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**Enforcement Report for Quarter One (Q1) FY 2020/2021
 July 1, 2020 to September 30, 2020**

COMPLAINTS/CONVICTIONS & ARRESTS

DCA Category		Received
Unprofessional Conduct	Sub-Total	11
• <i>Scope of Practice</i>	1	
• <i>Misleading Advertising</i>	5	
• <i>Office Conduct</i>	3	
• <i>Fictitious Name</i>	1	
• <i>Continuing Education Provider violations</i>	1	
Unlicensed/Unregistered		8
Criminal Charges/Convictions**		10
• <i>Applicants</i>	2	
• <i>Licensees</i>	8	
Sexual Misconduct		1
Fraud		2
Non-jurisdictional		5
Incompetence/Negligence		4
Unsafe/Unsanitary Conditions		2
Other		0
Substance Abuse/Drug & Mental/Physical Impairment		0
Discipline by Another State Agency		0
Total		43

The graph above shows the number of complaints received by complaint type for this quarter. When each complaint is logged into the database it is assigned a complaint type based upon the primary violation.

INVESTIGATIONS¹

DCA Category	Initiated	Pending ²	Closed
Unprofessional Conduct	11	63	17
Unlicensed/Unregistered	8	30	11
Criminal Charges/Convictions (includes pre-licensure)	10	24	12
Sexual Misconduct	1	16	2
Fraud	2	46	3
Non-jurisdictional	5	3	4
Incompetence/Negligence	4	33	1
Unsafe/Unsanitary Conditions	2	6	0
Other	0	0	0
Substance Abuse/Drug & Mental/Physical Impairment	0	0	0
Discipline by Another State Agency	0	1	1
Total	43	222	51

¹ Includes both formal investigations by DCA category conducted by DOI and desk investigations conducted by staff.

² These numbers include current and previous quarters and the DCA Category may change after the investigation is initiated to better categorize the complaint.

Statistics Report

Performance Measures (PM) 1 Volume Convictions/Arrests received

Complaint Intake

	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
PM1: Total Complaints Received	180	33						33
PM1: Total Convictions/Arrests Received	53	10						10
PM1: Total Received	233	43						43

*Of the Convictions/Arrests, 2 were received on Applicants and 8 were received on Licensees.

PM2 Cycle Time Intake - Average number of complaints intake during the specified time period.

Intake

Target: 10 Days	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
PM2: Intake/Avg. Days	4.3	5						5.0

PM3 Cycle Time - Average Number of Days to complete the entire enforcement process for complaints investigated and not transmitted to the AG for formal discipline. (Includes intake, investigation, and case outcome or non-AG formal discipline.)

Investigations

Target: 200 Days	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
PM3: All Investigations Closed	174	52						52
PM3: Average Cycle Time Investigation	189	168						168

The percent reflects how many investigation cases were closed in the respective time frames.

	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
Up to 90 Days	45%	23						45%
91 - 180 Days	16%	8						16%
181 Days - 1 Year (364)	15%	5						10%
1 to 2 Years (365-730)	18%	9						18%
2 to 3 Years (731- 1092)	5%	6						12%
Over 3 Years (1093 +)	1%	0						0%

The average time frame reflects the length of time it took to process the citations that were closed within the respective quarter.

Citations

	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
Final Citations	33	9						9
Average Days to Close	240.5	385						385.0

PM4 Cycle Time-Discipline Average number of days to close cases transmitted to the AG for formal disciplinary action. This includes formal discipline, and closures without formal discipline. (e.g. withdrawals, dismissals, etc.)

Transmittals to Attorney General (AG)								
Target: 540 Days	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
PM4:Volume AG Cases	8	6						6
PM4: Total Cycle Time	512	702						702

	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
AG Cases Initiated	16	4						4
AG Cases Pending	16	14						14
SOIs Filed	0	0						0
Accusations Filed	15	2						2
Total Closed after Transmission	8	6						6
Revoked	1	2						2
Voluntary Surrender	4	3						3
Probation	2	1						1
License Denied	0	0						0
Public Reprimand	1	0						0
Closed w/out Disciplinary Action	0	0						0

The percent represents how many cases already assigned for discipline were closed in the specified range.

Total Orders Aging/Final Decision								
	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
Up to 90 Days	0%	0						0%
91 - 180 Days	13%	1						17%
181 Days - 1 Year (364)	13%	0						0%
1 to 2 Years (365-730)	38%	3						50%
2 to 3 Years (731- 1092)	13%	0						0%
Over 3 Years (1093 +)	25%	2						33%

Other Legal Actions								
	FY 2019/20	Fiscal Year 2020/21						
	YTD	Q1		Q2		Q3	Q4	YTD
		Jul	Sep	Oct	Dec	Jan - Mar	Apr - Jun	
PC 23 Ordered	1	1						1
Interim Suspension	0	0						0