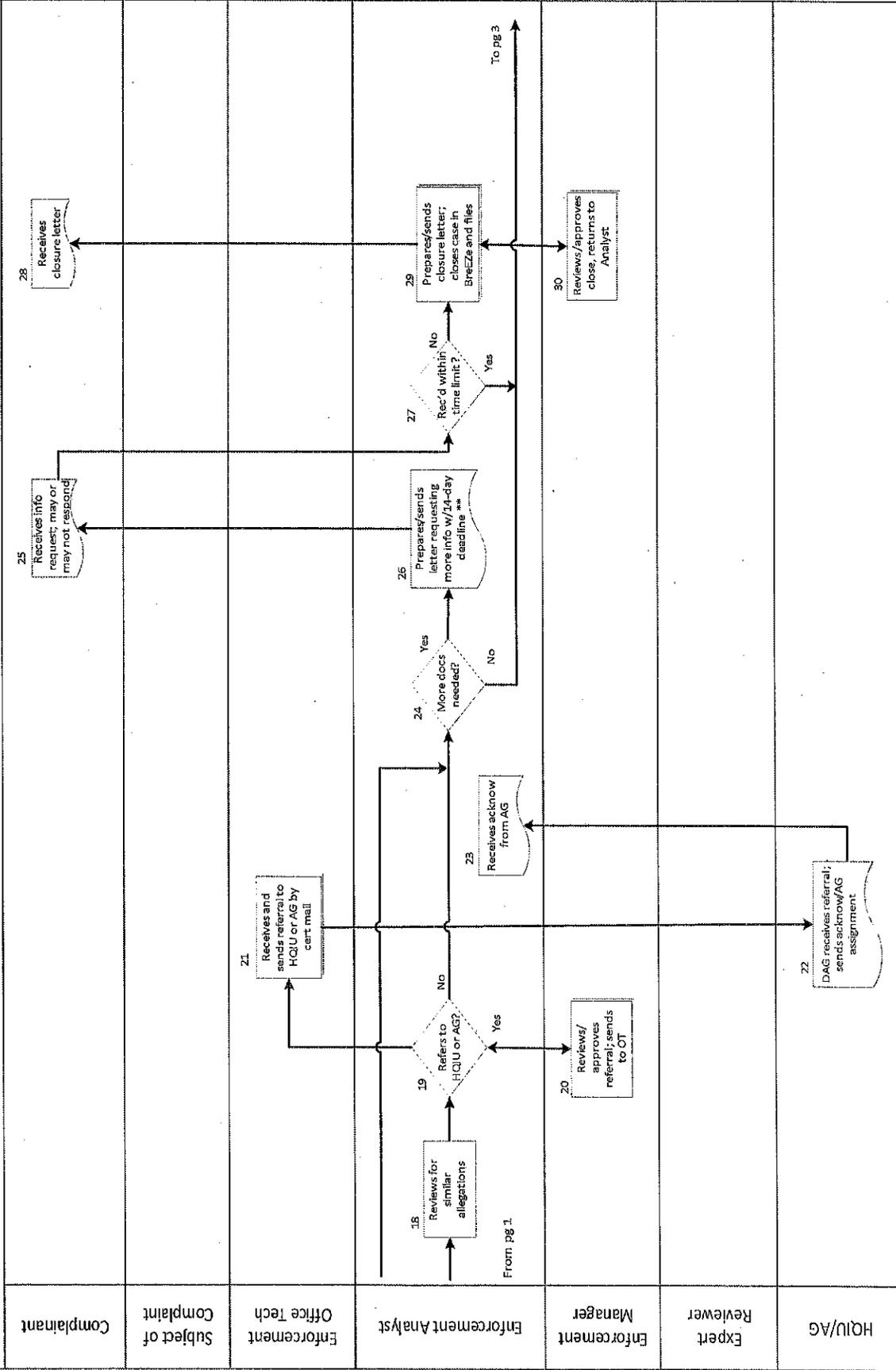
Proposed Process Improvements

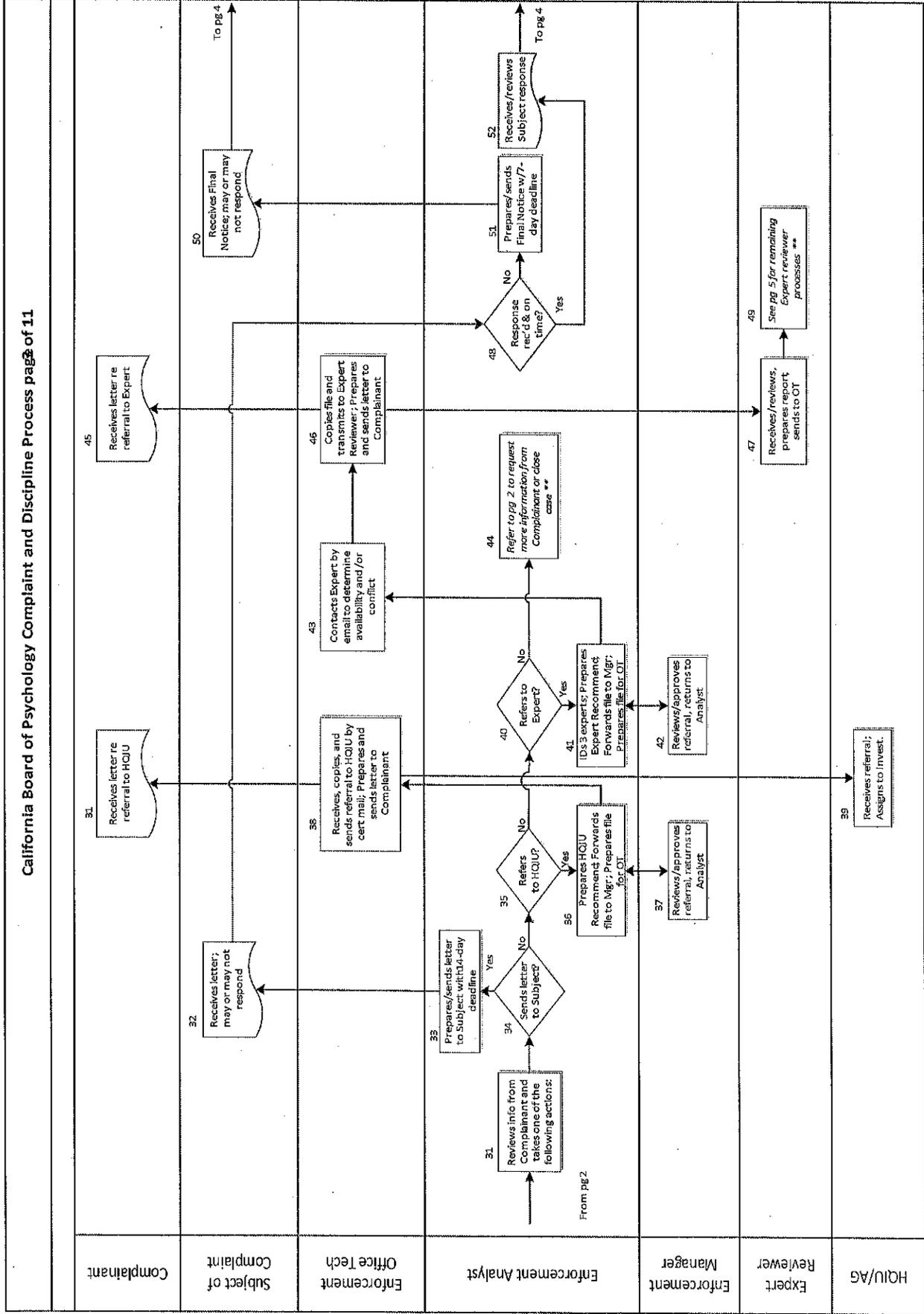
The Enforcement Analysts and Manager reviewed the current process and identified 28 process steps that are backlogged for a variety of reasons including: heavy EA and EM workload, Experts take longer than 30 days to review and comment, and/or an Attorney General slowdown. None of the 28 steps can be eliminated or consolidated and automation can't speed up the process. The most common solutions were for the EM to delegate the authorization for approving submittals and closing cases to EAs, and to hire more EAs and OTs. As indicated previously, an in-depth workload assessment of the AGPA and SI positions is warranted to determine if more administrative support is needed.

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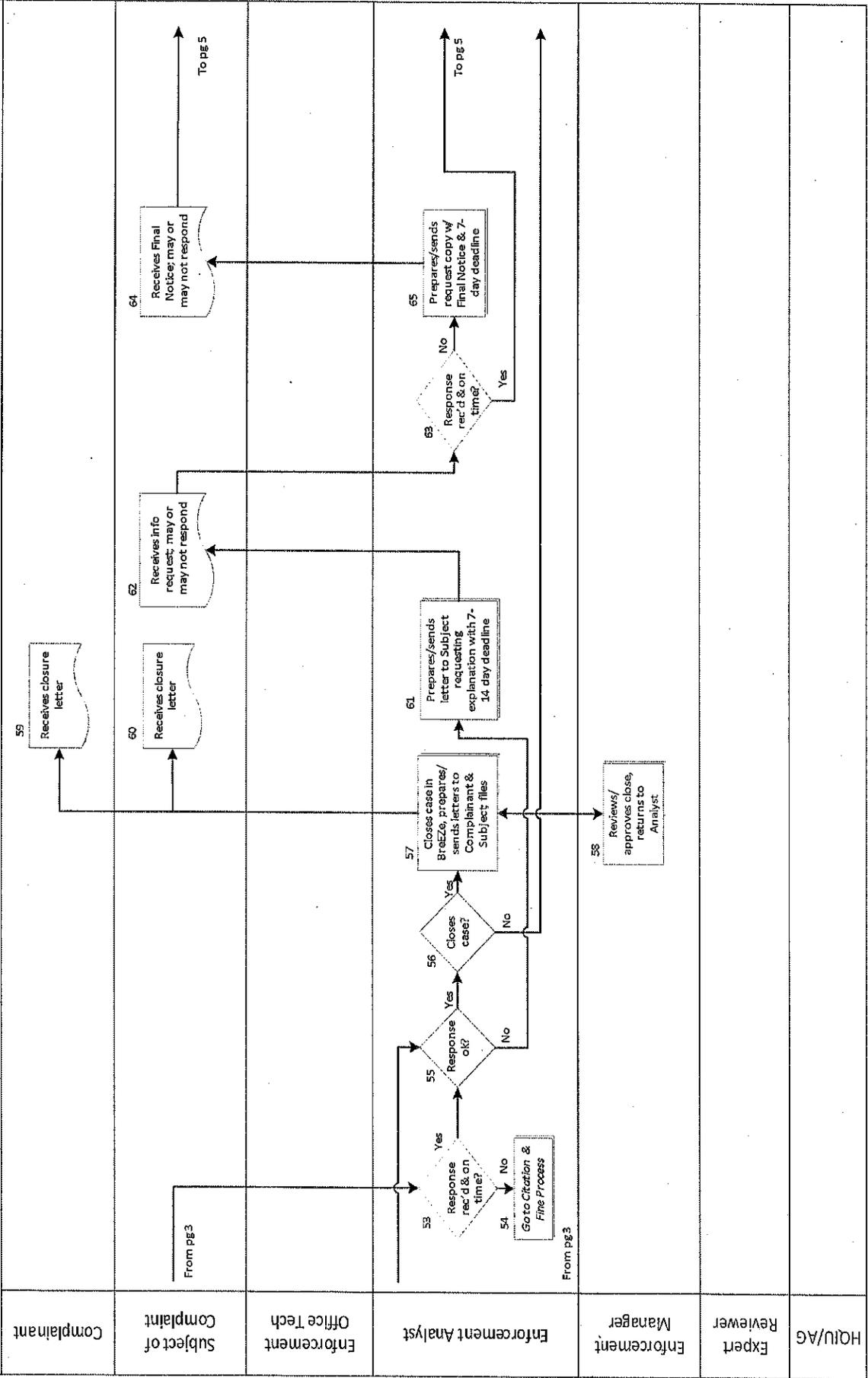


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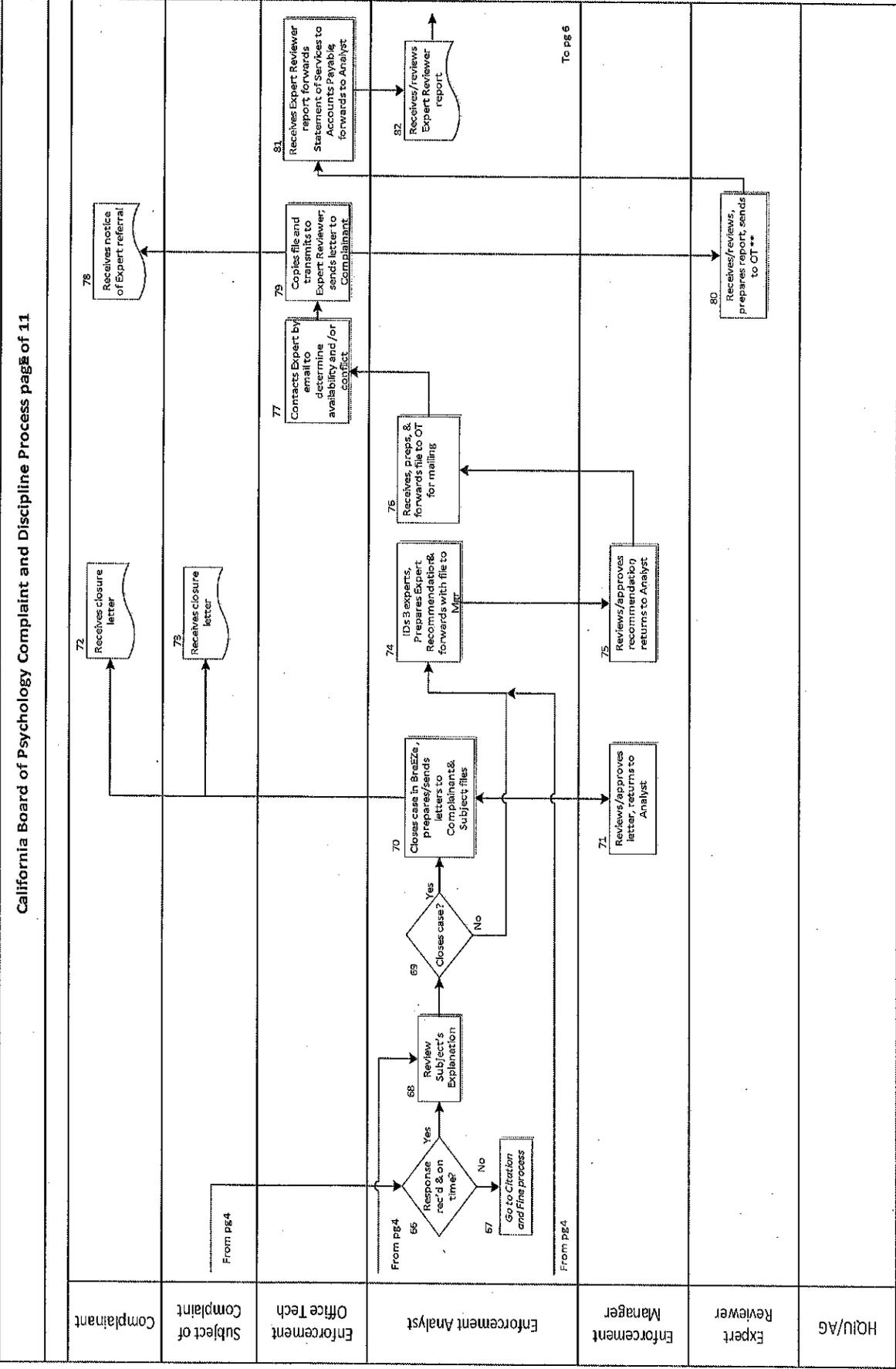


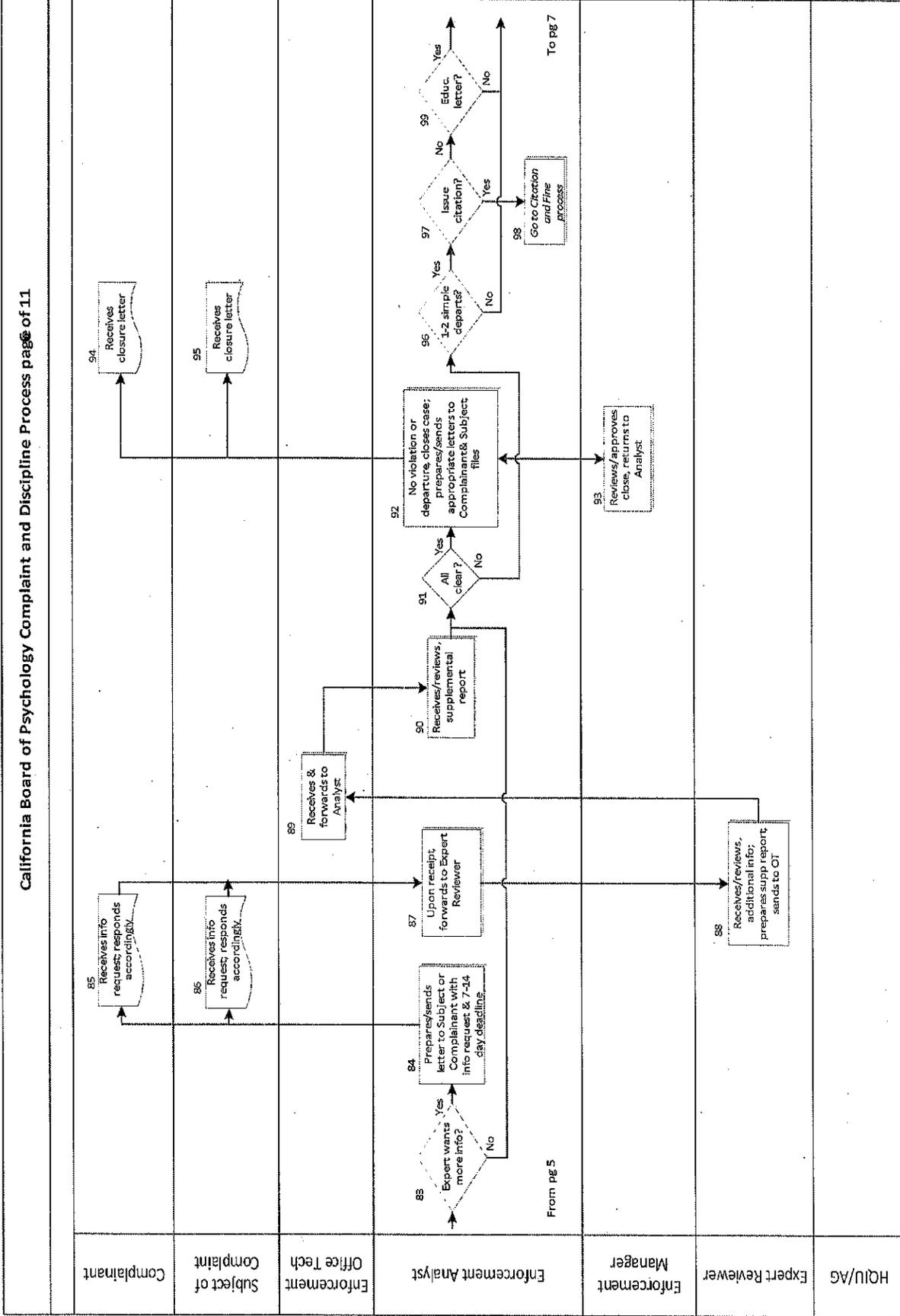


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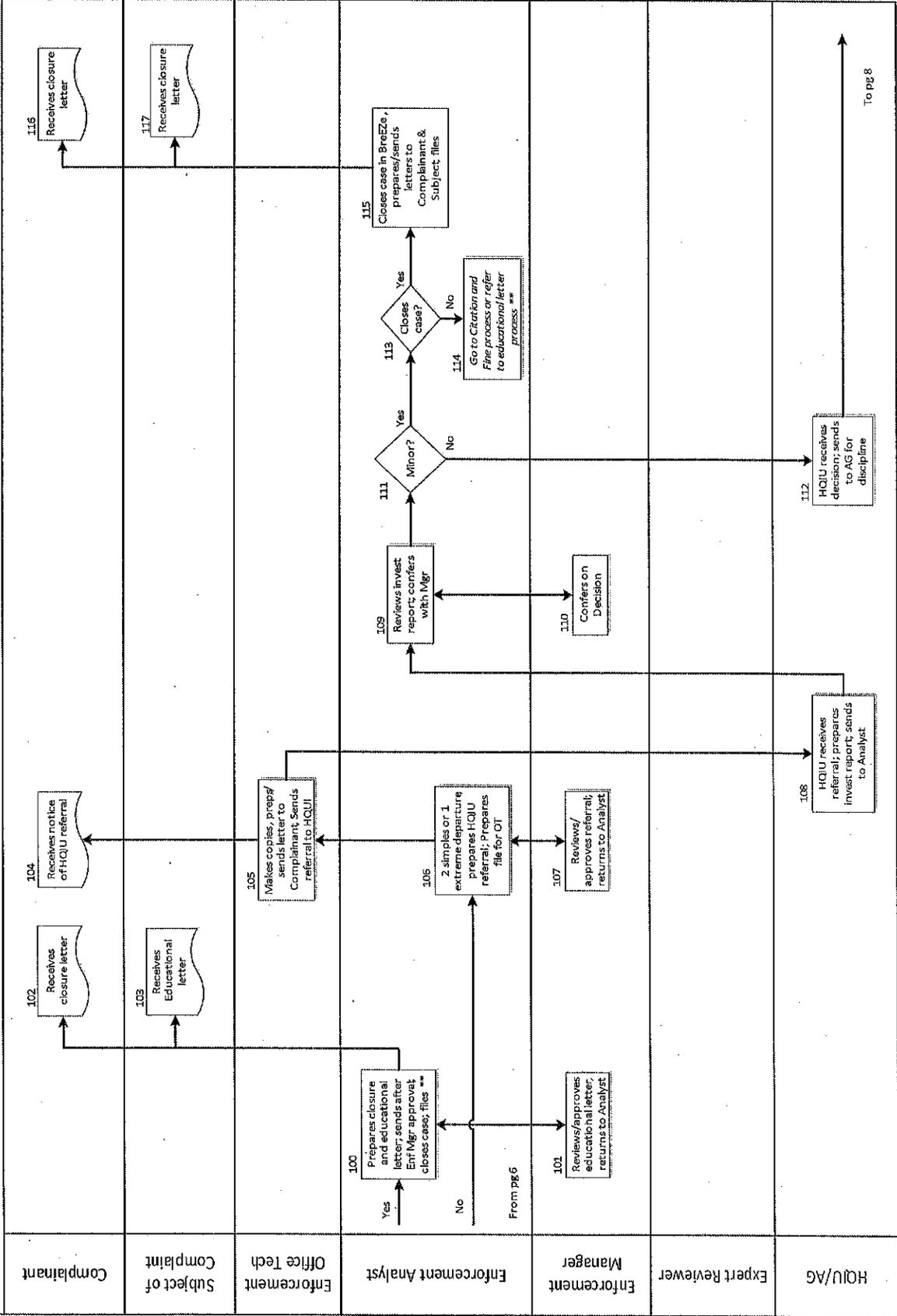


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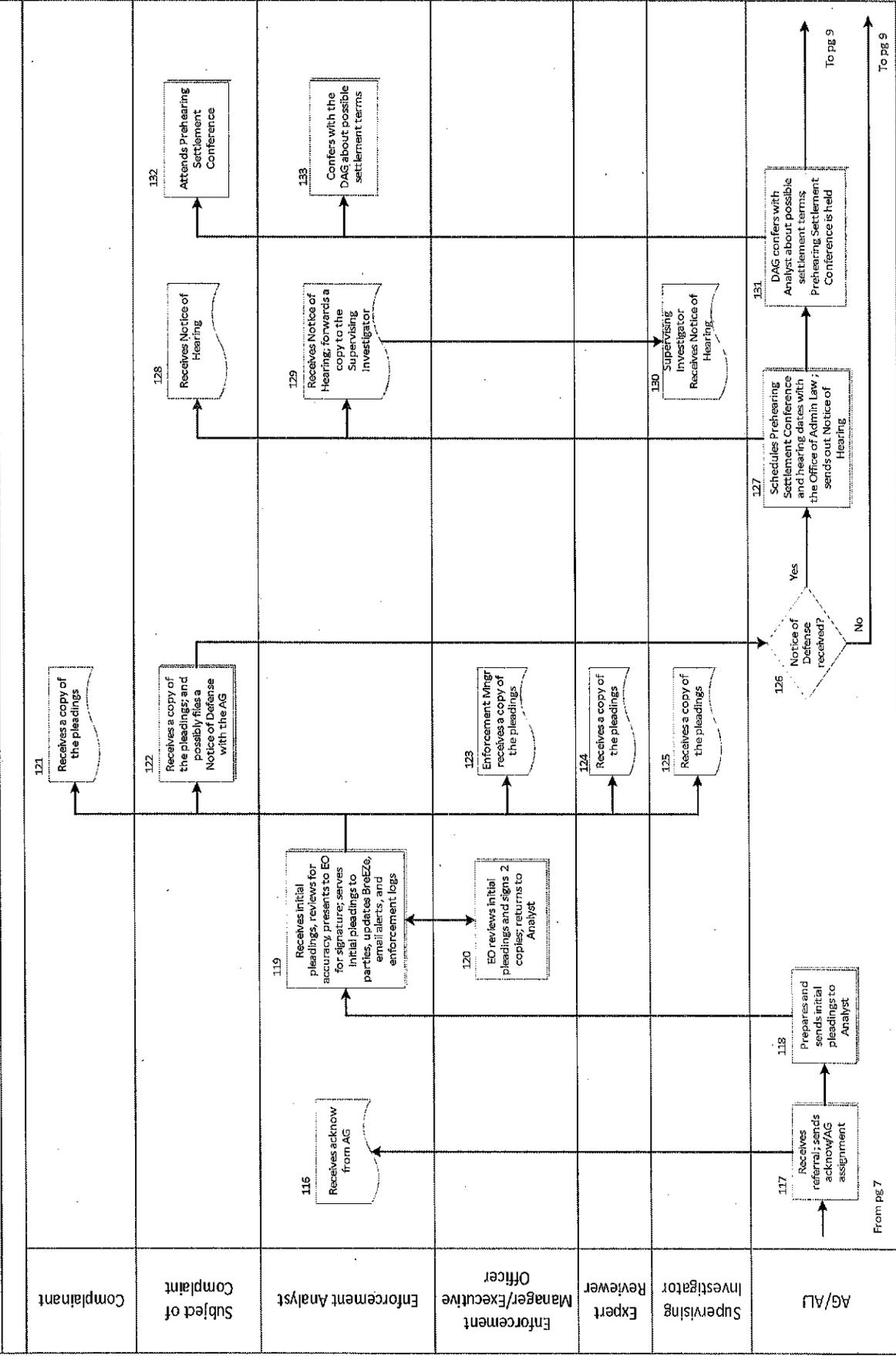




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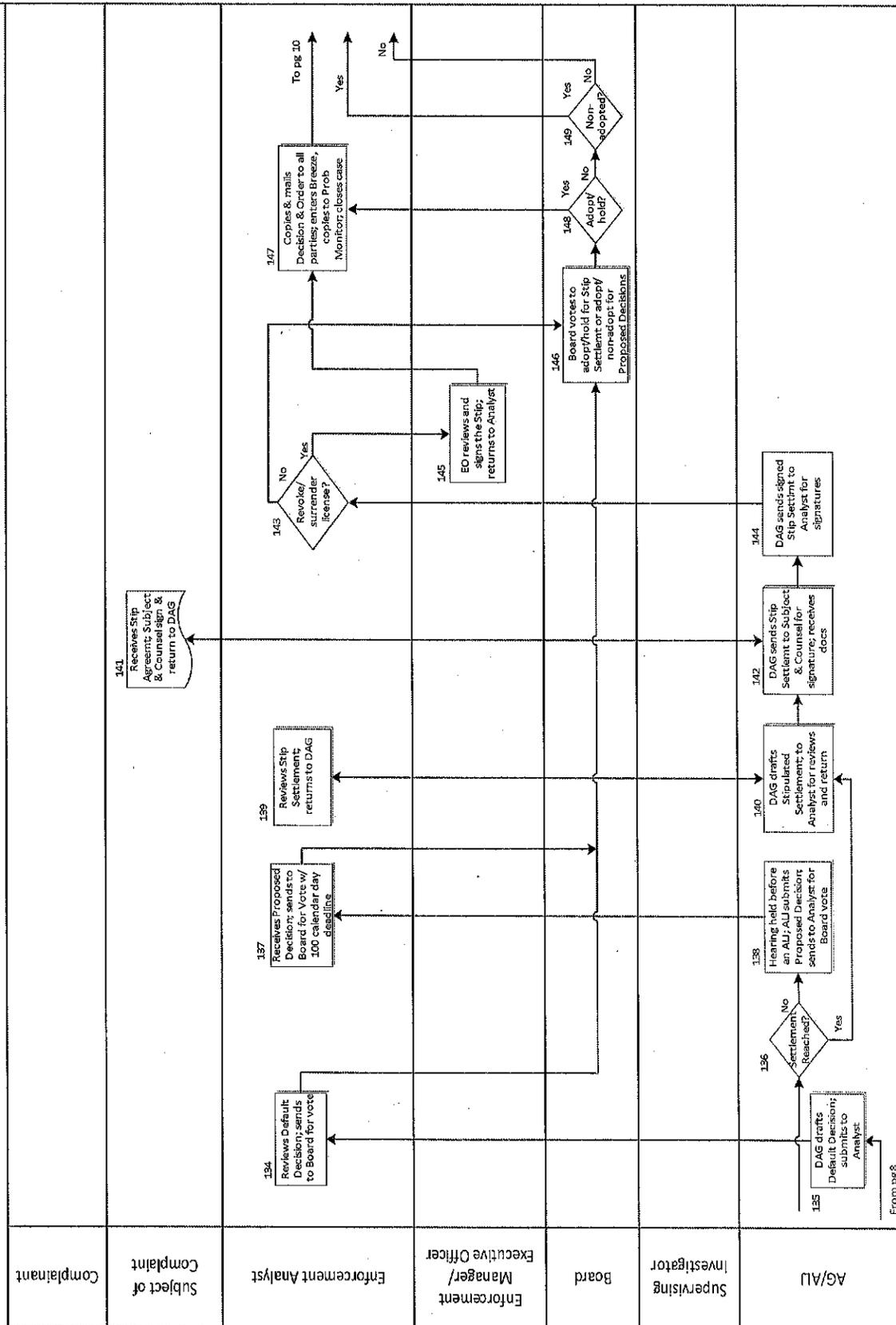
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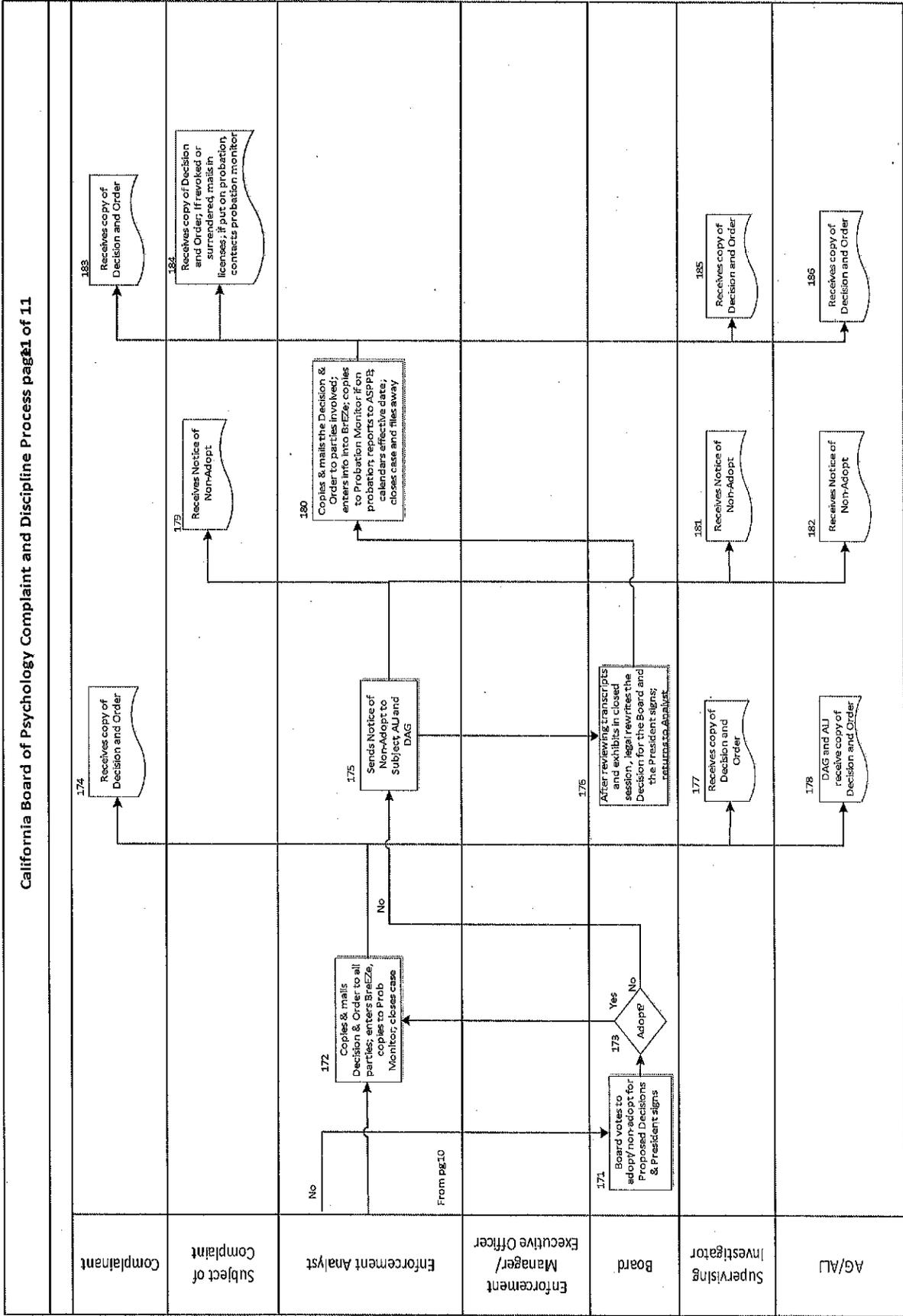
From pg 7

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California Board of Psychology Complaint and Discipline Process page of 11



From pg 8



Citation & Fine Process

The purpose of this 59-step process is to describe the Citation & Fine process for taking enforcement action against a licensed or unlicensed individual who is found to be in violation of California law.

The participants in the process include the following: Subject of the Citation (Subject), Administration Office Technician (AOT), Enforcement Office Technician (EOT), Enforcement Analyst (EA), Enforcement Manager (EM), Executive Officer/Board (EO/B), Health Quality Investigation Unit (HQIU), Attorney General (DAG), Office of Administrative Hearings (OAH) and Administrative Law Judge (ALJ).

Flowchart Page 1

As the following flowchart displays, the process starts with the EA receiving a complaint file. This includes reviewing the case for Business & Professions (B&P) code violations, completing a Cite & Fine Order, cover letter and declaration of service. The EM reviews the citation package, signs off and returns it to the EA. The EA makes copies, mails the original to the Subject by certified mail, and enters the date sent on the calendar and into the Citation Log.

The Subject receives the citation package and either agrees to pay the fine or not. If the Subject pays and mails the fine, the AOT receives and opens the mail, copies the check and forwards the check copy and package to the EA, and sends the check to DCA Cashiering.

The EA receives the abatement order and check copy from the AOT, prepares and sends a closure letter to the Subject, and closes the case in BreEZe. The Subject receives the closure letter.

If the Subject does not pay the fine, s/he may ask for an informal conference within 10 days of issuance of the Citation package. If the EA receives the response after 10 days, s/he prepares and sends the Subject a letter denying the informal conference but advises same that s/he may request an ALJ hearing within 30 days the citation issuance date.

Flowchart Page 2

If the Subject requests an informal conference within the 10-day time limit, the EA checks with the EO for a date and time, confirms the date and time by phone and email with the Subject, and gives the EO the file within one week of the meeting.

The informal conference is held as scheduled in person or by phone with the Subject, CEC and EO. If there are no changes as a result of the conference, the EA prepares and sends a letter informing the Subject the original Cite & Fine stands. If there are changes, the EA prepares a revised Cite & Fine, obtains the EO signature, and mails to the Subject.

The Subject receives either citation package and either agrees to pay the fine or not. If the Subject pays and mails the fine, the AOT receives and opens the mail, copies the check and forwards the check copy and package to the EA, and sends the check to DCA Cashiering.

The EA receives the abatement order and check copy from the AOT, prepares and sends a closure letter to the Subject, and closes the case in BreEZe. The Subject receives the closure letter.

If the Subject does not pay the fine, s/he may again ask for an informal conference and the process repeats itself, or s/he may or may not request an ALJ hearing. If the Subject does not request a hearing, the EA asks Licensing to put a hold on his/her license until paid and/or refers to the Franchise Tax Board for collection.

Flowchart Page 3

If the Subject does not request an ALJ hearing within 30 days of the Cite & Fine issuance date, the EA prepares and sends the Subject a letter declining the ALJ hearing, asks Licensing to place a hold on the license until paid, and/or refers to the Franchise Tax Board for collection.

If the Subject does request an ALJ hearing within the allowable time period, the EA notifies the EM of a hearing request, prepares a memo to the Supervising DAG, and forwards the memo and supporting documents to the EOT to send.

The Supervising DAG receives the package, assigns to a DAG, and sends a letter to the EA advising of case acceptance and the DAG assignment.

The ALJ hearing is held and the proposed decision is sent to the EA for a Board vote. The EA sends the proposed decision to the Board for a vote and calendars the 100-day deadline.

The Board votes to adopt or non-adopt the proposed decision. If adopted, the EA makes copies of the Decision & Order, mails a copy to all parties including the Probation Monitor, enters the information into BreEZe, and closes the case and files.

Flowchart Page 4

If the proposed decision is not adopted, the EA prepares and sends a Notice of Non-Adopt to all parties.

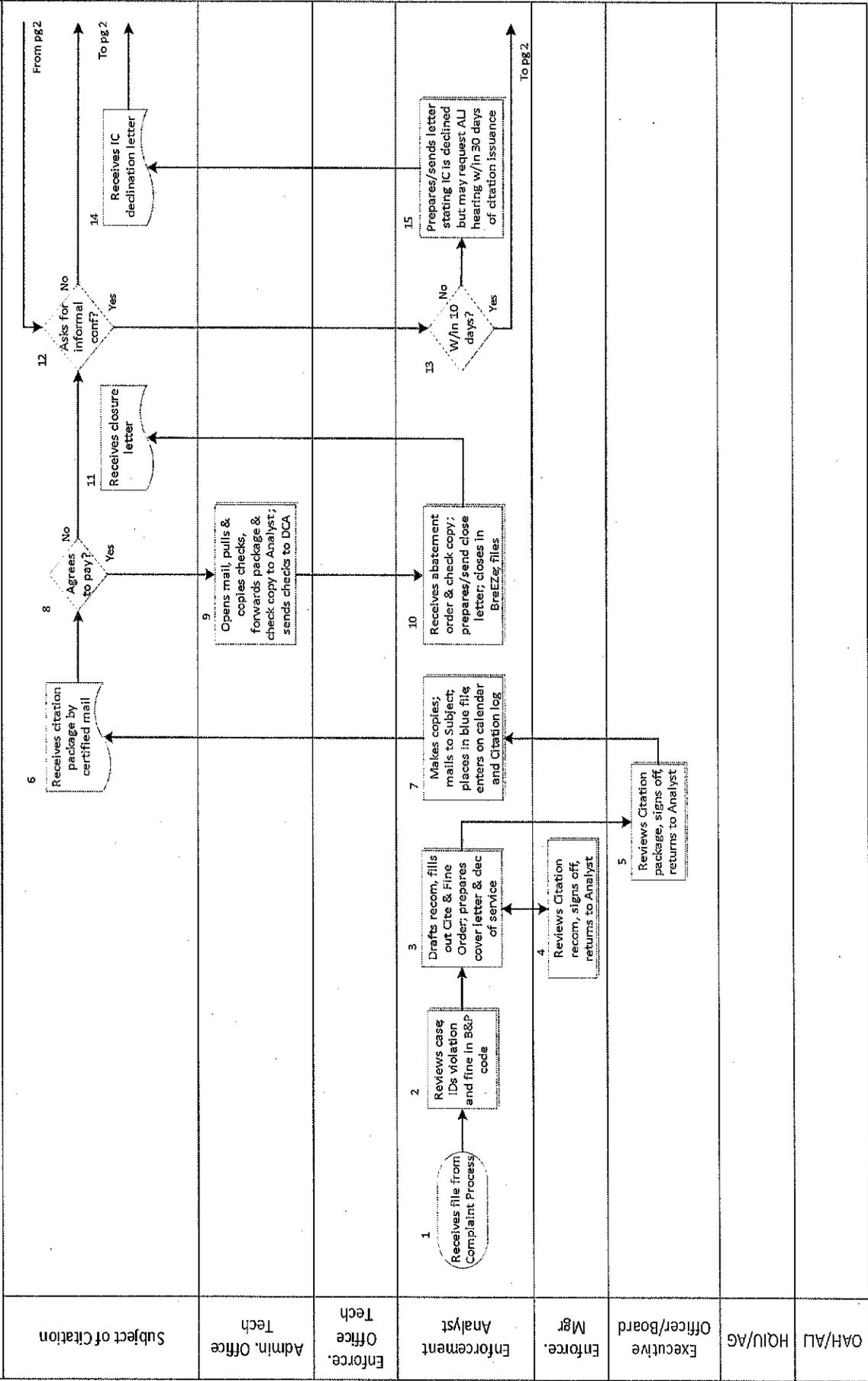
After the Board reviews the transcripts and exhibits in closed session, Legal Counsel rewrites the Decision for a Board vote, the President of the Board signs and returns to the EA.

The EA copies and mails the Decision and Order to all parties, enters the information into BreEZe, closes the case after full payment is received, and files.

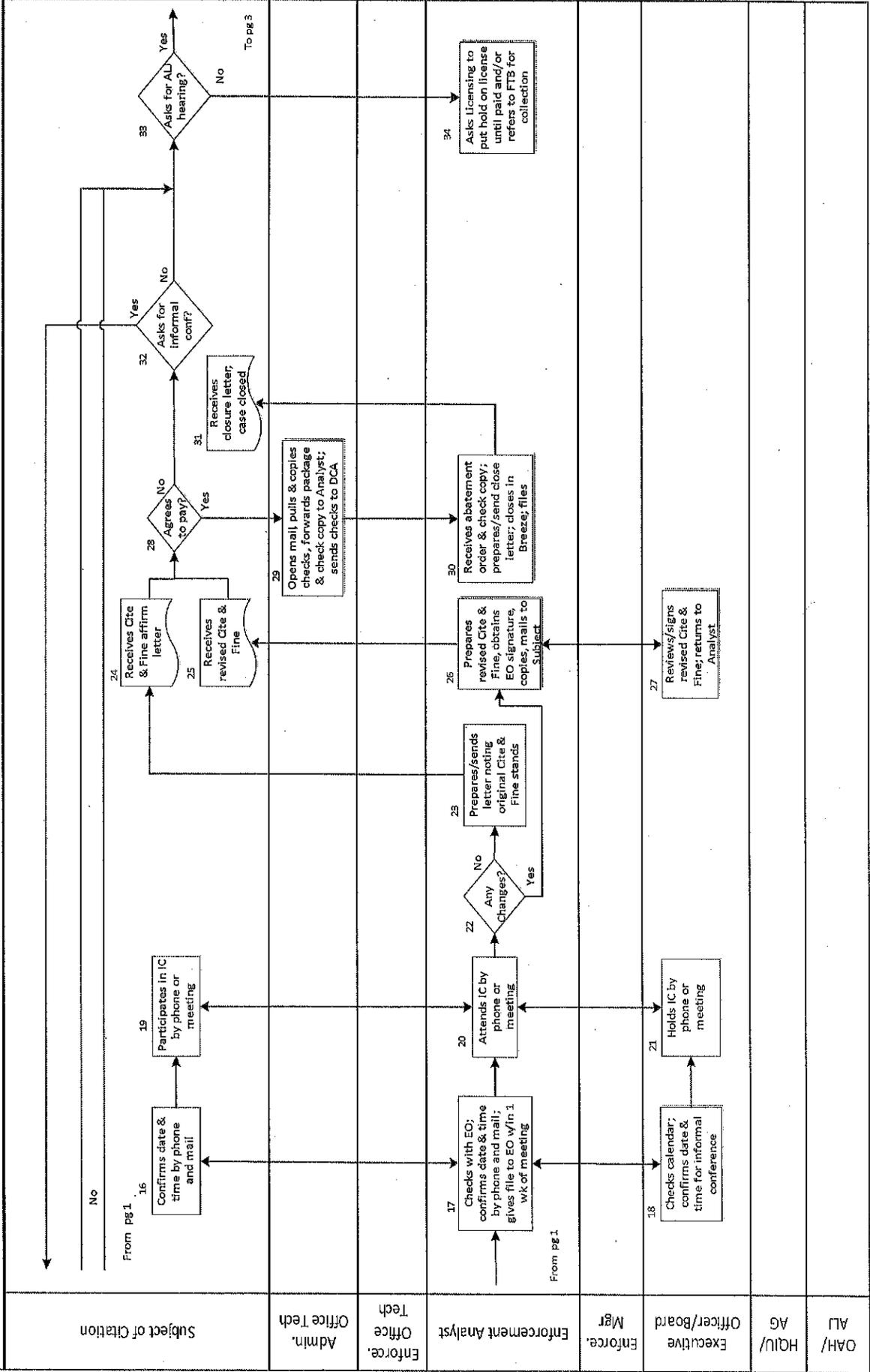
Proposed Process Improvements

The Enforcement Analysts and Manager reviewed the current process and identified four process steps that are backlogged for a variety of reasons including: heavy EA and EM workload, and Board voting beyond the prescribe time limit. None of the four steps can be eliminated or consolidated and automation can't speed up the process. The recommended solutions were for the EM to delegate the authorization for approving submittals and closing cases to EAs, hire another OT, and expedite Board voting through President or Vice President outreach.

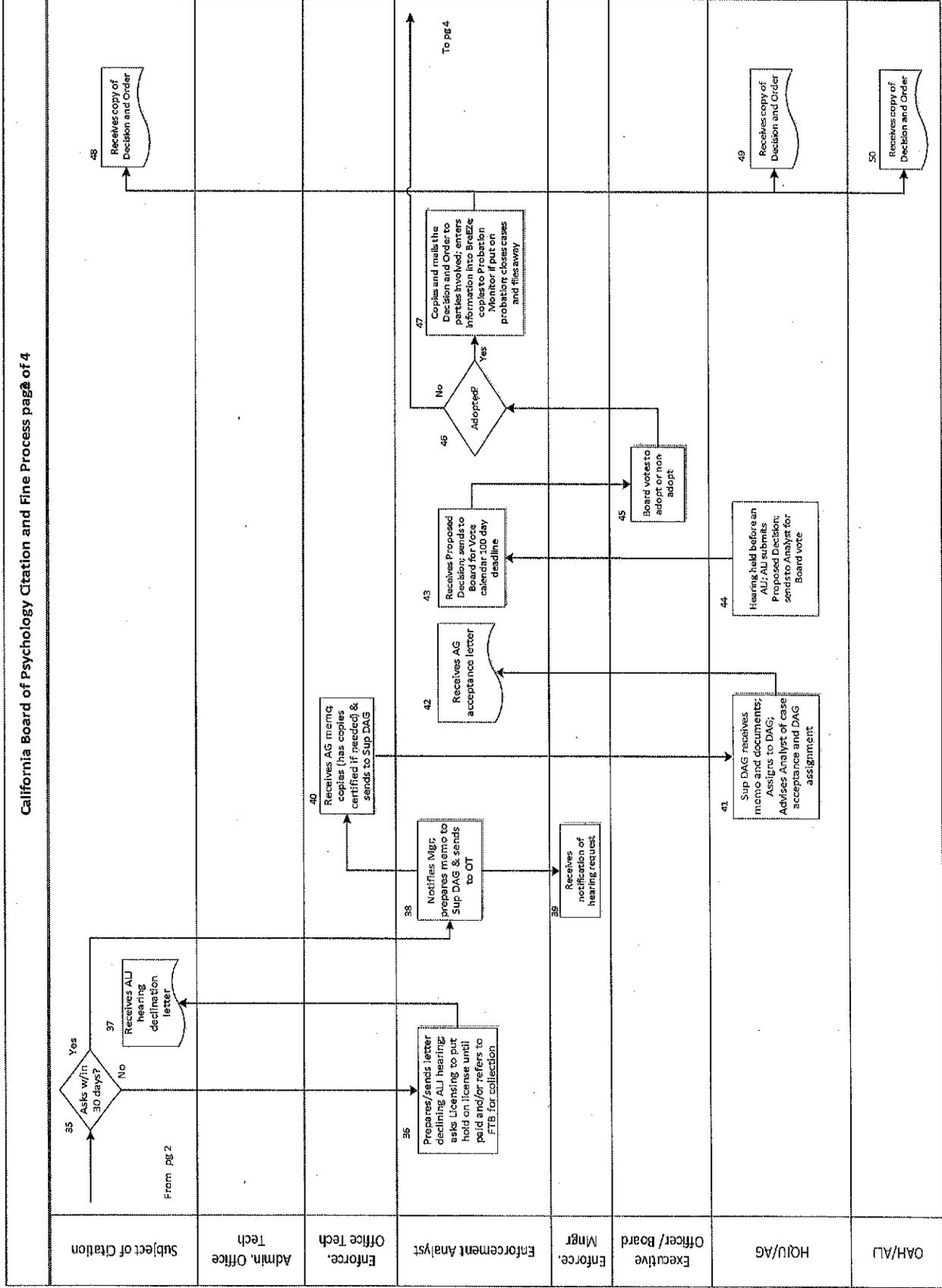
California Board of Psychology Citation and Fine Process page 4 of 4

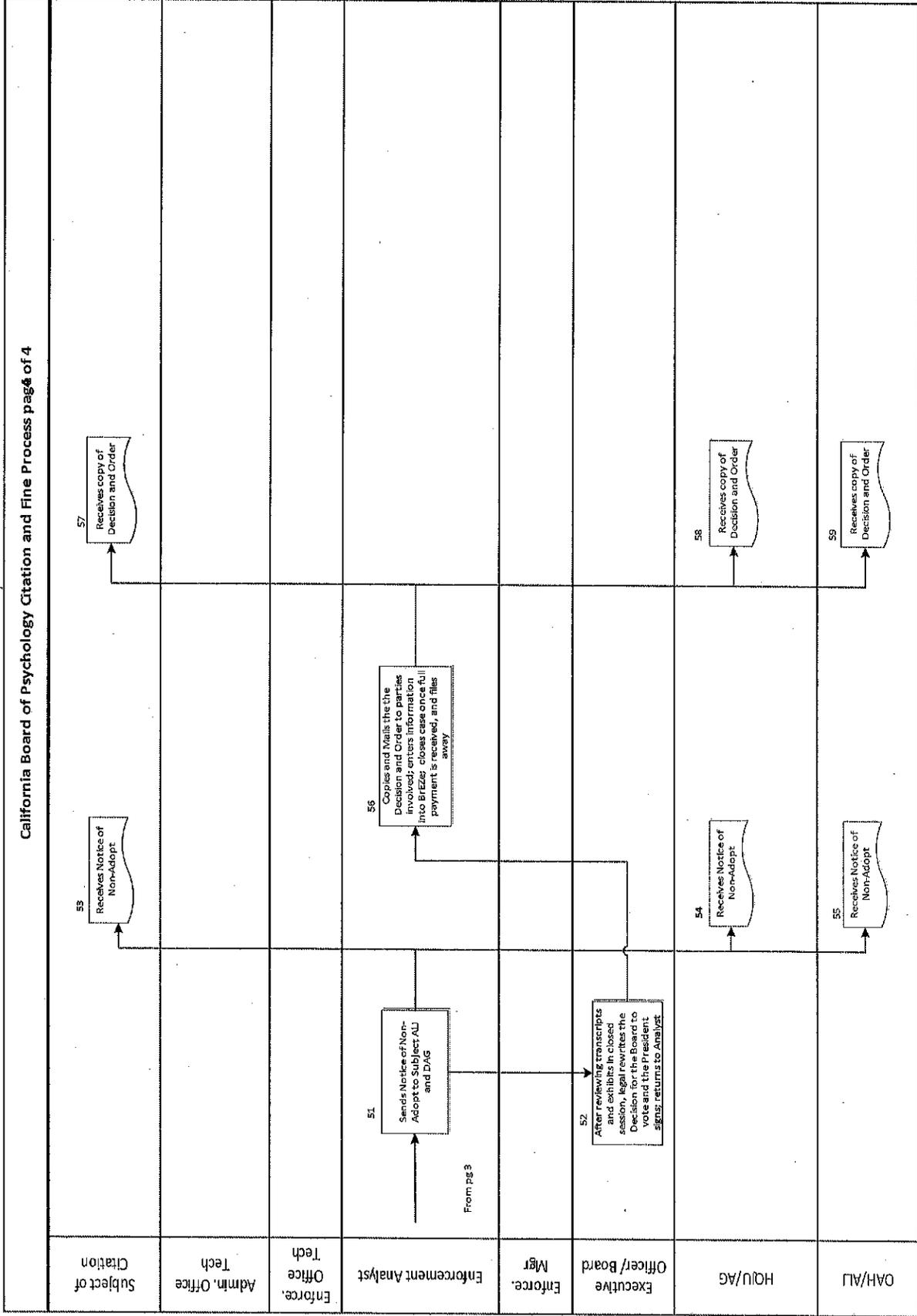


California Board of Psychology Citation and Fine Process page of 4



California Board of Psychology Citation and Fine Process page 4 of 4





Cease and Desist Process

The purpose of this 19-step process is to either allow a California psychological service provider to continue or stop practicing because of a violation or alleged violation of California law.

The participants in the process include the following: Enforcement Analyst/Special Investigator, (EA/SI), Subject service provider (Subject), and the Enforcement Manager (EM).

As the following flowchart displays, the process starts when the EA/SI determines a California psychological service provider may not be practicing legally. The EA/SI prepares and sends the Subject a Cease & Desist order letter with a two-week response deadline.

If the Subject responds timely and requests the order be rescinded, the EA/SI will review the request, consult with the Enforcement Manager or possibly send to an Expert for review. After a decision has been made, the EA/SI prepares and sends the Subject a letter that either affirms or withdraws the order.

If the Subject does not respond or respond timely, the EA/SI moves to the Cite & Fine process.

If the Subject responds to the warning letter, the EA/SI will review the letter to confirm total compliance and will address any remaining issues with the Subject. After full compliance is obtained, the EA/SI will prepare and send a closure letter to the Enforcement Manager for review and approval. Upon return from the Enforcement Manager, the EA/SI will send the closure letter to the Subject, close the matter in BreEZe and file the copies.

If the Subject responds to the notice of withdrawn or affirmed order, the EA/SI will review the letter to confirm total compliance and will address any remaining issues with the Subject. After full compliance is obtained, the EA/SI will prepare and send a closure letter to the Enforcement Manager for review and approval. Upon return from the Enforcement Manager, the EA/SI will send the closure letter to the Subject, close the matter in BreEZe and file the copies.

Proposed Process Improvements

The Enforcement Analysts and Manager reviewed the current process and identified 11 process steps that are backlogged for a variety of reasons including: time consuming review and research, heavy EA and EM workload, and Expert review beyond the prescribe time limit. None of the 11 steps can be eliminated or consolidated and automation can't speed up the process. The recommended solutions were for the EM to delegate the authorization for approving submittals and closing cases to EAs, and hire another EA and OT.

Review
recommendation to
close; signs off;
returns to analyst

Review
recommendation to
close; signs off;
returns to analyst

Statement of Issues Process

The purpose of this 61-step process is to describe the handling and resolution of a Statement of Issues (SOI) against a Licensure/Registrant Applicant for violating California law.

The participants in the process include the following: Licensure/Registrant Applicant (LRA), Licensing Unit, Enforcement Office Technician (OT), Special Investigator (SI), Enforcement Manager (EM), Deputy Attorney General (DAG), and the Office of Administrative Hearings (OAH).

Flowchart Page 1

As the following flowchart displays, the process starts with the LRA submitting an application to the Board for licensure or registration. The Licensing Unit and SI review and approve or deny the application. If the application is denied then the SI prepares and sends the LRA a denial letter and appeal process instructions, and sends a copy of the denial letter to the Licensing Coordinator. The SI holds the denial letter copy for 60 days in case there is an appeal.

In the case of a denial, the LRA can either accept the denial or submit an appeal or request a hearing within 60 days of receiving the denial. If the LRA submits an appeal or request, the OT receives and logs it into BreEZe, starts a file and forwards it to the SI. If Licensing receives the appeal/request later than 60 days from the denial, the SI prepares and sends a rejection letter to the LRA that ends the process.

If the appeal/request is received timely, the SI reviews the appeal/request, prepares for EM approval a memo to the Supervising Deputy Attorney General (SDAG) requesting approval to transfer the case to the Department of Justice, Attorney General's Office. The OT copies the materials and sends by certified mail the originals with a memo to the SDAG.

The SDAG receives the memo, assigns the case to a Deputy Attorney General (DAG) and sends an acceptance/assignment letter to the SI. The DAG prepares the SOI and sends it to the SI for review.

Flowchart Page 2

The SI reviews the SOI, obtains the EM's signature, returns the original to the DAG and sends a copy to the LRA.

The LRA may or may not file a Notice of Defense (NOD) with the DAG. If the DAG does not receive a NOD, then the DAG drafts a Default Decision that is submitted to the SI for review and submission to the Board for a vote.

The Board reviews the Default Decision, votes and Legal Counsel rewrites the Decision for the Board President who signs it and returns it to the SI. The SI copies and mails the Decision and Order to all parties involved (LRA, DAG and OAH), enters the information and closes the case in BreEZe, and sends copies to the Probation Monitor if the LRA is put on probation.

If the LRA's license is revoked or surrendered, the LRA mails the licenses to the Board. If put on probation, the LRA contacts the probation monitor.

If the LRA submits a timely NOD to the DAG, the DAG schedules a prehearing settlement conference and hearing dates with the OAH, and sends a Notice of Hearing to the SI and the LRA.

The DAG confers with the SI about possible settlement terms and a prehearing settlement conference is held with the SI and LRA. If a settlement is reached, the DAG drafts a Stipulated Settlement and sends to the SI for processing.

Flowchart Page 3

The SI receives and sends the Stipulated Settlement to the Board for a vote and President signature. The Board either votes to: adopt the settlement, hold for discussion, or votes to adopt or not adopt a proposed decision.

If adopted, the SI copies and mails the Decision and Order to all parties involved (LRA, DAG and OAH), enters the information and closes the case in BreZE, and sends copies to the Probation Monitor if the LRA is put on probation.

Flowchart Page 4

If not adopted, the SI prepares and sends a Notice of Non-Adopt to the LRA, DAG and Administrative Law Judge (ALJ). After Legal Counsel rewrites the decision, the Board President signs the decision, returns it to the SI who serves all parties involved (LRA, DAG and ALJ). The SI enters the information and closes the case in BreZE, and sends copies to the Probation Monitor if the LRA is put on probation.

In addition to non-adoption, the Board may choose to hold the matter for discussion. The SI confers with the Board to resolve the issues within the Stipulated Settlement terms. The SI may send the Stipulated Settlement back to the DAG for editing.

The DAG adjusts the terms and drafts a new Stipulated Settlement, sends to the LRA and Counsel for approval signatures, then receives and sends it to the SI.

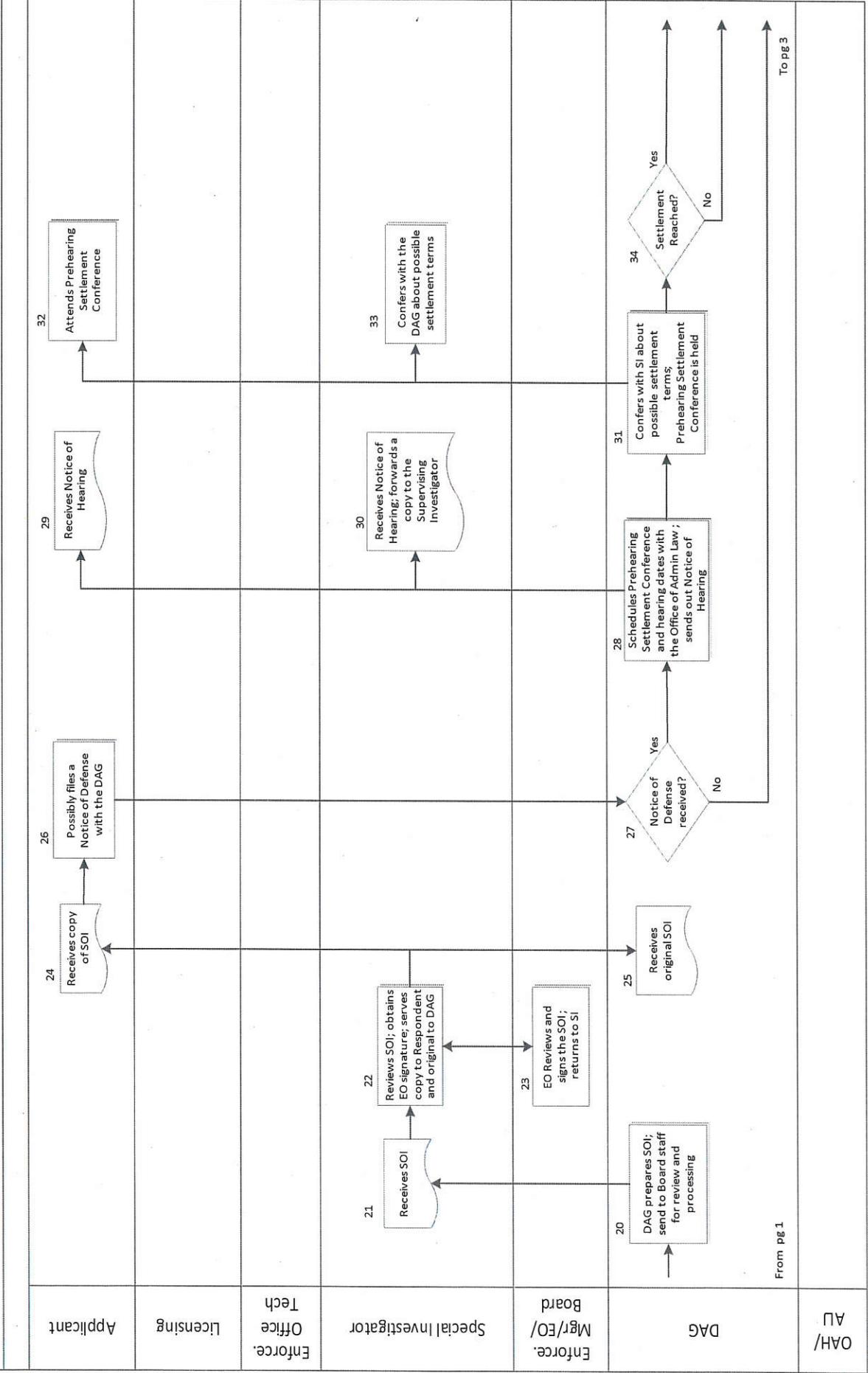
The SI receives the new Stipulated Settlement. If it is for license revocation or surrender, the SI forwards the Stipulated Settlement to the EO for signature. Upon receipt, the SI sends the Stipulated Settlement to all parties involved (LRA, DAG and ALJ). If the Stipulated Settlement is for any other reason, the Board must vote and the President must sign it. Upon receipt, the SI sends the Stipulated Settlement to all parties involved (LRA, DAG and ALJ).

Proposed Process Improvements

The Enforcement Analysts and Manager reviewed the current process and identified 11 process steps that are backlogged for a variety of reasons including: time consuming review and research, heavy SI and EM workload, and Expert review beyond the prescribe time limit. None

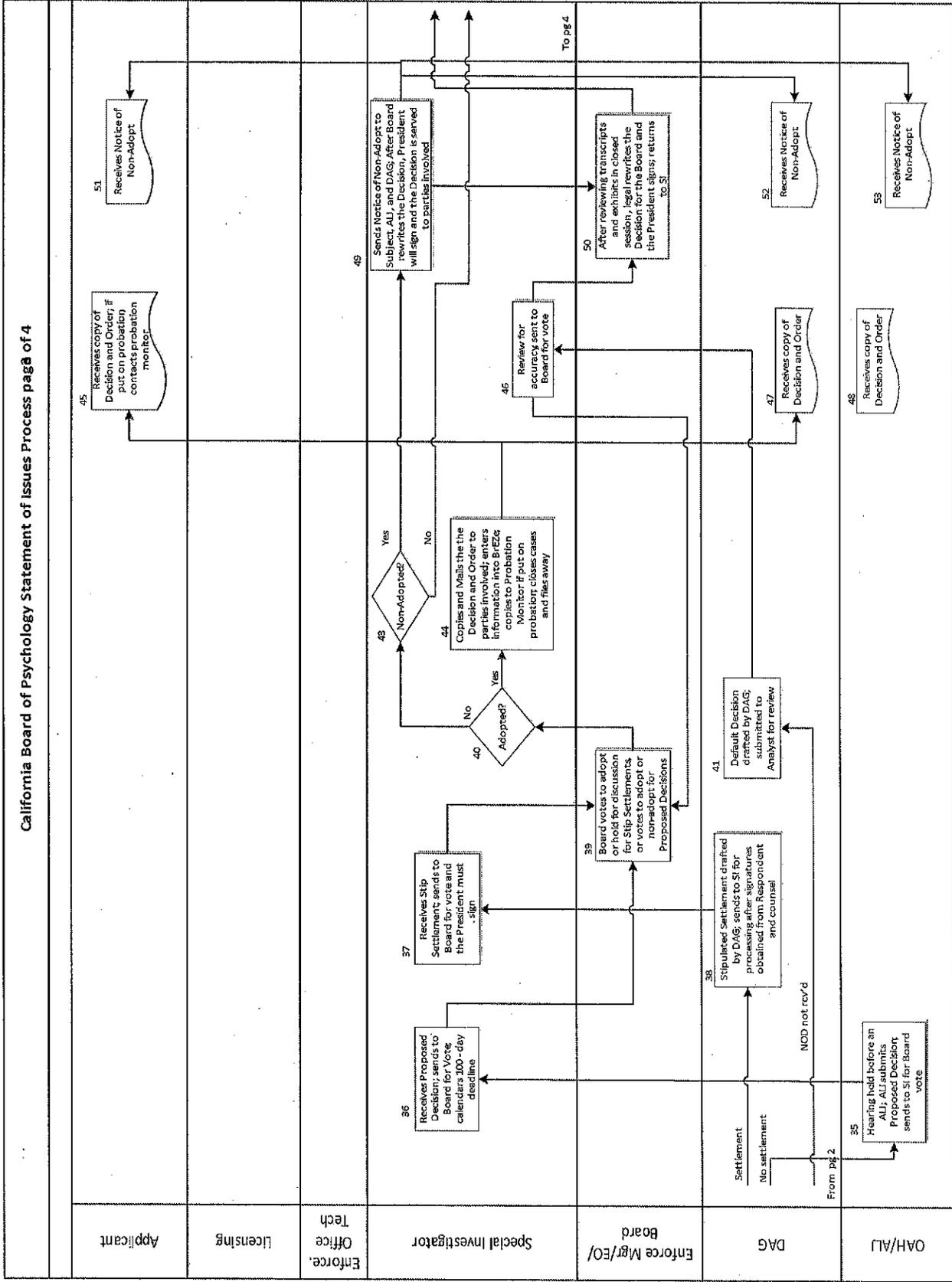
of the 11 steps can be eliminated or consolidated and automation can't speed up the process. The recommended solutions were for the EM to delegate the authorization for approving submittals and closing cases to EAs, and hire another EA and OT.

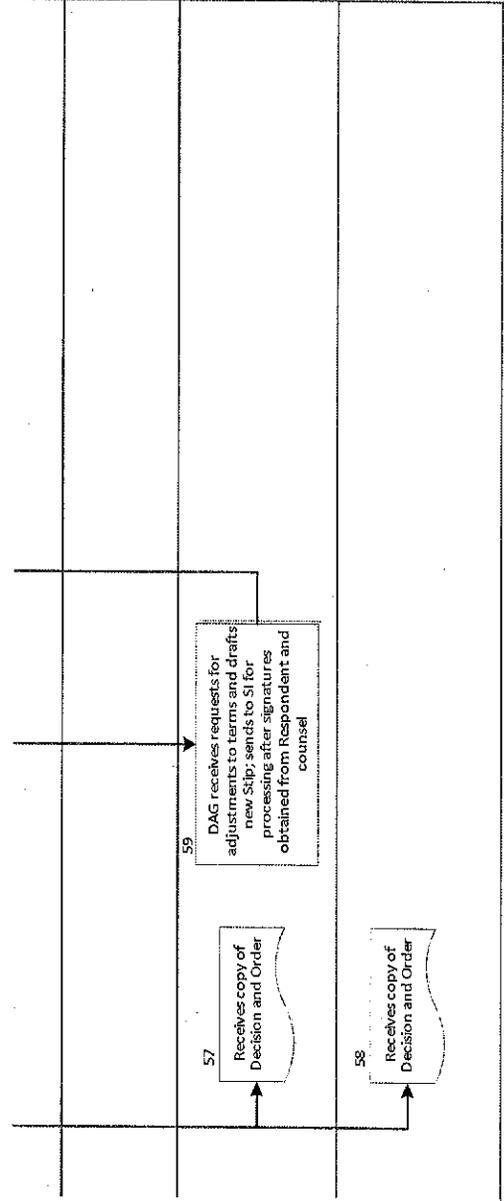
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From pg 1

To pg 3





Recommendations

9. Conduct an in-depth workload assessment of the AGPA and SI positions to determine if more administrative support are warranted for all of the unit's business processes.
10. Identify opportunities for the EM to delegate certain high volume, low-risk authorizations to EAs to reduce backlogs due to document waiting and processing time for all of the unit's business processes.

Strategic Plan and Organizational Effectiveness

This section of the report covers the Board's 2014-2018 Strategic Plan goals by area, the results of a 2014 environmental scan of Strategic Plan programs/areas, a status of progress made in each program/area, and a proposed organization chart change due to the CPS HR classification review and this program analysis.

Board's Strategic Plan Goals

The Board's 2014-2018 strategic plan provides both long-term direction and also serves as the foundation and blueprint for the Board's annual operating plan. The updated 2014 plan goals include the following:

- **Licensing:** The Board provides applicants, licensees and registrants a method for providing psychological services in the State of California.
- **Continuing Education:** The Board works to ensure qualified and competent individuals are licensed to provide psychological services in the State of California.
- **Policy and Advocacy:** The Board works to establish and maintain fair and just statutes and regulations that provide for the protection of consumer health and safety and reflect current and emerging, efficient and cost-effective practices.
- **Enforcement:** The Board protects the health and safety of consumers of psychological services through the active enforcement of the statutes and regulations governing the safe practice of psychology in California.
- **Outreach:** The Board proactively educates, informs and engages consumers, licensees, students and other stakeholders on the practice of Psychology and the laws which govern it.
- **Organizational Effectiveness:** The Board works to develop and maintain an efficient and effective team of professional and public leaders and staff with sufficient resources to improve the Board's provision of programs and services.

Environmental Scan of Strategic Plan Programs/Areas

Before this review, a 2014 environmental scan/survey of stakeholders consisting of largely licensed professionals, consumers, professional associations, academia and Board staff revealed challenges and/or deficiencies in the following six programs/areas highlighted in the Board's draft 2014-2018 Strategic Plan:

- **Licensing:** need to speed up the process and improve customer service.
- **Continuing Education:** need to review the audit process and enhance program effectiveness and efficiency.
- **Laws and Regulations:** need to ensure statutes, regulations and policies are current and relevant; hire a student assistant; and fulfill the desire of licensees for more Board advocacy and information.

- **Enforcement:** need to speed up case work, clean up erroneous data before the BreEZe implementation, and update discipline standards.
- **Outreach:** need to improve the Board’s outreach efforts.
- **Organizational Effectiveness:** need to improve customer service, staffing, and implement Board and staff training.

Status of Strategic Plan Improvements

Overall, the Board is making excellent progress towards achieving its six strategic plan goals. It has completed a number of tasks and is on schedule to complete all tasks. The following Table 7 summarizes at a high level the status of the goals as of May 2015.

Table 7
Summary of Board Strategic Plan Achievements as of May 2015

Goal 1: Licensing: The Board of Psychology provides applicants, licensees, and registrants a method for providing psychological services in California.	Status
1.1 Perform a process analysis of staff time, resources and equipment to ensure the Board is using and/or asking for resources that are needed to identify methods to reduce licensing processing times.	Entered into contract; on schedule
1.2 Establish and implement a plan to address current and future licensing backlogs.	On schedule
1.3 Submit a Budget Change Proposal to establish a full-time licensing manager position and/or additional full-time licensing positions, if needed, as determined by the licensing process analysis (objective 1.1).	On schedule
1.4 Establish communication tools to facilitate the licensing process for applicants.	Many tasks completed; others are on schedule.
1.5 Evaluate the effectiveness of the BreEZe system, and work with DCA to identify and implement system improvements to the licensing process.	On schedule
1.6 Provide customer service training to licensing staff to enhance services to stakeholders.	On schedule
1.7 Review statutes and regulations regarding Psychological Assistant, supervised professional experience, and exempt settings and make changes to clarify the initial intent of the law.	On schedule
1.8 Provide “hard-card” pocket licenses for licensed Psychologists and Registered Psychological Assistants.	On schedule
1.9 Create “retired” status for licensed Psychologists.	On schedule
Goal 2: Continuing Education: The Board works to ensure qualified and competent individuals are licensing to provide psychological services in the State of California.	Status
2.1 Promulgate continuing education/continuing professional development (CE/CPD) regulations and ensure Board staff and licensees are educated on the new requirements.	Many tasks completed; others are on schedule.
Goal 3: Laws and Regulations: The Board works to establish and maintain fair and just statutes and regulations the provide for the protection of consumer health and safety and reflect current and emerging, efficient and cost-effective practices.	Status
3.1 Create a greater presence in the legislative arena to more proactively address issues affecting the Board and the practice of psychology.	On schedule
Goal 4: Enforcement: The Board protects the health and safety of consumers of psychological services through the active enforcement of the statutes and regulations governing the safe	Status

practice of psychology in California.	
4.1 Educate consumers and licensees by providing transparent information about enforcement processes and outcomes.	Some tasks completed; others are on schedule.
4.2 Identify and seek clarification to strengthen statutory and regulatory language regarding Statement of Issues and public reprimands.	Some tasks completed; others are on schedule.
4.3 Modify the Board's website to include dedicated information and resources on license probation to include probationer forms.	Completed
4.4 Establish standardized training and educational resources for Expert Reviewers to improve effectiveness and consistency.	On schedule
4.5 Improve probation monitoring by using HIPAA-compliant technology.	On schedule
4.6 Evaluate the effectiveness of the BreZE system, and work with DCA to identify and implement improvements for the enforcement process.	On schedule
4.7 Perform a comprehensive process analysis of the Board's enforcement program to identify and implement improvements that will decrease processing times.	Some tasks completed; others are on schedule.
4.8 Submit a Budget Change Proposal to establish additional full-time enforcement positions, if needed, as determined by the enforcement process analysis (objective 4.7).	On schedule
Goal 5: Outreach: The Board proactively educates, informs, and engages consumers, licensees, student and other stakeholders on the practice of Psychology and the laws which govern it.	Status
5.1 Develop and implement a communication plan identifying stakeholders, messages to communicate, and message communication methods.	Most tasks completed; other is on schedule.
5.2 Increase Board visibility at schools, professional conferences, public events, etc. to better educate consumers and licenses about the Board.	On schedule
Goal 6: Organizational Effectiveness: The Board works to develop and maintain an efficient team of professional and public leaders and staff with sufficient resources to improve the Board's provision of programs and services.	Status
6.1 Cross train staff to ensure Board-wide understanding of all intra-departmental functions to improve Board effectiveness.	Some tasks completed; others are on schedule.
6.2 Provide professional development for staff to facilitate opportunities for advancement and professional growth.	Most tasks completed; other is on schedule.
6.3 Perform a program analysis of the Board's operational procedures to streamline Board staff functions and processes.	Some tasks completed; others are on schedule.
6.4 Develop procedure manuals for the Board and DCA policies and make available for all Board staff in a centralized location.	Some tasks completed; others are on schedule.
6.5 Identify and implement tools and communication methods to improve Board member understanding of Board staff activities between meetings.	On schedule

See Attachment 1 for a detailed summary of the status of all tasks, responsibilities and timeframes

Specific examples of the completion of Organizational Effectiveness tasks include Board member training, and staff development and training. Table 8 shows that of the nine current Board members, most have completed their required training concerning Board member orientation, ethics, sexual harassment and defensive driving training.

Table 8
Board Member Training as of June 2015.

	Board Member Orientation	Ethics Training	Sexual Harassment Training	Defensive Driving Training	Totals
Board Members Completed	9	9	9	7	35

Source: Administration Unit, Board of Psychology

In addition, the Board staff evaluations and individual development plans (IDPs) are complete and staff have received, or are receiving, mandated training/cross training, and requested developmental training. Table 9 displays an impressive number of training courses Board staff have completed to upgrade their skills.

Table 9
Board Staff Training as of June 2015

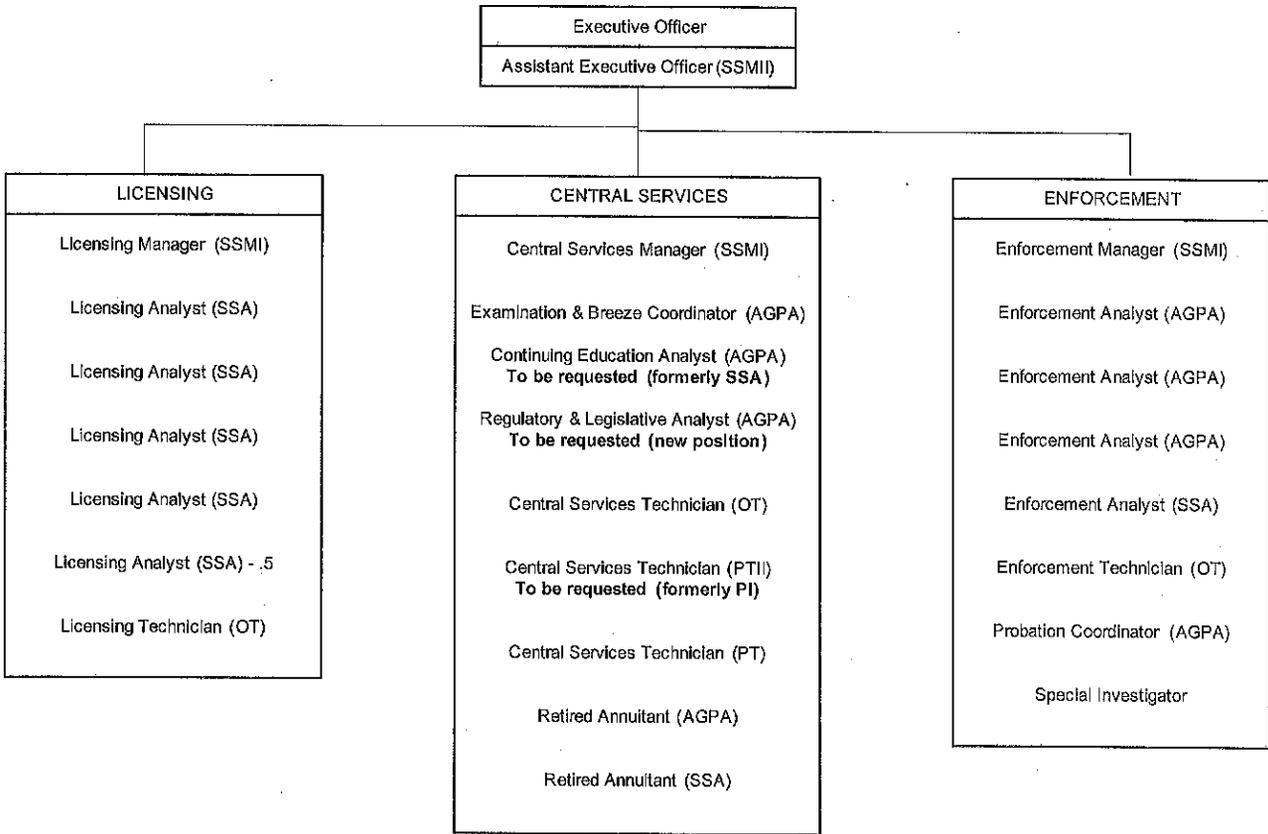
Training Received	Number of Staff Completed
Ethics	1
Privacy and Security within DCA	22
Leadership Fundamentals	1
Creating Effective Teams	2
Labor Relations for Managers and Supervisors	2
Hiring and Onboarding New Employees	1
Performance Management	1
Enforcement Academy	4
Customer Service	15
Regulatory Investigative Techniques	4
R1 Licensing	9
Background Investigation & NCIT Specialized	1
Legislative Process/Legislative Bill Analysis	4
Project Management	3
Records Management	1
Time and Workload Management	1
Effective Business Writing	2
Policy & Procedure Writing	1
Continuous Improvement	1

Source: Administration Unit, Board of Psychology

Based on the results of the classification review and this program analysis, CPS contends the Board would operate more effectively and efficiently with the following proposed organization structure

displayed in Figure 2. This structure redefines the organization into the Executive Unit/Program and Licensing, Central Services and Enforcement Units/Programs. This organization chart also incorporates the upgraded positions recommended in the classification report.

Figure 2
Proposed Organization Chart
DEPARTMENT OF CONSUMER AFFAIRS
BOARD OF PSYCHOLOGY



Recommendations

- 11. Implement the proposed organization chart to include the proposed upgraded positions.

Attachment 1: Board of Psychology Strategic Plan Update as of June 2015

Goal 1: Licensing

The Board of Psychology provides applicants, licensees, and registrants a method for providing psychological services in California.

Responsibility	Timeframe	Status
I.1 Perform a process analysis (to include an analysis of staff time, resources, and equipment) to ensure the Board is using and/or asking for resources that are needed to identify methods to reduce licensing processing times.		
Enter into contract with CPS to review licensing function.	Q3 2014	Completed
Begin CPS review.	Q4 2014	Completed
CPS finalizes review and provides findings to EO.	Q3 2015	On Schedule
EO share findings with staff and Board.	Q3 2015	On Schedule
Implement findings from CPS review.	Q4 2015	On Schedule
Incorporate CPS changes on website (if needed).	Q1 2016	On Schedule
Update desk procedure manuals based on CPS findings.	Q4 2015	On Schedule
Incorporate CPS changes in BreZe (if needed).	Q4 2015	On Schedule

Responsibility	Timeframe	Status
I.2 Establish and implement a plan to address current and future licensing backlogs.		
Provide weekly updates to EO and AEO regarding licensing processing time statistics.	Ongoing	On Schedule
Present licensing statistics to Board Members at quarterly Board meetings.	Ongoing	On Schedule
Update documents/forms if needed.	Ongoing	Ongoing

Create and update desk procedure manuals.	LC	Q1 2015	Completed
Allow online submission of applications through BreZe.	E&BC/LC	Q3 2015	Completed
1.3 Submit a budget change proposal to establish a full-time licensing manager position and/or additional full-time licensing positions, if needed, as determined by the licensing process analysis. (Objective 1.1). Conduct job analysis and compile justification data to support BCP (CPS report). Obtain Board approval of BCP concept. Submit BCP concept paper to DCA Budget Office. Draft and submit BCP to DCA Budget Office. Obtain DCA Budget Office approval of BCP. Obtain Agency approval of BCP. Submit BCP to Department of Finance. Obtain BCP approval from Department of Finance. Obtain legislative approval for BCP.	Responsibility	Timeframe	Status
	LC/ASC	Q2 2015	On Schedule
	EO/Board	Q3 2015	On Schedule
	ASC/LC	Q3 2015	On Schedule
	ASC/LC	Q3 2015	On Schedule
	ASC/Budget Office	Q2 2016	On Schedule
	EO/Agency	Q3 2016	On Schedule
	EO	Q3 2016	On Schedule
	EO/DOF	Q4 2016	On Schedule
	EO	Q2 2017	On Schedule
1.4 Establish communication tools to facilitate the licensing process for applicants. Identify areas where clarification is needed to facilitate licensing process. Create YouTube video outlining the licensing application process. Create a YouTube video providing an overview of licensure as a psychologist. Create YouTube video outlining the psychological assistant application process. Create a YouTube video providing an overview of registration as a psychological assistant.	Responsibility	Timeframe	Status
	LC/EO	Q2 2014	Completed
	LC/DCA Public Affairs	Q2 2014	Completed
	LC/DCA Public Affairs	Q2 2014	Completed
	LC/DCA Public Affairs	Q4 2014	Completed
	LC/DCA Public Affairs	Q4 2014	Completed

Create a YouTube video providing an overview of the registered psychologist registration process.	LC/DCA Public Affairs	Q2 2015	Completed
Create a YouTube video outlining the registered psychologist application process.	LC/DCA Public Affairs	Q2 2015	On Schedule
Create a YouTube video outlining the continuing education process and requirements.	LC/DCA Public Affairs	Q4 2016	On Schedule
Post videos on website as they are developed.	ASC	Q1 2016	On Schedule
Promote videos in newsletter and social media to licensees.	EO	Ongoing	On Schedule
Ongoing visits to schools to educate students and trainees on licensing process.	LC/AEO/EO	Ongoing	On Schedule

	Responsibility	Timeframe	Status
1.5 Evaluate the effectiveness of the BreEZe system, and work with DCA to identify and implement system improvements to the licensing process.			
Identify functionality that is currently not working properly or unavailable in BreEZe.	E&BC	Ongoing as issues arise	On Schedule
Submit a request to change or add functionality in BreEZe.	E&BC	Ongoing as issues arise	On Schedule
Work with BreEZe team to identify which release change or added functionality will occur.	E&BC	Ongoing as issues arise	On Schedule
Submit change or added functionality to Change Control Board (if required).	E&BC	Ongoing as issues arise	On Schedule
Attend Licensing Users Group to collaborate with other RI boards to identify global changes and other problem areas and functionalities.	E&BC/LC/CEA	Monthly	On Schedule
Educate staff on BreEZe changes.	E&BC	Ongoing as issues arise	On Schedule

	Responsibility	Timeframe	Status
1.6 Provide customer service training to licensing staff to enhance service to stakeholders			
Identify deficiencies in customer service.	LC	Ongoing	On Schedule
Identify training needs.	AEO/LC	Ongoing	On Schedule
Schedule training for staff.	LC	Ongoing	On Schedule
Establish customer service performance measures.	AEO/LC	Q3 2015	On Schedule

Responsibility	Timeframe	Status
1.7 Review statutes and regulations regarding psychological assistant, supervised professional experience, and exempt settings and make changes to clarify the initial intent of the law. Review and amend statutes and regulations to facilitate a more efficient application process to become a licensed psychologist. Review and amend statutes and regulations regarding requirements to become a supervisor of a psychological assistant. Review and amend statutes regarding exempt settings. Educate staff on any changes to statutes and/or regulations. Educate licensees on any changes to statutes and/or regulations.	Q1 2017 Q1 2018 Q1 2017 Q1 2018 Q1 2018	On Schedule On Schedule On Schedule On Schedule On Schedule

Responsibility	Timeframe	Status
1.8 Provide "hard-card" pocket licenses for licensed psychologists and registered psychological assistants. Work with DCA to identify a vendor and determine process to produce card. Work with BreZe team to modify BreZe to produce a hard card with the vendor. Publicize the availability of the hard card license to licensees.	Q1 2017 Q2 2017 Q4 2017	On Schedule On Schedule On Schedule

Responsibility	Timeframe	Status
1.9 Create "Retired" status for licensed psychologists. Identify statutory and regulatory changes necessary to establish a "Retired" status for licensed psychologists. Board ratifies suggested changes. Draft legislation. Coordinate meetings with affected stakeholders to solicit input on regulation development. Draft new regulatory language to establish "Retired" status requirements and guidelines and obtain Board Approval. Create rulemaking packet including initial statement of reason, proposed text and notice.	Q3 2015 Q4 2015 Q4 2015 Q1 2016 Q2 2016 Q3 2016	On Schedule On Schedule On Schedule On Schedule On Schedule On Schedule

Submit regulation package to the Office of Administrative Law.	ASC	Q4 2016	On Schedule
Conduct regulation hearing.	Board President	Q1 2017	On Schedule
Obtain regulation approval by Office of Administrative Law.	ASC/OAL	Q2 2017	On Schedule
Work with BreZe team to configure "Retired" status.	E&BC	Q1 2017	On Schedule
Educate staff on "Retired" status.	LC/AEO	Q4 2017	On Schedule
Inform stakeholders via various communication methods.	ASC/EO	Q4 2017	On Schedule

Goal 2: Continuing Education
The Board works to ensure qualified and competent individuals are licensed to provide psychological services in the State of California.

	Responsibility	Timeframe	Status
2.1 Promulgate continuing education/continuing professional development (CE/CPD) regulations and ensure Board staff and licensees are educated on the new requirements.	ASC	Q3 2014	Completed
Promulgate regulatory package.	E&BC	Q4 2016	On Schedule
Incorporate CE/CPD changes in BreZe.	EO/ASC	Q3 2014	Completed
Draft new regulatory language to establish CE/CPD requirements and guidelines and obtain Board Approval.	ASC	Q3 2014	Completed
Create rulemaking packet including initial statement of reason, proposed text and notice.	ASC	Q3 2014	Completed
Submit regulation package to the Office of Administrative Law.	Board President	Q4 2014	Completed
Conduct regulation hearing.	ASC	Q4 2015	On Schedule
Obtain regulation approval by Office of Administrative Law.	AEO/LC	Q3 2015	On Schedule
Educate staff and licensees on new regulation.			

Update forms and information on website	ASC	Q 2017	On Schedule
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Goal 3: Laws and Regulations
The Board works to establish and maintain fair and just statutes and regulations that provide for the protection of consumer health and safety and reflect current and emerging, efficient and cost-effective practices.

	Responsibility	Timeframe	Status
3.1 Create a greater presence in the legislative arena to more proactively address issues affecting the Board and the practice of psychology.			
Continue to develop relationships with professional associations.	EO/ASC	Ongoing	On Schedule
Establish stronger relationships with consumer groups.	EO/ASC	Ongoing	On Schedule
Provide legislative updates to staff and Board Members.	ASC	Ongoing	On Schedule
Solicit legislative and regulatory input from impacted stakeholders.	EO/ASC	Ongoing	On Schedule
Provide advocacy letters to the legislature and testifying on bills the Board has taken an official position on.	ASC/EO	Ongoing	On Schedule

Responsibility	Timeframe	Status
3.2 Adopt regulations to clarify and strengthen the Board's position on the practice of telepsychology.		
Examine research and guidelines from other state entities on the emerging field of telehealth.	Q1 2014	Completed
Establish a BOP telehealth committee.	Q4 2014	Completed
Coordinate meetings with affected stakeholders to solicit input on regulation development.	Q1 2016	On Schedule
Draft new regulatory language to establish telehealth requirements and guidelines and obtain Board Approval.	Q1 2016	On Schedule
Create rulemaking packet including initial statement of reasons, proposed text and notice.	Q2 2016	On Schedule
Submit regulation package to the Office of Administrative Law.	Q3 2016	On Schedule
Conduct regulation hearing.	Q3 2016	On Schedule
Obtain regulation approval by Office of Administrative Law.	Q4 2016	On Schedule
Educate staff and licensees on new regulation.	Q4 2016	On Schedule

Goal 4: Enforcement

The Board protects the health and safety of consumers of psychological services through the active enforcement of the statutes and regulations governing the safe practice of psychology in California.

Responsibility	Timeframe	Status
4.1 Educate consumers and licensees by providing transparent information about enforcement processes and outcomes.		
Provide newsletter article about Board overview and functionality to increase transparency for stakeholders about the role of the Board.	Q3 2014	Completed
Create an overview (flowchart) of the enforcement process (complaint, cite and fine and formal disciplinary process) and post on the Board website.	Q4 2014	Completed