

California Architects Board
Executive Committee Meeting

January 17, 2018

Sacramento





CALIFORNIA ARCHITECTS BOARD
PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION

Edmund G. Brown Jr.
GOVERNOR

Executive Committee Members

Sylvia Kwan, Chair
Tian Feng, Vice-Chair
Denise Campos
Matthew McGuinness

NOTICE OF MEETING
EXECUTIVE COMMITTEE

*Action may be taken on
any item listed on the
agenda.*

January 17, 2018

California Architects Board
2420 Del Paso Road, Suite 105
Sacramento, CA 95834
(916) 574-7220

The California Architects Board (Board) will hold an Executive Committee meeting, as noted above.

AGENDA

1:00 p.m. to 4:00 p.m.
(or until completion of business)

- A. Call to Order / Roll Call / Establishment of a Quorum
- B. Public Comment on Items not on the Agenda
The Executive Committee may not discuss or take action on any item raised during this public comment section, except to decide whether to refer the item to the Board's next Strategic Planning session and/or place the matter on the agenda of a future meeting (Government Code sections 11125 and 11125.7(a)).
- C. Review and Possible Action on December 1, 2016 Executive Committee Meeting Minutes
- D. Discuss and Possible Action on the Following 2017–2018 Strategic Plan Objectives to:
 - 1. Determine Current Business Process Needs for BreEZe to Allow for a Smoother Transition to the Program
 - 2. Identify Organizational Relationships That Should be Maintained and/or Established in Order to Enhance the Board's Mission to Regulate the Profession and Protect the Public
 - 3. Prepare for the Sunset Review Process in Order to Facilitate a Positive Outcome

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(Continued on Reverse)

4. Encourage Collaboration with Other Related Boards in an Effort to Share Best Practices
5. Enhance an Onboarding Program for New Board Members to Increase Board Member Understanding of Board Functions and Purpose
6. Assess and Enhance Existing Committee Charges, Process, Procedures, Appointments, etc. to Improve Effectiveness
7. Expand Cross-Training Program for Board Staff and Revise Operational Manuals to Retain Knowledge and Increase Organizational Effectiveness
8. Research and Work with the Department of Consumer Affairs to Update Communications Technology in Order to Efficiently Notify Stakeholders of Important Information

E. Adjournment

Action may be taken on any item on the agenda. The time and order of agenda items are subject to change at the discretion of the Committee Chair and may be taken out of order. The meeting will be adjourned upon completion of the agenda, which may be at a time earlier or later than posted in this notice. In accordance with the Bagley-Keene Open Meeting Act, all meetings of the Committee are open to the public. This meeting will not be webcast. If you wish to participate or to have a guaranteed opportunity to observe, please plan to attend at the physical location.

Government Code section 11125.7 provides the opportunity for the public to address each agenda item during discussion or consideration by the Committee prior to the Committee taking any action on said item. Members of the public will be provided appropriate opportunities to comment on any issue before the Committee, but the Committee Chair may, at his or her discretion, apportion available time among those who wish to speak. Individuals may appear before the Committee to discuss items not on the agenda; however, the Committee can neither discuss nor take official action on these items at the time of the same meeting (Government Code sections 11125 and 11125.7(a)).

The meeting is accessible to the physically disabled. A person who needs a disability-related accommodation or modification to participate in the meeting may make a request by contacting:

Person: Mel Knox

Telephone: (916) 575-7221

Email: mel.knox@dca.ca.gov

Telecommunications Relay Service: Dial 711

Mailing Address:

California Architects Board

2420 Del Paso Road, Suite 105

Sacramento, CA 95834

Providing your request at least five (5) business days before the meeting will help to ensure availability of the requested accommodation.

Protection of the public shall be the highest priority for the Board in exercising its licensing, regulatory, and disciplinary functions. Whenever the protection of the public is inconsistent with other interests sought to be promoted, the protection of the public shall be paramount (Business and Professions Code section 5510.15).

Agenda Item A

CALL TO ORDER / ROLL CALL / ESTABLISHMENT OF A QUORUM

Roll is called by the Executive Committee Vice-Chair, or in his absence, by a member designated by the Chair.

COMMITTEE MEMBER ROSTER

Sylvia Kwan, Chair

Tian Feng, Vice-Chair

Denise Campos

Matthew McGuinness

Agenda Item B

PUBLIC COMMENT ON ITEMS NOT ON THE AGENDA

Members of the public may address the Executive Committee at this time. The Committee Chair may allow public participation during other agenda items at her discretion.

The Executive Committee may not discuss or take action on any item raised during this public comment section, except to decide whether to refer the item to the Board's next Strategic Planning session and/or place the matter on the agenda of a future meeting (Government Code sections 11125 and 11125.7(a)).

Agenda Item C

REVIEW AND POSSIBLE ACTION ON DECEMBER 1, 2016 EXECUTIVE COMMITTEE MEETING MINUTES

The Committee is asked to review and take possible action on the December 1, 2016, Executive Committee Meeting Minutes.

Attachment:

December 1, 2016 Executive Committee Meeting Minutes



Edmund G. Brown Jr.
GOVERNOR

CALIFORNIA ARCHITECTS BOARD

PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION

MINUTES

EXECUTIVE COMMITTEE MEETING

December 1, 2016

Sacramento and Various Teleconference Locations in California

A. Call to Order/Roll Call/Establishment of a Quorum

Committee Members Present

Jon Alan Baker, Chair
Matthew McGuinness, Vice Chair
Tian Feng
Sylvia Kwan (arrived at 10:13 a.m.)

Board Staff Present

Doug McCauley, Executive Officer
Vickie Mayer, Assistant Executive Officer
Alicia Hegje, Program Manager Administration/Enforcement
Mel Knox, Administration Analyst

Guests Present

Jimmy Fremgen, Consultant, Assembly Committee on Business and Professions
Shelly Jones, Department of Consumer Affairs (DCA) Executive Office

Committee Chair Jon Baker called the meeting to order at 10:01 a.m., and Matthew McGuinness called roll. Three members of the Committee constitute a quorum for the transaction of business. There being three members present at the time of roll, a quorum was established.

B. Public Comment on Items not on the Agenda

There were no comments from the public.

C. Review and Possible Action on November 24, 2015, Executive Committee Meeting Summary Report

Mr. Baker asked for comments concerning the November 24, 2015, Executive Committee Meeting Summary Report.

Tian Feng moved to approve the November 24, 2015, Executive Committee Summary Report.

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Jon Alan Baker seconded the motion.

Committee members who were not present at the previous meeting asked whether they must abstain from voting on the minutes. Doug McCauley explained that the Rule of Necessity allows those members to vote.

Members Feng, McGuinness, and Committee Chair Baker voted in favor of the motion. Member Kwan was absent at time of vote. The motion passed 3-0.

D. Selection of 2016 Octavius Morgan Distinguished Service Awardees to be Recommended to Board for Approval

Mel Knox informed the Committee that the Octavius Morgan Distinguished Service Award is an annual award for recognizing volunteers who contribute significantly to the Board. Mr. Knox presented two potential recipients for 2016 for the Committee's recommendation to the Board: Donald Hodges and Connie Christensen. He noted that award recipients will be profiled in the Board's quarterly newsletter, *California Architects*. Mr. Knox asked the Committee to consider suspending the award until there is a need to recognize a greater variety of volunteers.

Mr. McCauley noted that Board members must cover the cost of the award with personal funds. Mr. McCauley recognized that the Octavius Morgan Distinguished Service Award may served its purpose. He reiterated the suggestion of suspending the award for five years until a cadre of deserving individuals are identified; alternatively, he suggested, the Committee could recommend expanding nominations to non-traditional candidates (LATC-affiliated, national participants, etc.).

Matthew McGuinness moved to recommend to the Board that Donald Hodges and Connie Christensen be awarded the Board's Octavius Morgan Distinguished Service Award for 2016.

Jon Alan Baker seconded the motion.

Mr. Feng recommended reviewing Octavius Morgan Distinguished Service Award nominees' curriculum vitae for the Committee's and Board's consideration in the future. Sylvia Kwan agreed with the suggestion. Mr. McCauley informed that staff always asks nominators to provide as much information as possible, and that staff will redouble those efforts.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

The Committee conveyed opposition to the idea of suspending the Octavius Morgan Distinguished Service, and support for the idea of expanding the types of candidates that can be nominated.

Jon Alan Baker moved to encourage the Board to continue with the Octavius Morgan Distinguished Service Award and expand the candidate pool to non-traditional candidates in the years ahead.

Matthew McGuinness seconded the motion.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

E. Update and Possible Action on 2015–2016 Strategic Plan Objective to Review, Leverage, and Evaluate the Effectiveness of Board’s Liaison Program to Build Stronger Relationships with Organizations

Mr. Knox reminded the Committee that the Board’s liaison program is designed to ensure that the Board exchanges information with key entities. He noted that changes to the program in 2014 included the following enhancements:

1. Staff will distribute reporting requirement reminders for liaisons on a quarterly basis;
2. Staff will provide liaisons with talking points (including integrated and multiple path to licensure);
3. Liaisons will collaborate with staff when communicating licensing information to candidates; and
4. Biannual reporting requirements modified to provide reports in the spring and fall months, in alignment with the academic calendar.

Mr. Knox informed the Committee that, at its December 10, 2015, meeting, the Board approved the Committee’s recommendation to continue with the 2014 improvements and to implement the following additional enhancements: 1) develop a standardized summary template to be used by liaisons, 2) expand talking points to include community colleges, and 3) monitor the liaison program for one year and reassess its effectiveness after implementing the enhancements. He advised that each of these enhancements were implemented in 2016, and asked the Committee to discuss the effectiveness of the liaison program.

Ms. Kwan opined that the schedule of quarterly contact with targeted schools and organizations and biannual reporting to the Board is excessive. Mr. McGuinness opined that the liaison talking points developed and maintained by staff are effective. The Committee agreed that the liaison program as currently implemented is valuable.

Matthew McGuinness moved to recommend to the Board that the liaison program continue as currently implemented.

Tian Feng seconded the motion.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

F. Update and Possible Action on 2015–2016 Strategic Plan Objective to Annually Present Consumer Satisfaction Survey Data to Measure Performance and Identify Areas for Improvement

Mr. Knox informed that the Board currently utilizes a general customer satisfaction survey for candidates, licensees, and consumers who have filed complaints against architects/unlicensed individuals. He also informed that the Board utilizes a DCA consumer complaint-specific survey which is provided to complainants when an enforcement case is closed. Mr. Knox directed the Committee’s attention to the results from the general survey for fiscal years (FY) 2014/15 and 2015/16, and to the results from the complaint-specific survey from FY 2014/15 through November 4, 2016. Mr. Knox noted that the Board’s general survey results indicate an overall customer satisfaction rate of 82 percent. He reminded members that staff is currently identifying potential improvements and modifications to the general survey so that it is better tailored to the Board’s various constituents and allows the Board to collect more reliable data.

Mr. Baker commented that it would be helpful for the Board to know of the changes made to operations and procedures as a result of survey responses. Mr. McCauley noted that improvements are being made to keep complainants updated on the status of their filed complaints. The Committee discussed the survey data and suggestions were made to better display the data.

Tian Feng moved to recommend to the Board to continue with current efforts to develop enhanced consumer satisfaction surveys.

Jon Alan Baker seconded the motion.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

G. Update and Possible Action on 2015–2016 Strategic Plan Objective to Implement BreEZe, an Enterprise-Wide Licensing and Enforcement System, to Improve Consumer, Candidate, and Licensee Services

Mr. McCauley updated the Committee on the status of BreEZe, the enterprise-wide licensing and enforcement system designed to improve consumer, candidate, and licensee services. He reminded the Committee that BreEZe is being deployed department-wide via three separate releases; the Board is part of Release 3. Mr. McCauley advised that, per the State Auditor, DCA is conducting a cost-benefit analysis and a gap analysis for Release 3 boards and bureaus. Absent any contrary finding in that analysis, he noted, DCA plans to bring the remaining boards and bureaus into BreEZe, but likely will do so in smaller groups. Mr. McCauley explained that the path forward will include business process planning, “use cases” developed, and solution requirements will be defined. Next, he commented that the Department of Technology’s four-stage Project Approval Lifecycle will facilitate business analysis justification, alternatives and cost benefit analysis, solution development framework, and project approval. Mr. McCauley informed that the final step of the process will be implementation, possibly following an agile or agile-hybrid development methodology. He advised that no action concerning

BreEZe is required of the Committee or Board at this time. Mr. McCauley stated that, perhaps, the Board's largest BreEZe benefit, once implemented, will be the ability to process credit card transactions. He also noted that staff intends to implement BreEZe with existing resources, and that fiscal implications are unknown at this time. Mr. McCauley opined that should there be additional BreEZe-related costs, the Board's budget authority will be adjusted accordingly.

H. Update and Possible Action on 2015–2016 Strategic Plan Objective to Analyze Fees to Determine Whether they are Appropriate

Vickie Mayer reminded the Committee that the Strategic Plan objective to analyze fees to determine whether they are appropriate was considered by the Committee last year. At that time, Ms. Mayer indicated, the DCA Budget Office determined that the Board's fund condition was appropriate and that a budget or fee adjustment was not recommended. She also noted that Budget Office personnel advised the Board to re-assess this issue after the completion of FY 2015/16, due to the recent \$300,000 spending authority reduction as a result of the Board's negative Budget Change Proposal. Ms. Mayer informed the Committee of Business and Professions Code section 128.5 that requires the Board to maintain its fund condition at less than 24 months. She advised that the Department of Finance recommends the fund condition be between three to six months. Ms. Mayer reported that staff again met with Budget Office staff after the completion of FY 2015/16, and assessed the Board's fund condition as being in a good state, within an appropriate range, and with months in the reserve at a downward trend. Ms. Mayer recommended that the Board continue to monitor the fund condition with DCA Budget Office staff until such time their determination changes.

Sylvia Kwan moved to recommend to the Board to maintain fees at their current levels and continue to monitor the Board's fund condition with DCA Budget Office personnel until such time their determination changes.

Matthew McGuinness seconded the motion.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

I. Update and Possible Action on 2015–2016 Strategic Plan Objective to Complete Sunset Review Process and Implement Recommendation(s) to Comply with Legislature's Directives

Mr. McCauley advised that Board staff will begin preparations for the 2018 Sunset Review process. He explained seven issues raised by the Legislature from the 2014 Sunset Review Report related to 1) travel restrictions, 2) pro-rata, 3) BreEZe implementation, 4) streamlining licensure, 5) continuing education audit failure rate, 6) information sharing with national disciplinary database, and 7) collection of fines. Mr. McCauley reported that there were no directives made by the Legislature during or after the March 18, 2015, hearing; however, within the seven issues addressed, there are several actionable items the Board should monitor or implement. He then outlined

Legislative committee staff recommendations, as well as recommended Board responses and actions for each of the seven issues.

Jon Alan Baker moved to recommend to the Board to endorse the actions related to the background and status on the following Sunset Review issues 1) travel restrictions (no additional action needed), 2) pro-rata (no additional action needed), 3) BreEZe implementation (continue Strategic Plan objective), 4) streamlining licensure (continue Strategic Plan objective), 5) continuing education audit failure rate (address in required Legislative Report), 6) information sharing with national disciplinary database (continue work within current authority-no additional action needed), and 7) collection of fines (no additional action needed).

Matthew McGuinness seconded the motion.

Members Feng, Kwan, McGuinness, and Committee Chair Baker voted in favor of the motion. The motion passed 4-0.

J. Adjournment

The meeting adjourned at 11:13 a.m.

Agenda Item D

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017–2018 STRATEGIC PLAN OBJECTIVES TO:

1. Determine Current Business Process Needs for BreZE to Allow for a Smoother Transition to the Program
2. Identify Organizational Relationships That Should be Maintained and/or Established in Order to Enhance the Board’s Mission to Regulate the Profession and Protect the Public
3. Prepare for the Sunset Review Process in Order to Facilitate a Positive Outcome
4. Encourage Collaboration with Other Related Boards in an Effort to Share Best Practices
5. Enhance an Onboarding Program for New Board Members to Increase Board Member Understanding of Board Functions and Purpose
6. Assess and Enhance Existing Committee Charges, Process, Procedures, Appointments, etc. to Improve Effectiveness
7. Expand Cross-Training Program for Board Staff and Revise Operational Manuals to Retain Knowledge and Increase Organizational Effectiveness
8. Research and Work with the Department of Consumer Affairs to Update Communications Technology in Order to Efficiently Notify Stakeholders of Important Information

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

1. DETERMINE CURRENT BUSINESS PROCESS NEEDS FOR BREEZE TO ALLOW FOR A SMOOTHER TRANSITION TO THE PROGRAM

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to determine current business process needs for BreEZe to allow for a smoother transition to the program.

The Department of Consumer Affairs (DCA) implemented an integrated, enterprise-wide enforcement case management and licensing system called BreEZe for board and bureau licensing and enforcement programs. This system supports DCA's highest priority initiatives of job creation and consumer protection by replacing aging legacy business systems with an industry-proven software solution that utilizes current technologies to facilitate increased efficiencies for DCA. More specifically, BreEZe supports applicant tracking, licensing, license renewal, enforcement, monitoring, cashiering, and data management capabilities. Additionally, the system is web-based which allows the public to file complaints and search licensee information and complaint status via the Internet. It also allows applicants and licensees to submit applications, license renewals, and make payments online. BreEZe was deployed department-wide via two separate releases. Release 1 was implemented on October 9, 2013 and Release 2 was implemented on January 19, 2016. The Board is currently part of Release 3. The State Auditor recommended that DCA conduct a cost-benefit analysis for Release 3 boards and bureaus.

On July 11, 2017, Board staff met with DCA Office of Information Services and SOLID's Organizational Change Management (OCM) staff to discuss the status of Release 3, as well as options for the Board to participate in the BreEZe program. The Board worked in collaboration with DCA on a Business Modernization Plan (Attachment 1) to effectively facilitate the analysis, approval, and potential transition to a new licensing and enforcement platform. The Plan is an academic look at the purpose, guiding principles, objectives, and activities needed to achieve the Board's goals of business modernization. The Plan has an accompanying document, the Business Modernization Report (Attachment 2), which is an artifact specific to the Board that documents the business modernization activities that will be conducted. The Report includes proposed timelines, milestone documentation, business planning artifacts, and project approval documents, among other items. Together, these documents outline a specific framework and the Board's progress within such framework.

The primary objective of the Plan is to ensure that business modernization efforts for the Board follow a structured approach based on best practices and lessons learned with more accurately planned, managed, and implemented technology solutions. The Business Modernization Plan and Report was finalized in late December.

Major highlights of the Business Modernization Plan include:

1. Business Activities
 - A. Document business processes to identify the "As-Is" business landscape

- B. Examine the current business processes for efficiencies and re-engineering opportunities
 - C. Develop a Business Needs/System Requirement specification
2. Project Approval Lifecycle (PAL) – Project approval process through the California Department of Technology (CDT)
 - A. Draft Stage 1 Business Analysis which articulates business case for project
 - B. Draft and execute Stage 2 Alternatives Analysis
 - Perform Market Research
 - Conduct Cost Benefit Analysis via the Financial Analysis Worksheets embedded in Stage 2 process
 - C. Stage 3 and 4: Procure platform/software in addition to possible implementation services
 3. System Implementation

Major highlights of the Business Modernization Report:

1. Individual, program-specific artifact
2. Contains proposed timelines based on current resource availability and business priority
3. Living document that can evolve with the planning efforts

On August 17, 2017, staff again met with OCM staff to discuss the initial inventory of the Board's existing administrative, enforcement, and licensing business processes. This inventory will inform the proposed timeline for the effort, currently under development. At the request of DCA, on October 11, 2017, staff provided suggested edits to the business processes. Staff is in the process of finalizing the business processes to include all Board and Landscape Architects Technical Committee (LATC) business processes.

Staff was also tasked by OCM to complete the Project Charter for the business activities phase of the modernization effort. The Charter specifies our role and responsibilities as key project stakeholders. It also describes the project decision-making authority for our business area, and the commitment DCA needs from the Board to conduct a successful project. Staff and management met with SOLID on November 7, 2017, to review the draft Project Charter and discuss combining the Board and LATC charters into one. Pending Board President and LATC Chair signatures, the Charter is expected to be submitted to SOLID in late January 2018.

The thorough planning, business analysis, and program-specific nature of this effort will ensure success for the Board/LATC and DCA. For the same reasons, this effort may result in a slower, more methodical approach that looks to reflect the Board/LATC's business needs.

This information is provided to the Executive Committee as an update on the Strategic Plan objective.

Attachments:

1. DCA Business Modernization Plan
2. California Architects Board & LATC Business Modernization Report
3. Business Modernization Plan Project Charter

EDMUND G. BROWN JR., GOVERNOR



BUSINESS, CONSUMER SERVICES, AND HOUSING AGENCY

DEPARTMENT OF CONSUMER AFFAIRS

BUSINESS MODERNIZATION PLAN

Developed By:

Department of Consumer Affairs
Office of Information Services
Project Management Office

STATE OF CALIFORNIA
Department of Consumer Affairs
1625 N. Market Blvd.
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November 2017

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1. Message from the Director

I am pleased to share with you the Department of Consumer Affairs' Business Modernization Plan. With this plan, the Department will be continuously looking for ways to improve our organization and the programs which we serve. The plan will be a living document, updated to integrate real time lessons learned and progress towards the Department's goal to increase efficiencies while furthering our mission of consumer protection.

The need for this plan stemmed from our experience with the first phase of the BreEZe project. After a thoughtful analysis, the Department officially removed 18 Boards and Bureaus from the scope of the BreEZe Project (formerly referred to as Release 3). We believe there remains a large demand to modernize business processes and current licensing and enforcement systems. To meet that demand, the Department has developed this plan, based on the new Project Approval Lifecycle developed by the California Department of Technology (CDT) to help identify optimal methodologies to assist Boards and Bureaus with their business modernization and to implement needed Information Technology platforms.

As we all know, today's business modernization efforts commonly include an IT component. The Department has made significant progress in the last few years in a constantly changing IT environment, and we will continue to strengthen our compliance with key regulations and mandates and improve the quality and efficiency of IT services and solutions. Progress towards the plan's goals and objectives will be monitored and evaluated by the Department's Project Management Office (PMO).

As the Department moves forward with implementation, we recognize the value of feedback and insights from our key stakeholders. We will continue to engage at all levels to ensure we are effectively assessing operational performance and addressing potential risks. We look forward to fostering stronger relationships through this process that will only benefit the Department and California's consumers.

Looking ahead, we will continue to address both existing and emerging challenges, maintain a sustained focus on the needs of the consumer, and eliminate silos, while laying a strong organizational foundation for greater collaboration and coordination among Boards and Bureaus, the Department, stakeholders, partners, and policy makers.

I'd like to thank the hard-working team who put this plan together and I look forward to providing updates on the progress the Department is making.

Thank you,



Dean R. Grafilo
Director
Department of Consumer Affairs

2. Executive Summary

The Department of Consumer Affairs (Department) has launched a Business Modernization Initiative to address business and technology needs for programs that continue to rely on legacy technology solutions. As such, the Department had brought together an interdisciplinary team to create this strategic plan (Plan) to identify a methodical step-by-step approach that Boards and Bureaus within the Department will use to assist in moving their programs forward. The goal is to embrace the unique nature of each of the Department's programs while offering some process standardization.

The primary objective of this Plan is to ensure that all future business modernization efforts follow a structured approach based on best practices and lessons learned, with more accurately planned, managed, and implemented technology solutions.

In implementing this Plan, the following objectives will be achieved:

1. **Build a case and a solution.** Assess the program to build a strong business case and program-specific business needs to inform how we can better meet statutory requirements, assess reasonable alternatives and identify the most appropriate technology solution.
2. **Innovate processes.** Invest in a comprehensive business process analysis that documents current activities and identifies ways to innovate current practices to maximize resources or deliver a higher quality product.
3. **Maintain quality service.** Limit disruptions to current day-to-day operations through advanced planning, to ensure that current services to licensees and the public are maintained at a quality level.

The Department will require all future business modernization efforts to be subject to this Plan. The following list identifies programs that currently have this type of work underway, and will be updated as needed:

- California Board of Accountancy
- California Acupuncture Board
- California Architects Board (including Landscape Architects Technical Committee)
- California State Athletic Commission
- Bureau of Automotive Repair
- Cemetery and Funeral Bureau
- Board of Chiropractic Examiners
- Contractors State License Board
- Court Reporters Board of California
- Bureau of Electronic & Appliance Repair, Home Furnishings and Thermal Insulation
- California State Board of Pharmacy
- Bureau for Private Postsecondary Education
- Board for Professional Engineers, Land Surveyors and Geologists
- Professional Fiduciaries Bureau
- Speech-Language Pathology and Audiology and Hearing Aid Dispensers Board
- Structural Pest Control Board

3. Background

The Department is the umbrella department for thirty-nine (39) business, professional, and occupational licensing programs. These programs operate under two distinct structures within the Department, known as Boards and Bureaus. Collectively, these programs have issued over 3,000,000 licenses, registrations, certifications, and permits in 250 license categories. To fulfill the Department's responsibility to protect and serve California consumers while ensuring a competent and fair marketplace, the Department's Boards and Bureaus help set minimum qualifications for licensure, enforce these standards and act against unlicensed practitioners.

The Department's Office of Information Services (OIS) is responsible for providing the Department and its programs with the technology required to support its mission, by maintaining the Department's applicant tracking, licensing, renewal, enforcement, monitoring, cashiering, and data management requirements in various enterprise information technology (IT) systems.

In 2009, the Department commenced with the BreEZe Project which was originally intended to bring all thirty-nine (39) programs onto one IT system. To achieve a phased integration, these programs were broken into three "Releases". Release 1 was completed on October 8, 2013 and included 10 programs, with varied levels of success.

As a result of implementation challenges, the California State Auditor conducted an extensive audit on Release 1 of the BreEZe Project. In summary, the audit determined that the Department did not adequately plan, staff and manage Release 1 of the BreEZe Project, which had performance problems, significant delays and escalating costs. The report recommended that the Department develop processes that ensure it performs all required oversight activities to identify and prevent future problems.

Based on lessons learned and recommendations put forth by the State Auditor, adjustments were made in the implementation of Release 2 of the BreEZe Project. Release 2 successfully went into production on January 19, 2016 achieving substantially improved implementation results.

Efforts to date allowed the Department to collect valuable information related to best practices in business modernization efforts and informed the formulation of this Plan, in consultation with the California Department of Technology.

Currently, 16 programs within the Department still rely on legacy IT systems and have been prioritized for business modernization efforts. Many programs are still in need of business modernization as they look to better serve their stakeholders with a more robust online presence, online application submission, online renewals, online license maintenance functions, online payment, mobile enforcement capabilities, accessible data, efficient reporting, and a productive back-office.

4. Targeted Audience

This document is targeted towards the following stakeholder groups to educate and inform them of the Department's plan for any future business modernization effort:

- **California Legislature** – The Department requires the support of legislative members to ensure sufficient fiscal and human resources are allocated to any initiative.

- **California Department of Technology** – As programs complete their business needs identification efforts, the California Department of Technology (CDT) will be engaged to initiate the Project Approval Lifecycle (PAL) process.
- **The Department and Board/Bureau Executive Leadership** - The Department Executive Office provides guidance, oversight, and partnership to Boards and Bureaus in the modernization of their programs. Board Members and Executive Officers are responsible to identify business modernization needs and to support their effective implementation.
- **Board and Bureau Staff** – Staff are key to the success of any IT effort. The management and staff must understand the business needs, the technologies involved, and the time and effort that an IT effort demands.

5. Lessons Learned

As the BreEZe Project progressed during the design, development, and implementation phases for Release 1 and Release 2, our Department gained insight into how to best leverage the lessons learned. Lessons learned are an instrumental part of a continuous improvement process that will allow our Department and regulatory programs to learn from past missteps and our successes.

Some key project themes and attributes that are part of the Department’s lessons learned include:

Readiness

- Ensure (as much as possible) that all necessary resources are identified from the beginning.
- Determine if the “To Be” business process assessment is necessary.
- Avoid “Bundling “of unique Boards and/or Bureaus without adequate authority to implement standardization.
- Evaluate current Board and Bureau workload and portfolio of work.

Preparation

- Develop templates to provide a standardized process, documentation and understanding of what is required for deployment preparation.
- Allow for integrated approaches, especially for technical staff to learn and understand the fundamental differences between the legacy systems and inform the chosen solution.
- Train leadership teams and key change agents in Organizational Change Management.
- Prepare for complete end to end integration testing to help identify gaps and test for user acceptance throughout the process.

Sponsorship

- Leadership, commitment and support early in the process are essential to success.
- Identify champions early in the process to articulate the need for the change and benefit of positive end results.
- Create a clear, organization-specific definition of stakeholder engagement and roles.
- Create a risk management strategy and risk decision logs for leadership sponsors to review and take action.

Stakeholder Involvement

- Define the project, set achievable goals and measure the outcomes.
- Ensure all stakeholders are aware of the change and outcomes throughout the change process.
- Communicate early and often, especially if there are positive or negative shifts in timeline or budgetary considerations.

Communication

- Communicate expectations to all stakeholders from the beginning.
- Be prepared to explain how the change will provide improvements and how success will be measured.
- Simple and periodic communication on the status of the project will keep stakeholders aware of status and sets expectations of what is expected.

6. The Road Forward

6.1 Organizational Readiness

Before embarking on any business modernization effort, the organization's readiness for the change must be assessed. Assessing readiness for change is an ongoing process and helps ensure that all staff and managers have the commitment and the confidence to do what is needed to improve.

Boards and Bureaus will assess their readiness to identify and resolve organizational readiness issues. Identifying these readiness issues early will allow the program to adjust strategies, plans, and timing. The Department will also conduct its own readiness assessment of each program to confirm the program's internal assessment.

Factors Associated with Organizational Readiness:

- **Organizational structure and commitment:** Executive commitment to performance improvement and the stated objectives.
- **Organizational culture:** Preconceptions, perceptions, and expectations of staff.
- **Leadership:** Strong and positive leadership that supports change.
- **Resources:** Resources available to implement, monitor, and sustain the initiative, while maintaining day-to-day operations.
- **Staff attributes and beliefs:** Staff beliefs about the problem or opportunity, need for change, and motivation to change.
- **Past experiences:** Organizational, leadership, or staff past experiences with change.

Barriers to change may include lack of resources or staff, insufficient funding, as well staff's knowledge, skills, and motivation. Leadership support, existing resources, systems, and staff strengths are factors that can facilitate positive change. Each Board and Bureau is unique and they have different characteristics that influence readiness to change. The readiness assessment of each Board or Bureau will allow for early detection and mitigation of barriers to change and leverage factors that contribute to successful implementation and improvements.

Additionally, for each of the Boards and Bureaus embarking on a business modernization effort, the OIS will benefit from the utilization of a high-level analytical Complexity Assessment Methodology ([Appendix A](#)) that consists of 22 weighted criteria, ranging from number of licensees (individuals and businesses with certifications, registrations, permits, etc.) to level of organizational readiness. This methodology determines an overall complexity rating to assist with prioritizing and sequencing future program conversion and/or releases.

6.2 Guiding Principles

Our guiding principles will ensure that business decisions align with the Department’s strategic plan as well as the Boards’ and Bureaus’ strategic goals and overall readiness. It is important to emphasize that each Board and Bureau will be afforded the ability to proceed at a pace that fits into its readiness and business priorities.

Our guiding principles include:

- Support program-based approach for successful implementation of IT solutions.
- Complete an assessment of Board, Bureau, and stakeholders readiness assessment.
- Align IT decision making with business objectives.
- Promote and value stakeholder engagement.
- Effectively communicate through all channels.
- Conduct a comprehensive assessment of alternative platform choices to ensure the chosen platform meets the unique needs of each Board and Bureau.
- Complete a cost-benefit analysis to determine the most economical platform solution.
- Utilize Organizational Change Management (OCM) principles, processes, and training throughout the entire lifecycle.
- Ensure there is an adequate IT capability to support current and future business requirements.
- Promote effective leadership to support the speed, efficiency, and effectiveness of corrective actions.
- Maximize organizational efficiency.
- Analyze and communicate IT risks and their potential impact on business processes and goals.
- Ensure delivery of project results within agreed upon timeframes, budget, and quality.

6.3 Approach

This Plan outlines a four-step process:

1. Document and innovate program business processes
2. Develop system requirement/business needs specifications
3. Conduct Project Approval Lifecycle process
4. System Implementation

1. Document and Innovate Program Business Processes

Document/update business processes to inform business needs and ultimate system requirements. Effort 1 will include the following activities:

- A. Educational Workshops:** Educate program(s) on the process, artifacts, and staff demands of business process documentation.
- B. Define Scope:** Program will develop the charter for the business activities with a clear statement of scope.
- C. Business Processes:** Document, update, and validate all business processes – ‘As-Is’ business process.
- D. Business Process Reengineer:** ‘To-Be’ business environment.
- E. Elaboration of Business Processes:** Analyzing the current business processes.
- F. Business Requirements:** Development of Business Requirement Specification.

2. Develop System Requirement Specifications

End-to-end system requirements/business needs specification will be developed for each Board and Bureau including functional and non-functional requirements.

3. Conduct Project Approval Lifecycle Process

The PAL is the required process created and adopted in California to improve the quality, value, and likelihood of success for IT projects. To ensure that projects are undertaken with clear business objectives, accurate estimates, and realistic schedules, the Department will continue to follow this mandated approval process and will continue the use of a standardized project management framework to ensure a comprehensive understanding of the project among stakeholders and help identify and mitigate any risks to the project.

The Department will also follow the steps and procedures involved in all the Project Management phases: Concept, Initiation, Planning, Implementation, and Maintenance and Operations. As additional information is collected and refined through the lifecycle, the cost estimates, schedules and business objectives will be progressively updated and evaluated to determine if the project is still practical and if the investment should continue.

The PAL is divided into four stages each separated by gates of approval and each stage must be completed and approved by the California Department of Technology to move forward to the next.

Stage 1 Business Analysis: Establish Business Case and develop Stage 1 Business Analysis. This stage utilizes much of the information that is gathered during the business planning and documentation effort.

Stage 2 Alternatives Analysis: Determine alternatives and perform cost-benefit analysis. A cost-benefit analysis is required by the BreEZe audit. It will be performed via cost components and Financial Analysis Worksheets (FAW) within Stage 2 Alternative Analysis.

Prior to embarking on the next stage, the Department will conduct a solution funding study to consider available funding alternatives, Board and Bureau fund conditions, and any alternative funding available that may be necessary to complete system implementation.

Stage 3 Solution Development: This is the third stage of the PAL (S3 Solution Development) and provides the basis to acquire a solution that best meets business objectives and yields the highest probability of success.

Stage 4 Project Readiness and Approval: During this phase, the selection of a solution and the approach is determined. The Stage 4 Project Readiness and Approval is the final stage of the PAL and provides a basis to evaluate and reconfirm that the business objectives will be achieved, ensure the alternative solution selected continues to yield the highest probability of success, and baseline the project's timeframes, projected schedule and costs. The Department will take the results from the previously mentioned steps and will identify risks with each solution and approach identified.

4. System Implementation

Once the solution has been selected and the project has been fully approved through the PAL process, the Department, in concert with the affected Board or Bureau, will begin the implementation activities.

7. Stakeholder Roles

The creation of a structured and cohesive environment requires a complete understanding of stakeholders and their roles. Below is a listing of key stakeholders involved in the development of the individual program plans. Other stakeholders are expected to engage in the process, which may include: industry leaders, the Legislature, and the public.

Executive Sponsor:

- Be an effective champion for the effort.
- Participate as an active regular participant in high level project decisions.
- Actively participate in communication efforts to internal and external stakeholders.
- Maintain effort accountability.
- Ensure decisions are made timely to support the priorities.

Boards and Bureaus:

- Drive all primary business modernization efforts.
- Plan for resources early in the process so needs can be met as soon as the effort is initiated.
- Involve mid-level managers and supervisors to ensure communications are flowing freely throughout the organization.
- Supply subject matter expertise related to all business needs.
- Assess their organization for readiness and prepares team members and stakeholders.
- Evaluate the impact of change on staff and the organization to identify change risks and issues, and to recommend mitigation strategies.
- Set clear expectations, promote change awareness, understanding, and acceptance across key stakeholders.
- Ensure accountability and set the tone for commitment to the Business Modernization Initiative.

Department – SOLID:

- Establish a Department-wide business modernization strategic plan, based on best practices and lessons learned.
- Provide structure process and support to individual programs to document current business practices.
- Based on industry best practices, determine and implement process improvements that: (1) reduce operational cost, (2) reduce processing times, (3) enhance customer service, or (4) enhance consumer protection.

Department – Office of Information Services:

- Integrate into business modernization planning efforts early, to ensure a clear understanding of business needs of the program.
- Complete document/artifact management planning to ensure consistency in documentation of the Business Modernization Initiative from inception to completion of the effort.
- Drive compliance with CDT's guidelines and requirements.
- Assist and provide oversight with the PAL process.
- Coordinate PAL process submission, and approvals for the Department and program.
- Continue to support, maintain, and improve the chosen system.

California Department of Technology:

- Facilitate project planning through its PAL process to promote the greatest degree of project success.
- Partner with the Department and its programs to ensure the leveraging of innovative and cost-effective IT solutions to address business modernization needs.
- Ensure compliance with information technology policies and standards through IT initiative approvals and oversight.

Department of Finance:

- Align budget and policy initiatives with priorities of the State and long-term economic sustainability.

8. Business Modernization Reports

To ensure our Business Modernization Initiative Strategic Plan remains effective and relevant, a Business Modernization Report to broadly assess progress and provide recommendations, will accompany each Board and Bureau Business Modernization effort. This companion document will be prepared and maintained by the Board/Bureau/Commission and the Department Project Management Office and will give the details on specific business activities throughout the lifecycle of this effort.

9. Conclusion

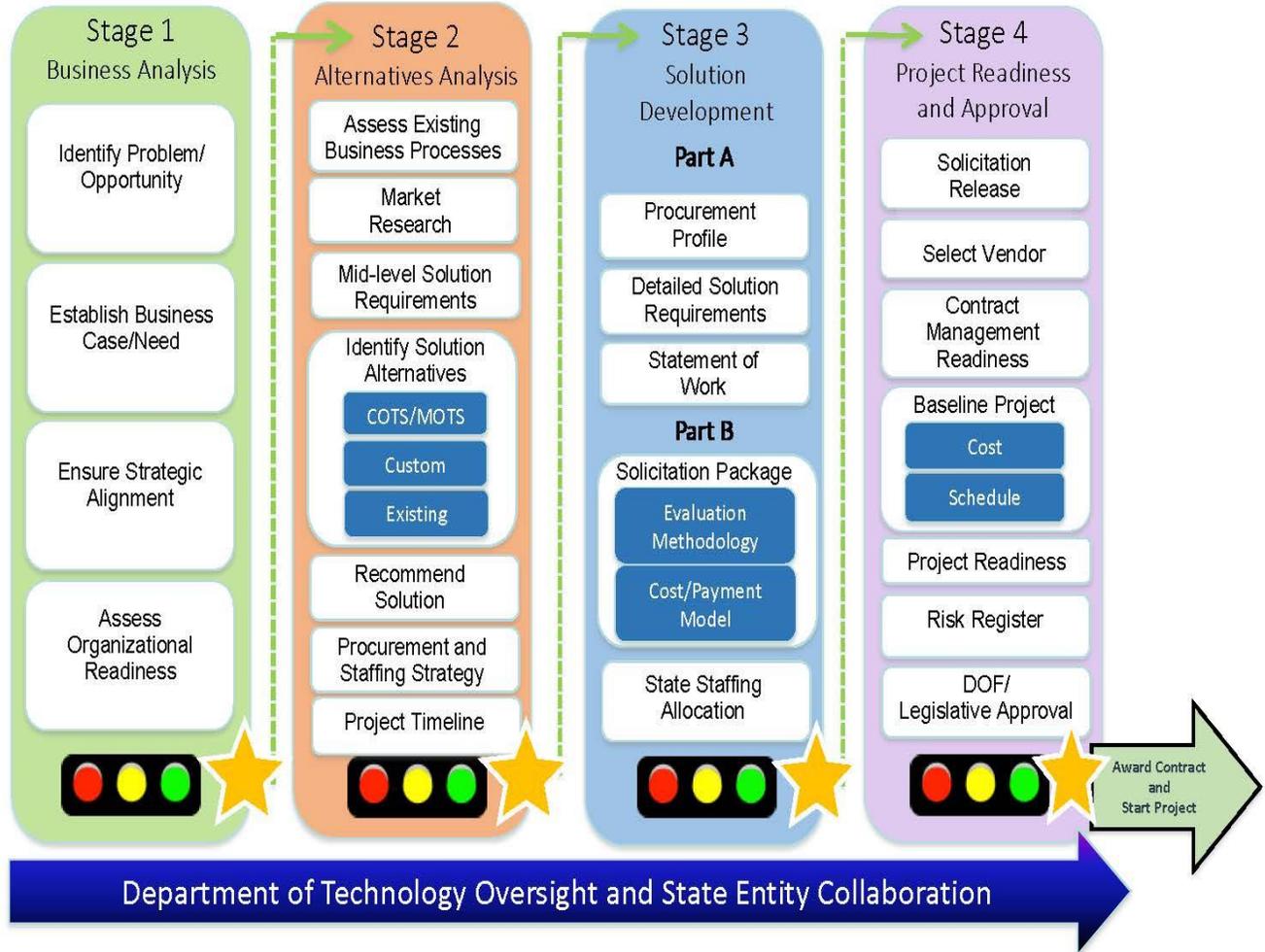
The Department recognizes that each Board and Bureau has specific and unique needs and that may lead to different business modernization solutions. This initiative is a commitment to a set of coherent, mutually reinforcing behaviors aimed at achieving our goal to become more efficient, productive, and responsible when looking for modernization in our organization.

10. Appendices

Appendix A – Conceptual Timelines

CONCEPTUAL TIMELINES	Complexity		
	LOW	MEDIUM	HIGH
BUSINESS ACTIVITIES			
Effort 1: Business Planning, Objectives, and Documentation	6 – 12 months	9 – 21 months	21 – 39 months
BUSINESS/IT PARTNERSHIP ACTIVITIES			
Effort 2: System Requirements Specifications	2 months	2 months	2 months
Effort 3: Project Approval Lifecycle			
Stage 1 – Business Analysis	3 months	3 months	3 months
Stage 2 - Alternatives Analysis	3 – 6 months	10 – 12 months	18 months
Stage 3 & 4 – Solution Development & Project Readiness	6 – 12 months	6 – 12 months	6 – 12 months
Effort 4: System Implementation	12 – 18 months	12 – 24 months	18 – 36 months

Project Approval Lifecycle Framework





Department of Consumer Affairs
CALIFORNIA ARCHITECTS BOARD
PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION

**Department of
Consumer Affairs**



**California Architects Board &
Landscape Architects Technical
Committee**

Business Modernization Report

DEVELOPED BY:

Department of Consumer Affairs
Office of Information Services
Project Management Office

And

California Architects Board & Landscape Architects
Technical Committee

For the reporting period of July 1, 2017 – December 31, 2017



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1 Introduction

1.1 Overview

The Department of Consumer Affairs' (Department) Business Modernization Plan lays out the structured approach of the Business Modernization Strategy. This Business Modernization Report (Report) details the comprehensive record of the California Architects Board and Landscape Architects Technical Committee (CAB & LATC) summary of business activities, findings, recommendations, project approvals, and proposed timelines; and leverages information collected since the early stages of the planning activities. The guiding principles driving this effort are derived from the BreEZe Project Lessons Learned and the Bureau of State Audit's BreEZe report dated February 12, 2015, to ensure that business decisions align not only with the Department's Strategic Plan but also with the CAB & LATC's specific requirements and overall readiness.

The findings, challenges and opportunities, recommended approach, and anticipated timelines are provided in this consolidated report. Additional details about the Department's Business Modernization Strategy may be obtained by contacting the Project Management Office (PMO), within the Department's Office of Information Services (OIS).

This is a living document developed and maintained by the PMO and does not describe or contain standard project management activities or documentation; those may be leveraged directly from the program documentation and other artifacts.

1.2 Purpose

This business-driven Business Modernization Report and its underlying assessments, articulate the modernization approach and provide relevant and consistent information to stakeholders throughout the lifecycle of the Business Modernization effort while providing the Department and the CAB & LATC with an integrated view of activities and progress.

Business activities, effort development and outcomes are linked by clear and organized communication methods that include ongoing status reports, correspondence, periodic briefings, and regular stakeholder's meetings that provide consistency in the overall perception of this effort, allowing for a more efficient management of expectations and ongoing Executive, Management, and staff support and commitment.

2 Modernization Approach

Business Modernization requires a complete business process review, an acceptable level of organization readiness, and a thorough market research of information technology alternative solutions. The results of these reviews and market research will be documented in this comprehensive report, along with details for transitioning to, and sustaining, a modern environment that comprises an integrated system.

Modernization may not be a "one size fits all" effort, but instead should consider current state of the organization, total staff, and the general complexity of the CAB & LATC's environment. The first readiness characteristic is organizational readiness for change. As an organization-level concept, readiness for change refers to organizational members' shared commitment to implement a change and

shared belief in their collective capability to do so. Consequently, before embarking on any business modernization effort, the organization's readiness for change must be assessed.

The Department understands that each board and bureau is unique and they have different characteristics that influence readiness to change, and the readiness assessment of the CAB & LATC (assessments are a combination of department-led and self-assessed surveys), will allow for early detection and mitigation of barriers to change and leverage factors that contribute to successful implementation and improvements. It may not be feasible to implement a single solution across all the boards and bureaus, and all platform development and procurement activities will be based on business requirements representing the individual and specific needs of the CAB & LATC.

During the Stage 2 Alternative Analysis of the Project Approval Lifecycle (PAL), a cost benefit analysis will be performed to determine the overall cost effectiveness for each viable option.

3 Priority Business Activities

To build a roadmap from the current to the future state, the Department has taken foundational steps and activities required to support the Department's best practices vision. Below are key activities that need to be accomplished during the modernization effort. These activities include guidance to produce findings and recommendations that could be used to develop a strategy to drive business improvements, and to conduct business process re-engineering.

- Educational Workshops.
- Conduct facilitated workshop with individuals from different areas of the organization to educate the different programs on the process and staff demands, as well as to gather all perspectives as the issues will be varied.
- Rough Order of Magnitude (ROM).
- Set program's expectations and responsibilities.
- Develop an inventory of business processes.
- As-Is and To-be Business Process Analysis.
- Elaboration of business processes.
- Develop business needs specifications.

3.1 Workshops & Meetings

All stakeholders will receive benefits from the successful execution of business modernization. Workshops and meetings with key stakeholders within the CAB & LATC were and will continue to be conducted as necessary, to assess and monitor the state of the current environment.

A list of workshops and meetings used to discuss challenges and opportunities in each program area can be found under the supporting documentation section.

3.2 Challenges and opportunities

From all meetings to date, the following information was gathered:

Area	What's Working Well	Challenges / Opportunities
Program	<ul style="list-style-type: none"> • Current infrastructure is good and quite adequate to support current activities. • Staff is experienced and knowledgeable in all different areas. 	<ul style="list-style-type: none"> • No current legislation /regulation that require an immediate change. • Business processes are solid and need to be documented. • Business processes knowledge loss resulting from staff turnover /retirement.
System	<ul style="list-style-type: none"> • Majority of the source data is available at the appropriate level of detail. • System meets the basic needs of the program. 	<ul style="list-style-type: none"> • Current system lack advanced reporting and ad-hoc capabilities. • Current system does not accept credit cards. • Opportunity to standardize and modernize.

4 Assessment Criteria

The following table includes preliminary assessment questions and answers that blend principles of the CAB & LATC, status of current processes, current perception of staff and management, and organizational readiness to change. This information was collected during meeting/s between the CAB & LATC and the Department. Readiness assessments, like the one summarized below, will be used throughout this effort to gauge progress and risk as we reach different milestones.

Readiness Area	Readiness Component	Not Prepared	Moderately Prepared	Highly Prepared
Culture of Organization	This Business Modernization Effort is viewed as...	<input type="checkbox"/> only a requirement of government environment.	<input type="checkbox"/> primarily a project to achieve workflow efficiencies.	<input checked="" type="checkbox"/> a component of business transformation to enable quality of service
	Staff involvement in the effort...	<input type="checkbox"/> is not feasible.	<input type="checkbox"/> primarily occurs by management for key decisions.	<input checked="" type="checkbox"/> is active and engaged
	The Executive Team...	<input type="checkbox"/> relies on the Department to provide planning guidance.	<input type="checkbox"/> delegates full responsibility for this effort to a specific person or team.	<input checked="" type="checkbox"/> devotes substantial time to planning for business modernization
	Staff and other resource(s)...	<input type="checkbox"/> have not yet been told about the effort	<input checked="" type="checkbox"/> have been given general info, but have little idea how it will impact their work.	<input type="checkbox"/> have been included in communications including some specific early planning activities.
Leadership and Management	Assess Executive Officer/Chief support of this effort as an Agent for Change	<input type="checkbox"/> Averse	<input type="checkbox"/> Neutral	<input checked="" type="checkbox"/> Champion
	Assess Board Members/Advisory Council support of this effort as an Agent for Change	<input type="checkbox"/> Averse	<input type="checkbox"/> Neutral	<input checked="" type="checkbox"/> Champion
	Assess Management Team support of this effort as an Agent for Change	<input type="checkbox"/> Averse	<input type="checkbox"/> Neutral	<input checked="" type="checkbox"/> Champion
	Assess Staff support of this effort as an Agent for Change	<input type="checkbox"/> Averse	<input type="checkbox"/> Neutral	<input checked="" type="checkbox"/> Champion
	Level of planning for success	<input type="checkbox"/> has not been discussed.	<input checked="" type="checkbox"/> is recognized, but has not been formally addressed.	<input type="checkbox"/> is understood and commitment to success is demonstrated.
	Staffing needs for this effort...	<input type="checkbox"/> have not been analyzed.	<input checked="" type="checkbox"/> have are generally understood	<input type="checkbox"/> have been documented detailing current and proposed needs.

California Architects Board & Landscape Architects Technical Committee
 Business Modernization Report

Readiness Area	Readiness Component	Not Prepared	Moderately Prepared	Highly Prepared
Workflow & Business Process Improvement	Current and/or proposed business processes are...	<input type="checkbox"/> generally, not documented today.	<input checked="" type="checkbox"/> are starting to be documented and analyzed and plan for development is in place.	<input type="checkbox"/> are documented
	SME to collaborate with development of Business Activities Artifacts	<input type="checkbox"/> are non-existent	<input checked="" type="checkbox"/> have experience and will work with SOLID or vendor to detail the tasks and activities	<input type="checkbox"/> have strong experience with current business processes to develop artifacts
Information Technology	A solution using a high-availability platform...	<input checked="" type="checkbox"/> has not been assessed	<input type="checkbox"/> is being assessed and will be determined in accordance with the Department's recommendations	<input type="checkbox"/> has an IT solution in mind and will be determined in accordance with the Department's recommendations
Total items checked in each category:		1	5	7
Additional details: Mandates (industry, legislative, departmental) unable to meet in current business scenario		<ul style="list-style-type: none"> • Online Application • Backend office management of the application • Ability to manage the data • Data analytics for trending and managing license. 		

5 Risks/Issues/Assumptions

The Department and the CAB & LATC will diligently identify risks and issues to mitigate impacts. This Business Modernization Report is, in part, based on assumptions. Should any of the assumptions be incorrect, in part or in whole, the activities and schedules may change.

5.1 Risks

No risks have been identified at this time.

5.2 Issues

No issues have been identified at this time.

5.3 Assumptions

#	Description
1	Project funding may require a Budget Change Proposal (BCP). If a BCP is required, certain areas of the Report's timeline will change.
2	Scope is least flexible
3	Schedule is most flexible

6 Timelines

The Department will continue to collaborate with the CAB & LATC to create and actively manage a comprehensive timeline. Many business activities will be executed concurrently, requiring coordination, common understanding, and collaboration across the stakeholders and project teams.

Time estimates used to determine the timelines are based on an approximation of effort modified by a set of assumptions such as available resources, training required, portion of day that team members are allocated, and stakeholder involvement. Scheduling for unexpected events are recorded into the timeline by adding a fixed contingency percentage to provide consistency during the effort development.

Using this method of estimation, the duration of a task shortens or extends as resources are added or removed from a task while the amount of effort necessary to complete a task remains unchanged. As the timeline is optimized, the DCA PMO will progressively update the data into the CAB & LATC Business Modernization Report.

It is challenging to know the feasibility of a timeline from the start and it is important to emphasize the possibility of vital work that may not have been identified in this plan, such as the ongoing identification and engagement of diverse stakeholder groups, or the possibility of future modifications to the California Department of Technology's (CDT) requirements, approval process, or regulations, that will likely influence these timelines.

The following steps, which are also presented graphically in our [proposed timeline](#), outline the main processes of planning, developing, and executing an Information Technology (IT) project:

1. Business Activities

The following main activities will be conducted during this stage:

- **Educational Workshops:** Educate program(s) on the process, artifacts, and staff demands of business process documentation.
- **Define Scope:** Program will develop the charter for the business activities with a clear statement of scope.
- **Business Processes:** Document, update, and validate all business processes – 'As-Is' business process.
- **Business Process Reengineer:** 'To-Be' business environment.
- **Elaboration of Business Processes**
- **Business Requirements:** Development of Business Requirement Specification.
- **Develop System Requirement Specifications:** End-to-end system requirements/business needs specification including functional and non-functional requirements.

The Department applied the following methodology to determine the duration of the business activities tasks:

Time Estimates for a Sample Board/Bureau - August 2017

Scenario: Total number of expected processes for a Board/Bureau = 90

'As-Is' Mapping – Total: 90 days | # of Processes: 90 est. | Time per process: 8 hours | 2-person team
Phase 1: 4 hours – Working with Board/Bureau on initial mapping activities (@ Brd/Bur)
Phase 2: 3 hours – Refining process map from Step 1 (@ SOLID)
Phase 3: 1 hour – Review finished map with Board/Bureau and make final edits (@ Brd/Bur)

$$'As\ Is'\ Process\ Mapping\ Total\ Time: 90\ days = \frac{(8\ hrs\ per\ map\ X\ 90\ maps = 720\ hrs)}{8\ hrs\ per\ day}$$

'To-Be' Mapping – Total: 53 days | # of Processes: 60* est. | Time per process: 7 hours | 2-person team
Phase 1: 4 hours – Reengineering the 'As-Is' map and incorporating previously developed suggestions for improvement. (@ SOLID)
Phase 2: 2 hours – Reviewing the new 'To Be' map with Board/Bureau
Phase 3: 1 hour – Final edits made to map (@ SOLID)

$$'To\ Be'\ Process\ Mapping\ Total\ Time: 53\ days = \frac{(7\ hrs\ per\ map\ X\ 60\ maps = 420\ hrs)}{8\ hrs\ per\ day}$$

*60 map estimate assumes that only 2/3rds of the 'As Is' maps will require reengineering.

Functional Requirements (FR) with Review – Total: 68 days | # of FRs: 90 | Time per FR: 1.5 days | 2-person team (splitting work)

$$Functional\ Requirements\ Total\ Time: 68\ days = \frac{(1.5\ days\ per\ FR\ X\ 90\ maps = 135\ days)}{2\ staff}$$

Category	Anticipated number of days to complete
As-Is Processes Activities	104
To-Be Reengineering Activities	60
Functional Requirements with Review	78
(Change Management Trainings, Inventory, Charter, Unanticipated Activities) = 10% of time for As-Is, To-Be, and Functional Requirements with Review	24
Total	266 days

2. Project Approval Lifecycle

One of CDT's responsibilities is to review and approve IT proposals to ensure that proposed projects are based on well-defined programmatic needs, consider feasible alternatives to address the identified needs, identify a sound technical solution, implement project management best practices, and comply with state policies and procedures. CDT requires departments to do comprehensive upfront planning with an emphasis on establishing a strong business case before a project is approved to move forward.

The PAL is a required process designed to improve the planning, quality, value and likelihood of IT projects success. The PAL is divided into four stages, each separated by gates of approval and each stage must be approved by CDT to move forward to the next.

- **Stage 1 – Business Analysis (S1BA):** Evaluates completeness, the sufficiency of the business case and whether the concept aligns with department and agency priorities.
- **Stage 2 – Alternatives Analysis (S2AA):** Ensure sufficiency of planning, organizational readiness and good documentation resulting in sufficient market research, alternative analysis, and justification for the selected alternative.
- **Stage 3 – Solution Development:** Specify business level requirements, develop the procurement documents, and assemble the solicitation package.
- **Stage 4 – Project Readiness and Approval:** Select vendor, contract award, update the final budget, and project plans and schedule. Once the project is assessed for final readiness, it could be approved for execution.

3. System Implementation

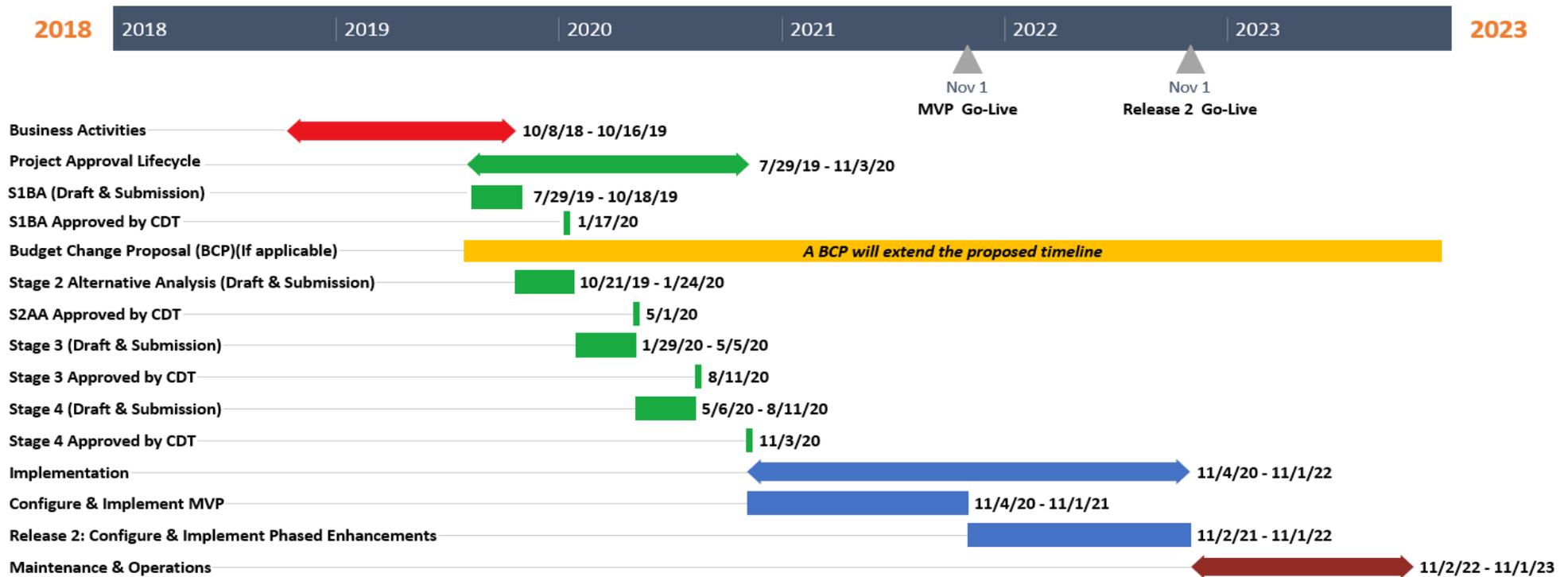
Once the solution has been selected and the project has been fully approved through the PAL process, the Department, in concert with the CAB & LATC, will begin the system implementation activities.

For reference, high-level views of the identified outcomes and a potential effort execution timeline are reflected on the [Modernization Timeline](#). If needed and upon request, the OIS PMO will provide updates and status, for specific details of the Business Modernization tasks.

7 Supporting Documentation

7.1 Proposed Timeline – Reportable Model

CAB & LATC Business Modernization Proposed Reportable Model Timeline



PLEASE NOTE: Dates are tentative and subject to change.

*Business Activities timeline is based on a three-day per week resource commitment and formulas included in Section 6. Timeline may vary depending upon complexity of business processes, new business processes discovered during analysis, and resource commitment.

**PAL timeline is based on estimates of current CDT’s requirements and documentation, as well as DCA’s experience with other projects.

***System Implementation timeline will vary depending upon the solution characteristics, implementation strategy and complexity, and platform selected.

MVP: Minimum Viable Product

7.2 Workshops/ Meetings/Activities

Meeting / Activity	Date	Attendees /Staff	Summary
Initial Meeting to present Business Modernization & approach	07/11/17	Jason Piccione -DCA CIO Baird Cowan – DCA - CTO Kelly Boynton - SOLID Brian Clifford - SOLID Marisa Rey – DCA PMO Doug McCauley – CAB EO Vicky Mayer- CAB AEO Brianna Miller – LATC Prog. Manager Marccus Reinhardt – CAB Licensing Manager	<ul style="list-style-type: none"> Facilitated walk through of the DCA Business Modernization Efforts approach. Discussed CAB’s concerned regarding the \$400,000 already invested into BreZE project. Discussed a federation layer that would allow communication between all the different systems. Existing business processes are solid but turnover and retirements could be a challenge in the future leaving no SME. LATC is new and can be modeled after CAB. CAB & LATC are ready to collaborate with SOLID to start business activities. Recommendation to do CAB first, and translating to LATC as they are small and could benefit from work and knowledge. SOLID will contact CAB next week to schedule initial inventory session within the next 30-45 days. CAB & LATC want to be behind BPELSG and CSLB or sometime in between if suitable. Reasonable go live date: 1/1/2020.
Inventory	7/17/17	SOLID	SOLID OCM sent the inventory list template. SOLID anticipates meeting with EO on 8/17/2017.
Charter	8/8/17	SOLID	SOLID submitted the business activities charter to Vickie Mayer
Inventory		SOLID CAB & LATC STAFF	104 processes were identified at the inventory list meeting between SOLID OCM and CAB/LATC staff.
Charter	8/18/17	SOLID	Kelly Boynton from SOLID followed up via email with Vickie to see if she had any questions regarding the charter. Vickie responded that it was under review by management and would connect with SOLID once they have had a chance to review it.
Charter	9/11/17	SOLID	SOLID sent Vickie Mayer another charter template, along with a request to pick a date to discuss the charter.
Charter	10/2/17	CAB & LATC & SOLID	SOLID connected with Vickie Mayer, who requested to meet on 11/7/17 to discuss the charter.
Business Modernization Report	10/11/17	CAB	CAB EO confirmed Board’s concurrence with the report and submitted minor revisions. Revisions incorporated.

7.3 Business Activities

7.4 Stage 1 Business Analysis (S1BA)

7.5 Budget Change Proposal (BCP) (If Applicable)

7.6 Request for Information (RFI)

7.7 Stage 2 Alternative Analysis

7.8 Stage 3 Solution Development (If Applicable)

7.9 Stage 4 Project Readiness & Approval (If applicable)



PROJECT CHARTER

Project Name	Board/LATC Business Modernization Preliminary Activities		
Executive Officer/Bureau Chief	Douglas McCauley	Project Manager	Trish Rodriguez
Project Start Date	TBD	Target End Date	TBD
Mandate	Protect the health, safety, and welfare of the public through the regulation of the practice of architecture in California.		

Project Purpose
<p>The purpose of this effort is to create or update business documentation in support of the Board’s/LATC’s anticipated information technology (IT) modernization initiative. The business activities of the Board’s/LATC’s Business Modernization effort will focus on three (3) main areas:</p> <ul style="list-style-type: none"> • Create/update business process documentation for As-Is business landscape • Create business process documentation for To-Be opportunities • Develop a systems requirement/business needs specification to support open market research during the future alternatives analysis phase <p>The Board/LATC identified two additional (2) business focus areas in which it will focus business activities:</p> <ul style="list-style-type: none"> • Identify and analyze the needs of each unit within the Board/LATC • Streamline processes with outside shareholders (e.g., National Council of Architectural Registration Boards [NCARB], Council of Landscape Architectural Registration Boards [CLARB], Psychological Services, Incorporated [PSI], and Prometric).

Business Problem or Opportunity
<p>The Board/LATC seeks to become more efficient and migrate to a new IT platform that will:</p> <ul style="list-style-type: none"> • Reduce processing times of applications and documentation. • Reduce the need for programmers with a legacy programming language (programmers with knowledge of the current programming language is becoming scarce). • Reduce internal data entry errors due to transposition from outside shareholders (i.e., candidate licensee, NCARB/CLARB) • Allow for online payments (i.e., credit card transactions, eChecks). • Provide for online submission of information (e.g., candidate or licensee applications, complaint forms, college/university transcripts). • Track candidate, licensee, and enforcement information. • Collect, monitor, and report data

Business Benefits of Project

A new IT platform will produce several benefits for the Board/LATC that include the following:

- Streamline the licensure process by reducing wait times.
- Reduce costs associated with software programming and internal errors in data entry.
- Allow for the Board/LATC to provide greater information to the public, while enhancing transparency with its shareholders.
- Provide a central database for all of the Board/LATC information.

Business Consequences if Project is Not Done

Remaining on a legacy system may result in individuals qualified to provide necessary services being delayed in entering the workforce, impacting their lives on professional and personal levels as well as creating a shortage in the workforce and potentially placing consumers/clients at risk. In addition, costs will continue to rise and the Board/LATC will be unable to meet the changes in the profession.

Project Goals and Objectives

The following initial goals have been identified. As work progresses, additional goals that could benefit the Board/LATC may be identified.

- Identify strategies and implement recommendations that fully utilize a new IT system's capabilities. These strategies will focus on creating a paperless environment, use of electronic tracking, use of electronic filing, and electronic data capturing and reporting.
- Identify strategies and implement recommendations that will reduce and maintain the application processing timeframes to meet statutory and regulatory requirements.
- Identify strategies and implement recommendations that streamline staff productivity and reduce significant variation in workload completion.
- Contribute towards the achievement of three of DCA's 2017-2020 Strategic Plan goals:
 - ✓ Goal 1 Enforcement: DCA ensures its boards and bureaus prevent, reduce, or eliminate unlicensed activity and harmful conduct by licensed professionals who pose a threat to the health, safety, and welfare of Californians.
 - ✓ Goal 2 Licensing: DCA ensures its boards and bureaus expeditiously license qualified applicants to allow timely entrance into the California workforce, avoid establishing artificial barriers to licensure, and maintain consumer protection related to ensuring all applicants and licensees are qualified to provide professional services and are able to expeditiously enter California's workforce.
 - ✓ Goal 7 Organizational Effectiveness: The DCA standard is to build an exemplary organization through governance, effective leadership, performance, and service.
- In addition, this project will contribute towards the achievement of the following Board's/LATC's 2017-2018 strategic plan goal(s):
 - ✓ Goal Professional Qualifications: Ensure the professional qualifications of those practicing architecture by setting requirements for education, experience, and examinations.
 - ✓ Goal Practice Standards: Establish regulatory standards of practice for California architects.
 - ✓ Goal Enforcement: Protect consumers by preventing violations and effectively enforcing laws, codes, and standards when violations occur.

- ✓ Goal Public and Professional Awareness: Increase public and professional awareness of the Board’s mission, activities, and services.
- ✓ Goal Organizational Relationships: Improve effectiveness of relationships with related organizations in order to further the Board’s mission and goals.
- ✓ Goal Organizational Effectiveness and Customer Service: Enhance organizational effectiveness and improve the quality of customer service in all programs.

Project Scope

This project will focus on issues related to Business Modernization Preliminary Activities that include:

- Preparatory Activities (Change Management Training, BPM Overview, Town Hall Meeting)
- As-Is Mapping sessions
- Process Reengineering (demonstrating what “could be” with process improvements and with a new integrated system in place)
- Functional Requirements (a narrative of steps needed to define the interactions between a role and a system to achieve a goal)

Deliverables

Deliverables will include all or a combination of the following as determined necessary by the Board/LATC:

- Change Management Training
- Business Process Diagram Orientation
- Town Hall Meeting(s)
- Inventory of Business Processes
- As-Is Business Process Documentation
- Process Reengineering Business Process Documentation
- Functional Requirement Documentation

Performance Measures

The success of the Business Modernization Preliminary Activities will be determined by:

- Board/LATC review and approval of SOLID OCM documents and artifacts
- Ability to meet deadlines for changes or progression of the project
- An acceptable readiness and preparedness level prior to moving to the project phase
- Function as required for business needs

Risks and Mitigation Strategies

Risks associated with remaining on the Board’s/LATC’s legacy information technology system include:

- Inability for the Board/LATC to provide services due to changes in the profession.
- Increased likelihood of finding fewer programmers with the knowledge, skills, or abilities to modify the software to meet the Board’s/LATC’s needs.
- Multiple systems required (e.g., CAS for licensing, ATS for candidates) which allow the Board/LATC to track its population; these systems are unable to communicate with one another.
- Unable to generate reports or compare statistical data.
- Outdated platform could result in loss of, or inability to collect, data.

Turnover of Subject Matter Experts (SMEs) can have adverse effects on a business modernization project. The primary adverse effect is loss of knowledge related to why certain design decisions were made and how the decision would be implemented in a new system. This risk can be mitigated by selecting well skilled SMEs that are invested and have a high probability of staying on the business modernization project through the implementation phase.

Assumptions and Dependencies

The success of this project is dependent upon the Board/LATC members, Executive Officer, management, and line staff enthusiasm, patience, active participation, and support for the project. The ability of all staff to identify and convey issues or problems throughout the life of the project.

Stakeholders

Board/LATC applicants candidates, licensees, Board/LATC members, Executive Officer, management, line staff, and outside entities (e.g., NCARB/CLARB).

Constraints

Devoting Board/LATC staff to this project may detract them from their regular duties, which may temporarily increase licensing and enforcement times. In addition, the Board/LATC may be impacted by:

- Changes made by the profession (e.g., NCARB/CLARB program changes).
- Training and quality assurance measures for staff (learning a new system).
- Implementation of the new system to users.

Budget

Source Funding

Determine if Business Modernization can be funded using existing budget resources or if a Budget Change Proposal (BCP) is needed. Note, allow up to 18 months for BCP review and approval process.

Personnel Resources

DCA /Contractor

During the Business Modernization Preliminary Activities, the following personnel resources will be utilized. The weekly hours committed will vary depending on which activities are being worked on and other factors. The number of Board/LATC management and line staff participating will fluctuate throughout the course of this project.

- DCA SOLID OCM Staff
 - ✓ Melina Fazlic
 - ✓ Trisha St. Clair
 - ✓ Kim Gese
- Contractor Staff
 - ✓

	<p style="text-align: center;">✓ ✓</p>				
Board/LATC	<p>Board/LATC Licensing, Enforcement and other SMEs, as needed to complete preliminary activities.</p> <table border="1" style="width: 100%;"> <thead> <tr> <th style="width: 50%;">Board</th> <th style="width: 50%;">LATC</th> </tr> </thead> <tbody> <tr> <td> <ul style="list-style-type: none"> • Licensing Staff <ul style="list-style-type: none"> ✓ Tim Rodda ✓ Jeff Olguin ✓ Lily Dong • Enforcement Staff <ul style="list-style-type: none"> ✓ Kristin Walker ✓ Lisa Chullino • Continuing Education Staff <ul style="list-style-type: none"> ✓ Greg Marker ✓ Annamarie Fernandez • Cashiering Staff <ul style="list-style-type: none"> ✓ Arleen McKenzie ✓ Janine Lindsey </td> <td> <ul style="list-style-type: none"> • Licensing Staff <ul style="list-style-type: none"> ✓ Kourtney Nation • Enforcement Staff <ul style="list-style-type: none"> ✓ Stacy Townsend • Cashiering Staff <ul style="list-style-type: none"> ✓ Stacy Townsend ✓ Blake Clark </td> </tr> </tbody> </table> <p>Retired annuitants, student assistants, temporary help, and overtime will be utilized by the Board/LATC as needed to maintain workload productivity and minimize increases in backlog levels.</p>	Board	LATC	<ul style="list-style-type: none"> • Licensing Staff <ul style="list-style-type: none"> ✓ Tim Rodda ✓ Jeff Olguin ✓ Lily Dong • Enforcement Staff <ul style="list-style-type: none"> ✓ Kristin Walker ✓ Lisa Chullino • Continuing Education Staff <ul style="list-style-type: none"> ✓ Greg Marker ✓ Annamarie Fernandez • Cashiering Staff <ul style="list-style-type: none"> ✓ Arleen McKenzie ✓ Janine Lindsey 	<ul style="list-style-type: none"> • Licensing Staff <ul style="list-style-type: none"> ✓ Kourtney Nation • Enforcement Staff <ul style="list-style-type: none"> ✓ Stacy Townsend • Cashiering Staff <ul style="list-style-type: none"> ✓ Stacy Townsend ✓ Blake Clark
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Board/LATC Time Commitment	<p>To ensure timely project completion, the Board/LATC will commit to the following project time schedule:</p> <p><input checked="" type="checkbox"/> 3 days/week <input type="checkbox"/> 4 days/week</p>				
Communication	<p>The Board/LATC will take the following actions to notify internal and external stakeholders of the intent and status of this project:</p> <ul style="list-style-type: none"> • Utilize email and staff meetings to discuss the changes internally. • Mail a letter to shareholders informing them of the changes. • Utilize the Board's/LATC's ListServe, website (including a newsletter article), meetings, and social media accounts to inform the public of the changes. 				

Constraints		
<i>(Use each only once: Least Constrained, Somewhat Constrained, Most Constrained)</i>		
Time	Scope	Resources
Somewhat Constrained	Least Constrained	Most Constrained

Doug McCauley, Executive Officer

1/2/2018

Date

Sylvia Kwan, Board President

1/2/2018

Date

Patricia Trauth, LATC Chair

Date

Kelly Boynton, OCM Manager

Date

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

2. IDENTIFY ORGANIZATIONAL RELATIONSHIPS THAT SHOULD BE MAINTAINED AND/OR ESTABLISHED IN ORDER TO ENHANCE THE BOARD'S MISSION TO REGULATE THE PROFESSION AND PROTECT THE PUBLIC

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to identify organizational relationships that should be maintained and/or established in order to enhance the Board's mission to regulate the profession and protect the public.

At its December 16, 2016, Strategic Planning session, the Board discussed the need to share specific strategic information with targeted organizations. The Board agreed that past communications and Strategic Plans, which outlined key organizational stakeholders, could be updated and applied to enhance the existing liaison program. (The purpose of the liaison program [an outreach campaign wherein Board members are assigned specific entities with which to communicate] is to establish and maintain contact with key organizations and schools, share information about key Board initiatives, and update the Board on their activities and objectives.)

Staff updated the list of organizational stakeholders and their contributions to the Board's mission. The Board obtains useful information, feedback, and receives key support from these groups. It is worth noting that the National Council of Architectural Registration Boards and the American Institute of Architects, California Council are the Board's primary external stakeholders; the Board's efforts to work with these organizations are paramount.

At this meeting, the Committee is asked to review the updated list of Board stakeholders (attached).

Attachment:

Board Stakeholders (Organizations Only)

BOARD STAKEHOLDERS (Organizations Only)

2017-2018 Strategic Plan Objective 5.1

The table below identifies the Board’s various organizational relationships, and those organizations’ needs and contributions to the Board’s mission.

ORGANIZATIONS	STAKEHOLDER NEEDS	STAKEHOLDER CONTRIBUTIONS
Legislature	Protection of the public interest and efficient administration of program	Comments on clarity, fairness, and appropriateness of regulation
Executive Branch	Protection of the public interest and efficient administration of program	Comments on clarity, fairness, and appropriateness of regulation
Governor’s Office of Emergency Services (CalOES)	Screening and recruitment of inspectors and response to declared emergencies	Comment on public health, safety, and welfare issues
Division of the State Architect (DSA)	Support and information	Comment on public health, safety, and welfare issues
California Building Officials (CALBO)	Information and coordination	Comment on public health, safety, and welfare issues
Office of Statewide Health Planning and Development (OSHPD)	Information and coordination	Comment on public health, safety, and welfare issues
National Council of Architectural Registration Boards (NCARB)	Information, participation, and support	Information and support
American Institute of Architecture, California Council (AIACC)	Regulation of the profession, information, and interstate/international reciprocity	Information and support
National Organization of Minority Architects (NOMA)	Regulation of the profession, information, and interstate/international reciprocity	Information and support
Architectural Schools	Information and coordination	Information and support
Department of Consumer Affairs (DCA)	Support and information	Information and support
Office of the Attorney General (OAG)	Information and coordination	Information and law enforcement support
Board for Professional Engineers, Land Surveyors, and Geologists (BPELSG)	Information and coordination	Information and support
Contractors State License Board (CSLB)	Information and coordination	Information and support

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

3. PREPARE FOR THE SUNSET REVIEW PROCESS IN ORDER TO FACILITATE A POSITIVE OUTCOME

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to prepare for the Sunset Review process to facilitate a positive outcome.

Each year, the Assembly Business and Professions Committee and the Senate Business, Professions and Economic Development Committee hold joint Sunset Review oversight hearings to review the boards and bureaus under the Department of Consumer Affairs (DCA). The Sunset Review process provides an opportunity for the DCA, the Legislature, the boards, and interested parties and stakeholders to discuss the performance of the boards, and make recommendations for improvements.

The Board must complete this Sunset Review process once every four years, with the Board's next Sunset Review Report due to the Legislature on November 1, 2018. Attached is the Sunset Review Report template for boards currently under review. Board staff are using this template as a guide for its preparation and research efforts, as we anticipate the Board will receive similar questions. A schedule for Sunset Review Report preparation is also attached.

Staff is now preparing a draft of the Board's 2018 Sunset Review Report and provide it to the Executive Committee to complete an initial review in May of 2018. The draft Report will then be presented to the Board at its June 2018, meeting with the final draft of the Report provided at its September 2018, meeting. At that time, the Board will be asked to delegate authority to the Board President, Vice President, and Executive Officer (EO) to make any necessary changes to the Report prior to submittal to the Legislature by November 1, 2018.

A Sunset Review hearing, likely to be held in March of 2019, will provide the Board an opportunity to present its Report and discuss identified issues and recommendations from the Legislature. Written responses to issues raised by the Legislature will be due within 30 days of the hearing. Lastly, the EO will provide the Board with an update on the Sunset Review process, and ask the Board to ratify staff's written responses to the issues identified by the Legislature in a Sunset Review Background Paper.

Board members, Pasqual Gutierrez and Denise Campos, have volunteered to assist on Sunset Review-related issues as needed.

Attachments:

1. Sunset Review Template for Boards and Bureaus Under Review in November 2017
2. 2018 Sunset Review Report Schedule

[BOARD NAME]

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of [date]

Section 1

Background and Description of the Board and Regulated Profession

Provide a short explanation of the history and function of the board.¹ Describe the occupations/profession that are licensed and/or regulated by the board (Practice Acts vs. Title Acts).

1. Describe the make-up and functions of each of the board's committees (cf., Section 12, Attachment B).

Table 1a. Attendance			
[Enter board member name]			
Date Appointed:	[Enter date appointed]		
Meeting Type	Meeting Date	Meeting Location	Attended?
Meeting 1	[Enter Date]	[Enter Location]	[Y/N]
Meeting 2	[Enter Date]	[Enter Location]	[Y/N]
Meeting 3	[Enter Date]	[Enter Location]	[Y/N]
Meeting 4	[Enter Date]	[Enter Location]	[Y/N]

Table 1b. Board/Committee Member Roster					
Member Name (Include Vacancies)	Date First Appointed	Date Re-appointed	Date Term Expires	Appointing Authority	Type (public or professional)

2. In the past four years, was the board unable to hold any meetings due to lack of quorum? If so, please describe. Why? When? How did it impact operations?
3. Describe any major changes to the board since the last Sunset Review, including, but not limited to:
 - Internal changes (i.e., reorganization, relocation, change in leadership, strategic planning)
 - All legislation sponsored by the board and affecting the board since the last sunset review.

¹ The term "board" in this document refers to a board, bureau, commission, committee, department, division, program, or agency, as applicable. Please change the term "board" throughout this document to appropriately refer to the entity being reviewed.

- All regulation changes approved by the board the last sunset review. Include the status of each regulatory change approved by the board.
4. Describe any major studies conducted by the board (cf. Section 12, Attachment C).
 5. List the status of all national associations to which the board belongs.
 - Does the board’s membership include voting privileges?
 - List committees, workshops, working groups, task forces, etc., on which board participates.
 - How many meetings did board representative(s) attend? When and where?
 - If the board is using a national exam, how is the board involved in its development, scoring, analysis, and administration?

**Section 2
Performance Measures and Customer Satisfaction Surveys**

6. Provide each quarterly and annual performance measure report for the board as published on the DCA website
7. Provide results for each question in the board’s customer satisfaction survey broken down by fiscal year. Discuss the results of the customer satisfaction surveys.

**Section 3
Fiscal and Staff**

Fiscal Issues

8. Is the board’s fund continuously appropriated? If yes, please cite the statute outlining this continuous appropriation.
9. Describe the board’s current reserve level, spending, and if a statutory reserve level exists.
10. Describe if/when a deficit is projected to occur and if/when fee increase or reduction is anticipated. Describe the fee changes (increases or decreases) anticipated by the board.

Table 2. Fund Condition						
(Dollars in Thousands)	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	FY 2018/19
Beginning Balance						
Revenues and Transfers						
Total Revenue	\$	\$	\$	\$	\$	\$
Budget Authority						
Expenditures						
Loans to General Fund						
Accrued Interest, Loans to General Fund						
Loans Repaid From General Fund						
Fund Balance	\$	\$	\$	\$	\$	\$

Months in Reserve						
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11. Describe the history of general fund loans. When were the loans made? When have payments been made to the board? Has interest been paid? What is the remaining balance?
12. Describe the amounts and percentages of expenditures by program component. Use *Table 3. Expenditures by Program Component* to provide a breakdown of the expenditures by the board in each program area. Expenditures by each component (except for pro rata) should be broken out by personnel expenditures and other expenditures.

Table 3. Expenditures by Program Component (list dollars in thousands)								
	FY 2013/14		FY 2014/15		FY 2015/16		FY 2016/17	
	Personnel Services	OE&E						
Enforcement								
Examination								
Licensing								
Administration *								
DCA Pro Rata								
Diversion (if applicable)								
TOTALS	\$	\$	\$	\$	\$	\$	\$	\$

*Administration includes costs for executive staff, board, administrative support, and fiscal services.

13. Describe the amount the board has contributed to the BreEZe program. What are the anticipated BreEZe costs the board has received from DCA?
14. Describe license renewal cycles and history of fee changes in the last 10 years. Give the fee authority (Business and Professions Code and California Code of Regulations citation) for each fee charged by the board.

Table 4. Fee Schedule and Revenue (list revenue dollars in thousands)							
Fee	Current Fee Amount	Statutory Limit	FY 2013/14 Revenue	FY 2014/15 Revenue	FY 2015/16 Revenue	FY 2016/17 Revenue	% of Total Revenue

15. Describe Budget Change Proposals (BCPs) submitted by the board in the past four fiscal years.

Table 5. Budget Change Proposals (BCPs)								
BCP ID #	Fiscal Year	Description of Purpose of BCP	Personnel Services				OE&E	
			# Staff Requested (include classification)	# Staff Approved (include classification)	\$ Requested	\$ Approved	\$ Requested	\$ Approved

Staffing Issues

16. Describe any board staffing issues/challenges, i.e., vacancy rates, efforts to reclassify positions, staff turnover, recruitment and retention efforts, succession planning.

17. Describe the board’s staff development efforts and how much is spent annually on staff development (cf., Section 12, Attachment D).

Section 4 Licensing Program

18. What are the board’s performance targets/expectations for its licensing² program? Is the board meeting those expectations? If not, what is the board doing to improve performance?

19. Describe any increase or decrease in the board’s average time to process applications, administer exams and/or issue licenses. Have pending applications grown at a rate that exceeds completed applications? If so, what has been done by the board to address them? What are the performance barriers and what improvement plans are in place? What has the board done and what is the board going to do to address any performance issues, i.e., process efficiencies, regulations, BCP, legislation?

20. How many licenses or registrations does the board issue each year? How many renewals does the board issue each year?

Table 6. Licensee Population					
		FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17
[Enter License Type]	Active				
	Delinquent				
	Retired				
	Out of State				
	Out of Country				
[Enter License Type]	Active				
	Delinquent				
	Retired				

² The term “license” in this document includes a license certificate or registration.

	Out of State				
	Out of Country				
[Enter License Type]	Active				
	Delinquent				
	Retired				
	Out of State				
	Out of Country				
[Enter License Type]	Active				
	Delinquent				
	Retired				
	Out of State				
	Out of Country				

Note: 'Out of State' and 'Out of Country' are two mutually exclusive categories. A licensee should not be counted in both.

Table 7a. Licensing Data by Type											
Application Type	Received	Approved	Closed	Issued	Pending Applications			Cycle Times			
					Total (Close of FY)	Outside Board control*	Within Board control*	Complete Apps	Incomplete Apps	combined, IF unable to separate out	
FY 2014/15	(Exam)				-	-	-	-	-	-	-
	(License)				-	-	-	-	-	-	-
	(Renewal)			n/a	-	-	-	-	-	-	-
FY 2015/16	(Exam)										
	(License)										
	(Renewal)			n/a							
FY 2016/17	(Exam)										
	(License)										
	(Renewal)			n/a							

* Optional. List if tracked by the board.

Table 7b. Total Licensing Data			
	FY 2014/15	FY 2015/16	FY 2016/17
Initial Licensing Data:			
Initial License/Initial Exam Applications Received			
Initial License/Initial Exam Applications Approved			
Initial License/Initial Exam Applications Closed			
License Issued			
Initial License/Initial Exam Pending Application Data:			
Pending Applications (total at close of FY)			
Pending Applications (outside of board control)*			
Pending Applications (within the board control)*			
Initial License/Initial Exam Cycle Time Data (WEIGHTED AVERAGE):			
Average Days to Application Approval (All - Complete/Incomplete)			

Average Days to Application Approval (incomplete applications)*			
Average Days to Application Approval (complete applications)*			
License Renewal Data:			
License Renewed			
Note: The values in Table 7b are the aggregates of values contained in Table 7a. * Optional. List if tracked by the board.			

21. How does the board verify information provided by the applicant?

- What process does the board use to check prior criminal history information, prior disciplinary actions, or other unlawful acts of the applicant?
- Does the board fingerprint all applicants?
- Have all current licensees been fingerprinted? If not, explain.
- Is there a national databank relating to disciplinary actions? Does the board check the national databank prior to issuing a license? Renewing a license?
- Does the board require primary source documentation?

22. Describe the board's legal requirement and process for out-of-state and out-of-country applicants to obtain licensure.

23. Describe the board's process, if any, for considering military education, training, and experience for purposes of licensing or credentialing requirements, including college credit equivalency.

- Does the board identify or track applicants who are veterans? If not, when does the board expect to be compliant with BPC § 114.5?
- How many applicants offered military education, training or experience towards meeting licensing or credentialing requirements, and how many applicants had such education, training or experience accepted by the board?
- What regulatory changes has the board made to bring it into conformance with BPC § 35?
- How many licensees has the board waived fees or requirements for pursuant to BPC § 114.3, and what has the impact been on board revenues?
- How many applications has the board expedited pursuant to BPC § 115.5?

24. Does the board send No Longer Interested notifications to DOJ on a regular and ongoing basis? Is this done electronically? Is there a backlog? If so, describe the extent and efforts to address the backlog.

Examinations

Table 8. Examination Data			
California Examination (include multiple language) if any:			
	License Type		
	Exam Title		
FY 2013/14	# of 1 st Time Candidates		
	Pass %		
FY 2014/15	# of 1 st Time Candidates		
	Pass %		

FY 2015/16	# of 1 st Time Candidates			
	Pass %			
FY 2016/17	# of 1 st time Candidates			
	Pass %			
Date of Last OA				
Name of OA Developer				
Target OA Date				
National Examination (include multiple language) if any:				
License Type				
Exam Title				
FY 2013/14	# of 1 st Time Candidates			
	Pass %			
FY 2014/15	# of 1 st Time Candidates			
	Pass %			
FY 2015/16	# of 1 st Time Candidates			
	Pass %			
FY 2016/17	# of 1 st time Candidates			
	Pass %			
Date of Last OA				
Name of OA Developer				
Target OA Date				

25. Describe the examinations required for licensure. Is a national examination used? Is a California specific examination required? Are examinations offered in a language other than English?
26. What are pass rates for first time vs. retakes in the past 4 fiscal years? (*Refer to Table 8: Examination Data*) Are pass rates collected for examinations offered in a language other than English?
27. Is the board using computer based testing? If so, for which tests? Describe how it works. Where is it available? How often are tests administered?
28. Are there existing statutes that hinder the efficient and effective processing of applications and/or examinations? If so, please describe.

School approvals

29. Describe legal requirements regarding school approval. Who approves your schools? What role does BPPE have in approving schools? How does the board work with BPPE in the school approval process?
30. How many schools are approved by the board? How often are approved schools reviewed? Can the board remove its approval of a school?
31. What are the board's legal requirements regarding approval of international schools?

Continuing Education/Competency Requirements

32. Describe the board's continuing education/competency requirements, if any. Describe any changes made by the board since the last review.
- How does the board verify CE or other competency requirements?
 - Does the board conduct CE audits of licensees? Describe the board's policy on CE audits.
 - What are consequences for failing a CE audit?
 - How many CE audits were conducted in the past four fiscal years? How many fails? What is the percentage of CE failure?
 - What is the board's course approval policy?
 - Who approves CE providers? Who approves CE courses? If the board approves them, what is the board application review process?
 - How many applications for CE providers and CE courses were received? How many were approved?
 - Does the board audit CE providers? If so, describe the board's policy and process.
 - Describe the board's effort, if any, to review its CE policy for purpose of moving toward performance based assessments of the licensee's continuing competence.

Section 5

Enforcement Program

33. What are the board's performance targets/expectations for its enforcement program? Is the board meeting those expectations? If not, what is the board doing to improve performance?
34. Explain trends in enforcement data and the board's efforts to address any increase in volume, timeframes, ratio of closure to pending cases, or other challenges. What are the performance barriers? What improvement plans are in place? What has the board done and what is the board going to do to address these issues, i.e., process efficiencies, regulations, BCP, legislation?

Table 9a. Enforcement Statistics			
	FY 2014/15	FY 2015/16	FY 2016/17
COMPLAINT			
Intake			
Received			
Closed			
Referred to INV			
Average Time to Close			
Pending (close of FY)			
Source of Complaint			
Public			
Licensee/Professional Groups			
Governmental Agencies			
Other			
Conviction / Arrest			
CONV Received			
CONV Closed			

Average Time to Close			
CONV Pending (close of FY)			
LICENSE DENIAL			
License Applications Denied			
SOIs Filed			
SOIs Withdrawn			
SOIs Dismissed			
SOIs Declined			
Average Days SOI			
ACCUSATION			
Accusations Filed			
Accusations Withdrawn			
Accusations Dismissed			
Accusations Declined			
Average Days Accusations			
Pending (close of FY)			
DISCIPLINE			
Disciplinary Actions			
Proposed/Default Decisions			
Stipulations			
Average Days to Complete			
AG Cases Initiated			
AG Cases Pending (close of FY)			
Disciplinary Outcomes			
Revocation			
Voluntary Surrender			
Suspension			
Probation with Suspension ¹			
Probation ²			
Probationary License Issued			
Other			
PROBATION			
New Probationers			
Probations Successfully Completed			
Probationers (close of FY)			
Petitions to Revoke Probation			
Probations Revoked			
Probations Modified			
Probations Extended			
Probationers Subject to Drug Testing			
Drug Tests Ordered			
Positive Drug Tests			
Petition for Reinstatement Granted			
DIVERSION			
New Participants			
Successful Completions			
Participants (close of FY)			
Terminations			
Terminations for Public Threat			
Drug Tests Ordered			
Positive Drug Tests			

Table 9b. Enforcement Statistics (continued)			
	FY 2014/15	FY 2015/16	FY 2016/17
INVESTIGATION			
All Investigations			
First Assigned			
Closed			
Average days to close			
Pending (close of FY)			
Desk Investigations			
Closed			
Average days to close			
Pending (close of FY)			
Non-Sworn Investigation			
Closed			
Average days to close			
Pending (close of FY)			
Sworn Investigation			
Closed			
Average days to close			
Pending (close of FY)			
COMPLIANCE ACTION			
ISO & TRO Issued			
PC 23 Orders Requested			
Other Suspension Orders			
Public Letter of Reprimand			
Cease & Desist/Warning			
Referred for Diversion			
Compel Examination			
CITATION AND FINE			
Citations Issued			
Average Days to Complete			
Amount of Fines Assessed			
Reduced, Withdrawn, Dismissed			
Amount Collected			
CRIMINAL ACTION			
Referred for Criminal Prosecution			

Table 10. Enforcement Aging						
	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	Cases Closed	Average %
Attorney General Cases (Average %)						
Closed Within:						
0 - 1 Year						
1 - 2 Years						
2 - 3 Years						
3 - 4 Years						
Over 4 Years						
Total Attorney General Cases Closed						
Investigations (Average %)						
Closed Within:						
90 Days						
91 - 180 Days						
181 - 1 Year						
1 - 2 Years						
2 - 3 Years						
Over 3 Years						
Total Investigation Cases Closed						

35. What do overall statistics show as to increases or decreases in disciplinary action since last review?
36. How are cases prioritized? What is the board's compliant prioritization policy? Is it different from DCA's *Complaint Prioritization Guidelines for Health Care Agencies* (August 31, 2009)? If so, explain why.
37. Are there mandatory reporting requirements? For example, requiring local officials or organizations, or other professionals to report violations, or for civil courts to report to the board actions taken against a licensee. Are there problems with the board receiving the required reports? If so, what could be done to correct the problems?
- What is the dollar threshold for settlement reports received by the board?
 - What is the average dollar amount of settlements reported to the board?
38. Describe settlements the board, and Office of the Attorney General on behalf of the board, enter into with licensees.
- What is the number of cases, pre-accusation, that the board settled for the past four years, compared to the number that resulted in a hearing?
 - What is the number of cases, post-accusation, that the board settled for the past four years, compared to the number that resulted in a hearing?
 - What is the overall percentage of cases for the past four years that have been settled rather than resulted in a hearing?
39. Does the board operate with a statute of limitations? If so, please describe and provide citation. If so, how many cases have been lost due to statute of limitations? If not, what is the board's policy on statute of limitations?
40. Describe the board's efforts to address unlicensed activity and the underground economy.

Cite and Fine

41. Discuss the extent to which the board has used its cite and fine authority. Discuss any changes from last review and describe the last time regulations were updated and any changes that were made. Has the board increased its maximum fines to the \$5,000 statutory limit?
42. How is cite and fine used? What types of violations are the basis for citation and fine?
43. How many informal office conferences, Disciplinary Review Committees reviews and/or Administrative Procedure Act appeals of a citation or fine in the last 4 fiscal years?
44. What are the 5 most common violations for which citations are issued?
45. What is average fine pre- and post- appeal?
46. Describe the board's use of Franchise Tax Board intercepts to collect outstanding fines.

Cost Recovery and Restitution

47. Describe the board's efforts to obtain cost recovery. Discuss any changes from the last review.
48. How many and how much is ordered by the board for revocations, surrenders and probationers? How much do you believe is uncollectable? Explain.
49. Are there cases for which the board does not seek cost recovery? Why?
50. Describe the board's use of Franchise Tax Board intercepts to collect cost recovery.
51. Describe the board's efforts to obtain restitution for individual consumers, any formal or informal board restitution policy, and the types of restitution that the board attempts to collect, i.e., monetary, services, etc. Describe the situation in which the board may seek restitution from the licensee to a harmed consumer.

Table 11. Cost Recovery (list dollars in thousands)				
	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17
Total Enforcement Expenditures				
Potential Cases for Recovery *				
Cases Recovery Ordered				
Amount of Cost Recovery Ordered				
Amount Collected				
* "Potential Cases for Recovery" are those cases in which disciplinary action has been taken based on violation of the license practice act.				

Table 12. Restitution (list dollars in thousands)				
	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17
Amount Ordered				
Amount Collected				

Section 6

Public Information Policies

52. How does the board use the internet to keep the public informed of board activities? Does the board post board meeting materials online? When are they posted? How long do they remain on the board's website? When are draft meeting minutes posted online? When does the board post final meeting minutes? How long do meeting minutes remain available online?
53. Does the board webcast its meetings? What is the board's plan to webcast future board and committee meetings? How long to webcast meetings remain available online?
54. Does the board establish an annual meeting calendar, and post it on the board's web site?
55. Is the board's complaint disclosure policy consistent with DCA's *Recommended Minimum Standards for Consumer Complaint Disclosure*? Does the board post accusations and disciplinary actions consistent with DCA's *Web Site Posting of Accusations and Disciplinary Actions* (May 21, 2010)?
56. What information does the board provide to the public regarding its licensees (i.e., education completed, awards, certificates, certification, specialty areas, disciplinary action, etc.)?
57. What methods are used by the board to provide consumer outreach and education?

Section 7

Online Practice Issues

58. Discuss the prevalence of online practice and whether there are issues with unlicensed activity. How does the board regulate online practice? Does the board have any plans to regulate internet business practices or believe there is a need to do so?

Section 8

Workforce Development and Job Creation

59. What actions has the board taken in terms of workforce development?
60. Describe any assessment the board has conducted on the impact of licensing delays.
61. Describe the board's efforts to work with schools to inform potential licensees of the licensing requirements and licensing process.
62. Describe any barriers to licensure and/or employment the board believes exist.
63. Provide any workforce development data collected by the board, such as:
 - a. Workforce shortages
 - b. Successful training programs.

Section 9

Current Issues

64. What is the status of the board's implementation of the Uniform Standards for Substance Abusing Licensees?

65. What is the status of the board's implementation of the Consumer Protection Enforcement Initiative (CPEI) regulations?
66. Describe how the board is participating in development of BreEZe and any other secondary IT issues affecting the board.
- a. Is the board utilizing BreEZe? What Release was the board included in? What is the status of the board's change requests?
 - b. If the board is not utilizing BreEZe, what is the board's plan for future IT needs? What discussions has the board had with DCA about IT needs and options? What is the board's understanding of Release 3 boards? Is the board currently using a bridge or workaround system?

Section 10

Board Action and Response to Prior Sunset Issues

Include the following:

1. Background information concerning the issue as it pertains to the board.
2. Short discussion of recommendations made by the Committees during prior sunset review.
3. What action the board took in response to the recommendation or findings made under prior sunset review.
4. Any recommendations the board has for dealing with the issue, if appropriate.

Section 11

New Issues

This is the opportunity for the board to inform the Committees of solutions to issues identified by the board and by the Committees. Provide a short discussion of each of the outstanding issues, and the board's recommendation for action that could be taken by the board, by DCA or by the Legislature to resolve these issues (i.e., policy direction, budget changes, legislative changes) for each of the following:

1. Issues that were raised under prior Sunset Review that have not been addressed.
2. New issues that are identified by the board in this report.
3. New issues not previously discussed in this report.
4. New issues raised by the Committees.

Section 12

Attachments

Please provide the following attachments:

- A. Board's administrative manual.

- B. Current organizational chart showing relationship of committees to the board and membership of each committee (cf., Section 1, Question 1).
- C. Major studies, if any (cf., Section 1, Question 4).
- D. Year-end organization charts for last four fiscal years. Each chart should include number of staff by classifications assigned to each major program area (licensing, enforcement, administration, etc.) (cf., Section 3, Question 15).

2018 SUNSET REVIEW REPORT SHEDULE

BOARD:

JANUARY	FEBURARY	MARCH	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER
1/16 - Draft 1 EO/AEO	2/27 - Draft 2	3/16 - EO/AEO	4/3 - Draft 3 Staff Revisions	EO/AEO ExCom Staff Revisions	6/13 - Board 6/19 - Draft 4 Staff Revisions	Final Revisions Review		9/12 - Board

LATC:

JANUARY	FEBURARY	MARCH	APRIL	MAY	JUNE	JULY	AUGUST	SEPTEMBER
1/23 - Draft 1		3/6 - Draft 2 3/23 - EO/AEO Staff Revisions	4/10 - Draft 3 Staff Revisions	EO/AEO *LATC TF Staff Revisions	6/13 - Board 6/23 - Draft 4 Staff Revisions	LATC Final Revisions Review		9/12 - Board

Submit Report to Legislature 11/1/2018

*LATC Sunset Review Task Force

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

4. ENCOURAGE COLLABORATION WITH OTHER RELATED BOARDS IN AN EFFORT TO SHARE BEST PRACTICES

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to encourage collaboration with other related boards to share best practices.

At its December 16, 2016, Strategic Planning session, the Board discussed how architects in many other jurisdictions are regulated by multi-disciplinary boards that include landscape architects, geologists, land surveyors, etc. Such a structure can be advantageous in that it promotes collaboration and sharing of best practices. Members also discussed the importance of related boards for purposes of collaboration to achieve mutually beneficial goals. For example, California's "zero net energy" building goals were identified by the Board as an issue of interest to other entities. To this end, Board members suggested that the Board further explore the possibility of organizing a collaborative session with related boards to discuss potential opportunities in the context of consumer protection.

Currently, the Board participates in the Architects and Engineers Conference, which is a quarterly meeting of design-related associations and licensing boards. The chief executives of the American Council of Engineering Companies of California, American Institute of Architects - California Council, California Council of the American Society of Landscape Architects, American Society of Civil Engineers, Association of Environmental & Engineering Geologists, California Geotechnical Engineering Association, California Land Surveyors Association, Structural Engineers Association of California, and California Society of Professional Engineers, as well as the respective licensing boards, participate in these sessions. While the meetings focus primarily on legislation, other current initiatives and emerging issues are also discussed.

Staff suggests that an initial meeting of board presidents and executive officers of the Contractors State Licensing Board; Board for Professional Engineers, Land Surveyors, and Geologists; and Landscape Architects Technical Committee would provide an opportunity to discuss future issues and opportunities to partner.

At this meeting, the Committee is asked to discuss whether a session with these related boards should be planned and organized in furtherance of this objective.

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

5. ENHANCE AN ONBOARDING PROGRAM FOR NEW BOARD MEMBERS TO INCREASE BOARD MEMBER UNDERSTANDING OF BOARD FUNCTIONS AND PURPOSE

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to enhance the onboarding program for new Board members to increase Board member understanding of Board functions and purpose.

Staff have reviewed existing Board member orientation materials, as well as the current onboarding process for new members. Currently, upon notification of a new appointment, the Executive Officer (EO) immediately notifies the Board President. The President then calls the new member to welcome them and indicate that staff will be following up. Next, the EO calls the new member to provide basic information about the Board and schedule a time to conduct an orientation. A follow up email contains links and attachments to assist with onboarding, such as the most recent Sunset Review Report. The EO conducts the orientation in person, unless that is not feasible in the short term. Otherwise the orientation is conducted telephonically and is supported via a PowerPoint presentation. New members are also scheduled to attend the Department of Consumer Affairs' (DCA) Board Member Orientation Training (BMOT) required to be completed within six months of appointment.

Following are staff's recommendations to enhance the onboarding program:

1. Send a welcome letter from the EO to new Board members via email (see Attachment 1), upon appointment and immediately before the telephone calls from the Board president and EO; and
2. Develop a New Board Member Orientation Checklist designed to facilitate a smooth onboarding process (see Attachment 2).

The Board Member Orientation PowerPoint presentation was updated to enhance new Board member awareness and understanding of the Board's functions and purpose (see Attachment 3). Board staff is seeking guidance for best practices from the Department of Consumer Affairs' (DCA) SOLID, which conducts the BMOT. The National Council of Architectural Registration Boards (NCARB) also provides orientation materials to new board members and conducts a face-to-face orientation program at its Annual Business Meetings. New NCARB orientation material will be released in late January 2018.

At this meeting, the Executive Committee is asked to review the draft of the new Board member welcome letter, New Board Member Orientation Checklist, and updated Board Member Orientation PowerPoint presentation, and discuss whether these items effectively enhance the Board's onboarding program.

Attachments:

1. New Board Member Welcome Letter (Draft)
2. New Board Member Orientation Checklist (Draft)
3. New Board Member Orientation PowerPoint Presentation (Updated)



Edmund G. Brown Jr.
GOVERNOR

CALIFORNIA ARCHITECTS BOARD

PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION

[Date]

[New Board Member Name]
[New Board Member Address]

Dear [New Board Member Name]:

Congratulations on your appointment to the California Architects Board (Board). We look forward to working together to protect the public health, safety, and welfare.

The Board has a strong history of consumer protection and innovation. As a leader within the National Council of Architectural Registration Boards, the Board was the first architect registration board in the nation to develop an evidence-based internship requirement, create a Building Officials Information Guide, Disciplinary Guidelines for prosecutors, and a Consumer's Guide to Hiring an Architect, and establish a multi-platform social media program. We also administer the nation's only Supplemental Examination to ensure architects are knowledgeable about seismic safety, accessibility, and energy efficiency. With an eye on the future of the profession, architect.ca.gov, is the only board-sponsored career website, and serves as a convenient resource for high school and college students interested in a career in architecture. The Board takes pride in our many accomplishments and are regarded in the Legislature and within the Department of Consumer Affairs (DCA) as among the most effective licensing entities.

State law requires board members to complete orientation and training in several important areas, including ethics, conflict of interest laws, and sexual harassment prevention. You can review topics for further information on several key requirements, along with related resources provided by the DCA at the following link: dcaboardmembers.ca.gov.

I will contact you to provide a brief orientation and review the related materials. Please contact me at (916) 575-7232 at any time, should you have questions.

Once again, welcome to the Board. We look forward to working with you!

Best Regards,

DOUGLAS R. McCAULEY
Executive Officer

2420 DEL PASO ROAD,
SUITE 105
SACRAMENTO,
CA 95834

916-574-7220 T
916-575-7283 F

cab@dca.ca.gov
www.cab.ca.gov



Edmund G. Brown Jr.
GOVERNOR

CALIFORNIA ARCHITECTS BOARD

PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION

New Board Member Orientation Checklist

BOARD MEMBER INFORMATION

Name: _____ Phone: _____
Date
Seat: _____ Appointed: _____
Term
Email: _____ Expires: _____

DAY OF APPOINTMENT

- Provide new member with the New Member Welcome Letter (via email).
- Call from Board president.

INFORMATION

Executive Officer (EO) contact new member to answer general questions:

- Provide information on Oath of Office (may be administered by Board members, EO, or any authorized officer).
- Review Board Member responsibilities, expectations, and standards.
- Review each of the Board's committees, charges, and members.
- Review Board's highlights for the year to date (accomplishments and new initiatives underway).
- Review per diem allowance, travel expense policies and procedures.
- Provide the locations and dates for upcoming meetings.
- Provide a brief tour of the Board's website.
- Provide link to the *Architects Practice Act* and most recent *Sunset Review Report*.
- Invite to connect on social media: Facebook, Twitter, Instagram.
- Provide Conflict of Interest Form 700 (30 days to complete).
- Provide *Sexual Harassment Prevention Policy and Acknowledgement form*.
- Provide *Non-Discrimination Policy and Complaint Procedures and Acknowledgement form*.
- Provide information to schedule and/or take:
 - Board Member Orientation (1 year to complete)
 - Ethics Orientation (6 months to complete)
 - Sexual Harassment Prevention (6 months to complete)
 - Defensive Driver (6 months to complete)

ADMINISTRATION

- Confirm new member receives personnel forms (provided by DCA Personnel Office):
 - Employee Action Request (EAR) (Std. 686)
 - Designation of Person Authorized to Receive Warrants (Std. 243)
 - State Employee Disability Questionnaire (DWC-AD form100 [DEU])
 - State Employee Race/ethnicity Questionnaire (CalHR 1070)
 - Authorization to Use Privately-Owned Vehicle on State Business (Std. 261)
- Forward completed personnel forms to DCA Personnel Office.
- Forward completed Form 700 to DCA Conflict of Interest Officer.
- Forward signed *Acknowledgement of Receipt and Understanding of Sexual Harassment Prevention Policy* to DCA Personnel Office.
- Forward signed *Acknowledgement of Receipt and Understanding of Non-Discrimination Policy and Complaint Procedures* to DCA Personnel Office.
- Obtain preferred name and address for name plate and rosters.
- Obtain new member photograph and biography for the website.
- Oath of Office filed with Secretary of State.
- Prepare for member's approval his/her article for *California Architects*.

Provide training certificates to DCA Personnel Office:

- Board Member Orientation
- Ethics Orientation
- Sexual Harassment Prevention
- Defensive Driver

FIRST BOARD MEETING

- Administer Oath of Office.
- Present new member with Board lapel pin.
- Introductions to Board members and staff.

NOTES

- Special requirements?

CALIFORNIA ARCHITECTS BOARD

PUBLIC PROTECTION THROUGH EXAMINATION, LICENSURE, AND REGULATION



New Board Member Orientation

Doug McCauley, Executive Officer

Mission and History

The mission of the Board is to protect the public health, safety, and welfare through the regulation of the practice of architecture and landscape architecture in California. The Board has established the following eight goal areas which provide the framework for its efforts to further its mission:

- Ensuring that those entering the practice meet standards of competency by way of education, experience, and examination;
- Establishing standards of practice for those licensed to practice;
- Requiring that any person practicing or offering to practice architecture be licensed;
- Protecting consumers and users of architectural services;
- Enforcing the laws, codes, and standards governing architectural practice in a fair, expeditious, and uniform manner;
- Empowering consumers by providing information and educational materials to help them make informed decisions;
- Collaborating with the profession and academy to ensure an effective licensure system and enforcement program; and
- Overseeing the activities of the Landscape Architects Technical Committee to ensure it regulates the practice of landscape architecture in a manner which safeguards the well-being of the public and the environment.

Mission and History (continued)

Key Events

- 1901
- Building Designers
- Name Change
- Landscape Architects Technical Committee
- California Supplemental Examination (CSE)
- Architectural Experience Program (AXP)

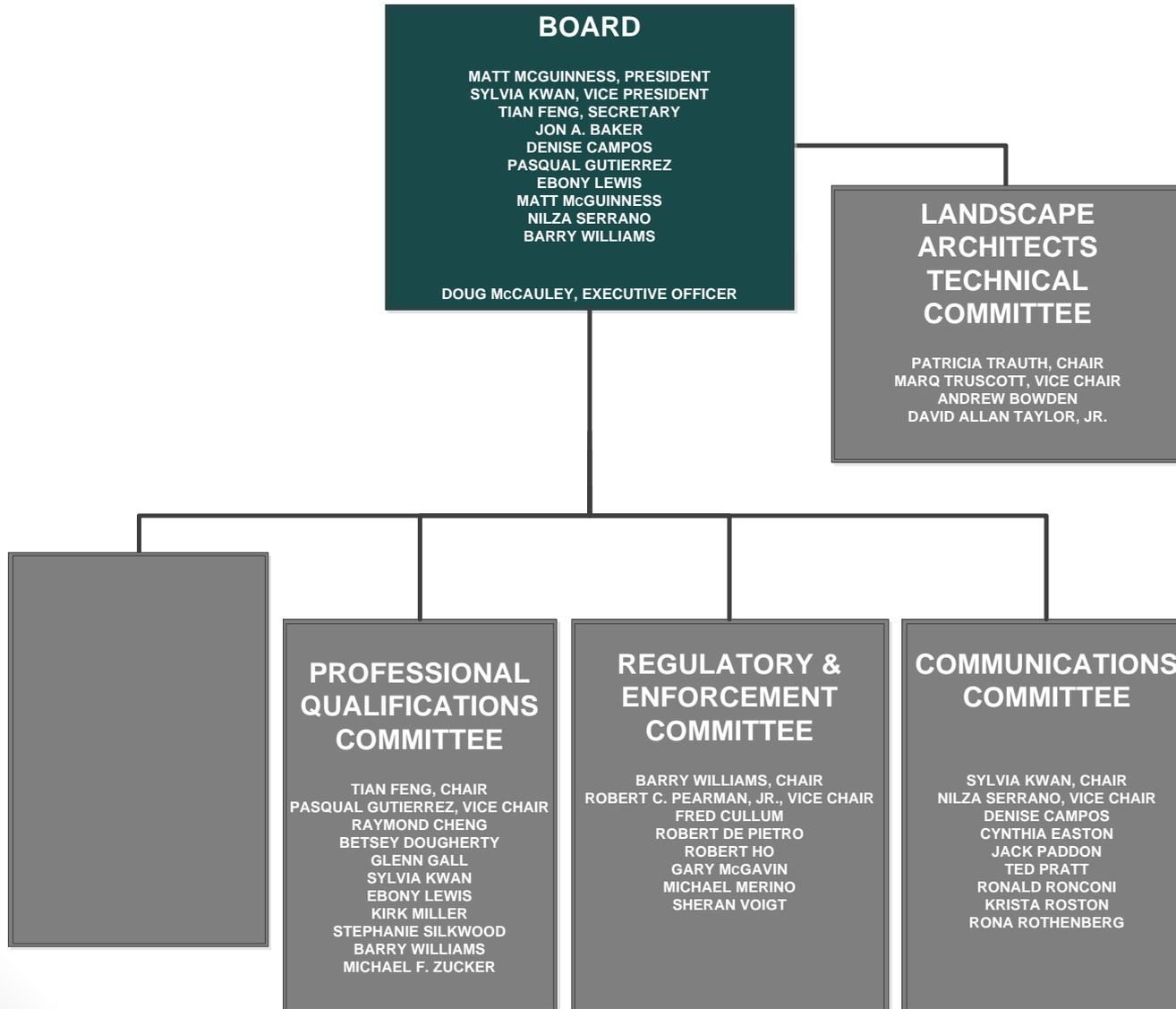
Collateral Organizations

- National Council of Architectural Registration Boards
- American Institute of Architects, California Council
- National Architectural Accreditation Board
- American Collegiate Schools of Architecture
- American Institute of Architecture Students

Structure

- Board
- 10 members (5 architects and 5 public members)
- Staff (25 + 5 LATC)
- Architect Consultants
- Department of Consumer Affairs
 - Legal Affairs
 - Budget
 - Human Resources
 - Contracts
 - Public Affairs
 - Information Services

Organization Chart (2017)



Committees

- The **Executive Committee** is charged with coordinating and leading the Board's public awareness program, organizational relationships, organizational development, and customer service efforts. It takes the lead in: 1) increasing public and professional awareness of the Board's mission, activities, and services; 2) improving the effectiveness of the Board's relationships with related organizations to further its mission and goals; and, 3) enhancing the Board's organizational effectiveness and improving the quality of customer service in all of the Board's programs. The Executive Committee is composed of four members: the President, Vice President, Secretary, and one additional Board member.
- The **Professional Qualifications Committee (PQC)** is charged with: 1) ensuring the professional qualifications of those practicing architects by setting requirements for education, experience, and examination; 2) reviewing the Board's national examination to ensure that it fairly and effectively tests the knowledge, skills, and abilities of importance to architectural practice in California; 3) analyzing and making recommendations on educational and experience requirements relative to entry-level qualifications; and 4) reviewing the practice of architecture to ensure the Architects Practice Act accurately reflects areas of practice. In 2011, the Board's Examination Committee was consolidated into the PQC to promote greater efficiency. As a result, the PQC has the following additional roles and responsibilities: 1) providing general California Supplemental Examination (CSE) oversight; 2) working with the Board's testing experts, examination vendors, and subject matter experts to provide valid, defensible, and efficient examinations; and 3) addressing broad examination policy issues.
- The **Regulatory and Enforcement Committee (REC)** is charged with making recommendations on: 1) practice standards and enforcement issues; 2) establishment of regulatory standards of practice for architects; 3) policies and procedures designed to protect consumers by preventing violations and enforcing standards when violations occur; as well as 4) informing the public and licensees of the Board's standards and enforcement programs.
- The **Communications Committee** is charged with: 1) overseeing all of the Board's communications and identifying strategies to effectively communicate to key audiences; 2) serving as the editorial body for the Board's newsletter, *California Architects*; and 3) providing strategic input on enhancing the use of the Internet to communicate with the Board's stakeholders. The Communications Committee oversees a variety of outreach programs, such as programs to communicate with students, faculty, and Deans.

Outreach and Communications

cab.ca.gov and *architect.ca.gov*

California Architects

Liaison Program

Consumer's Guide to Hiring an Architect

Consumer Tips Card

@CAArchitectsBd

Facebook

Instagram

Bookmark and Coaster

Building Official Contact Program

AIA chapters

Administrative Procedure Manual

- Travel
- Meetings
- Officers
- Committees

Budget

- Budget basics
- Spending Plan v. Fund
- Line Item Budget (v. programmatic)
- Fiscal Year – July 1 – June 30
- Governor's Budget – January
- Legislative Action
- Budget Change Proposal
- Revenue

Budget Report

This data will be updated.

2014-15 Budget

Salary and Wages	1,846,386
General Expenses	254,465
Pro Rata	798,453
Facilities	194,789
Examination	500,551
Enforcement	337,359
	\$3,932,003

* Total salary and wages (not broken down by program area)

Fund Condition

Table 2. Fund Condition

(Dollars in Thousands)	FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	FY 2018/19
Beginning Balance	\$2,484*	\$2,580*	\$4,067*	\$4,098*	\$5,252*	\$4,869*	\$5,651*	\$4,881	\$5,222
Revenues and Transfers	\$2,836	\$4,156	\$2,791	\$4,153	\$2,773	\$4,288	\$3,049	\$4,272	\$3,032
Total Resources	\$5,320	\$6,736	\$6,858	\$8,251	\$8,025	\$9,174	\$8,700	\$9,153	\$8,254
Budget Authority	\$3,591	\$3,624	\$3,671	\$3,818	\$3,901	\$3,770	\$3,880	\$3,931	\$4,005
Expenditures**/**	\$2,839**	\$2,694**	\$2,797**	\$2,999**	\$3,903**	\$3,523**	\$3,819**	\$3,931***	\$4,005***
Loans to General Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Accrued Interest, Loans to General Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Loans Repaid From General Fund	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Fund Balance	\$2,481	\$4,042	\$4,061	\$5,252	\$4,121	\$5,651	\$4,881	\$5,222	\$4,249
Months in Reserve	11.1	17.3	16.2	16.1	12.4	17.8	14.9	15.6	12.5

* Includes beginning balance adjustments
 ** Includes direct draws from SCO and Fi\$cal
 *** Projected to spend full budget

Licensing and Examinations

- 5 years
- Architectural Experience Program
- Architect Registration Examination 5.0
- California Supplemental Examination
- Continuing education
- Data

Education

- 5 years
 - B-arc
 - M-arc
- Table of Equivalents
 - Associate degree
 - High school (experience only)
 - Unaccredited baccalaureate

Architectural Experience Program

The Architectural Experience Program (AXP) is an essential step in the path to becoming an architect. Through the AXP, candidates learn about the daily realities of architectural practice, acquire comprehensive experience in basic practice areas, explore specialized areas of practice, develop professional judgment, and refine their career goals. The AXP is developed and administered by NCARB. In most jurisdictions, completion of the AXP is a requirement for initial registration (licensure). The AXP identifies the tasks that are essential for competent practice. The program is structured to prepare candidates to practice architecture independently upon initial registration.

- 3,740 Required Hours
- Six Experience Areas
 - Practice Management
 - Project Management
 - Programming & Analysis
 - Project Planning & Design
 - Project Development & Documentation
 - Construction & Evaluation

Architect Registration Exam

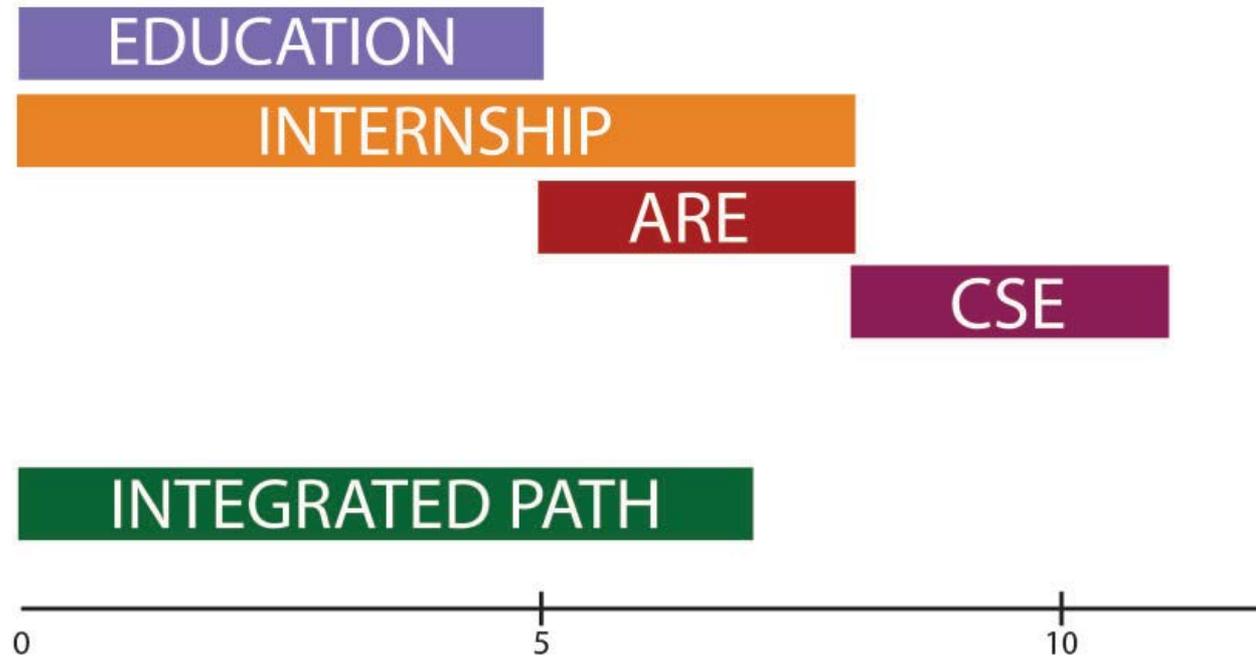
- **6 divisions**
- **90 day re-take policy**
- **5-year Rolling Clock**
- **ARE Divisions**

- **Practice Management**
The management of an architectural practice, including professional ethics, fiduciary responsibilities, and the regulations governing the practice of architecture.
- **Project Management**
The management of architectural projects, including organizing principles, contract management, and consultant management.
- **Programming & Analysis**
The evaluation of project requirements, constraints, and opportunities.
- **Project Planning & Design**
The preliminary design of sites and buildings.
- **Project Development & Documentation**
The integration and documentation of building systems, material selection, and material assemblies into a project.
- **Construction & Evaluation**
Construction contract administration and post-occupancy evaluation of projects.

California Supplemental Exam

- Computer based
- 100 scored items
- 6 month re-take policy
- Occupational Analysis
- Test Plan
 - Context and Predesign – 16%
 - Regulatory – 42%
 - Management and Design – 27%
 - Construction – 15%

Path to Licensure



Licensing Data

Table 6. Licensee Population

		FY 2013/14	FY 2014/15	FY 2015/16	FY 2017/18
Architect	Active	20,504	20,488	20,914	21,025
	Out-of-State	3,768	3,805	3,813	3,853
	Out-of-Country	182	184	189	189
	Delinquent*	3,485	2,815	2,557	2,097
	Issued	481	454	662	698
	Renewed*	12,168	8,295	12,199	8,246

*Data does not include pending renewal applications determined to be incomplete, which range from 200 to 1,200 per FY.

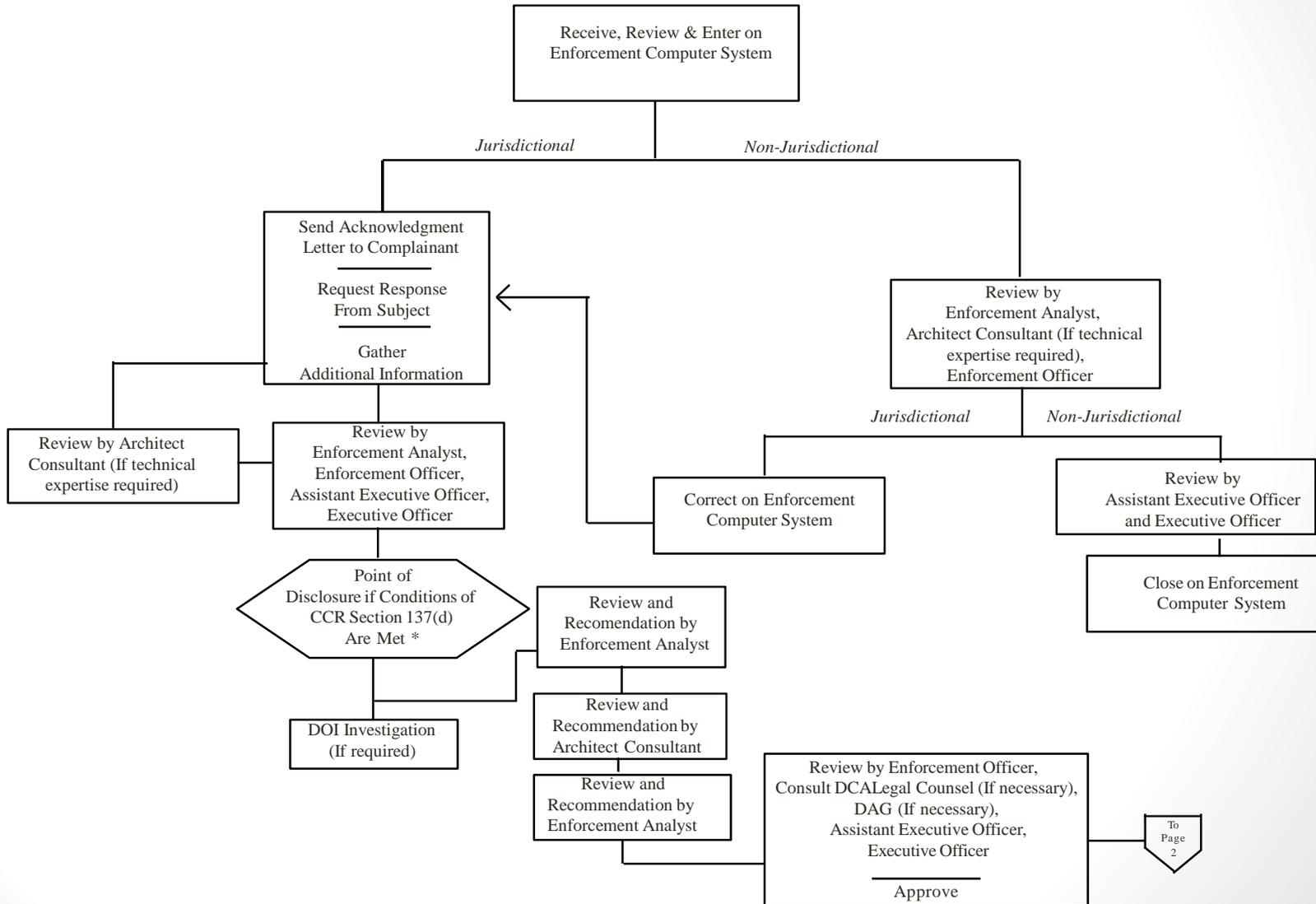
Enforcement

- Architects Practice Act
- Enforcement flow chart
- Citations
- Discipline
- Enforcement data

Common Violations

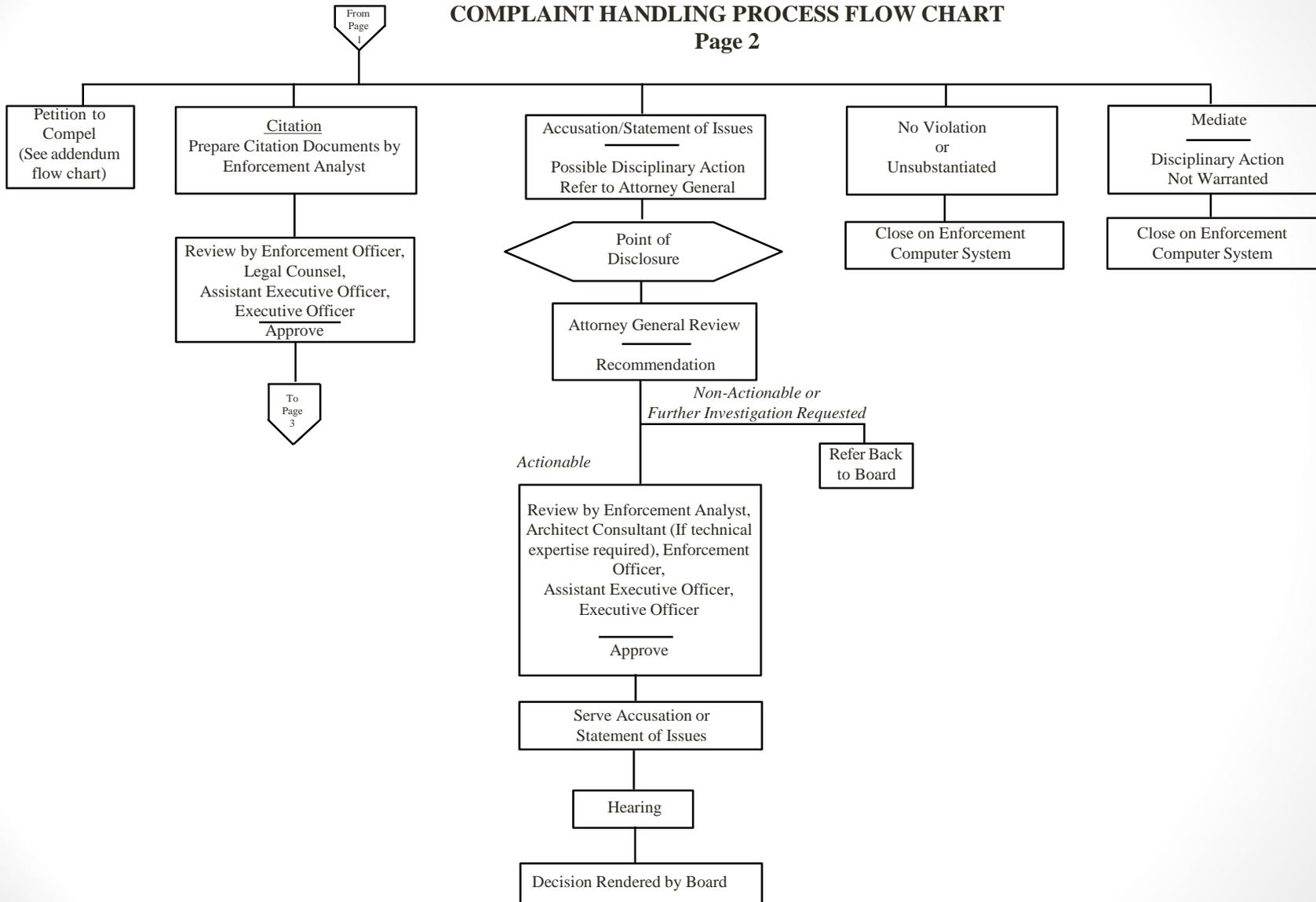
- Unlicensed Practice (title and offering)
- Written Contract
- Rules of Professional Conduct
- Continuing Education

COMPLAINT HANDLING PROCESS FLOW CHART



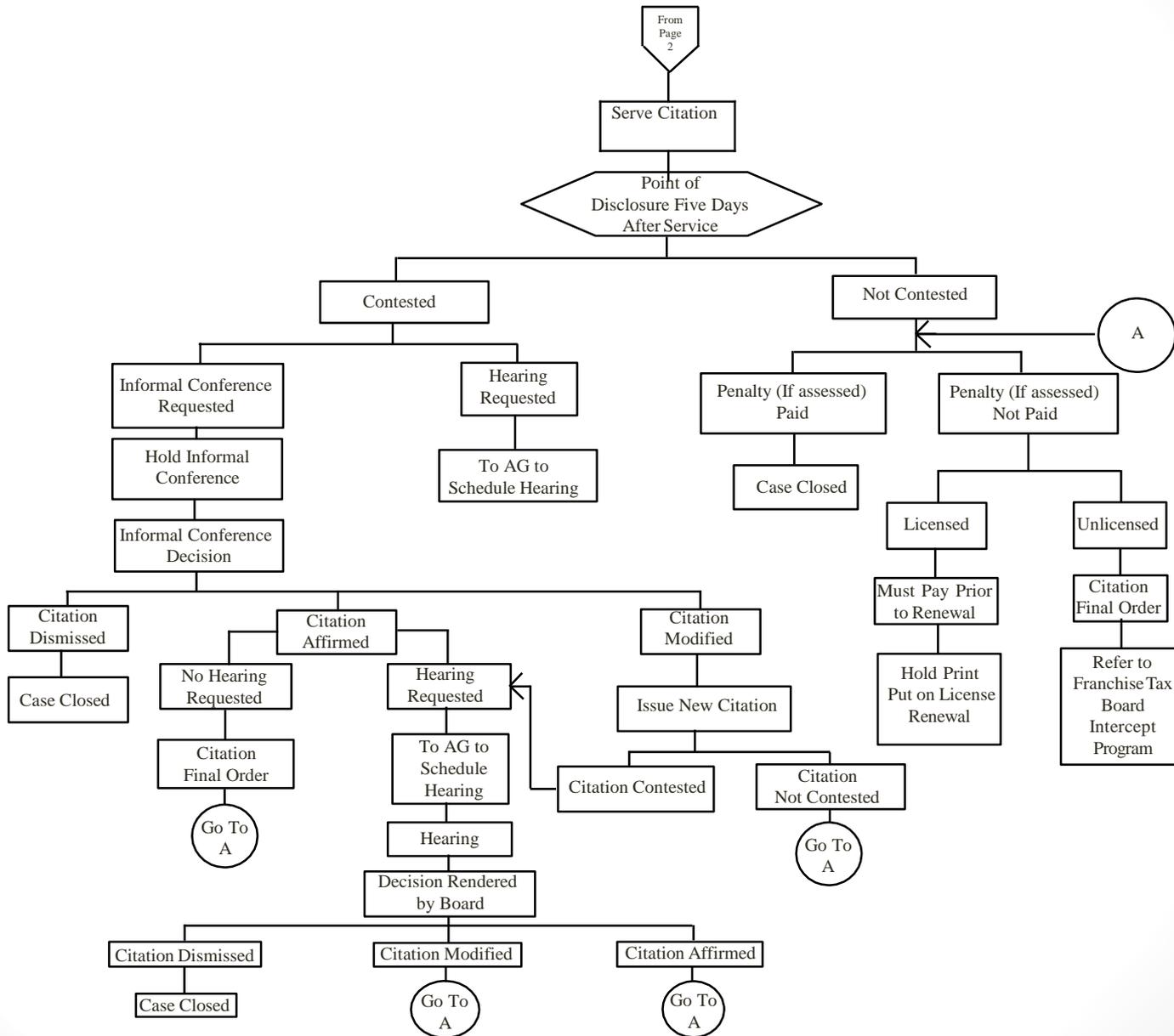
COMPLAINT HANDLING PROCESS FLOW CHART

Page 2



COMPLAINT HANDLING PROCESS FLOW CHART

Page 3



Citations

Traffic ticket

Due process (informal conference, formal hearing, Board action)

\$5,000

Accusations and Denials

Formal discipline of license or denial of licensure renewal

Attorney General

Administrative Law Judge

Office of Administrative Hearings

Board action

Case Aging

Table 10. Enforcement Aging

	FY 2010/11	FY 2011/12	FY 2012/13	FY 2013/14	FY 2014/15	FY 2015/16	FY 2016/17	Cases Closed	Average %
Attorney General Cases (Average %)									
Closed Within:									
1 Year	2 (28.6%)	1 (33.3%)	0 (0%)	0 (0%)	1 (100%)	0 (0%)	0 (0%)	4	19.1%
2 Years	1 (14.3%)	0 (0%)	1 (100%)	1 (100%)	0 (0%)	3 (75%)	1 (25%)	7	33.3%
3 Years	2 (28.6%)	1 (33.3%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	1 (25%)	4	19.1%
4 Years	1 (14.3%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	0 (0%)	1 (25%)	2	9.4%
Over 4 Years	1 (14.3%)	1 (33.3%)	0 (0%)	0 (0%)	0 (0%)	1 (25%)	1 (25%)	4	19.1%
Total Cases Closed*	7	3	1	1	1	4	4	21	100%
Investigations (Average %)									
Closed Within:									
90 Days	116 (38.2%)	144 (51.4%)	199 (71.3%)	120 (52.6%)	157 (46.6%)	254 (61.8%)	178 (61.2%)	1168	54.8%
180 Days	61 (20.1%)	48 (17.1%)	45 (16.1%)	62 (27.2%)	59 (17.5%)	72 (17.5%)	58 (19.9%)	405	19%
1 Year	66 (21.7%)	66 (23.6%)	24 (8.6%)	30 (13.2%)	84 (24.9%)	57 (13.9%)	39 (13.4%)	366	17.2%
2 Years	33 (10.9%)	21 (7.5%)	8 (2.9%)	14 (6.1%)	30 (8.9%)	24 (5.9%)	14 (4.8%)	144	6.8%
3 Years	18 (5.9%)	1 (0.4%)	3 (1.1%)	1 (0.4%)	5 (1.5%)	3 (0.7%)	2 (0.7%)	33	1.5%
Over 3 Years	10 (3.3%)	0 (0%)	0 (0%)	1 (0.4%)	2 (0.6%)	1 (0.2%)	0 (0%)	14	0.7%
Total Cases Closed	304	280	279	228	337	411	291	2130	100%

*Includes Accusations, Statements of Issues, and Petitions to Revoke Probation.

Future

- Integrated Path to Licensure
- Collection of citation penalties
- Continuing Education
- Certifications
- Examinations

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DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

6. ASSESS AND ENHANCE EXISTING COMMITTEE CHARGES, PROCESS, PROCEDURES, APPOINTMENTS, ETC. TO IMPROVE EFFECTIVENESS

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to assess and enhance existing committee charges, process, procedures, appointments, etc., to improve effectiveness. The following action was taken by staff to advance this objective:

Committee Charges

Committee charges are written committee descriptions of what is expected of each committee to guide the chair and members. Staff assessed the Board's existing committee appointments, charges, and policy (Attachment 1), and determined that each committee description effectively summarizes functions and compositions of each. In addition, the appointment process, which was updated on June 14, 2012, is a reasonable approach to identifying members for the various committees.

Committee Processes & Procedures

The rules of procedure at committee meetings should be clear and simple to understand. With the goal to improve effectiveness at committee meetings, staff recommends that all new committee chairs receive formal instruction on how to conduct their meetings according to *Rosenberg's Rules of Order* (Attachment 2), which is considered a more simplified and modern version of the rules of parliamentary procedure than its *Robert's Rules of Order* counterpart. This instruction would involve: 1) providing new chairs with a copy of *Rosenberg's Rules of Order*; 2) requiring new chairs to view *Rosenberg's Parliamentary Procedure Simplified* video tutorial; and 3) reviewing the provisions of the Bagley-Keene Open Meetings Act to ensure that each of the Board's committees operate under the same processes and procedures. In addition, chairs should review the Strategic Plan objectives with staff upon adoption of the plan, and at regular intervals as needed.

At this meeting, the Executive Committee is asked to review the Board's committee charges, process, procedures, appointments, etc., to determine whether they are effective. The Committee is also asked to consider whether *Rosenberg's Rules of Order*, as well as a formal instruction on how to conduct a meeting as chair, should be adopted into the Board's committee procedure and chair appointment policy in furtherance of this objective.

Attachments:

1. Board Committee Appointments, Charges, and Policy
2. *Rosenberg's Rules of Order*, Revised 2011



CALIFORNIA ARCHITECTS BOARD

Committee Appointments, Charges, and Policy

2018

Committee Appointments

The president shall establish committees, whether standing or special, as he or she deems necessary. The composition of the committees and the appointment of the members shall be determined by the Board president in consultation with the vice president, and the executive officer. When committees include the appointment of non-Board members, all impacted parties should be considered. *(See Committee Policy approved by the Board on June 14, 2012, in Appendix.)*

2017 Board Member Committee Appointments

Jon A. Baker

(Executive Committee)

Denise Campos

(Communications Committee)

Tian Feng

(Executive Committee and Professional Qualifications Committee)

Pasqual V. Gutierrez

(Professional Qualifications Committee)

Sylvia Kwan

(Executive Committee, Professional Qualifications Committee, and Communications Committee)

Ebony Lewis

(Professional Qualifications Committee)

Matthew McGuinness

(Executive Committee and Regulatory and Enforcement Committee)

Robert C. Pearman, Jr.

(Regulatory and Enforcement Committee)

Nilza Serrano

(Communications Committee)

Barry Williams

(Professional Qualifications Committee and Regulatory and Enforcement Committee)

Committee Charges

The **Communications Committee** is charged with: 1) overseeing all of the Board's communications and identifying strategies to effectively communicate to key audiences; 2) serving as the editorial body for the Board's newsletter, *California Architects*; and 3) providing strategic input on enhancing the use of the Internet to communicate with the Board's stakeholders. The Communications Committee oversees a variety of outreach programs, such as programs to communicate with students, faculty, and Deans.

The **Executive Committee** is charged with coordinating and leading the Board's public awareness program, organizational relationships, organizational development, and customer service efforts. It takes the lead in: 1) increasing public and professional awareness of the Board's mission, activities, and services; 2) improving the effectiveness of the Board's relationships with related organizations to further its mission and goals; and 3) enhancing the Board's organizational effectiveness and improving the quality of customer service in all of the Board's programs. The Executive Committee is composed of four members: the President, Vice President, Secretary, and one additional Board member.

The **Professional Qualifications Committee** (PQC) is charged with: 1) ensuring the professional qualifications of those practicing architecture by setting requirements for education, experience, and examination; 2) reviewing the Board's national examination to ensure that it fairly and effectively tests the knowledge, skills, and abilities of importance to architectural practice in California; 3) analyzing and making recommendations on educational and experience requirements relative to entry-level qualifications; and 4) reviewing the practice of architecture to ensure the Architects Practice Act accurately reflects areas of practice. In 2011, the Board's Examination Committee was consolidated into the PQC to promote greater efficiency. As a result, the PQC has the following additional roles and responsibilities: 1) providing general California Supplemental Examination oversight; 2) working with the Board's testing experts, examination vendors, and subject matter experts to provide valid, defensible, and efficient examinations; and 3) addressing broad examination policy issues.

The **Regulatory and Enforcement Committee** is charged with making recommendations on: 1) practice standards and enforcement issues; 2) establishment of regulatory standards of practice for architects; 3) policies and procedures designed to protect consumers by preventing violations and enforcing standards when violations occur; as well as 4) informing the public and licensees of the Board's standards and enforcement programs.

APPENDIX

Committee Policy

Approved by the Board June 14, 2012

Committees

Board committees are the deliberative bodies that assist the Board in developing policy. Committees make recommendations for consideration by the Board. All Board members should serve on at least one committee each year. Commencing with the committees for the 2014 Strategic Plan, no committee should have more than nine members.

The committees should meet regularly. At a minimum, once the Board's Strategic Plan is adopted in March, committees should conduct a spring meeting so items may be forwarded to the Board for consideration, clarification, direction, etc. Committees' second and subsequent meetings (if necessary) should be scheduled so items can be finalized for the September or December Board meetings to culminate the program of work reflected in the annual Strategic Plan. (New issues that emerge during the course of the year, unless they are critical emergencies, should be referred to the next strategic planning session.) Teleconference meetings can be utilized for meetings on urgent or single-subject issues.

In the event that additional new committee members are needed, the Board president shall ask Board and committee members for suggested interested persons; if an insufficient pool exists, the Board may request names from various organizations, including, but not limited to: The American Institute of Architects, California Council; Society of American Registered Architects; Construction Specifications Institute; California Building Officials, etc.

Chairmanships

Each committee chair and vice chair shall be appointed by the Board president (in consultation with the vice president and executive officer) and shall be a Board member, absent extenuating circumstances (numerous vacancies on the Board). Chairs should serve for two to three years, if possible, and in the best interest of the Board. The Board should endeavor to offer opportunities for all Board members to serve as a chair or vice chair during their tenure on the Board. The list of committee members will be reproduced as part of the Strategic Plan each year so it is memorialized in a centralized location.

Review

Committee chairs should prepare a report for the Board president and president-elect by November 30th each year. The report would consist of a list of committee members, their committee meeting attendance record, and a synopsis of their contributions, as well as a recommendation as to whether they should be reappointed. Staff shall prepare a template for the report with the attendance data. Each chair shall consult with the executive officer in preparing the report.



Rosenberg's Rules of Order

REVISED 2011

Simple Rules of Parliamentary Procedure for the 21st Century

By Judge Dave Rosenberg



MISSION AND CORE BELIEFS

To expand and protect local control for cities through education and advocacy to enhance the quality of life for all Californians.

VISION

To be recognized and respected as the leading advocate for the common interests of California's cities.

About the League of California Cities

Established in 1898, the League of California Cities is a member organization that represents California's incorporated cities. The League strives to protect the local authority and autonomy of city government and help California's cities effectively serve their residents. In addition to advocating on cities' behalf at the state capitol, the League provides its members with professional development programs and information resources, conducts education conferences and research, and publishes Western City magazine.

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ABOUT THE AUTHOR

Dave Rosenberg is a Superior Court Judge in Yolo County. He has served as presiding judge of his court, and as presiding judge of the Superior Court Appellate Division. He also has served as chair of the Trial Court Presiding Judges Advisory Committee (the committee composed of all 58 California presiding judges) and as an advisory member of the California Judicial Council. Prior to his appointment to the bench, Rosenberg was member of the Yolo County Board of Supervisors, where he served two terms as chair. Rosenberg also served on the Davis City Council, including two terms as mayor. He has served on the senior staff of two governors, and worked for 19 years in private law practice. Rosenberg has served as a member and chair of numerous state, regional and local boards. Rosenberg chaired the California State Lottery Commission, the California Victim Compensation and Government Claims Board, the Yolo-Solano Air Quality Management District, the Yolo County Economic Development Commission, and the Yolo County Criminal Justice Cabinet. For many years, he has taught classes on parliamentary procedure and has served as parliamentarian for large and small bodies.



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INTRODUCTION

The rules of procedure at meetings should be simple enough for most people to understand. Unfortunately, that has not always been the case. Virtually all clubs, associations, boards, councils and bodies follow a set of rules — *Robert's Rules of Order* — which are embodied in a small, but complex, book. Virtually no one I know has actually read this book cover to cover. Worse yet, the book was written for another time and for another purpose. If one is chairing or running a parliament, then *Robert's Rules of Order* is a dandy and quite useful handbook for procedure in that complex setting. On the other hand, if one is running a meeting of say, a five-member body with a few members of the public in attendance, a simplified version of the rules of parliamentary procedure is in order.

Hence, the birth of *Rosenberg's Rules of Order*.

What follows is my version of the rules of parliamentary procedure, based on my decades of experience chairing meetings in state and local government. These rules have been simplified for the smaller bodies we chair or in which we participate, slimmed down for the 21st Century, yet retaining the basic tenets of order to which we have grown accustomed. Interestingly enough, *Rosenberg's Rules* has found a welcoming audience. Hundreds of cities, counties, special districts, committees, boards, commissions, neighborhood associations and private corporations and companies have adopted *Rosenberg's Rules* in lieu of *Robert's Rules* because they have found them practical, logical, simple, easy to learn and user friendly.

This treatise on modern parliamentary procedure is built on a foundation supported by the following four pillars:

1. **Rules should establish order.** The first purpose of rules of parliamentary procedure is to establish a framework for the orderly conduct of meetings.
2. **Rules should be clear.** Simple rules lead to wider understanding and participation. Complex rules create two classes: those who understand and participate; and those who do not fully understand and do not fully participate.
3. **Rules should be user friendly.** That is, the rules must be simple enough that the public is invited into the body and feels that it has participated in the process.
4. **Rules should enforce the will of the majority while protecting the rights of the minority.** The ultimate purpose of rules of procedure is to encourage discussion and to facilitate decision making by the body. In a democracy, majority rules. The rules must enable the majority to express itself and fashion a result, while permitting the minority to also express itself, but not dominate, while fully participating in the process.

Establishing a Quorum

The starting point for a meeting is the establishment of a quorum. A quorum is defined as the minimum number of members of the body who must be present at a meeting for business to be legally transacted. The default rule is that a quorum is one more than half the body. For example, in a five-member body a quorum is three. When the body has three members present, it can legally transact business. If the body has less than a quorum of members present, it cannot legally transact business. And even if the body has a quorum to begin the meeting, the body can lose the quorum during the meeting when a member departs (or even when a member leaves the dais). When that occurs the body loses its ability to transact business until and unless a quorum is reestablished.

The default rule, identified above, however, gives way to a specific rule of the body that establishes a quorum. For example, the rules of a particular five-member body may indicate that a quorum is four members for that particular body. The body must follow the rules it has established for its quorum. In the absence of such a specific rule, the quorum is one more than half the members of the body.

The Role of the Chair

While all members of the body should know and understand the rules of parliamentary procedure, it is the chair of the body who is charged with applying the rules of conduct of the meeting. The chair should be well versed in those rules. For all intents and purposes, the chair makes the final ruling on the rules every time the chair states an action. In fact, all decisions by the chair are final unless overruled by the body itself.

Since the chair runs the conduct of the meeting, it is usual courtesy for the chair to play a less active role in the debate and discussion than other members of the body. This does not mean that the chair should not participate in the debate or discussion. To the contrary, as a member of the body, the chair has the full right to participate in the debate, discussion and decision-making of the body. What the chair should do, however, is strive to be the last to speak at the discussion and debate stage. The chair should not make or second a motion unless the chair is convinced that no other member of the body will do so at that point in time.

The Basic Format for an Agenda Item Discussion

Formal meetings normally have a written, often published agenda. Informal meetings may have only an oral or understood agenda. In either case, the meeting is governed by the agenda and the agenda constitutes the body's agreed-upon roadmap for the meeting. Each agenda item can be handled by the chair in the following basic format:

First, the chair should clearly announce the agenda item number and should clearly state what the agenda item subject is. The chair should then announce the format (which follows) that will be followed in considering the agenda item.

Second, following that agenda format, the chair should invite the appropriate person or persons to report on the item, including any recommendation that they might have. The appropriate person or persons may be the chair, a member of the body, a staff person, or a committee chair charged with providing input on the agenda item.

Third, the chair should ask members of the body if they have any technical questions of clarification. At this point, members of the body may ask clarifying questions to the person or persons who reported on the item, and that person or persons should be given time to respond.

Fourth, the chair should invite public comments, or if appropriate at a formal meeting, should open the public meeting for public input. If numerous members of the public indicate a desire to speak to the subject, the chair may limit the time of public speakers. At the conclusion of the public comments, the chair should announce that public input has concluded (or the public hearing, as the case may be, is closed).

Fifth, the chair should invite a motion. The chair should announce the name of the member of the body who makes the motion.

Sixth, the chair should determine if any member of the body wishes to second the motion. The chair should announce the name of the member of the body who seconds the motion. It is normally good practice for a motion to require a second before proceeding to ensure that it is not just one member of the body who is interested in a particular approach. However, a second is not an absolute requirement, and the chair can proceed with consideration and vote on a motion even when there is no second. This is a matter left to the discretion of the chair.

Seventh, if the motion is made and seconded, the chair should make sure everyone understands the motion.

This is done in one of three ways:

1. The chair can ask the maker of the motion to repeat it;
2. The chair can repeat the motion; or
3. The chair can ask the secretary or the clerk of the body to repeat the motion.

Eighth, the chair should now invite discussion of the motion by the body. If there is no desired discussion, or after the discussion has ended, the chair should announce that the body will vote on the motion. If there has been no discussion or very brief discussion, then the vote on the motion should proceed immediately and there is no need to repeat the motion. If there has been substantial discussion, then it is normally best to make sure everyone understands the motion by repeating it.

Ninth, the chair takes a vote. Simply asking for the “ayes” and then asking for the “nays” normally does this. If members of the body do not vote, then they “abstain.” Unless the rules of the body provide otherwise (or unless a super majority is required as delineated later in these rules), then a simple majority (as defined in law or the rules of the body as delineated later in these rules) determines whether the motion passes or is defeated.

Tenth, the chair should announce the result of the vote and what action (if any) the body has taken. In announcing the result, the chair should indicate the names of the members of the body, if any, who voted in the minority on the motion. This announcement might take the following form: “The motion passes by a vote of 3-2, with Smith and Jones dissenting. We have passed the motion requiring a 10-day notice for all future meetings of this body.”

Motions in General

Motions are the vehicles for decision making by a body. It is usually best to have a motion before the body prior to commencing discussion of an agenda item. This helps the body focus.

Motions are made in a simple two-step process. First, the chair should recognize the member of the body. Second, the member of the body makes a motion by preceding the member’s desired approach with the words “I move . . .”

A typical motion might be: “I move that we give a 10-day notice in the future for all our meetings.”

The chair usually initiates the motion in one of three ways:

1. **Inviting the members of the body to make a motion**, for example, “A motion at this time would be in order.”
2. **Suggesting a motion to the members of the body**, “A motion would be in order that we give a 10-day notice in the future for all our meetings.”
3. **Making the motion**. As noted, the chair has every right as a member of the body to make a motion, but should normally do so only if the chair wishes to make a motion on an item but is convinced that no other member of the body is willing to step forward to do so at a particular time.

The Three Basic Motions

There are three motions that are the most common and recur often at meetings:

The basic motion. The basic motion is the one that puts forward a decision for the body’s consideration. A basic motion might be: “I move that we create a five-member committee to plan and put on our annual fundraiser.”

The motion to amend. If a member wants to change a basic motion that is before the body, they would move to amend it. A motion to amend might be: “I move that we amend the motion to have a 10-member committee.” A motion to amend takes the basic motion that is before the body and seeks to change it in some way.

The substitute motion. If a member wants to completely do away with the basic motion that is before the body, and put a new motion before the body, they would move a substitute motion. A substitute motion might be: “I move a substitute motion that we cancel the annual fundraiser this year.”

“Motions to amend” and “substitute motions” are often confused, but they are quite different, and their effect (if passed) is quite different. A motion to amend seeks to retain the basic motion on the floor, but modify it in some way. A substitute motion seeks to throw out the basic motion on the floor, and substitute a new and different motion for it. The decision as to whether a motion is really a “motion to amend” or a “substitute motion” is left to the chair. So if a member makes what that member calls a “motion to amend,” but the chair determines that it is really a “substitute motion,” then the chair’s designation governs.

A “friendly amendment” is a practical parliamentary tool that is simple, informal, saves time and avoids bogging a meeting down with numerous formal motions. It works in the following way: In the discussion on a pending motion, it may appear that a change to the motion is desirable or may win support for the motion from some members. When that happens, a member who has the floor may simply say, “I want to suggest a friendly amendment to the motion.” The member suggests the friendly amendment, and if the maker and the person who seconded the motion pending on the floor accepts the friendly amendment, that now becomes the pending motion on the floor. If either the maker or the person who seconded rejects the proposed friendly amendment, then the proposer can formally move to amend.

Multiple Motions Before the Body

There can be up to three motions on the floor at the same time. The chair can reject a fourth motion until the chair has dealt with the three that are on the floor and has resolved them. This rule has practical value. More than three motions on the floor at any given time is confusing and unwieldy for almost everyone, including the chair.

When there are two or three motions on the floor (after motions and seconds) at the same time, the vote should proceed *first* on the *last* motion that is made. For example, assume the first motion is a basic “motion to have a five-member committee to plan and put on our annual fundraiser.” During the discussion of this motion, a member might make a second motion to “amend the main motion to have a 10-member committee, not a five-member committee to plan and put on our annual fundraiser.” And perhaps, during that discussion, a member makes yet a third motion as a “substitute motion that we not have an annual fundraiser this year.” The proper procedure would be as follows:

First, the chair would deal with the *third* (the last) motion on the floor, the substitute motion. After discussion and debate, a vote would be taken first on the third motion. If the substitute motion *passed*, it would be a substitute for the basic motion and would eliminate it. The first motion would be moot, as would the second motion (which sought to amend the first motion), and the action on the agenda item would be completed on the passage by the body of the third motion (the substitute motion). No vote would be taken on the first or second motions.

Second, if the substitute motion *failed*, the chair would then deal with the second (now the last) motion on the floor, the motion to amend. The discussion and debate would focus strictly on the amendment (should the committee be five or 10 members). If the motion to amend *passed*, the chair would then move to consider the main motion (the first motion) as *amended*. If the motion to amend *failed*, the chair would then move to consider the main motion (the first motion) in its original format, not amended.

Third, the chair would now deal with the first motion that was placed on the floor. The original motion would either be in its original format (five-member committee), or if *amended*, would be in its amended format (10-member committee). The question on the floor for discussion and decision would be whether a committee should plan and put on the annual fundraiser.

To Debate or Not to Debate

The basic rule of motions is that they are subject to discussion and debate. Accordingly, basic motions, motions to amend, and substitute motions are all eligible, each in their turn, for full discussion before and by the body. The debate can continue as long as members of the body wish to discuss an item, subject to the decision of the chair that it is time to move on and take action.

There are exceptions to the general rule of free and open debate on motions. The exceptions all apply when there is a desire of the body to move on. The following motions are not debatable (that is, when the following motions are made and seconded, the chair must immediately call for a vote of the body without debate on the motion):

Motion to adjourn. This motion, if passed, requires the body to immediately adjourn to its next regularly scheduled meeting. It requires a simple majority vote.

Motion to recess. This motion, if passed, requires the body to immediately take a recess. Normally, the chair determines the length of the recess which may be a few minutes or an hour. It requires a simple majority vote.

Motion to fix the time to adjourn. This motion, if passed, requires the body to adjourn the meeting at the specific time set in the motion. For example, the motion might be: “I move we adjourn this meeting at midnight.” It requires a simple majority vote.

Motion to table. This motion, if passed, requires discussion of the agenda item to be halted and the agenda item to be placed on “hold.” The motion can contain a specific time in which the item can come back to the body. “I move we table this item until our regular meeting in October.” Or the motion can contain no specific time for the return of the item, in which case a motion to take the item off the table and bring it back to the body will have to be taken at a future meeting. A motion to table an item (or to bring it back to the body) requires a simple majority vote.

Motion to limit debate. The most common form of this motion is to say, “I move the previous question” or “I move the question” or “I call the question” or sometimes someone simply shouts out “question.” As a practical matter, when a member calls out one of these phrases, the chair can expedite matters by treating it as a “request” rather than as a formal motion. The chair can simply inquire of the body, “any further discussion?” If no one wishes to have further discussion, then the chair can go right to the pending motion that is on the floor. However, if even one person wishes to discuss the pending motion further, then at that point, the chair should treat the call for the “question” as a formal motion, and proceed to it.

When a member of the body makes such a motion (“I move the previous question”), the member is really saying: “I’ve had enough debate. Let’s get on with the vote.” When such a motion is made, the chair should ask for a second, stop debate, and vote on the motion to limit debate. The motion to limit debate requires a two-thirds vote of the body.

NOTE: A motion to limit debate could include a time limit. For example: “I move we limit debate on this agenda item to 15 minutes.” Even in this format, the motion to limit debate requires a two-thirds vote of the body. A similar motion is a *motion to object to consideration of an item*. This motion is not debatable, and if passed, precludes the body from even considering an item on the agenda. It also requires a two-thirds vote.

Majority and Super Majority Votes

In a democracy, a simple majority vote determines a question. A tie vote means the motion fails. So in a seven-member body, a vote of 4-3 passes the motion. A vote of 3-3 with one abstention means the motion fails. If one member is absent and the vote is 3-3, the motion still fails.

All motions require a simple majority, but there are a few exceptions. The exceptions come up when the body is taking an action which effectively cuts off the ability of a minority of the body to take an action or discuss an item. These extraordinary motions require a two-thirds majority (a super majority) to pass:

Motion to limit debate. Whether a member says, “I move the previous question,” or “I move the question,” or “I call the question,” or “I move to limit debate,” it all amounts to an attempt to cut off the ability of the minority to discuss an item, and it requires a two-thirds vote to pass.

Motion to close nominations. When choosing officers of the body (such as the chair), nominations are in order either from a nominating committee or from the floor of the body. A motion to close nominations effectively cuts off the right of the minority to nominate officers and it requires a two-thirds vote to pass.

Motion to object to the consideration of a question. Normally, such a motion is unnecessary since the objectionable item can be tabled or defeated straight up. However, when members of a body do not even want an item on the agenda to be considered, then such a motion is in order. It is not debatable, and it requires a two-thirds vote to pass.

Motion to suspend the rules. This motion is debatable, but requires a two-thirds vote to pass. If the body has its own rules of order, conduct or procedure, this motion allows the body to suspend the rules for a particular purpose. For example, the body (a private club) might have a rule prohibiting the attendance at meetings by non-club members. A motion to suspend the rules would be in order to allow a non-club member to attend a meeting of the club on a particular date or on a particular agenda item.

Counting Votes

The matter of counting votes starts simple, but can become complicated.

Usually, it’s pretty easy to determine whether a particular motion passed or whether it was defeated. If a simple majority vote is needed to pass a motion, then one vote more than 50 percent of the body is required. For example, in a five-member body, if the vote is three in favor and two opposed, the motion passes. If it is two in favor and three opposed, the motion is defeated.

If a two-thirds majority vote is needed to pass a motion, then how many affirmative votes are required? The simple rule of thumb is to count the “no” votes and double that count to determine how many “yes” votes are needed to pass a particular motion. For example, in a seven-member body, if two members vote “no” then the “yes” vote of at least four members is required to achieve a two-thirds majority vote to pass the motion.

What about tie votes? In the event of a tie, the motion always fails since an affirmative vote is required to pass any motion. For example, in a five-member body, if the vote is two in favor and two opposed, with one member absent, the motion is defeated.

Vote counting starts to become complicated when members vote “abstain” or in the case of a written ballot, cast a blank (or unreadable) ballot. Do these votes count, and if so, how does one count them? The starting point is always to check the statutes.

In California, for example, for an action of a board of supervisors to be valid and binding, the action must be approved by a majority of the board. (California Government Code Section 25005.) Typically, this means three of the five members of the board must vote affirmatively in favor of the action. A vote of 2-1 would not be sufficient. A vote of 3-0 with two abstentions would be sufficient. In general law cities in



California, as another example, resolutions or orders for the payment of money and all ordinances require a recorded vote of the total members of the city council. (California Government Code Section 36936.) Cities with charters may prescribe their own vote requirements. Local elected officials are always well-advised to consult with their local agency counsel on how state law may affect the vote count.

After consulting state statutes, step number two is to check the rules of the body. If the rules of the body say that you count votes of “those present” then you treat abstentions one way. However, if the rules of the body say that you count the votes of those “present and voting,” then you treat abstentions a different way. And if the rules of the body are silent on the subject, then the general rule of thumb (and default rule) is that you count all votes that are “present and voting.”

Accordingly, under the “present and voting” system, you would **NOT** count abstention votes on the motion. Members who abstain are counted for purposes of determining quorum (they are “present”), but you treat the abstention votes on the motion as if they did not exist (they are not “voting”). On the other hand, if the rules of the body specifically say that you count votes of those “present” then you **DO** count abstention votes both in establishing the quorum and on the motion. In this event, the abstention votes act just like “no” votes.

How does this work in practice?

Here are a few examples.

Assume that a five-member city council is voting on a motion that requires a simple majority vote to pass, and assume further that the body has no specific rule on counting votes. Accordingly, the default rule kicks in and we count all votes of members that are “present and voting.” If the vote on the motion is 3-2, the motion passes. If the motion is 2-2 with one abstention, the motion fails.

Assume a five-member city council voting on a motion that requires a two-thirds majority vote to pass, and further assume that the body has no specific rule on counting votes. Again, the default rule applies. If the vote is 3-2, the motion fails for lack of a two-thirds majority. If the vote is 4-1, the motion passes with a clear two-thirds majority. A vote of three “yes,” one “no” and one “abstain” also results in passage of the motion. Once again, the abstention is counted only for the purpose of determining quorum, but on the actual vote on the motion, it is as if the abstention vote never existed — so an effective 3-1 vote is clearly a two-thirds majority vote.

Now, change the scenario slightly. Assume the same five-member city council voting on a motion that requires a two-thirds majority vote to pass, but now assume that the body **DOES** have a specific rule requiring a two-thirds vote of members “present.” Under this specific rule, we must count the members present not only for quorum but also for the motion. In this scenario, any abstention has the same force and effect as if it were a “no” vote. Accordingly, if the votes were three “yes,” one “no” and one “abstain,” then the motion fails. The abstention in this case is treated like a “no” vote and effective vote of 3-2 is not enough to pass two-thirds majority muster.

Now, exactly how does a member cast an “abstention” vote?

Any time a member votes “abstain” or says, “I abstain,” that is an abstention. However, if a member votes “present” that is also treated as an abstention (the member is essentially saying, “Count me for purposes of a quorum, but my vote on the issue is abstain.”) In fact, any manifestation of intention not to vote either “yes” or “no” on the pending motion may be treated by the chair as an abstention. If written ballots are cast, a blank or unreadable ballot is counted as an abstention as well.

Can a member vote “absent” or “count me as absent?” Interesting question. The ruling on this is up to the chair. The better approach is for the chair to count this as if the member had left his/her chair and is actually “absent.” That, of course, affects the quorum. However, the chair may also treat this as a vote to abstain, particularly if the person does not actually leave the dais.

The Motion to Reconsider

There is a special and unique motion that requires a bit of explanation all by itself; the motion to reconsider. A tenet of parliamentary procedure is finality. After vigorous discussion, debate and a vote, there must be some closure to the issue. And so, after a vote is taken, the matter is deemed closed, subject only to reopening if a proper motion to consider is made and passed.

A motion to reconsider requires a majority vote to pass like other garden-variety motions, but there are two special rules that apply only to the motion to reconsider.

First, is the matter of timing. A motion to reconsider must be made at the meeting where the item was first voted upon. A motion to reconsider made at a later time is untimely. (The body, however, can always vote to suspend the rules and, by a two-thirds majority, allow a motion to reconsider to be made at another time.)

Second, a motion to reconsider may be made only by certain members of the body. Accordingly, a motion to reconsider may be made only by a member who voted in the majority on the original motion. If such a member has a change of heart, he or she may make the motion to reconsider (any other member of the body — including a member who voted in the minority on the original motion — may second the motion). If a member who voted in the minority seeks to make the motion to reconsider, it must be ruled out of order. The purpose of this rule is finality. If a member of minority could make a motion to reconsider, then the item could be brought back to the body again and again, which would defeat the purpose of finality.

If the motion to reconsider passes, then the original matter is back before the body, and a new original motion is in order. The matter may be discussed and debated as if it were on the floor for the first time.

Courtesy and Decorum

The rules of order are meant to create an atmosphere where the members of the body and the members of the public can attend to business efficiently, fairly and with full participation. At the same time, it is up to the chair and the members of the body to maintain common courtesy and decorum. Unless the setting is very informal, it is always best for only one person at a time to have the floor, and it is always best for every speaker to be first recognized by the chair before proceeding to speak.

The chair should always ensure that debate and discussion of an agenda item focuses on the item and the policy in question, not the personalities of the members of the body. Debate on policy is healthy, debate on personalities is not. The chair has the right to cut off discussion that is too personal, is too loud, or is too crude.

Debate and discussion should be focused, but free and open. In the interest of time, the chair may, however, limit the time allotted to speakers, including members of the body.

Can a member of the body interrupt the speaker? The general rule is “no.” There are, however, exceptions. A speaker may be interrupted for the following reasons:

Privilege. The proper interruption would be, “point of privilege.” The chair would then ask the interrupter to “state your point.” Appropriate points of privilege relate to anything that would interfere with the normal comfort of the meeting. For example, the room may be too hot or too cold, or a blowing fan might interfere with a person’s ability to hear.

Order. The proper interruption would be, “point of order.” Again, the chair would ask the interrupter to “state your point.” Appropriate points of order relate to anything that would not be considered appropriate conduct of the meeting. For example, if the chair moved on to a vote on a motion that permits debate without allowing that discussion or debate.

Appeal. If the chair makes a ruling that a member of the body disagrees with, that member may appeal the ruling of the chair. If the motion is seconded, and after debate, if it passes by a simple majority vote, then the ruling of the chair is deemed reversed.

Call for orders of the day. This is simply another way of saying, “return to the agenda.” If a member believes that the body has drifted from the agreed-upon agenda, such a call may be made. It does not require a vote, and when the chair discovers that the agenda has not been followed, the chair simply reminds the body to return to the agenda item properly before them. If the chair fails to do so, the chair’s determination may be appealed.

Withdraw a motion. During debate and discussion of a motion, the maker of the motion on the floor, at any time, may interrupt a speaker to withdraw his or her motion from the floor. The motion is immediately deemed withdrawn, although the chair may ask the person who seconded the motion if he or she wishes to make the motion, and any other member may make the motion if properly recognized.

Special Notes About Public Input

The rules outlined above will help make meetings very public-friendly. But in addition, and particularly for the chair, it is wise to remember three special rules that apply to each agenda item:

Rule One: Tell the public what the body will be doing.

Rule Two: Keep the public informed while the body is doing it.

Rule Three: When the body has acted, tell the public what the body did.



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DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

7. EXPAND CROSS-TRAINING PROGRAM FOR BOARD STAFF AND REVISE OPERATIONAL MANUALS TO RETAIN KNOWLEDGE AND INCREASE ORGANIZATIONAL EFFECTIVENESS

The Board's 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to expand the cross-training program for Board staff and revise operational manuals to retain knowledge and increase organizational effectiveness.

Continuing efforts are underway to update, and create as needed, procedure manuals for performing job duties in the Administration, Enforcement, and Examination/Licensing Units at the Board. Procedure manuals outline: 1) steps taken to complete a procedure; 2) who executes the procedures; 3) timeline to complete the procedure; and 4) timeframe to complete a step. Key staff have recently completed the Department of Consumer Affairs' SOLID training entitled *How to Build a Procedure Manual*, which provides technical guidance in their efforts to advance this objective.

Management also conducts regular staff meetings, professional development group sessions, and one-on-one meetings, with the goal of imparting programmatic updates, enhancing knowledge retention, measuring programmatic performance, and improving overall organizational effectiveness. Attached is a sample agenda for an Enforcement Unit staff meeting.

The Executive Committee is asked to discuss the approach taken to expand the cross-training program for Board staff and revise its operational manuals, and to discuss whether there are other approaches to consider in furtherance of this objective.

Attachment:

Enforcement Meeting Agenda, June 22, 2017

ENFORCEMENT MEETING

DATE: June 22, 2017

Next Staff Meeting: Thursday, July 6, 2017

TIME: 2:00 PM – 3:00 PM

LOCATION: Front Conference Room

ATTENDANCE: Enforcement Group

AGENDA:

- Management Update:
 - Reminder that **all** correspondence needs to be reviewed by Alicia before being sent by OTs
 - ½ Time OT Position Update
 - Upcoming Committee Meeting
 - July 13 – LATC
 - August 2017 – REC
 - September 28 – Communications
 - October 17 or 18 – PQC
 - November 1 – LATC
 - November 15 – Executive
 - Upcoming Board Meetings
 - Sept 7 – LA
 - Dec. 7 – Sacramento
- Public information disclosure
 - Licensees/Businesses
 - Cases
 - Complaints
 - Citations
 - Disciplinary Actions
- Monthly updates for all cases aged beyond 180 days
 - Weekly update to Case Status Spreadsheet located at: <G:\New CAB File Structure\Enforcement\Pending Cases>
- Update on May 2017 Enforcement Report
 - Average age of pending cases is down to 93 days; however, our pending caseload has increased to 106 cases,
 - We should continue to focus on closing cases (especially older cases) in July.
- Proper handling of documents/evidence (i.e., date stamping, not marking up original documents, etc.)
 - This was previously discussed, but it's still a recurring issue.
 - Each page of evidence received from either party should be date stamped.
 - We should not be marking up original documents or evidence. If you need to mark up, write on, or highlight a document during your review and analysis, **make a copy**.
 - Complaint documents/evidence are **not** public information. Be cautious about disclosure when contacting the Subject or the Complainant in writing or by phone.
- Staff Updates

Topics to Discuss for Next Meeting:

DISCUSS AND POSSIBLE ACTION ON THE FOLLOWING 2017-2018 STRATEGIC PLAN OBJECTIVES TO:

8. RESEARCH AND WORK WITH THE DEPARTMENT OF CONSUMER AFFAIRS TO UPDATE COMMUNICATIONS TECHNOLOGY IN ORDER TO EFFICIENTLY NOTIFY STAKEHOLDERS OF IMPORTANT INFORMATION

The 2017-2018 Strategic Plan contains an objective assigned to the Executive Committee to research and work with the Department of Consumer Affairs (DCA) to update communications technology to efficiently notify stakeholders of important information.

Normally, when the Board's newsletter, *California Architects*, is published, it is posted on the Board's website, distributed via email to self-subscribers, and is Tweeted. In an effort to provide increased distribution of the newsletter, staff consulted with DCA Office of Information Services and identified a way to compile and broadcast to all email addresses stored in our systems using the ListServe communications technology. Subsequently, on November 6, 2017, the newsletter was emailed to all licensees and active candidates, and was promoted on Facebook and Twitter. This approach resulted in an increase from approximately 2,200 to more than 28,000 recipients. The Board will continue to use this technology for future newsletter distribution and other matters of importance.

At this meeting, the Committee is asked to provide any further direction to assist in fulfilling this objective.

ADJOURNMENT

Time: _____