



CALIFORNIA ARCHITECTS BOARD

2018 Sunset Review Report

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CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

Section 1 – Background and Description of the Board and Regulated Profession

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

- The California Architects Board (Board) was created by the Legislature in 1901.
- The 10-member Board consists of 5 architects and 5 public members. Eight gubernatorial appointees, one Senate Rules Committee appointee, and one Speaker of Assembly appointee for a term of four years.
- The Board is proactive and preventive, as is evidenced by its work to improve the experience and examination components of its licensing system.
- The Board has a strong history of creative problem solving and collaboration with key constituencies, such as local building officials, educators and students, related professions, and collateral organizations.
- The Board is committed to a strong enforcement program as a part of its mission to protect consumers and enforce the laws, codes, and standards governing the practice of architecture.

On March 23, 1901, the Governor of California approved “An Act to Regulate the Practice of Architecture,” thus creating the State Board of Architecture. The Governor appointed 10 architect members to the Board. Initially, the Board was comprised of two districts: Northern and Southern. The district offices acted independently to some degree and made recommendations to the full Board on matters relating to applicants for certification. Each district office elected its own officers from the officers elected to the full Board.

Initially, individuals who could demonstrate to the satisfaction of the district board in which they would be practicing that they were practicing architecture in the State of California as of March 23, 1901, and who were in good standing, could apply for certification with the Board without examination. Over 250 of these initial “A” licenses were issued. Six months after the approval of the Act, it became unlawful to practice architecture or call oneself an architect in the State of California unless certified by the Board. However, the Act made a significant exemption to this rule by allowing individuals to prepare plans, drawings, specifications, instruments of service, or other data for buildings, provided that the individual fully informed the client in writing that he or she was not an architect. This exemption made the Act a quasi-title act instead of a true practice act. At that time, the Board also began issuing “B” licenses to individuals who had passed either a written or oral examination. Almost 1,950 “B” licenses were issued between 1901 and 1929.

In 1929, the Board’s name was changed to the California State Board of Architectural Examiners. That same year, the Board began issuing licenses to individuals who passed both a written and an oral examination. The Board’s main office in Sacramento was established in 1956 and the district offices remained as branches. In 1963, the Act was revised making the actual practice of architecture by an unlicensed individual a misdemeanor. This revision made the Act a true practice act, restricting the practice of architecture to only licensed architects.

Through 1984, the Board also had the authority to issue a temporary certificate to practice architecture to an architect licensed in another state for a stipulated structure in California upon satisfactory evidence of his or her architectural competence and payment of the applicable fee.

From 1964 through 1985, the Board also regulated registered building designers. The registration process began in 1964 and continued until 1968. The Board continued to regulate the practice of registered building designers through 1985, although no new registrations were granted after 1968. Effective January 1, 1986, it became a misdemeanor for individuals to represent themselves as “registered building designers.” Of the estimated 700 active building designers registered at the time, about 300 applied for and were granted licenses as architects. The Board now licenses only architects and has one office in Sacramento.

Since 1997, the Board has also overseen the duties, responsibilities, and jurisdiction of the Landscape Architects Technical Committee (LATC). The Board is charged with regulating landscape architects and managing all of the affairs of the former Board of Landscape Architects. The LATC is structured as a committee of the Board. The Board views this structure as very positive and has found the relationship between the two related professions to be mutually beneficial. Opportunities for collaboration between the two regulatory programs and the efficiencies associated with combining our efforts wherever possible are the main advantages. The Board and LATC maintain an ongoing practice of providing regular updates regarding key issues at each other’s respective meetings to sustain understanding of each entity’s priorities. Moreover, the Board appoints an LATC liaison, who attends LATC meetings on behalf of the Board. Likewise, an LATC member attends Board meetings to ensure ongoing Committee representation. The Board is not aware of any consumer-related issues with respect to the structure, and the respective professions and their organizations appear to be pleased with the current structure.

In 1999, Assembly Bill (AB) 1678 (Committee on Consumer Protection, Government Efficiency and Economic Development, Chapter 982, Statutes of 1999) changed the Board’s name to the California Architects Board. This change was designed to reflect the fact that, in addition to examining candidates, the Board maintains a wide range of programs to protect consumers and regulate the practice of architecture.

Mission

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 six goal areas which provide the framework for its efforts to further its mission:

1. Ensure the professional qualifications of those practicing architecture by setting requirements for education, experience, and examinations;
2. Establish regulatory standards of practice for California architects;
3. Protect consumers by preventing violations and effectively enforcing laws, codes, and standards when violations occur;
4. Increase public and professional awareness of the Board’s mission, activities, and services;
5. Improve effectiveness of relationships with related organizations in order to further the Board’s mission and goals; and
6. Enhance organizational effectiveness and improve the quality of customer service in all programs.

In fulfilling its mission, the Board has found that acting preventively and proactively is the best use of its resources. Because of the nature of the design profession, there are numerous opportunities to prevent minor problems from becoming disasters. The worst-case scenario, a building failure, is simply not tolerable. As such, the Board works to aggressively address issues well before they exacerbate into catastrophes. In the Board’s

enforcement program, for example, this means cooperatively working with building departments through the Board's first-of-its-kind Building Official Contact Program. The Board also invests heavily in communications (e.g., social media, newsletter, liaison activities), both to consumers and to architects. The Board works closely with professional groups to ensure that architects understand changes in laws, codes, and standards. The Board also reaches out to schools, related professions, and organizations via a proactive liaison program. To ensure the effectiveness of these endeavors, the Board works to upgrade and enhance its communications by constantly seeking feedback and analyzing the results of its communications efforts. All of these initiatives underscore the Board's firm belief that it must be both strategic and aggressive in employing the preventive measures necessary to effectively protect the public health, safety, and welfare.

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

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: President, Vice President, Secretary, and one additional Board member (typically the past President).

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 (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 PQC is composed of 11 current and former Board members, and experts.

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

The **Communications Committee** is charged with: 1) overseeing all of the Board's communications and identifying strategies to effectively communicate to key audiences; and 2) providing strategic input on enhancing the use of social media to communicate with the Board's stakeholders. The Communications Committee communicates with the public through a variety of publications. This Committee also oversees a variety of outreach programs, such as programs to communicate with students, faculty, and Deans. The Communications Committee is composed of eight current and former Board members, and experts.

An organizational chart of the Board's current committee structure is provided below:

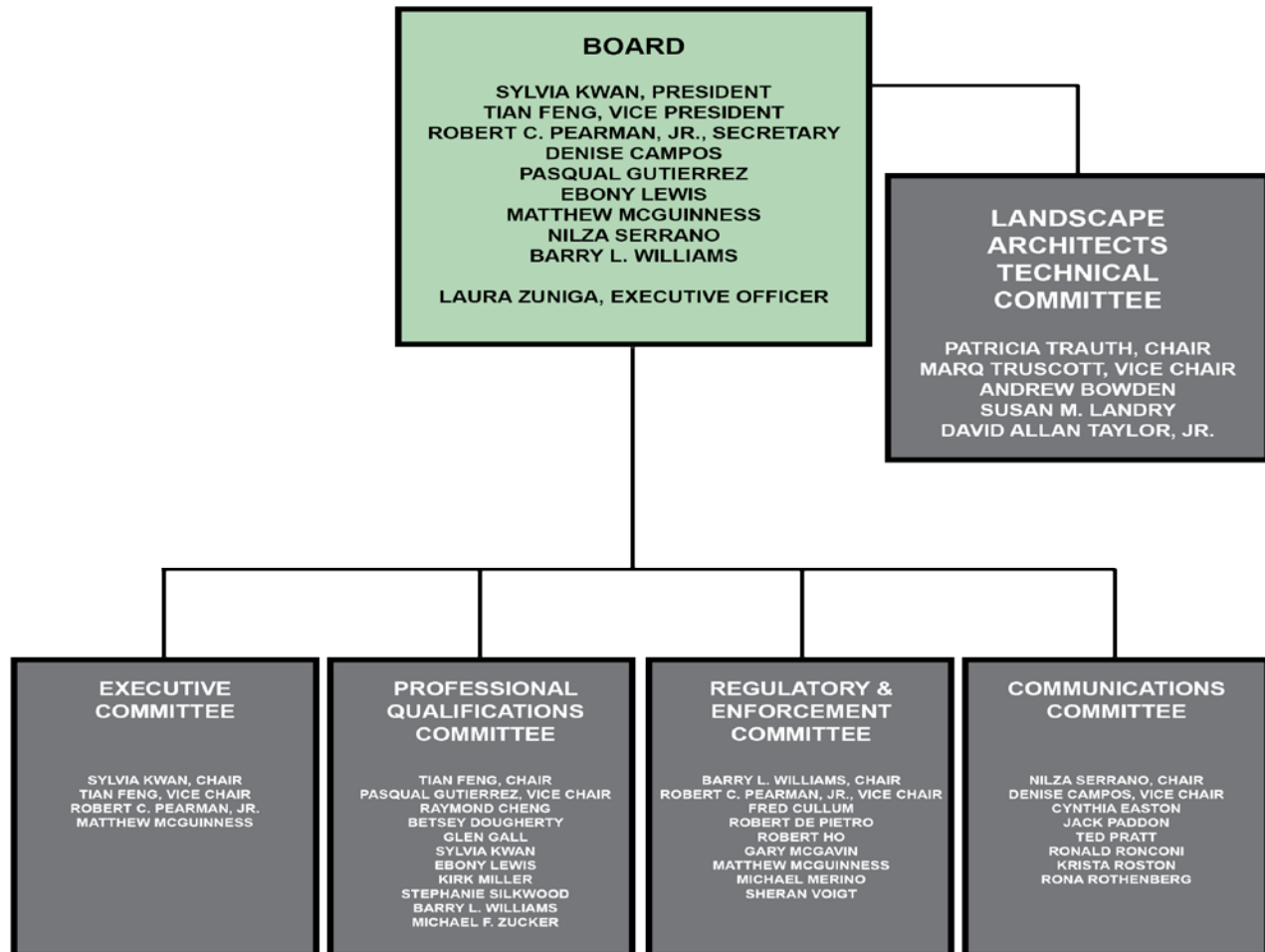


Table 1a. Board Member Attendance (July 1, 2014 – June 30, 2018) Includes current and prior members. Length of time serving varies depending on remainder of term available at time of appointment.

Jon Alan Baker

Date Appointed: 11/10/2005 [Term Expired 6/30/2010]

Date Re-appointed: 12/22/2010 [Term Expired 6/30/2013]

Date Re-appointed: 9/24/2013 [Term Expired 6/30/2017]

Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	Yes
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Chris Christophersen

Date Appointed: 2/26/2013 [Term Expired 6/30/2015]

Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes

Denise Campos

Date Appointed: 6/30/2014 [Term Expired 6/30/2018]

Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	No (excused)
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes

Board Meeting	3/3/2016	Burbank	No (excused)
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Tian Feng			
Date Appointed: 2/6/2014 [Term Expired 6/30/2017]			
Date Re-appointed: 2/27/18 [Term Expires 6/30/2021]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	No (excused)/Yes
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Pasqual Gutierrez			
Date Appointed: 9/2/2006 [Term Expired 6/30/2010]			
Date Re-appointed: 12/21/2010 [Term Expired 6/30/2014]			
Date Re-appointed: 7/11/2014 [Term Expires 6/30/2020]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	Yes
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Sylvia Kwan			
Date Appointed: 8/16/2013 [Term Expires 6/30/2019]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	No (excused)/Yes
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	No (excused)
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes

Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Ebony Lewis			
Date Appointed: 12/23/2014 [Term Expires 6/30/2019]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	No (excused)
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	No (excused)
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	No (excused)
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Matthew McGuinness			
Date Appointed: 9/15/2012 [Term Expired 6/30/2016]			
Date Re-appointed: 7/19/2016 [Term Expires 6/30/2020]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	Yes
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes

Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Robert C. Pearman, Jr.			
Date Appointed by Assembly Speaker: 2/25/2016 [Term Expires 6/30/2019]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	No (excused)
Board Meeting	6/13/2018	Sacramento	Yes

Nilza Serrano			
Date Appointed: 9/24/2013 [Term Expired 6/30/2016]			
Date Re-appointed: 7/19/2016 [Term Expires 6/30/2020]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	Yes
Board Meeting	3/12/2015	Long Beach	No (excused)
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	Yes
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	No (excused)/Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes

Board Meeting	6/13/2018	Sacramento	No (excused)
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Sheran Voigt			
Date Appointed: 5/30/2006 [Term Expired 6/30/2010]			
Date Re-appointed: 12/22/2010 [Term Expired 6/30/2014]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting and Strategic Planning	12/10-11/2014	Sacramento	Yes

Barry Williams			
Date Appointed: 12/18/2014 [Term Expired: 6/30/2018]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	3/12/2015	Long Beach	Yes
Board Meeting	6/10/2015	San Diego	Yes
Board Meeting	9/10/2015	San Francisco	Yes
Board Meeting	12/10/2015	Sacramento	Yes
Board Meeting	3/3/2016	Burbank	Yes
Board Meeting	6/9/2016	San Francisco	Yes
Board Meeting (Teleconference)	7/28/2016	Sacramento & Various Locations	Yes
Board Meeting	9/29/2016	Los Angeles	No
Board Meeting and Strategic Planning	12/15-16/2016	Sacramento	Yes
Board Meeting	3/2/2017	Los Angeles	Yes
Board Meeting	6/15/2017	San Francisco	Yes
Board Meeting	9/7/2017	Burbank	Yes
Board Meeting	12/7/2017	Sacramento	Yes
Board Meeting	3/1/2018	Sacramento	Yes
Board Meeting	6/13/2018	Sacramento	Yes

Hraztan Zeitlian			
Date Appointed: 10/29/2008 [Term expired 6/30/2010]			
Date Re-appointed: 12/22/2010 [Term Expired 6/30/2014]			
Meeting Type	Meeting Date	Meeting Location	Attended?
Board Meeting	9/10/2014	San Diego	Yes
Board Meeting	12/10-11/2014	Sacramento	Yes

Table 1b. Board Member Roster Includes current and prior members. Length of time serving varies depending on remainder of term available at time of appointment. (As of November 30, 2018)

Member Name (Include Vacancies)	Date First Appointed	Date Re-appointed	Date Term Expires	Appointing Authority	Type (public or professional)
Sylvia Kwan, President	8/16/2013	N/A	6/30/2019	Governor	Architect
Tian Feng, Vice President	2/6/2014	2/27/2018	6/30/2021	Governor	Architect
Robert C. Pearman, Jr., Secretary	2/25/2016 8/15/2018	N/A N/A	6/30/2019 6/30/2022	Speaker of Assembly Senate Rules	Public Public
Jon Alan Baker	11/10/2005	12/22/2010 9/24/2013	6/30/2010 6/30/2013 6/30/2017	Governor	Architect
Denise Campos	6/30/2014 9/28/2018	N/A N/A	6/30/2018 6/30/2019	Senate Rules Speaker of Assembly	Public Public
Chris Christophersen	2/26/2013	N/A	6/30/2015	Speaker of Assembly	Public
Pasqual Gutierrez	9/2/2006	12/21/2010 7/11/2014	6/30/2010 6/30/2014 6/30/2020	Governor	Architect
Ebony Lewis	12/23/2014	N/A	6/30/2019	Governor	Public
Matthew McGuinness	9/15/2012	7/19/2016	6/30/2016 6/30/2020	Governor	Public
Nilza Serrano	9/24/2013	7/19/2016	6/30/2016 6/30/2020	Governor	Public
Sheran Voigt	5/30/2006	12/22/2010	6/30/2010 6/30/2014	Governor	Public
Barry Williams	12/18/2014	N/A	6/30/2018	Governor	Architect
Hraztan Zeitlian	10/29/2008	12/22/2010	6/30/2010 6/30/2014	Governor	Architect

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?

No, in the past four years, the Board has held all meetings without any quorum issues.

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)**

Leadership

The Board is in the midst of a major leadership change in that it recently appointed a new Executive Officer (EO). Doug McCauley, the Board's former EO since 2001, was appointed Chief Deputy Director of the

Department of Housing and Community Development in March of 2018. The Board has had strong continuity in the EO position, as Mr. McCauley's predecessor served the Board for 14 years.

Strategic Planning

Beginning December 2014, the Board began developing biennial Strategic Plan objectives. Previously, the Board developed its Strategic Plan objectives annually. The Board is due to update its Strategic Plan in December 2018.

Expanded Social Media Presence

The Board has expanded its social media presence to include three platforms, Twitter, Instagram, and Facebook. As of June 30, 2018, Twitter (launched in 2014) has 1,183 followers, Instagram (launched in 2016) has 391 followers, and Facebook (launched in 2017) has 61 followers.

Collection Agency Contract

The Board's current Strategic Plan contains an objective to measure the effectiveness of the Board's citation collection methods as a means of protecting future consumers. Likewise, the LATC's Strategic Plan includes an objective to contract with collection agencies to pursue and recover unpaid citations from unlicensed individuals. Accordingly, the Board and LATC are currently collaborating with DCA to execute a contract with a collection agency, through the informal solicitation method (Government Code section 14838.5), for full-service debt collection services, including "skip tracing," credit reporting, and filing legal actions as appropriate to assist in the collection of unpaid citation penalties and cost recoveries for unpaid administrative fines and cost reimbursement accounts aged beyond 90 days. The Board and LATC anticipate execution of this contract by early 2019.

Integrated Path to Architectural Licensure (IPAL)

Launched in 2015, IPAL is an initiative spearheaded by the National Council of Architectural Registration Boards (NCARB) and designed to provide aspiring architects the opportunity to complete the requirements for licensure in a more integrated and accelerated manner while earning their accredited degree. Programs from three California schools were accepted by NCARB for participation: NewSchool of Architecture and Design, University of Southern California, and Woodbury University; to date there are 26 programs at 21 participating schools around the country with California having 5 programs – the most of any participating state.

Over the past few years, the Board held several of its meetings at the campuses of schools with an IPAL program; each school provided an update on its respective program. To show its support for IPAL, the Board sponsored legislation that allows students enrolled in an IPAL program early access to the Architect Registration Examination (ARE). The success of the program requires action and support from the profession. A crucial component of the effort is commitment from practicing architects to provide quality professional experience for the students. In 2017, to assist IPAL schools in finding opportunities for students to gain the required training for the Architectural Experience Program, the Board sent Los Angeles and San Diego area architectural firms a letter encouraging their consideration of offering internship opportunities to IPAL students from a local program. The Board is sending another letter underscoring its commitment to support the program and inviting firms to partner with IPAL programs. The partnership will assist in providing relevant and structured architectural experience, mentoring, and learning as an investment in the profession and development of future practitioners.

The Board's newsletter, *California Architects*, was instrumentally used to promote California IPAL schools by featuring each in an article. As a dynamic program still in its formative years of development, NCARB is collecting data on the performance of approved programs and candidate examination statistics. It was recently

published by NCARB that several IPAL students from Florida and North Carolina graduated in May 2018 – the first IPAL graduates nationwide. NCARB anticipates being able to provide performance data in three to five years when more students have progressed through the program. The Board will closely monitor future data releases for analysis and opportunities to provide NCARB with suggestions regarding enhancements or modifications to the program.

California Supplemental Examination (CSE) – Updated Forms

CSE development is an ongoing process. Development of the CSE based upon the new CSE Test Plan commenced in the Summer 2016 and resulted in the launching on March 1, 2017, of the first corresponding examination administrations.

CSE – Wait Time Reduction

The Board, in collaboration with the Department of Consumer Affairs (DCA) Office of Professional Examination Services (OPES), explored the feasibility of reducing the mandatory CSE retake waiting period, which is set by regulation (California Code of Regulations Code [CCR] section 124) at 180 days. Based upon its findings, OPES determined the Board could reduce the waiting period to 90 days and maintain the defensibility and integrity of the CSE. OPES provided the Board with an implementation plan at its March 1, 2018, meeting. The implementation plan OPES formulated outlined the necessary examination development steps to achieve the objective of commencing the 90-day retake policy for CSE administrations beginning March 1, 2019. The Board anticipates initiating the rulemaking process to amend section 124 with the Office of Administrative Law (OAL) by the end of 2018.

- **All legislation sponsored by the board and affecting the board since the last sunset review.**

Assembly Bill (AB) 177 (Bonilla, Chapter 428, Statutes of 2015) extended the Sunset date for the Board and LATC until January 1, 2020.

AB 507 (Olsen, 2015) [BreEZe] would have added Business and Professions Code (BPC) section 210.5 to require DCA to submit an annual report to the Legislature and the Department of Finance regarding the BreEZe system. The author opted to not move the bill forward, as comprehensive reporting on BreEZe will be more appropriate when it is fully implemented.

AB 1005 (Calderon, 2017) [Orders of Abatement] would have amended BPC section 125.9 to require a citation containing an order to pay an administrative fine to contain an order of abatement, fixing a period of no fewer than 30 days for abatement of the violation before the administrative fine becomes effective. The bill did not advance.

AB 1489 (Brough, 2017) [Architects Practice Act] was The American Institute of Architects, California Council's (AIACC) bill that proposed two changes to the Architects Practice Act (Act) via BPC section 5536.25: 1) a clarification that an architect is not responsible for damage caused by "construction deviating from a permitted set of plans, specifications, reports, or documents" not authorized or approved in writing by the architect; and 2) an update to the definition of "construction observation services" to clarify that those services do not include inspection, or determining or defining means and methods (the day-to-day activities a contractor employs to complete construction). The bill did not advance.

AB 2138 (Chiu and Low, Chapter 995, Statutes of 2018) [Licensing Boards: Denial of Application: Revocation or Suspension of Licensure: Criminal Conviction] authorizes a board to, among other things, deny, revoke, or suspend a license on the grounds that the applicant or licensee has been convicted

of a crime only if the applicant or licensee is presently incarcerated or if the conviction, as defined, occurred within the preceding seven years, except for serious felonies, and would require the crime to be substantially related to the qualifications, functions, or duties of the business or profession. The bill prohibits a board from denying a person a license based on the conviction of a crime, or on the basis of acts underlying a conviction for a crime, if the conviction has been dismissed or expunged, if the person has provided evidence of rehabilitation, if the person has been granted clemency or a pardon, or if an arrest resulted in a disposition other than a conviction.

AB 2483 (Voepel, 2018) [Indemnification of Public Officers and Employees: Antitrust Awards] would have required a public entity to pay a judgment or settlement for treble damage antitrust awards against a member of a regulatory board within the DCA for an act or omission occurring within the scope of the member's official capacity as a member of that regulatory board. The bill did not advance.

Senate Bill (SB) 850 (Block, Chapter 747, Statutes of 2014) authorized community colleges to establish baccalaureate degree pilot programs at campuses to be determined by the Chancellor of California Community Colleges.

SB 704 (Gaines, Chapter 495, Statutes of 2015) established an additional provision of the Government Code wherein appointed members of unelected boards or commissions would be permitted to recuse themselves from decisions on contracts in which they have a financial interest.

SB 1132 (Galgiani, 2016) [Architect-in-Training] was an AIACC proposal to create and define a special title for candidates for licensure. As introduced, it would have created the "architect-in-training" title for a person who has received Board confirmation of eligibility for the ARE and is employed under the direct supervision of an architect. The bill was vetoed by the Governor.

SB 1195 (Hill, 2016) [Board Actions: Competitive Impact] would have granted the DCA Director authority to review any board decision or other action to determine whether it unreasonably restrains trade. The bill was referred to the Senate inactive file.

SB 1479 (Committee on Business, Professions and Economic Development, Chapter 634, Statutes of 2016) contained the Board-sponsored amendment which clarified language regarding integrated degree programs that was added to the Act. The bill updated BPC section 5550.2, which permits the Board to grant early eligibility to take the ARE for students enrolled in an NCARB-accepted integrated degree program. The amendment incorporates a general reference to the IPAL initiative to prevent any issues with the name of NCARB's program.

SB 247 (Moorlach, 2017) [Professions and Vocations: License Requirement: Business: Surety Bond Requirement] would have repealed occupational licensing requirements. The bill failed passage in the Senate Business, Professions and Economic Development Committee and did not advance.

SB 547 (Hill, Chapter 429, Statutes of 2017) extended the sunset date of the California Council of Interior Design Certification (CCIDC) and its certification program until January 1, 2022.

SB 721 (Hill, Chapter 445, Statutes of 2018) [Building Standards: Decks and Balconies: Inspection] establishes inspection and repair requirements for "exterior elevated elements" as defined, including decks and balconies for buildings with three or more multifamily dwelling units; establishes reporting and repair requirements if repairs are needed, including specific timelines for carrying out the repairs; specifies who can complete the inspections and repairs; and, provides for civil penalties for violations for building owners, as specified.

SB 984 (Skinner, 2018) [State Boards and Commissions: Representation: Appointments] would require all state boards and commissions, beginning on and after January 1, 2024, to be comprised of a specified minimum number of women board members or commissioners based on the total number of board or commission members on that board. This bill would also require the office of the Governor to collect and release aggregated demographic data provided by state board and commission applicants, nominees, and appointees. SB 984 is with the Assembly Appropriations Committee.

SB 1137 (Vidak, Chapter 414, Statutes of 2018) [Veterans: Professional Licensing Benefits] requires the Department of Veterans Affairs and the Department of Consumer Affairs (DCA), in consultation with each other, take appropriate steps to increase awareness regarding professional licensing benefits available to veterans.

SB 1480 (Hill, Chapter 571, Statutes of 2018) [Professions and Vocations] requires the DCA to amend department-wide enforcement guidelines to include the category of “allegations of serious harm to a minor” under the “urgent” or “highest priority level.” It also reduces from three times per year to two times per year, the frequency with which the boards within the DCA meet. Other provisions of this bill are specific to individual programs.

- **All regulation changes approved by the Board since the last sunset review. Include the status of each regulatory change approved by the LATC.**

A number of relevant regulatory changes have been enacted or proposed since the last Sunset Review. These changes are listed below.

Architect Registration Examination Credit Expiration [California Code of Regulations (CCR) section 120] – The Board amended its regulations to reflect the NCARB’s amendment to the ARE Five-Year Rolling Clock provision concerning divisions that were previously exempt. This regulation became effective on July 1, 2014.

Filing of Applications (CCR section 109) – The Board amended its regulations to reduce the total required Intern Development Program (IDP) experience from 5,600 hours to 3,740 hours, reflecting the newest edition of NCARB’s *IDP Guidelines*. This regulation became effective on April 1, 2015.

NCARB Record (CCR section 116) – The Board amended its regulations to reflect the NCARB Record requirement that candidates must establish and maintain an NCARB Record to access examination scheduling information, view testing history, rolling clock information, and download score reports. This regulation became effective on April 1, 2015.

Filing of Applications (CCR section 109) – The Board amended its regulations to allow candidate IDP experience to be gained beyond the initial six-month reporting period (up to five years at a reduced value of 50 percent toward IDP requirements), reflecting the newest edition of NCARB’s *IDP Guidelines*. This regulation became effective on October 1, 2015.

Filing of Applications (CCR section 109) – The Board amended its regulations to reflect changes in the new edition of the Canadian *Internship in Architecture Program Manual*. This regulation became effective on January 1, 2016.

Filing of Applications, Review of Applications (CCR sections 109 and 111) – The Board amended its regulations to expedite or, when applicable, assist the initial licensure process for a candidate who supplies

satisfactory evidence to the Board they have served as an active duty member of the Armed Forces of the United States and were honorably discharged. This regulation became effective on April 1, 2016.

Filing of Applications (CCR section 109) – The Board amended its regulations to reduce the total length of required IDP experience from 5,600 hours to 3,740 hours, reflecting changes in a new edition of NCARB’s *IDP Guidelines*. This regulation became effective on October 1, 2016.

Examination Transfer Credit (CCR sections 118.5 and 119.8) – The Board amended CCR section 118.5 to allow transfer credit for those who passed ARE divisions and added CCR section 119.8 to allow candidates to transition to and obtain credit for ARE 5.0. This regulation became effective on October 1, 2016.

California Supplemental Examination (CCR sections 124 and 124.5) – The Board directed staff to amend its regulations to reduce the examination waiting period to 90 days. The Board anticipates initiating the rulemaking process to amend sections 124 and 124.5 with OAL by the end of 2018.

Contest of Citations, Informal Conference (CCR section 152.5) – The Board approved an amendment to its regulations to allow the EO to delegate to a designee, such as the Assistant EO or the Enforcement Program Manager, the authority to hold an informal conference with a cited person and decide to affirm, modify, or dismiss a citation. The regulatory amendment also contained additional revisions to CCR section 152.5, including: changing the deadline for requesting an informal conference for consistency with the deadline for requesting a formal administrative hearing; authorizing the EO or a designee to extend the 60-day period for holding the informal conference for good cause; and clarifying that the decision to affirm, modify, or dismiss a citation is made following (rather than at the conclusion of) an informal conference, and a copy of the decision will be transmitted to the cited person within 30 days after the conference. The Board anticipates initiating the rulemaking process to amend section 152.5 with OAL by early 2019.

Disciplinary Guidelines (CCR section 154) – The Board is pursuing a regulatory change to amend CCR section 154 to incorporate the revised *Disciplinary Guidelines* by reference and appropriate changes needed as a result of the passage of AB 2138 (Chiu and Low, Chapter 995, Statutes of 2018).

4. Describe any major studies conducted by the board (cf. Section 12, Attachment C).

The Board, in collaboration with OPES, conducted an Occupational Analysis (OA) for the CSE in 2014. The primary purpose of the OA was to define current practice for California architects in terms of the actual job tasks that new licensees must be able to safely and competently perform at the time of licensure. The results of the OA serve as the basis for ongoing examination development. As part and parcel of the OA process, OPES conducted an ARE review and linkage study in 2015 that compared the content of the 2014 CSE Test Plan with the subject matter covered in the various divisions of ARE 4.0 and 5.0. This helps to ensure there is minimal overlap in the content of the CSE. The final step of the OA process was reclassification of the CSE item bank.

Presently, the Board, in accordance with BPC section 5600.05, is working on the preparation of a report for presentation to the Legislature by January 1, 2019. The focus and purpose of the report is to provide the Legislature with a staff analysis of the Board’s continuing education (CE) requirement and a determination of whether CE for architects is effective or necessary. The report details, as stipulated in section 5600.05, will include data/information regarding the following:

- Level of licensee compliance with the requirements;
- Actions taken by the Board for noncompliance with the requirements;
- Findings of Board audits; and
- Recommendations of the Board for improving the process.

The outcome of the Legislature's review of the report will ultimately play a significant role in the future operations of the CE Program.

5. List the status of all national associations to which the board belongs.

- Does the board's membership include voting privileges?

The Board is a member of NCARB and exercises its voting rights pursuant to NCARB's bylaws when approved to attend official meetings.

- List committees, workshops, working groups, task forces, etc., on which board participates.

The Board members and the EO have served on NCARB's Broadly Experienced Architect Committee, Committee on Examination – ARE 5.0 Case Study Task Force, Examination Committee, Internship Committee, Licensure Task Force/Integrated Path Evaluation Committee, Model Law Task Force, and the Procedures and Documents Committee.

- How many meetings did board representative(s) attend? When and where?

The Board was approved to participate in the NCARB Regional Summit and Annual Meeting as follows:

NCARB Regional Summit

March 12-14, 2015 (Long Beach, CA)

March 10-12, 2016 (Savannah, GA)

March 9-11, 2017 (New Jersey, NJ)

NCARB Annual Meeting

June 17-20, 2015 (New Orleans, LA)

June 16-18, 2016 (Seattle, WA)

June 22-24, 2017 (Boston, MA)

June 28-30, 2018 (Detroit, MI)

The NCARB Committee and Task Force meetings were as follows:

Broadly Experienced Architect Committee

July 15-16, 2016 (Chicago, IL)

Committee on Examination - ARE 5.0 Case Study Task Force

September 26-27, 2014 (Washington, DC)

Examination Committee

May 1-2, 2015 (Washington, DC)

January 29-30, 2016 (Phoenix, AZ)

Internship Committee

July 30-August 1, 2015 (San Diego, CA)

January 29-30, 2016 (Phoenix, AZ)

Licensure Task Force/Integrated Path Evaluation Committee

August 15-16, 2014 (Portland, ME)

November 14-15, 2014 (Washington, DC)

Model Law Task Force

September 16-17, 2016 (Washington, DC)

December 9-10, 2016 (Miami, FL)

February 24-25, 2017 (Savannah, GA)

May 5-6, 2017 (Denver, CO)

November 10-11, 2017 (Washington, DC)

Procedures and Documents Committee

January 29-30, 2016 (Phoenix, AZ)

December 9-10, 2016 (Miami, FL)

- If the board is using a national exam, how is the board involved in its development, scoring, analysis, and administration?

The national examination, the ARE, is computer-based. As such, there is no opportunity for involvement on scoring and analysis. However, Jon Baker and Michael Merino (former Board members) have both been involved in examination item writing. In addition, the Board periodically conducts an examination review wherein NCARB opens a test center in California for Board members to view the examination and test its software.

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

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.

The Board's quarterly performance measure reports for the last four years (quarters three and four of FY 2017/18 not available at time of report) are attached (cf., Section 12, Attachment E).

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.

The Board is committed to providing exemplary customer service to its stakeholders. To assist the Board in fulfilling this commitment, it utilizes customer satisfaction surveys directed to its key constituents. The responses provided are anonymous. A majority (1,416 or 88 percent) of the responses to the survey demonstrate that individuals agree or strongly agree they are satisfied with the services provided by the Board.

The Board distributes its customer satisfaction survey in the following manner:

- Visible link near top of Board's website;
- Link included in all outgoing staff emails; and
- Link included in all Board subscriber list emails.

Constituents who respond to the surveys may also provide written comments regarding the various functions of the Board. The comments provide management an opportunity to obtain qualitative feedback from constituents and ensure exemplary customer service.

To increase the response rate, the Board recently implemented distribution of the survey to all newly licensed individuals upon issuance of their license. The Board will continue to research additional methods to increase response rates and provide exemplary service to its stakeholders. This is an important component to the Board's mission and strategic goals.

California Architects Board Customer Satisfaction Survey

1. Board staff is courteous when contacted by phone.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	20	21	20	64
(2) Agree	8	2	3	1
(3) Disagree	2	2	0	1
(4) Strongly Disagree	0	2	2	4
Total	30	27	25	70

2. Board staff assistance is efficient.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	23	28	27	72
(2) Agree	6	6	4	1
(3) Disagree	4	2	1	2
(4) Strongly Disagree	4	4	6	5
Total	37	40	38	80

3. Board staff assistance is accurate.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	22	28	28	72
(2) Agree	8	5	4	2
(3) Disagree	3	3	2	1
(4) Strongly Disagree	3	0	4	5
Total	36	36	38	80

4. Board's website contains useful information.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	13	12	18	64
(2) Agree	16	17	14	5
(3) Disagree	5	4	1	1
(4) Strongly Disagree	2	4	2	4
Total	36	37	35	74

5. Board's website is organized so that information is easy to find.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	9	12	17	60
(2) Agree	19	16	16	10
(3) Disagree	6	5	1	0
(4) Strongly Disagree	3	3	3	5
Total	37	36	37	75

6. The processing of my application was timely.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	11	13	17	33
(2) Agree	4	5	3	5
(3) Disagree	6	5	2	2
(4) Strongly Disagree	3	1	3	4
Total	24	24	25	44

7. The processing of my application was accurate.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	9	13	16	36
(2) Agree	9	7	3	3
(3) Disagree	2	1	0	1
(4) Strongly Disagree	2	0	3	3
Total	22	21	22	43

8. The processing of my renewal was timely.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	6	9	2	53
(2) Agree	5	3	3	5
(3) Disagree	1	0	0	0
(4) Strongly Disagree	0	0	0	0
Total	12	12	5	58

9. The processing of my renewal was accurate.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	7	7	2	58
(2) Agree	2	3	2	1
(3) Disagree	1	0	0	0
(4) Strongly Disagree	1	0	1	0
Total	11	10	5	59

10. The processing of my name change or change of address was accurate.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	2	10	4	24
(2) Agree	3	1	3	2
(3) Disagree	0	0	0	0
(4) Strongly Disagree	0	0	0	1
Total	5	11	7	27

11. The complaint process was described fully and accurately.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	3	7	3	20
(2) Agree	2	2	6	4
(3) Disagree	2	2	3	0
(4) Strongly Disagree	4	1	2	2
Total	11	12	14	26

12. Overall, I was satisfied with the service I received from the Board.

Rating	FY 14/15	FY 15/16	FY 16/17	FY 17/18
(1) Strongly Agree	22	30	28	72
(2) Agree	6	6	3	5
(3) Disagree	6	2	0	1
(4) Strongly Disagree	5	4	7	5
Total	39	42	38	83

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

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.**

No.

- 9. Describe the board's current reserve level, spending, and if a statutory reserve level exists.**

Per Business and Professions Code section 128.5(b), the Board's statutory fund limit is no more than 24 months in reserve. The current reserve level for fiscal year (FY) 2017/18 is \$5,553,000 (16.4 months in reserve). The estimated current spending level for 2018/19 is \$3,796,000. The Board's fund condition is shown below in Table 2, identifying fund balance and expenditure levels. In addition, due to California Supplemental Examination (CSE) savings, the Board's request for spending authority reduction in the form of a Baseline Budget Adjustment was approved in the amount of \$300,000 for FY 2015/16 and ongoing.

- 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.**

The Board does not currently project any deficits or a need to increase or decrease fees. The Board's 2015-2016 Strategic Plan contained an objective to analyze fees to determine whether they are appropriate. Budget Office staff monitored the fund for the following two FYs and determined that the Board's fund condition was appropriate and did not recommend a fee change. Based on the Budget Office assessment of the Board's fund condition, the Board is maintaining fees at their current levels, and continues to monitor its fund condition with Budget Office staff until such time their determination changes. Staff also monitors the Board's expenditures and revenue very closely with the Budget Office.

Table 2. Fund Condition

(Dollars in Thousands)	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18 ²	FY 2018/19 ¹	FY 2019/20 ¹
Beginning Balance (Includes Prior Year Adjustments)	\$5,276	\$4,886	\$5,658	\$4,969	\$5,553	\$4,481
Revenues and Transfers	\$2,956	\$4,288	\$3,005	\$4,254	\$2,981	\$4,251
Total Resources	\$8,232	\$9,174	\$8,663	\$9,223	\$8,534	\$8,733
Budget Authority	\$3,993	\$3,763	\$3,677	\$3,837	\$3,796	\$3,872
Expenditures (Includes Direct Fund Assessments)	\$3,363	\$3,523	\$3,694	\$3,670	\$4,053	\$4,129
Loans to General Fund	\$0	\$0	\$0	\$0	\$0	\$0
Accrued Interest, Loans to General Fund	\$0	\$0	\$0	\$0	\$0	\$0
Loans Repaid From General Fund	\$0	\$0	\$0	\$0	\$0	\$0
Fund Balance	\$4,869	\$5,651	\$4,969	\$5,553	\$4,481	\$4,604
Months in Reserve	16.6	18.4	14.7	16.4	13.0	13.1

¹ Projected to spend full budget.

² Estimated. Year-end figures expected to be available in March 2019 due to DCA's transition to FISCAL.

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?

The Board has not issued any general fund loans in the preceding four FYs. In FY 2003/04, the Board loaned the general fund \$1.8 million that was repaid with interest in FY 2006/07.

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.

During the last four years, the Board has spent an average of approximately 30% of its budget on the enforcement program, 27% on the examination program, 16% on the licensing program, 5% on administration, and 22% on DCA pro rata. (Note: percentages differ slightly from last reporting period due to pro rata costs dispersed among the programs.)

Table 3. Expenditures by Program Component

(list dollars in thousands)

	FY 2014/15		FY 2015/16		FY 2016/17		FY 2017/18 ¹	
	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E	Personnel Services	OE&E
Enforcement	\$541	\$444	\$610	\$476	\$724	\$326	\$746	\$210
Examination	\$498	\$409	\$562	\$439	\$667	\$300	\$687	\$193
Licensing	\$299	\$245	\$337	\$263	\$400	\$180	\$412	\$116
Administration ²	\$85	\$70	\$96	\$75	\$114	\$51	\$118	\$33
DCA Pro Rata		\$770		\$658		\$728		\$939
Total Expenditures	\$1,423	\$1,938	\$1,605	\$1,911	\$1,905	\$1,585	\$1,963	\$1,491

¹ Estimated. Year-end figures expected to be available in March 2019 due to DCA's transition to FISCAL.

² 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?

Since the inception of the BreEZe project, the Board has contributed a total of \$328,269. The Board's estimated budgeted contribution in FY 2017-18 is \$83,000.

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.

The Board is a special fund agency that generates its revenue from its fees. The Board's main source of revenue is from its applicants and licensees through the collection of examination, licensing, and renewal fees. These fees support the license, examination, enforcement, and administration programs, which include processing and issuing licenses, conducting an OA and ongoing examination development, maintaining records, producing and distributing publications, mediating consumer complaints, enforcing statutes, disciplinary actions, personnel, and general operating expenses.

Fees for an original license and biennial renewal (in each odd calendar year) increased on January 1, 2011. As a result:

- 1) Original license fees increased from \$200 to \$300 (if the license is issued less than one year before the date on which it will expire, the fee increased from \$100 to \$150);
- 2) Renewal fees increased from \$200 to \$300 (prior to that, the fee had not been increased since 1989, when it was raised from \$100 to \$200); and
- 3) The delinquency fee increased from \$50 to \$100.

Business and Professions Code 5604 authorizes the Board to charge fees as follows:

The fees prescribed by this chapter for architect applicants or architect license holders shall be fixed by the Board as follows:

- a) The application fee for reviewing a candidate's eligibility to take any section of the examination may not exceed one hundred dollars (\$100).
- b) The fee for any section of the examination administered by the board may not exceed one hundred dollars (\$100).
- c) The fee for an original license at an amount equal to the renewal fee in effect at the time the license is issued, except that, if the license is issued less than one year before the date on which it will expire, then the fee shall be fixed at an amount equal to 50 percent of the renewal fee in effect at the time the license is issued. The Board may, by appropriate regulation, provide for the waiver or refund of the fee for an original license if the license is issued less than 45 days before the date on which it will expire.
- d) The fee for an application for reciprocity may not exceed one hundred dollars (\$100).
- e) The fee for a duplicate license may not exceed twenty-five dollars (\$25).
- f) The renewal fee may not exceed four hundred dollars (\$400).
- g) The delinquency fee may not exceed 50 percent of the renewal fee.
- h) The fee for a retired license may not exceed the fee prescribed in subdivision (c).

CCR section 144 currently authorizes the following fees:

- a) The application fee for reviewing a candidate's eligibility to take any or all division(s) of the ARE is one hundred dollars (\$100) for applications submitted on or after July 1, 1999;
- b) The application fee for reviewing a reciprocity candidate's eligibility to take the CSE is thirty-five dollars (\$35);
- c) The fee for the CSE is one hundred dollars (\$100);
- d) The fee for an original license is three hundred dollars (\$300). If the license is issued less than one year before the date on which it will expire, the fee is one hundred fifty dollars (\$150);
- e) The biennial renewal fee commencing with the renewal period which begins on or after January 1, 2011 shall be three hundred dollars (\$300);
- f) The delinquency fee is one hundred dollars (\$100); and
- g) The fee for a duplicate certificate is fifteen dollars (\$15).

Table 4. Fee Schedule and Revenue

(list dollars in thousands¹)

Fee	Current Fee Amount	Statutory Limit	FY 2014/15 Revenue	FY 2015/16 Revenue	FY 2016/17 Revenue	FY 2017/18 ³ Revenue	% of Total Revenue ⁴
Duplicate License/Cert.	\$15	\$25	\$705	\$1,035	\$615	\$750	0%
Certification	\$2	\$2	\$6	\$14	\$10	\$10	0%
Citation/Fine FTB Collection	Various	Various	\$5,113	\$2,936	\$147	\$0	0%
Citation/Fine ²	Various	Various				\$0	0%
Cost Recovery	Various	Various	\$3,490	\$4,245	\$11,948	\$0	0%
Re-licensure	\$100	\$100	\$200	\$400	\$1,200	\$400	0%
Reciprocity	\$35	\$100	\$9,450	\$9,975	\$11,270	\$10,500	0%
Retired License	\$300	\$400	\$25,500	\$23,700	\$22,500	\$22,500	1%
Initial License	\$300	\$400	\$41,100	\$148,800	\$57,900	\$150,000	2%
Initial License ½	\$150	\$200	\$48,450	\$25,800	\$76,650	\$30,000	3%
CA Supplemental Exam	\$100	\$100	\$108,100	\$117,900	\$120,800	\$120,000	4%
ARE Eligibility	\$100	\$100	\$119,400	\$131,600	\$136,400	\$135,000	5%
Biennial Renewal	\$300	\$400	\$2,488,734	\$3,659,700	\$2,473,800	\$3,660,000	83%
Accrued Renewal	Various	Various	\$59,200	\$66,900	\$36,000	\$36,000	1%
Delinquent Renewal	\$100	\$200	\$38,050	\$70,500	\$30,000	\$70,000	1%
Misc. Service to Public	N/A	N/A	\$720	\$335	\$365	\$0	0%
Dishonored Check	\$25	\$50	\$475	\$825	\$275	\$875	0%
Totals			\$2,948,693	\$4,264,665	\$2,979,880	\$4,236,035	

¹ Listed actuals instead of thousands due to low amounts.

² Citation/Fine received and cashed by Board.

³ Estimated. Year-end figures expected to be available in March 2019 due to DCA's transition to FISCAL.

⁴ Percentage of revenue based on most recent full FY results (FY 2016/17).

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

The Board has not submitted any BCPs in the past four FYs.

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.

The Board works expeditiously to fill vacant positions to help ensure adequate staff resources to meet the Board's objectives. The position vacancies have mainly been in the Office Technician classification, which is entry level. Other professional class positions, such as Staff Services Analyst, Associate Governmental Program Analyst, and Staff Services Manager have a lower vacancy rate. These vacancies are often attributed to other promotional opportunities, a common civil service occurrence. The Board has been successful in reclassifying positions when needed to ensure appropriate classifications are available to meet operational needs and cross trains staff. Hiring temporary help such as Retired Annuitants and limited-term staff has also been effective in minimizing interruption in workload, training, and succession planning, when necessary. Currently, the Board has no vacancies.

Incorporated as an element of the Board's Business Continuity Plan, the DCA's Workforce and Succession Plan identifies mission critical positions that have a significant impact on the Board and requires specialized job skills and/or expertise. The Board updates the plan annually to develop strategies to retain the expertise and staff knowledge so that it is preserved for the future and on a continual basis.

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

The Board encourages training for all staff and participates heavily in courses offered at no cost through DCA's Strategic Organization, Leadership & Individual Development (SOLID) Training and Planning Solutions. These courses include enforcement-related, customer service, computer software, and other skills-training classes. Staff are also encouraged, and many have completed SOLID's Analyst Certification Training. This training program is free of charge and includes a series of courses to develop analytical tools, strategies, and techniques. The courses offered and completed develop staff to have the essential tools and training to effectively perform their job. It also enables them to be viable candidates for future promotional opportunities both in-house and externally. In the past four FYs, staff have taken more than 300 courses at no charge. In addition, SOLID offers an Enforcement Academy which is a series of courses aimed at developing staff's knowledge and skills related to DCA's enforcement programs as well as leadership

trainings, such as the Future Leadership Development Program, which the Lead Enforcement Analyst participated in.

In the past four FYs, the average cost per year spent on training was \$920 (i.e., enforcement certification, regulatory process). Specialized training is also encouraged and provided to staff as needed. These include mandatory courses, such as sexual harassment prevention, ethics, information technology, and defensive driving.

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

Section 4 – Licensing Program

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

The Board's performance target for processing applications and issuing licenses is 30 days from receipt of the application. Where the application is complete and all requirements are met (including the submission of required supporting documentation and there is no criminal history), the Board typically meets this goal. When the volume of applications and staffing shortages delay processing, the Board temporarily redirects available staff from other units. Additionally, staff is cross-trained to help mitigate the effects of extended absences and vacancies. Staff and management work together in a continuous effort to improve the quality of service provided by the Board to its candidates and licensees. To this end, processes are routinely evaluated for efficiency to maximize staff performance and achieve performance expectations. When the Board migrates to a new licensing and enforcement system, it is anticipated that additional process efficiencies will be realized.

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?

Staff processing applications typically meets its established performance targets. As noted above, management works with staff to routinely evaluate processes for efficiencies and implement them in a timely manner to maintain performance expectations and provide continuously improving customer service to stakeholders.

When evaluating performance on processing applications, it should be taken into consideration that candidates may submit applications for the Architect Registration Examination (ARE), California Supplemental Examination (CSE), and licensure at any time once determined eligible by the Board. There are no set deadlines for submission. Accordingly, a significantly greater than anticipated influx of applications can present a challenge for staff in meeting performance expectations and may cause slightly longer (7 to 10 additional days) processing times. However, as part of its due diligence, management monitors the volume of applications received and processed and makes the appropriate adjustments to workflow and staffing necessary for achieving performance targets.

Another matter for consideration relative to application processing is the required documentation that must be submitted in support of an application. Candidates requesting consideration of their education must have certified transcripts sent directly from their school or available from their National Council of Architectural

Registration Boards' (NCARB) Record; and Employment Verification Forms submitted by their employers. The Board sends an ineligibility notification when an application is incomplete, advising candidates of documents that must be submitted for eligibility. It is the candidate's responsibility to ensure that the necessary documents are provided.

There can also be a great variation in the amount of time a candidate is issued a license after they passed the CSE. CSE results are provided to candidates immediately upon completion of an examination at the test center. However, a candidate may choose to wait before applying for their license. A license is typically issued within 30 days after receipt of the completed application and fee.

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

Refer to Tables 7a and 7b below for licenses and renewals issued each year.

21. How many licenses or registrations has the board denied over the past four years based on criminal history that is determined to be substantially related to the qualifications, functions, or duties of the profession, pursuant to BPC § 480? Please provide a breakdown of each instance of denial and the acts the board determined were substantially related.

During the past four years, the Board denied one license application for a conviction substantially related to the practice of architecture (two felony counts of attempted sexual abuse in the first degree involving a person under the age of 14).

Table 6. Licensee Population

		FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18
Architect	Active*	20,504	20,914	21,025	21,377
	Delinquent	2,817	2,559	2,099	2,146
	Retired	1,312	1,387	1,457	1,542
	Out-of-State	3,805	3,813	3,853	3,915
	Out-of-Country	184	189	189	189

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

* Data does not include pending incomplete renewal applications, which range from 450 to 500 per FY and may result in an "Active" license record when application is completed correctly.

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 2015/16	ARE	1,316	1,284	DNA	N/A	DNA	See note below ²				
	CSE	1,179	1,179		N/A						
	License	668	662		662						
	Renewal	12,199 ¹	12,199		12,199						
FY 2016/17	ARE	1,364	1,310		N/A						
	CSE	1,208	1,208		N/A						
	License	704	698		698						
	Renewal	8,246 ¹	8,246		8,246						
FY 2017/18	ARE	1,494	1,230		N/A						
	CSE	1,162	1,162		N/A						
	License	650	662		662						
	Renewal ³	12,585 ¹	12,585		12,585						
* Optional. List if tracked by the board.											
DNA = Data Not Available N/A = Not Applicable											

¹ Data does not include pending incomplete renewal applications which range from 450 to 500 per FY.

² Applications are typically processed within 30 days from the date of receipt, provided application is complete and required supporting documentation submitted in accordance with the Board's regulations (i.e., certified transcripts sent by the educational institution, employment verification documentation, etc.).

³ Data based on 11 months. Year-end figures expected to be available in March 2019 due to DCA's transition to FISCAL.

Table 7b. Total Licensing Data			
	FY 2015/16	FY 2016/17	FY 2017/2018
Initial Licensing Data:			
Initial License/Initial Exam Applications Received	3,163	3,276	3,306
Initial License/Initial Exam Applications Approved	3,125	3,216	3,054
Initial License/Initial Exam Applications Closed	DNA		
License Issued	662	698	662
Initial License/Initial Exam Pending Application Data:			
Pending Applications (total at close of FY)	DNA		
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)	See note 2 above for Table 7a		
Average Days to Application Approval (incomplete applications)*			
Average Days to Application Approval (complete applications)*			
License Renewal Data:			
License Renewed	12,199	8,246	12,585 ¹
Note: The values in Table 7b are the aggregates of values contained in Table 7a			
* Optional. List if tracked by the board.			
DNA = Data Not Available			

¹ Data based on 11 months. Year-end figures expected to be available in March 2019 due to DCA's transition to FISCal.

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

The Board uses several measures to verify information provided by candidates on an application. For example, transcripts are required to substantiate any postsecondary education listed on the application for which a candidate wishes to receive credit. The transcripts must be certified and submitted directly from the respective school to the Board or available within the candidate's NCARB Record for credit to be granted.

Work experience must be submitted on the Board-approved Employment Verification Form (EVF) and signed by the licensed professional who supervised the candidate's work to receive credit. Board staff verify with the appropriate jurisdiction or regulatory agency that the supervising professional's licensing information provided on the EVF is true and correct.

Individuals who are licensed in another jurisdiction and applying for reciprocity must request their state board provide a license certification to substantiate licensure, license status (e.g., current, delinquent, suspended, etc.), and information on disciplinary action. Additionally, the board certifying the information must provide the examination history detailing what form of the ARE (or equivalent) was taken and when each division was passed. Reciprocal licensure candidates may substitute the EVF with an NCARB Certificate, which provides information on education (if any), examination, and experience. The NCARB Certificate demonstrates that an individual has met the highest professional standards, which makes it easier for licensees to obtain reciprocal registration in other US jurisdictions.

a. What process does the board use to check prior criminal history information, prior disciplinary actions, or other unlawful acts of the applicant? Has the board denied any licenses over the last four years based on the applicant's failure to disclose information on the application, including failure to self-disclose criminal history? If so, how many times and for what types of crimes (please be specific)?

The Board's applications include the following questions about the candidate's criminal/disciplinary history:

- Have you ever had registration denied, suspended, or revoked, or otherwise been disciplined by a public agency in any state or country?
- Have you ever been convicted of, or pled guilty or nolo contendere to any criminal or civil offense (including every citation, infraction, misdemeanor, and/or felony, including traffic violations) in the US, its territories, or a foreign country?
- Exclusive of juvenile court adjudications and criminal charges dismissed under California Penal Code section 1000.3 or equivalent non-California laws, or convictions two years or older under California Health and Safety Code sections 11357(b), (c), (d), (e), or section 11360(b), have you had a conviction that was set aside or later expunged from the records of the court?
- Is any criminal action pending against you, or are you currently awaiting judgment and sentencing following entry of a plea or jury verdict?

The applications of those candidates responding "yes" to any of the questions are referred to the Board's Enforcement Unit for review and possible disciplinary action. The Enforcement Unit staff obtains a certified copy of the conviction or disciplinary action, a written explanation of the underlying circumstances of the offense or action, and evidence of rehabilitation from the candidate, and determines, based upon the Board's regulations and relevant statutes, whether the offense or action is related to the practice of architecture or to the candidate's ability to practice architecture in the interest of the public health, safety, and welfare.

NCARB also maintains a disciplinary database that can be used by member boards to disclose and share information regarding disciplinary actions taken against licensees and unlicensed individuals within their jurisdiction. Prior to the issuance of each license, the Enforcement Unit staff searches the database and verifies if any disciplinary action has been taken against the candidate in another state, but was not disclosed to the Board on the candidate's applications.

During the past four years, the Board has not denied any licenses based on an applicant's failure to disclose required information on an application, as there have not been any cases involving an applicant who deliberately withheld such information from the Board.

b. Does the board fingerprint all applicants?

The Board is not statutorily authorized to fingerprint candidates (applicants) for an architect license.

In 2011 and 2012, the Board considered the necessity of a fingerprinting requirement as part of its Strategic Plan objectives and determined that based upon the anticipated low number of arrest and prosecution reports expected, there would be little increased benefit to the public health, safety, and welfare. It was noted that current law already requires architects working on school projects where children are present

to have a background check conducted by submitting their fingerprints. Additionally, there would be increased costs to licensees and candidates.

The Board's current Strategic Plan includes an objective assigned to the Regulatory and Enforcement Committee (REC) to determine the necessity and implementation alternatives of a licensure fingerprint requirement as a means of protecting consumers. Presently, the Board is 1 of 6 programs within the Department of Consumer Affairs' (DCA) 40 boards, bureaus, and programs without the statutory authority to use fingerprinting for criminal background checks. Staff researched how other DCA boards and bureaus implemented their fingerprint requirements for applicants and licensees, as well as examined the current fingerprint requirements for other architectural licensing boards throughout the country. The REC reviewed and discussed this objective at its August 23, 2018 meeting, and while the REC recognized the benefit of a fingerprint requirement, it also noted:

1. There is a low percentage of the Board's applicant and licensee population with criminal records and most of those crimes are not substantially related to the qualifications, functions, or duties of an architect.
2. Applicants and licensees are already required to disclose convictions to the Board on their applications.
3. A fingerprint requirement would result in increased costs for applicants and licensees.
4. Related design and construction boards (the Board for Professional Engineers, Land Surveyors, and Geologists and the Contractors State License Board) fingerprint their applicants, but only deny a negligible percentage of applications due to prior convictions.
5. The Texas Board of Architectural Examiners is the only architectural licensing board in the United States with a fingerprint requirement.
6. A fingerprint requirement would only apply to applicants and licensees, not unlicensed employees of architectural firms who may also enter consumers' homes and businesses.
7. Licensees who work on school projects where children are present are already required to have a background check conducted by submitting their fingerprints.

The REC ultimately concluded there is insufficient data to justify the need for fingerprinting at this time and voted to recommend the Board not pursue a fingerprint requirement for applicants or licensees at this time unless mandated to do so. The Board approved the REC's recommendation at its meeting on September 12, 2018.

c. Have all current licensees been fingerprinted? If not, explain.

No, the Board is not statutorily authorized to fingerprint licensees. See response to 21b for additional information.

d. Is there a national databank relating to disciplinary actions? Does the board check the national databank prior to issuing a license? Renewing a license?

Yes, as noted above, NCARB maintains a database available to its membership that contains disciplinary actions reported by participating Member Boards, and the Board's Enforcement Unit utilizes this resource. The Board checks the database prior to issuing a license and when a licensee discloses on their license

renewal application they were convicted of a crime or disciplined by another public agency within the preceding renewal period.

e. Does the board require primary source documentation?

Yes, the Board requires candidates to submit (or have submitted on their behalf) original and/or certified documentation (such as university transcripts) to provide verification of authenticity. The Board also accepts NCARB Council Records which require primary source documentation.

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

The Board's regulations require all candidates for licensure to meet the same prerequisites for a license. Candidates must document eight years of training and educational experience in architectural work or the equivalent as specified in California Code of Regulations section 117 (earned through education, work experience, or a combination of each), and successfully complete both the national examination (ARE or an equivalent) and the CSE.

24. 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.

The Board considers military education, training, and experience the same as that from any other source, provided it is related to the practice of architecture. Education, training, and experience must fall within the parameters established in California Code of Regulations section 117 to receive credit towards the eight-year experience licensure requirement.

a. Does the board identify or track applicants who are veterans? If not, when does the board expect to be compliant with BPC § 114.5?

Yes, the Board tracks the military status of all candidates (applicants), including branch of service and military documentation received, and provides resources for candidates on its website, so candidates may receive credit for their training and educational experience.

b. 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?

The Board does not specifically identify the origin of any education, training, or experience. Accordingly, the number of candidates who may have submitted such education, training, or experience is unknown.

c. What regulatory changes has the board made to bring it into conformance with BPC § 35?

No changes are necessary, as the Board is already permitted by its regulations to grant credit for military education, training, or experience that is related to the practice of architecture.

d. 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?

One. Accordingly, there has been minimal impact to the revenue received by the Board.

e. How many applications has the board expedited pursuant to BPC § 115.5?

One candidate who was seeking reciprocal licensure and is married to, or in a domestic partnership or other legal union with, an active duty member of the US Armed Forces who is assigned to a duty station in California has requested expedited processing.

25. 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.

N/A

Examinations

Table 8. Examination Data – Tables modified to include examination result data for the CSE and ARE (by division).

Table 8a. Examination Data California Supplemental Examination (CSE)		
License Type		Architect
FY 2014/15	# of 1 st Time Candidates	540
	Pass	349 (65%)
FY 2015/16	# of 1 st Time Candidates	705
	Pass	510 (72%)
FY 2016/17	# of 1 st Time Candidates	810
	Pass	548 (68%)
FY 2017/18	# of 1 st time Candidates	829
	Pass	480 (58%)
Date of Last OA		2014
Name of OA Developer		Office of Professional Examination Services (OPES)
Target OA Date		TBD

Table 8b. Examination Data Architect Registration Examination (ARE) 4.0 (National Examination)								
License Type		Architect						
Exam Title: ARE Divisions ¹		BD	BS	CDS	PPP	SD	SPD	SS
FY 2014/15	# of 1 st Time Candidates	579	605	921	824	731	775	569
	Pass %	339 (59%)	395 (66%)	485 (53%)	457 (55%)	518 (71%)	484 (62%)	375 (66%)
FY 2015/16	# of 1 st Time Candidates	627	599	1,119	933	656	902	552
	Pass %	374 (60%)	374 (62%)	512 (46%)	510 (55%)	480 (73%)	564 (63%)	360 (65%)
FY 2016/17	# of 1 st Time Candidates	447	476	1,064	923	335	837	448
	Pass %	250 (56%)	294 (62%)	492 (46%)	455 (49%)	249 (74%)	538 (64%)	288 (64%)
FY 2017/18	# of 1 st Time Candidates	186	187	639	752	137	599	232
	Pass %	101 (54%)	107 (57%)	282 (44%)	328 (44%)	108 (79%)	359 (60%)	138 (59%)
Date of Last OA		2012 NCARB Practice Analysis of Architecture						
Name of OA Developer		PSI Services, LLC						
Target OA Date		2020 (tentative)						

¹ Abbreviations used in the above table for ARE 4.0 (prior administered national examination) divisions are explained as follows:

BD	Building Design & Construction Systems
BS	Building Systems
CDS	Construction Documents & Services
PPP	Programming, Planning, & Practice
SD	Schematic Design
SPD	Site Planning & Design
SS	Structural Systems

NCARB's ARE 5.0 was launched on November 1, 2016. The following table provides statistics for the latest version of the ARE:

Table 8c. Examination Data Architect Registration Examination (ARE) 5.0 (National Examination)							
License Type		Architect					
Exam Title: ARE Divisions ¹		CE	PCM	PA	PDD	PJM	PPD
FY 2016/17	# of 1 st Time Candidates	103	205	95	225	137	289
	Pass %	51 (50%)	83 (40%)	35 (37%)	96 (43%)	70 (51%)	115 (40%)
FY 2017/18	# of 1 st Time Candidates	321	708	429	518	437	703
	Pass %	202 (63%)	332 (47%)	190 (44%)	251 (48%)	268 (61%)	290 (41%)
Date of Last OA		2012 NCARB Practice Analysis of Architecture					
Name of OA Developer		PSI Services, LLC					
Target OA Date		TBD					

¹ Abbreviations used in the above table for ARE 5.0 (currently administered national examination) divisions are explained as follows:

CE	Construction & Evaluation
PCM	Practice Management
PA	Programming & Analysis
PDD	Project Development & Documentation
PJM	Project Management
PPD	Project Planning & Design

26. 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?

Each candidate for licensure is required to complete both the national examination (ARE) and CSE to become licensed. The two examinations test candidates for their knowledge, skills, and ability to provide the services required of an architect who possesses entry-level competence. Both examinations are only offered in English.

Architect Registration Examination (ARE)

The ARE (currently in version 5.0) is a practice-based examination developed by NCARB. The content of the ARE is based on an analysis of architectural practice. The most recent “Practice Analysis” was conducted by NCARB in 2012. The ARE concentrates on those services that most affect the public health, safety, and welfare. The ARE has been developed with specific concern for its fidelity to the practice of architecture; that is, its content relates to the actual tasks an architect encounters in practice. No single examination can test for competency in all aspects of architecture, which is why the ARE is not the only requirement to become a licensed architect. Education and experience are also crucial licensure requirements. The examination attempts to determine the candidate's qualifications not only to perform measurable tasks, but also to exercise the skills and judgment of a generalist working with numerous specialists. In short, the objective is to reflect the practice of architecture as an integrated whole.

ARE 5.0 is comprised of six divisions and is more integrative than the previous version. Each division may contain multiple-choice, check-all-that-apply, quantitative fill-in-the-blank item types, “hot spot,” “drag-and-place” item types, and case studies. These item types allow for testing at higher levels of cognition through analytical, synthetic, and evaluative exercises, which are more similar to what an architect does as part of regular practice. All divisions of the ARE are administered and graded by computer. The following is a list of the divisions:

ARE 5.0

- Construction & Evaluation
- Practice Management
- Programming & Analysis
- Project Development & Documentation
- Project Management
- Project Planning & Design

“Hot spot” and “drag-and-place” item types are scored through a computer-based analysis of a candidate’s solution. This analysis evaluates each solution against an ideal solution to the graphic with a built-in tolerance for item placement. Based on a candidate’s performance, a solution is reported as acceptable or unacceptable.

Candidates must pass each division of the ARE independently and receive credit for divisions passed but must retake those divisions not passed. Also, credit for divisions passed is valid for five years (unless an extension is granted by NCARB), during which time all remaining divisions of the ARE must be passed. Otherwise, credit is lost in the order the divisions were taken and the affected division(s) must be retaken. This validity process is known as the “Five-year Rolling Clock” rule, which was implemented on January 1, 2006. Candidates receive an email from NCARB when their results are ready for viewing and downloading through its *My Examination* service, which was implemented in September 2013.

California Supplemental Examination (CSE)

The setting for architectural practice in California is distinct from that of other states. California's large physical size, massive and diverse population, varied landscape and climate, high seismicity, distinctive legal framework, and expansive economy create an unusually demanding environment for architectural practice. The varying interplay of these conditions for specific projects gives rise to even more complicated settings. Additionally, these complexities are further exacerbated by the pressure to accommodate change with increased speed, requiring architects to stretch the limits of their capacity to practice safely. Due to these unique needs and regulatory requirements, California administers the CSE to ensure that candidates have the necessary architectural knowledge and skills to respond to the conditions found in California.

The Board administers the CSE to candidates who have successfully completed all divisions of the ARE, and eligible licensees from other jurisdictions and countries, all of whom must pass the CSE prior to receiving licensure. The CSE tests for those aspects of practice characteristic to California, including: seismic design, accessibility, energy conservation, environmental concerns, and legal issues, and others to fulfill competencies identified in the occupational analysis.

Prior to February 2011, the CSE was administered in an oral format. Since then, it has been computer-based. The current CSE is based on the 2014 Occupational Analysis (OA) and Test Plan and consists of two separately timed sections (a project scenario section, which – includes a hypothetical project(s), and a general section). The CSE is administered by computer at 39 nationwide locations, including 17 testing centers within California, and currently lasts 3.5 hours.

The most recent OA was completed in November 2014. The OA was immediately followed by a review of the ARE psychometric process and linkage study that correlated the knowledge, skills, and abilities tested for in the CSE Test Plan with those present in the *2012 NCARB Practice Analysis of Architecture* to ensure there is no overlap between the content in the ARE and CSE.

The Board, in collaboration with OPES, explored the feasibility of reducing the mandatory CSE retake waiting period, which is set by regulation (California Code of Regulations [CCR] section 124) at 180 days. Based upon its findings, OPES determined the Board could reduce the waiting period to 90 days and maintain the defensibility and integrity of the CSE. OPES provided the Board with an implementation plan at its March 1, 2018, meeting. The implementation plan OPES formulated outlined the necessary examination development to achieve the objective of commencing the 90-day retake policy for CSE administrations beginning March 1, 2019. The Board anticipates initiating the rulemaking process to amend section 124 with the Office of Administrative Law by the end of 2018.

27. 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?

Comparison data related to ARE 4.0 / 5.0 performance and presented in Tables 8a through 8c was provided by NCARB. ARE 5.0 was first administered on November 1, 2016. The ARE and CSE are only offered in English.

The following table provides a comparison for CSE candidates:

Fiscal Year	First-Time Candidates	Retake Candidates
2014/2015	65%	50%
2015/2016	72%	55%
2016/2017	68%	58%
2017/2018	58%	52%

The following table provides a comparison for ARE 4.0 candidates:

Exam Title: ARE Divisions		BD	BS	CDS	PPP	SD	SPD	SS
FY 2014/15	First-Time Candidates	339 (59%)	395 (66%)	485 (53%)	457 (55%)	518 (71%)	484 (62%)	375 (66%)
	Retake Candidates	214 (59%)	165 (58%)	227 (52%)	237 (56%)	155 (74%)	186 (55%)	125 (61%)
FY 2015/16	First-Time Candidates	374 (60%)	374 (62%)	512 (46%)	510 (55%)	480 (73%)	564 (63%)	360 (65%)
	Retake Candidates	201 (59%)	156 (51%)	311 (51%)	278 (53%)	130 (68%)	183 (49%)	131 (53%)
FY 2016/17	First-Time Candidates	250 (56%)	294 (62%)	492 (46%)	455 (49%)	249 (74%)	538 (64%)	288 (64%)
	Retake Candidates	145 (57%)	141 (47%)	361 (46%)	323 (46%)	109 (77%)	250 (57%)	143 (56%)
FY 2017/18	First-Time Candidates	101 (54%)	107 (57%)	282 (44%)	328 (44%)	108 (79%)	359 (60%)	138 (59%)
	Retake Candidates	133 (54%)	129 (49%)	454 (44%)	443 (43%)	52 (72%)	235 (46%)	142 (50%)

The following table provides a comparison for ARE5.0 candidates:

Exam Title: ARE Divisions		CE	PCM	PA	PDD	PJM	PPD
FY 2016/17	First-Time Candidates	51 (50%)	83 (40%)	35 (37%)	96 (43%)	70 (51%)	115 (40%)
	Retake Candidates	1 (25%)	6 (50%)	4 (67%)	15 (47%)	1 (100%)	22 (41%)
FY 2017/18	First-Time Candidates	202 (63%)	332 (47%)	190 (44%)	251 (48%)	268 (61%)	290 (41%)
	Retake Candidates	38 (58%)	66 (55%)	46 (47%)	147 (52%)	47 (59%)	183 (46%)

28. 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?

Yes, the Board utilizes computer-based testing (CBT) for its licensing examinations. The ARE and CSE, which are required for licensure, are both administered through CBT. The ARE has been administered via CBT since February 1997 and is currently in its fifth generation (ARE 5.0). The CSE has been administered via CBT since February 2011.

The six-division ARE is administered during normal business hours year-round (Monday through Saturday) at testing centers throughout the US. Additionally, the ARE is administered in Abu Dhabi (United Arab Emirates), Canada, Guam, Hong Kong, London (United Kingdom), and Puerto Rico. Eligible California candidates may take the ARE at any of these testing centers.

Candidates schedule ARE divisions through the NCARB *My Examination* online service. The *My Examination* service allows candidates to view all pertinent information relative to their examination history and schedule examinations at their convenience. Prometric is the test administrator for the ARE. Candidates schedule their exam appointments through *My Examination* and sit for an administration at a Prometric test center. Each of the six ARE divisions is scheduled and separately administered. Depending on the length of the specific division, it is possible to take more than one division on the same day.

The CSE is also administered year-round (Monday through Saturday). Psychological Services, Incorporated (PSI) is the test administration vendor for DCA. There are 39 PSI locations throughout the US (including 17 in California) where a candidate may take the CSE during normal business hours. A candidate may call the PSI scheduling department or use the online scheduler to make an appointment. Candidates receive their CSE results immediately upon completion of their administration.

29. Are there existing statutes that hinder the efficient and effective processing of applications and/or examinations? If so, please describe.

No.

School approvals

30. 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?

The Board is not statutorily authorized to accredit schools of architecture. The Bureau for Private Postsecondary Education does not play any role in the process of accrediting schools of architecture or architectural degree programs for the purposes of the Board.

The National Architectural Accrediting Board (NAAB) is the only entity nationally recognized to accredit professional and post-professional architecture programs with degrees in architecture within the US. NAAB accredits the architecture programs within the schools, not the schools themselves. The Canadian Architectural Certification Board (CACB) is the Canadian equivalent of NAAB and accredits the architecture programs in Canada.

31. How many schools are approved by the board? How often are approved schools reviewed? Can the board remove its approval of a school?

The Board is not statutorily authorized to accredit schools of architecture or the professional and post-professional architecture programs offered by them. NAAB reviews architecture programs every three to eight years.

32. What are the board's legal requirements regarding approval of international schools?

The Board is not authorized to accredit schools of architecture. The legally authorized accrediting entity (if one exists) within each country would be responsible for such approval/accreditation of architectural schools

or the professional and post-professional programs available at those schools. NAAB provides advice and consultation to organizations in other countries that are developing accreditation standards and procedures.

Continuing Education/Competency Requirements

33. Describe the board's continuing education/competency requirements, if any. Describe any changes made by the board since the last review.

Business and Professions Code section 5600.05 requires California architects to complete five hours of continuing education (CE) coursework on disability access requirements as a condition of license renewal. The coursework must include information and practical guidance concerning requirements imposed by the Americans with Disabilities Act of 1990 (Public Law 101–336; 42 U.S.C. Sec. 12101 et seq.), state laws that govern access to public facilities, and federal and state regulations adopted pursuant to those laws. Coursework must be presented by trainers or educators with knowledge and expertise in these requirements. There have been no changes to the CE requirements since the last review.

a. How does the board verify CE or other competency requirements? Has the board worked with the Department to receive primary source verification of CE completion through the Department's cloud?

The Board requires architects to certify, under penalty of perjury (on their license renewal form), that they have completed the required CE coursework hours on disability access requirements within the previous two years. Architects are required to maintain their coursework documentation for two years from the date of renewal, and upon audit, provide the requested information to the Board.

The Board has worked with DCA staff to set up access to the Department's cloud, which has allowed staff in the Board's Administration, Examination, Licensing, and Enforcement Units to share files with and receive files from licensees, applicants, and the public electronically. Presently, the Board does not request or receive primary source verification of CE coursework via the Department's cloud, as the Board does not have the statutory authority to approve or audit CE courses or course providers or to obtain coursework records directly from the course providers.

b. Does the board conduct CE audits of licensees? Describe the board's policy on CE audits.

Yes. Licensees have 30 days from the date of the audit notice to provide the Board with coursework documentation. A second audit notice (requiring a response within 15 days) is sent to architects who do not respond to the initial request. Architects who do not respond to the second request are referred to the Board's Enforcement Unit.

Licensees are referred to the Board's Enforcement Unit for not:

- Responding to the Board's requests for information and documentation;
- Completing the required CE within two years prior to license renewal; or
- Providing truthful information on documentation.

c. What are consequences for failing a CE audit?

Architects failing a CE audit are referred to the Board's Enforcement Unit and are then subject to an administrative citation, which may include a fine, or disciplinary action by the Board.

d. How many CE audits were conducted in the past four fiscal years? How many fails? What is the percentage of CE failure?

The Board, in accordance with Business and Professions Code section 5600.05 (effective January 1, 2013), audits at least three percent of the license renewals received each year to verify compliance with the CE requirement. The number of audits conducted for the past four fiscal years and the corresponding failure rate is presented in the following table:

Fiscal Year	Audits Conducted	Licensees Failing Audit
2014/2015	277	50 (18%)
2015/2016	372	61 (16%)
2016/2017	342	56 (17%)
2017/2018	311	57 (18%)

e. What is the board's course approval policy?

The Board does not have statutory authority to approve courses.

f. Who approves CE providers? Who approves CE courses? If the board approves them, what is the board application review process?

The statute does not specify any approval authority for courses or course providers.

g. How many applications for CE providers and CE courses were received? How many were approved?

N/A

h. Does the board audit CE providers? If so, describe the board's policy and process.

No, the Board does not have statutory authority to approve or audit courses providers.

i. 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.

The Board's current focus is on completing the required assessment of its existing continuing education requirement pursuant to AB 1746 (Emmerson, Chapter 240, Statutes of 2010). This measure requires the Board to report to the Legislature on "the level of licensee compliance with the requirements, any actions taken by the Board for noncompliance with the requirements, the findings of Board audits, and any recommendations of the Board for improving the process." Accordingly, expanding the program beyond its current scope has not been considered.

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

Section 5 – Enforcement Program

34. 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?

The Board's performance measures for the Enforcement Unit are defined by DCA's Consumer Protection Enforcement Initiative (CPEI) and focus on timely response to consumers and the pursuit of prompt disciplinary or enforcement action against those found to be in violation of the Architects Practice Act (Act).

For all complaints received, the Board has a goal of assigning complaints to staff for investigation within seven days. Currently, the Enforcement Unit averages one day to assign complaints for investigation. Concerning the time necessary to investigate a complaint, the Board's CPEI standards stipulate that complaints are to be closed within an average of 270 days of receipt. For FYs 2014/15, 2015/16, 2016/17, and 2017/18, the Board averaged 169 days, 116 days, 110 days, and 98 days, respectively. The Board is exceeding expectations in this area.

35. 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?

The Board received an average of 345 complaints per year since FY 2014/15, which is a 25% increase since the previous reporting period. This increase is primarily due to the Board's mandatory audits of coursework for license renewal applications, as required by Business and Professions Code (BPC) section 5600.05. Since FY 2014/15, the Board initiated an average of 69 cases per year against licensees who failed the coursework audits; these cases are tracked as Board-initiated "complaints."

Enforcement staff closed 58% of investigations within 90 days and 93% within one year. The average number of days from receipt of a complaint to the closure of investigation was 123 days for all cases, which is a 22% reduction since the last reporting period. During the previous reporting period, the average number of days to complete an investigation was 158 days, and 53% of investigations were closed within 90 days.

Since the last reporting period, the average number of advertising complaints received by the Board decreased 35% to 77 per year. The average number of settlement cases received decreased 17% to 29 per year. The Board received an average of 87 complaints per year against licensees (excluding complaints initiated by the Board due to failed coursework audits), which is an 18% increase since 2014. The Board also received an average of 72 unlicensed activity complaints per year, which is a 47% increase since the previous reporting period.

Since the Board's last report in 2014, the number of citations issued has increased. This is primarily due to the fact that in FY 2014/15, the Board began issuing citations to licensees after audits of their license renewal applications revealed that they: 1) certified false or misleading information regarding their compliance with the coursework requirement when filing their renewal applications with the Board; 2) failed to maintain records of completion of the required coursework for two years from the date of renewal; or 3) failed to provide the Board with records of completion of the required coursework upon request. For this reporting period, citations average 50 per year. Of the citations issued, all included a fine assessment, averaging \$1,210 per citation, and the Board collected approximately 76% of the assessed fines. The Board has also continued to focus on promptly responding to consumer complaints and developed an internal monthly report on case aging to improve the tracking of each case through the intake and investigation processes.

Table 9a. Enforcement Statistics			
	FY 2015/16	FY 2016/17	FY 2017/18
COMPLAINT			
Intake			
Received	384	322	379
Closed*	0	0	0
Referred to INV	384	322	379
Average Time to Close	1	1	1
Pending (close of FY)*	0	0	0
Source of Complaint			
Public	80	97	103
Licensee/Professional Groups	58	47	47
Governmental Agencies	192	151	213
Other	55	29	16
Conviction/Arrest			
CONV Received**	1	2	1
CONV Closed**	1	2	1
Average Time to Close	1	1	1
CONV Pending (close of FY)*	0	0	0
LICENSE DENIAL			
License Applications Denied	0	1	0
SOIs Filed	1	0	1
SOIs Withdrawn	0	0	0
SOIs Dismissed	0	0	0
SOIs Declined	0	0	0
Average Days SOI	438	N/A	238
ACCUSATION			
Accusations Filed	4	2	1
Accusations Withdrawn	0	0	0
Accusations Dismissed	0	0	0
Accusations Declined	0	0	0
Average Days Accusations	834	252	337
Pending (close of FY)	1	1	4

DISCIPLINE			
Disciplinary Actions			
Proposed/Default Decisions	3	3	3
Stipulations	1	1	0
Average Days to Complete	924	1,155	810
AG Cases Initiated	4	2	4
AG Cases Pending (close of FY)	6	4	5
Disciplinary Outcomes			
Revocation	1	1	2
Voluntary Surrender	0	0	0
Suspension	0	0	0
Probation with Suspension	1	2	0
Probation	1	0	1
Probationary License Issued	0	0	0
Other	1	1	0
PROBATION			
New Probationers	1	0	1
Probations Successfully Completed	2	2	1
Probationers (close of FY)	7	5	5
Petitions to Revoke Probation	1	0	0
Probations Revoked	0	0	0
Probations Modified	0	0	0
Probations Extended	1	0	0
Probationers Subject to Drug Testing	N/A	N/A	N/A
Drug Tests Ordered	N/A	N/A	N/A
Positive Drug Tests	N/A	N/A	N/A
Petition for Reinstatement Granted	0	0	0
DIVERSION			
New Participants	N/A	N/A	N/A
Successful Completions	N/A	N/A	N/A
Participants (close of FY)	N/A	N/A	N/A
Terminations	N/A	N/A	N/A
Terminations for Public Threat	N/A	N/A	N/A
Drug Tests Ordered	N/A	N/A	N/A
Positive Drug Tests	N/A	N/A	N/A
* All complaints received by the Board are referred for investigation.			
** Only includes substantially-related convictions which warrant disciplinary action.			

Table 9b. Enforcement Statistics (continued)

	FY 2015/16	FY 2016/17	FY 2017/18
INVESTIGATION			
All Investigations			
First Assigned	385	324	380
Closed	411	291	337
Average days to close	116	110	98
Pending (close of FY)	82	115	158
Desk Investigations			
Closed	400	281	335
Average days to close	114	103	97
Pending (close of FY)	75	114	154
Non-Sworn Investigation			
Closed	0	0	0
Average days to close	0	0	0
Pending (close of FY)	0	0	0
Sworn Investigation			
Closed	11	10	2
Average days to close	158	324	292
Pending (close of FY)	7	1	4
COMPLIANCE ACTION			
ISO & TRO Issued	0	0	0
PC 23 Orders Requested	0	0	0
Other Suspension Orders	0	0	0
Public Letter of Reprimand	0	1	0
Cease & Desist/Warning	214	166	157
Referred for Diversion	N/A	N/A	N/A
Compel Examination	N/A	N/A	N/A
CITATION AND FINE			
Citations Issued	65	32	54
Average Days to Complete	270	416	152
Amount of Fines Assessed	\$79,750	\$45,750	\$36,000
Reduced, Withdrawn, Dismissed	\$1,250	\$3,000	\$5,500
Amount Collected	\$60,536	\$27,567	\$37,112
CRIMINAL ACTION			
Referred for Criminal Prosecution	0	0	1

Table 10. Enforcement Aging

	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18	Cases Closed	Average %
Attorney General Cases (Average %)						
Closed Within:						
0-1 Year	1 (100%)	0 (0%)	0 (0%)	0 (0%)	1	8.3%
1-2 Years	0 (0%)	3 (75%)	1 (25%)	2 (66.7%)	6	50%
2-3 Years	0 (0%)	0 (0%)	1 (25%)	0 (0%)	1	8.3%
3-4 Years	0 (0%)	0 (0%)	1 (25%)	1 (33.3%)	2	16.7%
Over 4 Years	0 (0%)	1 (25%)	1 (25%)	0 (0%)	2	16.7%
Total Attorney General Cases Closed*	1	4	4	3	12	100%
Investigations (Average %)						
Closed Within:						
90 Days	157 (46.6%)	254 (61.8%)	178 (61.2%)	213 (63.2%)	802	58.3%
91-180 Days	59 (17.5%)	72 (17.5%)	58 (19.9%)	67 (19.9%)	256	18.6%
181 Days-1 Year	84 (24.9%)	57 (13.9%)	39 (13.4%)	42 (12.5%)	222	16.1%
1-2 Years	30 (8.9%)	24 (5.9%)	14 (4.8%)	15 (4.4%)	83	6.1%
2-3 Years	5 (1.5%)	3 (0.7%)	2 (0.7%)	0 (0%)	10	0.7%
Over 3 Years	2 (0.6%)	1 (0.2%)	0 (0%)	0 (0%)	3	0.2%
Total Cases Closed	337	411	291	337	1,376	100%

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

36. What do overall statistics show as to increases or decreases in disciplinary action since last review.

The Board filed seven accusations, one petition to revoke probation, and two statements of issues during the current reporting period (FY 2014/15 through FY 2017/18) and eleven cases resulted in disciplinary action, which is consistent with the previous reporting period. The severity of the sanctions imposed on licensees has been consistent with the previous reporting period. During this reporting period, the Board revoked four licenses and ordered probation for six licensees (three with actual suspensions).

In evaluating a Board's enforcement program, it is important to reflect on the nature of the profession being regulated. Architects often collaborate with other parties (engineers, landscape architects, attorneys, contractors, and other architects) who provide additional quality control, and their plans must be approved by local building departments. Thus, there are parties who can identify problems earlier in the process so that cases that come to the Board typically do not deal with major property damage or bodily injury.

37. How are cases prioritized? What is the board's complaint prioritization policy? Is it different from DCA's *Complaint Prioritization Guidelines for Health Care Agencies* (August 31, 2009)? If so, explain why.

The Board's case prioritization policy is consistent with DCA's guidelines and appropriate for the profession being regulated. As complaints are received, staff immediately reviews the complaint to determine the appropriate course of action based on the Board's prioritization guidelines. Complaints given the highest or "urgent" priority include imminent life and safety issues, severe financial harm to clients, egregious pattern of complaints, and project abandonment. Complaints given a "high" priority level include those that involve aiding and abetting, negligence, and unlicensed practice. The more common complaints are contract violations, unlicensed advertising violations, routine settlement reports, and coursework violations.

38. 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?

Mandatory reporting requirements are specified in BPC sections 5588 (Report of Settlement or Arbitration Award), 5588.1 (Requirement that Insurer Report Certain Judgment, Settlement, or Arbitration Awards), and 5590 (Malpractice Judgment in Civil or Criminal Case; Clerk's Report).

BPC sections 5588 and 5588.1 require that within 30 days, every licensee and insurer providing professional liability insurance to a California architect send a report to the Board on any civil action judgment, settlement, arbitration award, or administrative action of \$5,000, or greater of any action alleging the license holder's fraud, deceit, negligence, incompetency, or recklessness in practice. The Board received 138 settlement reports during the previous reporting period and 115 reports in the current period.

BPC section 5590 requires that within 10 days after a judgment by a court of this state that a licensee has committed a crime or is liable for any death, personal or property injury, or loss caused by the license's fraud, deceit, negligence, incompetency, or recklessness in practice, the court which rendered the judgment shall report that fact to the Board. However, if the judge who tried the matter finds that it does not relate to the defendant's professional competence or integrity, the judge may, by order, dispense with the requirement that the report be sent.

Historically, the Board has tried to work with the courts to gain cooperation and compliance with BPC section 5590. However, the Board has not received a report of a judgment from a court. The Board previously requested the California Administrative Office of the Courts to assist in attaining compliance from court clerks. In an effort to address this ongoing issue, the Board has requested its Deputy Attorney General (DAG) liaison to seek assistance to obtain compliance from the courts by disseminating a letter to clerks of the courts reminding them of BPC section 5590. The letter is planned to be released by the end of 2018.

In addition, BPC section 5600(c) mandates that licensees report on their renewal forms whether they have been convicted of a crime or disciplined by another public agency during the preceding renewal period.

a. What is the dollar threshold for settlement reports received by the board?

As noted above, the dollar threshold for settlement reports received by the Board is \$5,000.

b. What is the average dollar amount of settlements reported to the board?

The average dollar amount of settlements reported to the Board during the current reporting period is \$362,211.

39. Describe settlements the board and Office of the Attorney General on behalf of the board, enter into with licensees.

The Board considers approving stipulated settlements with licensees where appropriate to promote cost-effective consumer protection and to expedite disciplinary decisions. In order to enter into a stipulated settlement, the licensee is generally required to admit to the violations set forth in the accusation, have his or her license placed on probation, submit quarterly probation reports, complete professional education courses directly relevant to the violation(s), and reimburse the Board for its investigative and prosecution costs.

Each proposed stipulated settlement is negotiated by the DAG assigned to the case (in consultation with the Executive Officer), the respondent (licensee or applicant), and the respondent's legal counsel, if represented, and must be accompanied by a memorandum from the DAG addressed to Board members explaining the background of the case and defining the allegations, mitigating circumstances, admissions, and proposed penalty, along with a recommendation for the Board to adopt the stipulated settlement.

a. 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?

The Board has not settled any disciplinary cases in the past four years prior to the filing of an accusation.

b. 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?

In the past four years, three disciplinary cases resulted in settlements with the Board and five cases resulted in a hearing.

c. What is the overall percentage of cases for the past four years that have been settled rather than resulted in a hearing?

In the past four years, 30% of disciplinary cases were settled, 20% resulted in default decisions, and 50% resulted in a hearing.

40. 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?

The Board's statute of limitations is defined by BPC section 5561: "All accusations charging the holder of a license issued under this chapter with the commission of any act constituting a cause for disciplinary action shall be filed with the Board within 5 years after the Board discovers, or through the use of reasonable diligence should have discovered, the act or omission alleged as the ground for disciplinary action, whichever occurs first, but not more than 10 years after the act or omission alleged as the ground for disciplinary action. However, with respect to an accusation alleging a violation of Section 5579 (Fraud in Obtaining a License), the accusation may be filed within three years after the discovery by the Board of the alleged facts constituting the fraud or misrepresentation prohibited by Section 5579."

Since FY 2014/15, the Board has not lost any cases due to the expiration of its statute of limitations. However, the Board received 14 cases in which the alleged violation(s) occurred beyond the statute of limitations, and as a result, could not be investigated by the Board. These cases primarily involved settlement reports where the architectural services were provided more than 10 years prior to the receipt of the report.

41. Describe the board's efforts to address unlicensed activity and the underground economy.

In most cases, consumers, licensees, or other government agencies provide evidence of unlicensed activity to be investigated. The Board addresses unlicensed activity and advertising by immediately and thoroughly investigating complaints, including reviewing online advertisements for violations, issuing citations with administrative fines for violations, and advising consumers of how to recover their money through small claims court. The Board also refers egregious cases to the Division of Investigation for sworn investigation, if appropriate.

The Board also works collaboratively with local planning and building departments to educate them on the Architects Practice Act (Act) requirements and prevent unlicensed activity. These efforts include disseminating letters and bulletins to planning and building departments advising them of the Act's requirement pertaining to unlicensed individuals submitting plans for non-exempt projects. Through the Board's Building Official Contact Program, architect consultants are also available on-call to building officials to discuss provisions of the Act, including unlicensed practice and potential aiding and abetting by licensees.

In an effort to address unlicensed practice and educate consumers, the Board promotes its *Consumer's Guide to Hiring an Architect*. The *Guide* was designed with the intention to help consumers understand the sometimes complex and technical nature of architectural services. It provides information on: what types of projects require a licensed architect; how to find and select an architect; written contract requirements and recommendations; how to manage the budgeting and construction of a project; and what to do if a problem occurs with the project. The *Guide* is distributed to various building and planning departments throughout the state. The Board also distributes *Consumer Tips for Design Projects*. This information contains a number of basic steps that consumers can take to help keep their projects on track.

The Board also works to protect consumers in post-disaster settings, where they are most vulnerable. A Homeowner Rebuilding Bulletin was produced to educate homeowners on their rights after a disaster. The Board collaborates with the Contractors State License Board to provide consumer education material at disaster recovery centers. Through social media and press releases, the Board promotes the availability of its toll-free number and its Architect Consultants as a resource to assist homeowners as they begin the rebuilding process.

In addition, the Board provides presentations at schools to educate students about the title act and exempt area of practice, thereby helping to prevent future violations.

Cite and Fine

42. 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?

The citation program provides the Board with an expeditious method of addressing violations involving unlicensed activity, repeated advertising violations, and the less serious practice or technical violations that have not resulted in substantial financial or physical harm. CCR section 152, the regulation that authorizes the Board to issue administrative citations and fines, was last amended in 2006 to: 1) increase the maximum administrative fine the Board could assess to \$5,000; 2) modify the fine ranges for Class A, B, and C violations; and 3) modify the Class A violation to pertain to unlicensed individuals in violation of the Act. The Board also plans to assess CCR section 152 to determine the appropriateness of the classifications of violations and the corresponding fine amounts through a future Strategic Plan objective.

For this reporting period, the Board issued an average of 50 citations per year compared with 22 citations per year during the previous reporting period. This increase is primarily due to the fact that in FY 2014/15, the Board began issuing citations to licensees for violations of the coursework provisions found in BPC section 5600.05 as a result of the Board's coursework audit program.

43. How is cite and fine used? What types of violations are the basis for citation and fine?

As noted above, the Board's citation program provides an expeditious method of addressing violations that have not resulted in substantial financial or physical harm. All professional practice complaints and some unlicensed complaints recommended for citation are reviewed by a Board architect consultant. Administrative fines range from \$250 to \$5,000 per violation, depending on prior violations; the gravity of the violation; the harm, if any, to the complainant, client or public; and other mitigating evidence.

The Board has used the citation program most frequently to cite individuals who have violated the following:

BPC Sections:

- 5536 (a) and (b) - Practice Without License or Holding Self Out as Architect
- 5536.1 - Signature and Stamp on Plans and Documents; Unauthorized Practice
- 5536.22 - Written Contract
- 5558 - Mailing Address and Name and Address of Entity Through Which License Holder Provides Architectural Services: Filing Requirements
- 5584 - Negligence or Willful Misconduct
- 5600.05 - License Renewal Process; Audit; False or Misleading Information on Coursework on Disability Access Requirements

CCR Sections:

- 104 - Filing of Addresses
- 134 - Use of the Term Architect
- 160 - Rules of Professional Conduct

Licensees who fail to pay the assessed fines have a "hold" placed on their license record that prevents renewal of the license until the fine is paid.

44. 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?

In the last four fiscal years, there have been 44 informal conferences, 3 stipulated settlements, and 7 administrative hearings as a result of citation appeals.

45. What are the 5 most common violations for which citations are issued?

BPC Sections:

- 5536 (a) and (b) - Practice Without License or Holding Self Out as Architect
- 5536.1 - Signature and Stamp on Plans and Documents; Unauthorized Practice
- 5536.22 - Written Contract
- 5584 - Negligence or Willful Misconduct
- 5600.05 - License Renewal Process; Audit; False or Misleading Information on Coursework on Disability Access Requirements

46. What is average fine pre- and post-appeal?

The average pre-appeal fine is \$1,811 and the average post-appeal fine is \$1,200.

47. Describe the board's use of Franchise Tax Board intercepts to collect outstanding fines.

The Board uses the Franchise Tax Board (FTB) Intercept Program to collect unpaid administrative fines from unlicensed individuals and recover dishonored checks. The majority of the Board's outstanding, unpaid fines are against unlicensed individuals, and the Intercept Program provides an additional tool to seek those penalties. Thus far, the success in collecting via this program has not been significant, as the potential sources of recovery are limited to Lottery proceeds, state tax refunds, and unclaimed property.

The Board's current Strategic Plan contains an objective to measure the effectiveness of the Board's citation collection methods as a means of protecting future consumers. Likewise, the LATC's current Strategic Plan includes an objective to contract with collection agencies to pursue and recover unpaid citations from unlicensed individuals. Accordingly, the Board and LATC are currently collaborating with DCA to execute a contract with a collection agency for full-service debt collection services, including "skip tracing," credit reporting, and filing legal actions as appropriate to assist in the collection of unpaid citation penalties and cost recoveries for unpaid administrative fines and cost reimbursement accounts aged beyond 90 days. The Board and LATC anticipate execution of this contract by early 2019.

Cost Recovery and Restitution

48. Describe the board's efforts to obtain cost recovery. Discuss any changes from the last review.

The Board seeks cost recovery in all disciplinary cases (i.e., accusations, statements of issues, and petitions to revoke probation). Cost recovery is generally a required term in stipulated settlements. In cases where the respondent is placed on probation, cost recovery is often paid within 30 days of the effective date of a decision or pursuant to established payment schedules. However, for those cases calling for revocation, costs are often difficult to collect as respondents have fewer financial resources due to the loss of their licenses and no incentive to pay.

49. How many and how much is ordered by the board for revocations, surrenders and probationers? How much do you believe is uncollectable? Explain.

The amount of cost recovery ordered is dependent upon the amount of time spent on the investigation, including the classification of the investigator, and the charges imposed by the Office of the Attorney General up to the date of the hearing.

The Board has had four cases resulting in revocations, six cases resulting in probation, and one case resulting in a public reproof during the reporting period as follows:

Revocations:	2	default decisions, Board did not order cost recovery
	2	\$11,490 ordered through proposed decisions (one has been paid in full and the other must be paid prior to reinstatement of the license)
Probationers:	6	\$41,735 (all are collectable and payments are being made)
Public Reproof:	1	\$1,500 (has been paid in full)

50. Are there cases for which the board does not seek cost recovery? Why?

No.

51. Describe the board's use of Franchise Tax Board intercepts to collect cost recovery.

The Board is utilizing FTB to collect cost recovery.

52. 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.

The Board has no authority to order restitution outside of a stipulated agreement or an administrative law judge's proposed decision. Since the last review, one petition to revoke probation was filed after a licensee failed to make scheduled restitution payments to clients, thereby violating the terms and conditions of probation. The licensee entered into a stipulated settlement with the Board, which extended the probationary period one year and required the licensee to pay the remaining \$3,083 in restitution to clients.

Additionally, through the Board's complaint handling process, the Board may recommend that a licensee refund a client's monies or make an adjustment to satisfactorily resolve a complaint involving services provided and fees paid. The Board has no jurisdiction over fee disputes.

Table 11. Cost Recovery (list dollars in thousands)				
	FY 2014/15	FY 2015/16	FY 2016/17	FY 2017/18
Total Enforcement Expenditures	\$985	\$1,086	\$1,050	\$956
Potential Cases for Recovery*	1	4	3	3
Cases Recovery Ordered	1	2	3	2
Amount of Cost Recovery Ordered	\$3	\$28	\$13	\$11
Amount Collected	\$3	\$11	\$12	\$8
* "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 2014/15	FY 2015/16	FY 2016/17	FY 2017/18
Amount Ordered	\$0	\$3	\$0	\$0
Amount Collected	\$2	\$1	\$2	\$0

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

Section 6 – Public Information Policies

53. 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?

The Board continually updates its website to reflect upcoming Board and committee meetings and activities, changes in laws or regulations, licensing information, forms, publications, and other relevant information of interest to consumers, candidates, and licensees. Meeting notices are posted to the website at least 10 days prior to a meeting, and the related meeting packet 7 days prior. Board and committee meeting minutes are posted on the website once officially approved and remain for 100 years, in accordance with the Board's retention schedule. Draft minutes are posted on the website in the subsequent meeting packet for Board or committee approval. Other meeting related documents, such as meeting packets, remain on the website for 50 years, also in accordance with the Board's retention schedule. The website also provides links to important collateral organizations, California schools offering architecture programs, and other government organizations. The Board continually seeks input from users for items that may be included on the website and makes a specific effort to ensure that our website meets the needs of our constituents. Other tools used by the Board to communicate its messages include the eSubscriber list for e-news broadcasts, the Board's newsletter, and social media (Facebook, Instagram, and Twitter).

54. Does the board webcast its meetings? What is the board's plan to webcast future board and committee meetings? How long do webcast meetings remain available online?

The Board webcasts its meetings when DCA resources are available. Board meetings are held at a variety of locations throughout the state in order to increase public participation. In addition, the Board has actively engaged with the DCAs' Office of Public Affairs to facilitate the webcasting of its meetings and includes notification of webcast availability on its meeting notices. Despite the Board's active effort to facilitate webcast at its meetings, varying technical capabilities of the meeting sites (schools of architecture, public venues, and architecture firms) as well as availability of Department personnel to perform the video streaming affect the ability to webcast. Lastly, webcast meetings are uploaded onto the DCA YouTube account and are currently available for an indefinite period of time.

55. Does the board establish an annual meeting calendar, and post it on the board's web site?

Yes. The Board establishes a prospective meeting calendar at its last meeting of each year and posts it on the website afterwards. Meetings of committees are also posted to the calendar when the dates are determined by the respective committee chair.

56. 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)?

The Board's complaint disclosure policy is consistent with DCA's Recommended Minimum Standards for Consumer Complaint Disclosure. Accusations and disciplinary actions are posted on the Board's website and publicized in its newsletter according to the Board's records retention schedule.

57. What information does the board provide to the public regarding its licensees (i.e., education completed, awards, certificates, certification, specialty areas, disciplinary action, etc.)?

California Code of Regulations (CCR) section 137 requires the Board to maintain a public information system to provide members of the public with information regarding complaints and disciplinary or enforcement actions against licensed architects and unlicensed persons subject to the Board's jurisdiction.

Information subject to the public information system is disclosed to the public upon request by telephone, in person, or in writing (including fax or email). The information is made available by the Board in writing or by telephone within 10 days of the request.

The following information is disclosed regarding license status of past and current licensees:

1. Name of the licensee, as it appears on the Board's records;
2. License number;
3. Address of record;
4. License issue date;
5. License expiration date; and
6. License status and history.

The Board also discloses the total number of enforcement and disciplinary actions, as well as brief summaries. It provides the current status of pending complaints (that comply with the criteria for disclosure pursuant to CCR section 137), accusations, statements of issues, and citations filed by the Board.

58. What methods are used by the board to provide consumer outreach and education?

The Board provides outreach and education to consumers through a variety of means to ensure effective dissemination of information.

The Board has specific publications targeting consumers. The Board's *Consumer's Guide to Hiring an Architect* is designed to help consumers understand the sometimes complex and technical nature of architectural services. It provides information on:

1. types of projects that require a licensed architect;
2. how to find and select an architect;
3. written contract requirements and recommendations;
4. how to manage the budgeting and construction of a project; and
5. what to do if a problem occurs with the project.

The Board's *Consumer Tips for Design Projects* is a concise document that summarizes the basic steps that consumers can take to help keep their projects on track. A key means of distributing both publications is making them available in city and county building departments. This enables consumers who are researching permit requirements for their projects to have timely information on architects and managing a project.

California Architects, a newsletter published by the Board is also a valuable source of information. The Board has augmented its efforts by establishing a Facebook and Instagram account in addition to its Twitter account to share information on key California architecture-related issues. The Board's website continues to be a primary focus of our efforts, providing the public, licensees, and candidates with a wide range of information. The website provides access to enforcement actions, a license verification tool, past newsletters, as well as a comprehensive list of downloadable applications, forms, and publications. The Board also added links to the consumer information webpages for the Board for Professional Engineers, Land Surveyors, and Geologists; the Contractors State License Board; and the Landscape Architects Technical Committee in order to educate consumers about related professions within the design and construction industry.

In an effort to better reach consumers, the Board is planning to send a notification to each member of the California State Assembly and Senate by the end of the year which includes: 1) basic information about the Board; 2) the availability of consumer publications (i.e., *Consumer's Guide to Hiring an Architect*, *Consumer Tips for Design Projects*, etc.); and 3) a suggestion for the legislators to forward the information to their respective building and planning departments. The Board also created an article for the Department of Consumer Affairs' *Consumer Connection* magazine with information regarding the services architects provide and a link to the Board's website.

Perhaps the most valuable tool for consumers is the ability to contact the Board's architect consultants to provide advice on their projects and resolve issues. The architect consultants have decades of practice experience and are Architects Practice Act and project management experts. Consumers who use this service find the information invaluable and crucial to avoiding problems with their projects.

The Board expanded the consumer resources on its Disaster Preparedness webpage to strengthen protection after disasters. The Board also works to protect consumers in post-disaster settings, where they are most vulnerable, by distributing its *Homeowner Rebuilding Bulletin*, which educates consumers on their rights after a disaster, and by providing consumer education materials to local building departments and disaster recovery centers. Through social media and press releases, the Board promotes the availability of its toll-free number and its architect consultants as additional resources to assist homeowners as they begin the rebuilding process.

As part of the Board's 2017–2018 Strategic Plan, the Regulatory and Enforcement Committee (REC) is researching new ways to educate consumers on the standard of care so they understand what to expect from an architect when choosing to hire one. The REC also recommended to the Board that architects be required to disclose to consumers they are licensed and regulated by the Board in their written contracts in order to increase awareness and strengthen consumer protection. The REC's recommendation was approved by the Board on September 12, 2018 and requires a statutory amendment to Business and Professions Code section 5536.22. See Section 10 (New Issues) for further information regarding this amendment.

The Board will continue to evaluate these consumer education methodologies and work to identify other effective means to provide information.

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

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Section 7 – Online Practice Issues

59. 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?

Technology has been integrated into the architectural profession and continues to provide efficiencies in practice by allowing architects to prepare their instruments of service electronically (and outsource their production to online drafting services, as necessary), coordinate with other design professionals, and communicate and share design ideas with clients.

The Board believes the Architects Practice Act provides sufficient regulatory control over the use of technology and online practice by architects, as Business and Professions Code (BPC) section 5536.1 requires the architect's stamp and signature on instruments of service as evidence of the architect's responsibility for those documents. Another important consumer protection tool in this area is the written contract requirement (BPC section 5536.22), which requires an architect to execute a written contract when providing professional services to a client, with limited exceptions. At this point, technology and online practice have not resulted in an increase in complaints against architects, but the Board will continue to monitor these issues closely.

However, the prevalence of unlicensed individuals who misrepresent themselves as architects and/or offer architectural services to California consumers via the Internet remains a challenge for the Board's Enforcement Program. During the current reporting period, unlicensed advertising or activity complaints accounted for approximately 43 percent of all complaints received by the Board. The Board issues citations with administrative fines to unlicensed individuals who advertise or put out devices (such as Internet advertisements) that might indicate to the public that they are architects or qualified to engage in the practice of architecture, in violation of BPC section 5536(a). Egregious cases are referred to the Department of Consumer Affairs' Division of Investigation for possible criminal action.

The majority of these unlicensed advertising or activity complaints involve consumers with their first residential or tenant improvement projects and who may not be familiar with license requirements or the design and construction process. These consumers often rely on "referral" websites that offer to match them with "prescreened" professionals in their area who have passed the websites' background checks and can provide quotes for requested services. While these websites provide valuable information to consumers, such as ratings and reviews from past clients, they do not guarantee the accuracy, quality, or reliability of the information contained in the professionals' advertisements, and some allow unlicensed individuals to identify themselves as architects and/or offer architectural services to the public without verifying licensure.

The Board is interested in researching the feasibility of partnering with such referral websites to verify licensure for these professionals who advertise to California consumers and to remove illegal advertisements by unlicensed individuals. The Board will also continue to focus on consumer outreach and education regarding the licensure requirements when selecting an architect on the Internet.

CALIFORNIA ARCHITECTS BOARD

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As of December 1, 2018

Section 8 – Workforce Development and Job Creation

60. What actions has the board taken in terms of workforce development?

The Board periodically reviews the licensure process and amends its regulations, as appropriate, to implement efficiencies it determines will reduce the overall length of time to obtain licensure. Additionally, the Board maintains a career website (architect.ca.gov) which contains easy to understand information about licensing requirements, history of the profession, career possibilities, and other related issues. Staff provides presentations regarding licensure at schools of architecture with National Architectural Accrediting Board (NAAB) accredited programs and local components of The American Institute of Architects. The Board strives to remove impediments to licensure, such as reducing the mandatory waiting period between retakes of the California Supplemental Examination (CSE). The National Architectural Registration Boards (NCARB) has also taken measures to remove impediments, such as formulating the Integrated Path to Architectural Licensure (IPAL) program, which the Board has adopted, where NAAB-accredited programs integrate professional architectural education with practical experience and examination. The intent of IPAL is to accelerate the licensure process, the length of which is often considered an impediment. In a show of its support for the concept, the Board sponsored legislation that grants early access to the Architect Registration Examination (ARE) for IPAL-enrolled students. More information regarding IPAL can be found in Section 10.

Since October 2014, the Board has worked to serve as a resource and catalyst for creating stronger pipelines and guiding veterans into architectural career opportunities. A product of this effort is the Board's "You Can Be One" career poster, which is disseminated to the California Department of Veterans Affairs' (CalVet) Local Interagency Network Coordinators (LINC). LINC's bridge the gap between CalVet and the federal, state, county, and non-governmental agencies that provide services to our state's nearly two million veterans. The "You Can Be One" career poster communicates the key message that veterans' military experience, training, and leadership (enhanced by their ability to organize, lead, analyze and formulate solutions to complex situations), are all characteristics well-suited for a career in architecture.

61. Describe any assessment the board has conducted on the impact of licensing delays.

No formal studies have been conducted. However, Board management has been very proactive in directing the workload of staff to avoid or reduce delays in processing applications and mitigating any impact to the workforce.

62. Describe the board's efforts to work with schools to inform potential licensees of the licensing requirements and licensing process.

The Board maintains a career website (architect.ca.gov) that contains easy to understand information about licensing requirements, history of the profession, career possibilities, and other related issues. With the creation of IPAL programs, students are provided the tools to complete the licensure process as part of their

degree program. Additionally, at the commencement of the school year, the Board, through the chairs and deans of the architectural colleges, sends a letter introducing itself and explaining its role to students. A similar related letter is disseminated at the end of the school year. This effort is supplemented each year with presentations by Board staff in conjunction with NCARB leadership explaining licensing requirements, the role of NCARB, the Architectural Experience Program (AXP), and the ARE at the campuses. Also, the Board shares information about opportunities in the architectural profession and the licensure process with community college students. The “You Can Be One” career poster for community colleges communicates the message that California has the most flexible licensure requirements for architects in the nation. It also informs that a college/university degree in architecture is not required for licensure; candidates are eligible to begin testing for the ARE after accomplishing five years of architectural training experience. The Board believes that these efforts pay dividends by helping students become licensed more efficiently, which will save candidates time and money.

63. Describe any barriers to licensure and/or employment the board believes exist.

The Board, in collaboration with NCARB, routinely assesses the licensure process to proactively address potential barriers to licensure consistent with the mandate to protect the public health, safety, and welfare.

The current components of licensure (education/equivalents, experience, and examination) are separate and governed by specific standards and requirements that can affect a candidate’s progress. On the national examination, for example, candidates can take the six divisions at any time and in any order. This flexibility can be greatly beneficial to candidates but can also be a contributing factor to delays due to the lack of specific milestones with deadlines. The IPAL model may have sufficient structure to encourage greater efficiency for candidates. NCARB is collecting performance and examination data on IPAL programs; it was recently published by NCARB that several IPAL students from Florida and North Carolina graduated in May 2018 – first IPAL graduates nationwide. NCARB anticipates being able to provide performance data in three to five years when more students have progressed through the program. The Board will closely monitor future data releases for analysis and opportunities to provide NCARB with suggestions regarding enhancements or modifications to the program.

64. Provide any workforce development data collected by the board, such as:

(a) Workforce shortages

No data is available. However, it should be noted there is anecdotal information to suggest that when the economy is strong, firms experience difficulty with hiring new architects.

(b) Successful training programs.

No data is available.

CALIFORNIA ARCHITECTS BOARD

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Section 9 – Current Issues

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

N/A

66. What is the status of the board's implementation of the Consumer Protection Enforcement Initiative (CPEI) regulations?

CPEI was launched in an effort to overhaul the enforcement processes of DCA healing arts boards and bureaus. The Board strives to achieve the performance measures outlined in CPEI, such as the goal to complete all investigations within an average of 270 days. In addition, the Board continues to report to DCA on a quarterly basis the success in meeting the applicable enforcement goals of CPEI. The Board is exceeding expectations by closing complaints within an average of 123 days.

67. 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?

The Board is not using the BreEZe platform. The Board was originally in the BreEZe Release 3 and has not submitted any 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?

The Board and LATC, along with 19 other boards and bureaus, were scheduled for the third release of BreEZe. However, numerous technical delays and problems with the project forced the delay of both the first and second releases of the system, and subsequently eliminated the project for those boards and bureaus scheduled for Release 3, including the Board/LATC.

The Department of Consumer Affairs (DCA) developed a Business Modernization Plan, based on the new Project Approval Lifecycle developed by the California Department of Technology (CDT). The purpose of this initiative is to address business and technology needs for programs that continue to rely on legacy technology solutions. The Plan identifies a methodical step-by-step approach that boards and bureaus within DCA will use to assist in moving their programs forward. The goal is to embrace the unique nature of each of DCA's programs while offering some process standardization. The Plan outlines four stages

of the project approval process: Stage 1 - document business justification, Stage 2 - alternatives and cost benefit analysis, Stage 3 - solution development framework, and Stage 4 - project approval. The final step of the process will be system implementation.

An initial meeting was held on July 11, 2017, with the Board/LATC and DCA's Organizational Change Management (OCM) to discuss the Business Modernization Plan and approach. On August 17, 2017, the Board/LATC met with OCM to discuss the Project Charter and initial inventory of the Board's existing administrative, enforcement, and licensing business processes. The Charter outlines the roles and responsibilities of key project stakeholders, describes the project decision-making authority, and the commitment needed in order to conduct a successful project. The Charter was finalized in January 2018.

The Board/LATC's Business Modernization Report accompanies the Business Modernization Plan and documents the business modernization activities that will be conducted specific to the Board/LATC. The Plan and Report were presented to the Board at their March 1, 2018 meeting along with a presentation by a DCA representative explaining the process planned for Release 3 boards. The Report presented to the Board included a proposed timeline, with a "go-live" release of a minimum viable product by November 2021 with release of configuration and phased implementation enhancements by November 2022. However, the Board's potential need for a Budget Change Proposal could extend this timeline.

The Board/LATC's business processes inventory was finalized and provided to OCM in May 2018. The next step included mapping all of the business processes in consultation of the Board/LATC's subject matter experts.

Currently the Board/LATC utilizes two legacy systems (Applicant Tracking System [ATS] and Consumer Affairs System [CAS]) and the LATC uses a workaround system for candidates. Because this planned approach will take time and to address the delayed implementation of a new platform, the Board/LATC are pursuing a stop gap measure to accept credit card payments for renewal applications, our highest volume transaction and an enhanced license verification feature on its websites. In addition, the Board/LATC are pursuing conversion to the DCA's new web license search portal. This web-based license verification enhancement will enable the Board/LATC to display information as soon as an update is made to a license (e.g., address change, renewal status, etc.) as well as enable consumers to view all license-related data including licenses that an architect/landscape architect may hold from other DCA's boards and bureaus as well as enforcement actions. In addition, the enhanced verification tool will facilitate a more convenient license-lookup experience for consumers as it will be designed to be smartphone-compatible.

CALIFORNIA ARCHITECTS BOARD

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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.

CAB ISSUE #1: TRAVEL RESTRICTIONS. Should the Committees encourage travel to professional conferences or meetings that directly affect licensure of California licensees?

Committee Staff's Recommendation: The Committees should encourage the Board to pursue opportunities at which its Members and Officers can interact directly with their national peers, and provide a strong voice for California's unique perspective and needs. The Board should inform the Committees of whether it continues to face travel restrictions that prohibit it from attending meetings where its representation could significantly impact California's ability to ensure that national examinations or standards reflect California's needs and protect California licensees, candidates for licensure, and consumers.

2014 Board Response:

The Board/LATC concurs with the Committees' recommendation. Participation in national affairs is critical for the Board and LATC. The national examinations save the Board and LATC literally millions of dollars by not having to replicate the national examinations. In addition, the Board relies on the Intern Development Program to ensure that candidates receive experience in crucial areas of practice.

The Board and LATC have had recent success on travel, with approvals to attend three key out-of-state national sessions. In addition, three recent sessions have been in California, where the Board was also able to participate. These approved trips for the Board were funded by our national nonprofit - the National Council of Architectural Registration Boards (NCARB), so no State funds were spent. The Board has not received approval to travel with State funds since 2010. LATC was approved to travel to the Annual Business Meeting of the Council of Landscape Architectural Registration Boards (CLARB) in 2009 and 2014 with State funds, but CLARB does not offer "funded trips." LATC was denied the opportunity to attend a CLARB session that was held in California. Sending a Board member to the Annual Meeting costs a fraction of the Board's budget - approximately .0005.

The Board just participated in the NCARB Regional Summit on March 13-14 in Long Beach. At that meeting, the main proposal discussed would restrict existing reciprocity standards and prevent nearly 2,000 California architects from practicing in other states. California was the only state advocating to preserve the existing

pathway. Through our efforts, we built a coalition to oppose the measure when it is up for a vote in June at the Annual Business Meeting. There is much more to be done to defeat the measure, but much of the effort takes place on-site at the meeting. In order to succeed, the Board must be in attendance with a strong delegation. This is because there are approximately 250 people in attendance from the 54-member jurisdictions, as well as NCARB executive staff and leadership from the American Institute of Architects, National Architectural Accrediting Board, Association of Collegiate Schools of Architecture and American Institute of Architects - Students. Persuading a group of that size requires a delegation of at least four, but a larger group has greater odds for success and also helps with succession planning so that new Board/LATC members can learn first-hand about the national associations and develop the relationships needed to protect California's interests.

The Board is in the process of submitting an out-of-state trip request to Department of Consumer Affairs (DCA) to add two members in addition to the two that were previously approved. This will provide the Board a strong delegation to work to defeat the resolution.

The professions, via the American Institute of Architects - California Council and California Council of the American Society of Landscape Architects, understand the importance of participation and regularly and consistently support the Board's engagement in NCARB and CLARB. The Board appreciates that DCA and Administration have been approving some of the trips, and the Board encourages ongoing and increased support for the criticality of national issues.

(Note: This was Issue #1 for LATC in the Sunset Background Paper.)

2018 Board Update Response:

The Board's and LATC's travel requests for out-of-state meetings have been consistently approved including the two additional members' approval sought since the last reporting period. The Board has participated in all the NCARB Annual Meetings since the last report except for the 2017 Regional Meeting which took place in Kansas, a State banned from travel pursuant to Assembly Bill 1887 (Low, Chapter 687, Statutes of 2016). Similarly, LATC has participated in all CLARB Annual Meetings since the last report except for the 2018 meeting held out of country. This bill prohibits State-funded or state sponsored travel to states that, after June 26, 2015, have enacted a law of a discriminatory nature.

The work conducted at these meetings is critically important and can have a profound impact on issues such as reciprocity. The Board's and LATC's participation can directly influence the policies and procedures that are discussed and decided upon. For example, by California's participation at an NCARB Annual Meeting, the Board was able to successfully advocate against a resolution that would have precluded California architects who do not hold an accredited degree from attaining the "NCARB Certificate" and, accordingly, gaining reciprocity in key states that require the certificate. Through the Board's advocacy, we were able to preserve this important pathway. Similarly, the presence of LATC representatives at the CLARB Annual Meetings ensures that California is sufficiently informed on CLARB activity and able to participate in major discussions and decisions that occur during the meetings. Additionally, during their annual meetings CLARB hosts many discussions to help inform participants of various trends related to the licensing, regulatory, and disciplinary functions of CLARB member boards. The Board and LATC look forward to maintaining a strong presence at the national level.

CAB ISSUE #2: PRO RATA. What services does the Board receive for its share of pro rata?

Committee Staff's Recommendation: The Board should advise the Committees about the basis upon which pro rata is calculated, and the methodology for determining what services to utilize from DCA. In addition, the Board should discuss whether it could achieve cost savings by providing some of these services in-house.

2014 Board Response:

The Board/LATC's share of the department's pro rata is calculated based on authorized position counts, licensing and enforcement record counts, prior year workload, and interagency agreements. The Board/LATC currently utilizes most of the pro rata services for efficiencies and cost savings. Centralized services are more practical and efficient particularly for smaller boards such as ours. Board/LATC staff would need special high-level expertise in certain administrative services to be effective. It would be difficult to achieve an "economy of scale" if the Board/LATC were to assume pro rata-related services. The Board/LATC has limited staff with diverse responsibilities, whereas DCA has teams of trained specialists with program-specific management.

Senate Bill 1243 (Lieu, Chapter 395, Statutes of 2014) requires DCA to conduct a study and submit a report to the Legislature on its pro rata calculation of administrative expenses by July 1, 2015. The study will assess whether the pro rata system is the most productive, efficient, and cost-effective methodology and whether some of the services should be outsourced or charged on an as-needed basis. The study will also include consideration of whether the boards should be permitted to elect not to receive (and be charged for) certain administrative services. As part of the study, the Board/LATC has participated in a survey of its use of DCA's services. Based on the outcome of the study and the DCA's report to the Legislature, the Board/LATC will reassess its continued use of the DCA's pro rata services.

(Note: This was Issue #4 for LATC in the Sunset Background Paper.)

2018 Board Update Response:

The Board's 2014 response is still applicable. The Board/LATC's share of the department's distributed costs (pro rata) is calculated based on authorized position counts, licensing and enforcement record counts, volume of calls, complaints and correspondence, prior year workload, interagency agreements, and other distributions. The Board/LATC currently utilizes most, if not all, of the pro rata services for efficiencies and cost savings. Centralized services are more practical and efficient particularly for smaller boards such as ours. Board/LATC staff would need special high-level expertise (and potentially additional resources) to provide such administrative services in an effective manner. It would be difficult to achieve an "economy of scale" if the Board/LATC were to assume pro rata-related services. The Board/LATC has limited staff with diverse responsibilities, whereas DCA has teams of trained specialists with program-specific management.

At an annual meeting, DCA provides an overview of the department's distributed costs. The purpose of this meeting is to explain how the costs of DCA's services are funded. In addition, Senate Bill 1243 (Lieu, Chapter 395, Statutes of 2014) required the department to provide a one-time study of its process for distributing administrative costs among its 39 boards, bureaus, committees, commission and program (boards). The distribution of costs for these divisions is budgeted to all boards utilizing the various distribution methodologies described above. The study and resultant report provided to all boards provides robust data as to pro rata. For the size of the Board and LATC, the continued use of the DCA's pro-rata and centralized services is more practical and cost efficient. The Board is appreciative of the transparency and DCA's efforts to explain the basis for costs for services.

CAB ISSUE #3: BREEZE IMPLEMENTATION. The Board was supposed to be part of BreEZe's Release Three, which has now been delayed until at least 2016.

Committee Staff's Recommendation: The Board should inform the Committees of any difficulties it foresees as a result of having to remain on its legacy system, and whether any additional stop-gap technological measures are needed until BreEZe is implemented. The Board should inform the Committees of how costs related to BreEZe will impact its fund condition.

2014 Board Response:

Substantial difficulties are foreseeable as a result of having to remain on the legacy systems, due to numerous significant changes to the national Architect Registration Examination (ARE) and potential changes to other national programs. Board/LATC staff is conducting an assessment of the impact due to delayed implementation of BreEZe for Release 3 boards and bureaus and coordinating efforts with DCA to develop stop-gap measures that could involve significant modifications to the legacy systems.

The Board believes, however, that due to the changes to the ARE, the corresponding changes to the “business model analysis” that was prepared in preparation for BreEZe approximately five years ago, are so significant that the current delay and repositioning of BreEZe may actually be a strategic advantage. Had BreEZe actually rolled out with the ARE consisting of seven divisions, as it does now, it would be completely dysfunctional, as the ARE previously had nine divisions. To add further complexities, there are intricate new rules that place restrictions on candidates’ eligibility, which would have further exacerbated the problems.

The Board/LATC routinely monitors its fund condition and works very closely with DCA’s Budget Office. The Budget Office has provided the Board/LATC’s fund condition projected to fiscal year (FY) 2016/17, which includes anticipated BreEZe costs. The Board/LATC and the Budget Office do not foresee an issue with the Board/LATC’s fund condition based on the current projections for BreEZe costs. The Board’s fund condition will have an 11-month reserve in FY 2016/17, the year the BreEZe program is planned to be implemented for the Board.

(Note: This was Issue #3 for LATC in the Sunset Background Paper.)

2018 Board Update Response:

The Board/LATC are working in collaboration with DCA on its Business Modernization Plan to effectively facilitate the analysis, approval, and potential transition to a new licensing and enforcement platform. The Plan is a structured approach to identifying business needs and overlaying those requirements on available licensing platforms and complimentary technology. This approach will take time and to address the delayed implementation of a new platform, the Board/LATC are pursuing a stop gap measure to accept credit card payments for renewal applications, our highest volume transaction and an enhanced license verification feature on its websites. In addition, the Board/LATC are pursuing conversion to the DCA’s new web license search portal. This web-based license verification enhancement will enable the Board/LATC to display information as soon as an update is made to a license (e.g., address change, renewal status, etc.) as well as enable consumers to view all license-related data including licenses that an architect/ landscape architect may hold from other DCA’s boards and bureaus as well as enforcement actions. In addition, the enhanced verification tool will facilitate a more convenient license-lookup experience for consumers as it will be designed to be smartphone-compatible.

Since the inception of the BreEZe project, the Board has contributed a total of \$328,269 and the LATC \$44,221 through FY 2016-17. The estimated budgeted contribution in FY 2017-18 is \$83,000 and \$11,000 respectively.

The Board may require a budget change proposal if the costs for the new platform are not absorbable. The Board has not yet determined whether it will utilize the BreEZe system or an alternative platform.

CAB ISSUE #4: LICENSURE AND LICENSEE POPULATION. Should the Board continue to explore ways to streamline the licensure process? Should the Board examine whether there is a shortage of licensed architects and capacity for architecture programs to train students?

Committee Staff's Recommendation: The Board should continue to explore streamlined paths to licensure as a way to simplify the licensure process. The Board should continue monitoring the efforts of, and working closely with, NCARB, to ensure that any proposed changes to the licensure process do not affect competency or create reciprocity issues, and that California's needs are represented at the national level. The Board should monitor workforce capacity to determine if the demand for licensed architects is, and will continue to be, met.

2014 Board Response:

The Board concurs with the Committees' recommendations. There is an ongoing objective from the Board's 2014 Strategic Plan to collaborate with California's National Architectural Accrediting Board (NAAB) accredited programs to establish and promote an Additional Path to Architectural Licensure (APAL). NCARB has taken a leadership role at the national level with the APAL; the Board is working with California schools and has hosted two summits (February 26, 2014 and March 12, 2015) to further those efforts.

NCARB has released its Request for Proposal (RFP), responses to which are due June 1, 2015. After a review of the RFPs, NCARB will provide an endorsement of those programs that conform to the programmatic requirements. The Board will continue its monitoring of NCARB and the national trends with respect to efforts for developing a streamlined licensure process.

Board staff will also coordinate with the Employment Development Department on conducting an analysis of the demand for architects and whether it will continue to be met in the long-term.

2018 Board Update Response:

Since its response to this issue in the 2014 Sunset Review Report, the Board has continued its close collaboration with the NCARB to accelerate the licensure process and routinely assessed its requirements to see where it may realize efficiencies. After reviewing the RFP from interested schools across the nation, NCARB, as part of the inaugural cohort comprised of 14 schools, selected three California schools: NewSchool of Architecture and Design, University of Southern California, and Woodbury University.

To maintain a strong connection with the three universities, the Board holds some of its meetings on campuses with an Integrated Path to Architectural Licensure (IPAL) program (formerly known as APAL). This affords each institution the opportunity to provide updates on its program, explain any challenges, and identify areas where collaboration with the Board can assist the program. As part of its strong support of IPAL, the Board sponsored an amendment to its Sunset Review bill (Assembly Bill 177 [Bonilla, Chapter 428, Statutes of 2015]) to allow students enrolled in an IPAL program early access to the national examination. In 2017, in an effort to assist IPAL schools in finding viable opportunities for students to gain the architectural training experience required for the national structured internship program (NCARB's Architectural Experience Program, or AXP), the Board sent letters to local architectural firms requesting their consideration of hiring an IPAL student. The Board's newsletter, *California Architects*, has also been a tremendous vehicle for showcasing California IPAL programs via a feature story on each one. Driven by the efficiencies being realized with IPAL, and the national examination in particular, the Board is amending its regulations to reduce the mandatory waiting period for candidates who must retake the California Supplemental Examination from 180 to 90 days.

IPAL is a dynamic program still in its early years of development. As such, the Board will continue to closely monitor it for opportunities to support the programs. As NCARB continues to provide leadership for IPAL programs, the Board will also monitor metrics to assess the performance of the programs and possible improvements.

IPAL programs are expected to have a positive impact on the pipeline into the profession. With respect to workforce needs, data from the Employment Development Department indicates that the demand for architects (excluding landscape and naval architects) is expected to grow slower than average growth rate for all occupations. Jobs for architects are expected to increase by 9.7 percent, or 1,500 jobs between 2014 and 2024. This appears to be a sustainable demand, as the Board licenses over 500 new architects per year. (The US Department of Labor - Bureau of Labor Statistics [BLS] job outlook for architects for 2016 to 2026 is 4%, which is considered by BLS to be less than average). The numerous recent efficiencies in the licensure process (such as reducing the number of divisions on the ARE) may also help promote licensure to meet future needs.

With respect to national licensing data, as of 2017 (the most recent available), the number of architects in the U.S. held steady at nearly 113,000 across all NCARB member board jurisdictions. There are two trends worth noting that reveal a continued demand for architectural licenses: 1) practitioners are seeking to expand their work into other states, as more than 125,000 reciprocal licenses are held by architects (a decrease of 1% from 2016); and 2) the pool of emerging professionals is stable, with 40,000 in the process (reporting experience or taking the ARE). In the past decade (2008–2017) the pool of licensure candidates across the nation increased by more than 10,000 and the number licensed architects increased by nearly 10,000.

The Board will continue to support the IPAL programs and new efficiencies in the licensure process. Current workforce trends are encouraging. NCARB is collecting performance and examination data on IPAL programs; it was recently published that several IPAL students from Florida and North Carolina graduated in May 2018 – first IPAL graduates nationwide. NCARB anticipates being able to provide performance data in three to five years when more students have progressed through the program. The Board will closely monitor future data releases for analysis and opportunities to provide NCARB with suggestions regarding enhancements or modifications to the program.

CAB ISSUE #5: CONTINUING EDUCATION (CE). The Board notes that it has examined its CE requirement due to recent legislation and changes to the NCARB Model Law, and continues to monitor its CE requirement to ensure reciprocity issues do not exist.

Committee Staff's Recommendation: The Board should inform the Committees of why its failure rate for CEs is so high, and how it can reduce that rate. The Board should continue to monitor the trend regarding CEs at the national level.

2014 Board Response:

The Board concurs with the Committees' recommendation. Continuing education (CE) on disability access requirements is a relatively new (since July 1, 2009) requirement; audits were only required as of January 1, 2013. The statistics provided in the Board's Sunset Review Report represent the first-year audits were conducted, and the first-time licensees certified on their renewal application the CE requirement was fulfilled.

Prior to the commencement of audits, licensees submitted all relevant coursework provider documentation to the Board for review and acceptance before a license could be renewed (more than 20,000 records). The Board's audit failure rate is in fact comparable to other DCA entities that audit, which have averaged 13%.

The Board believes that two factors may help reduce the noncompliance rate. First, the deterrent effect of citations should improve audit results. The first group of citations was served in early 2015. Once those citations are adjudicated, practitioners will know that the Board takes strong actions against violations. In addition, the Board is coordinating with professional organizations for increased communication to licensees. Common noncompliance violations include: coursework taken after license renewal/audit notification; coursework taken more than two years prior to license renewal; deficient coursework (number of hours); failure to respond to audit in a timely manner; and, incorrect coursework taken and/or submitted. The Board will use this data in its communications efforts to assist architects in complying with this requirement.

The Board will continue monitoring, through NCARB, the national trends relative to CE initiatives and changes to the NCARB Model Laws.

2018 Board Update Response:

The Board's licensee CE compliance rate for this reporting period is 83 percent, which is comparable with other boards that were previously surveyed. The audit program is still relatively new, as it has been in place for only two complete renewal cycles. The Board believes that the issuance of citations may improve compliance over time and act as a deterrence. To facilitate compliance, the Board's license renewal form and website contain prominent information about the CE requirement and the certification of compliance is signed under penalty of perjury. Articles in *California Architects* (the Board's newsletter) have underscored the importance of compliance, and cab.ca.gov contains robust information about the requirement. Professional associations, such as The American Institute of Architects, also regularly promote course offerings and compliance information. These communication efforts with licensees also help deter noncompliance of the CE requirement.

The Board is currently completing an assessment of the program, as required pursuant to Assembly Bill 1746 (Emmerson, Chapter 240, Statutes of 2010), that will analyze the level of licensee compliance with the requirements, any actions taken for noncompliance with the requirements, the findings of audits, and any recommendations for improving the process. This report to the Legislature will form the basis for future improvements to the program.

NCARB Member Boards at the 2018 Annual Business Meeting voted to pass a CE-related resolution that aligns the health, safety, and welfare (HSW) categories listed in the *Legislative Guidelines and Model Law / Model Regulations* with those of the core NCARB programs (ARE and AXP). This action revises and broadens the breadth of topics considered acceptable for HSW CE. Previously, NCARB membership had voted to pass a similarly related resolution that modified the NCARB *Bylaws* and placed oversight of CE under the purview of its Education Committee.

CAB ISSUE #6: INFORMATION SHARING. The Board reports that it is unable to share relevant disciplinary information of its licensees with a national database due to information-sharing restrictions.

Committee Staff's Recommendation: The Board should inform the Committees of the specific types of information it would like to disclose to NCARB and provide the Committees with the specific code sections that prevent the Board from disclosing that information. The Board should also weigh the benefits of sharing disciplinary information to assist other regulatory entities against the individual privacy rights, and potential threats to those rights.

2014 Board Response:

The Board concurs with the Committees' recommendation.

The Board currently utilizes the NCARB Disciplinary Database by disclosing actions, such as Accusations and Statements of Issues, taken against licensees. Other NCARB Member Boards can view this information by securely accessing the database; additionally, prior to the Board issuing a license, the database is utilized to confirm whether disciplinary action has been taken against an individual in another state. A 2.0 version of the NCARB Disciplinary Database was recently launched and the Board continues to find that this is a useful tool.

Identifying information that is captured in the database includes: 1) an individual's full name; 2) State license number; and 3) the NCARB Record Number and/or Certificate Number (if an individual possesses either of these). Other identifying information that can be captured in the database is date of birth (DOB) and last four digits of Social Security Number (SSN). However, the Board cannot share DOB and SSN due to the Information Practices Act of 1977 (Civil Code section 1798 et seq.).

The Board will continue to weigh the benefits of sharing disciplinary information against the privacy rights of individuals.

2018 Board Update Response:

The Board's 2014 response remains applicable. The Board has been able to effectively utilize NCARB's Disciplinary Database to monitor action of other states. There have been no additional requests for data, and there is no need for additional action from the Board at this time.

CAB ISSUE #7: COLLECTION OF FINES. The Board notes that it is seeking ways to increase collection of fines, particularly in cases of unlicensed practice when it does not have the leverage of a license to incentivize payment.

Committee Staff's Recommendation: The Board should continue to explore ways to improve its enforcement efforts and collect fines. The Board should examine other agencies that are authorized to release SSNs to collection agencies, and whether there are any privacy or security issues that may arise if such information was transmitted. The Board should work with other licensing boards, such as the Contractors State Licensing Board, the Bureau of Real Estate, and the Board of Professional Engineers, Land Surveyors, and Geologists, to determine the feasibility of sharing disciplinary information for purposes of leveraging other professional licenses as a way to achieve compliance; how such a system would operate; and what changes would be necessary.

2014 Board Response:

The Board/LATC concurs with the Committees' recommendations.

The Board currently has an ongoing objective from its 2014 Strategic Plan to "pursue methods to obtain multiple collection mechanisms to secure unpaid citation penalties" and is committed to continuous improvements with regard to all enforcement efforts.

The Board's fine collection success has averaged about 62% over the last three fiscal years, while other construction/design boards have averaged 37%.

Should the Board pursue authority to release SSNs to collection agencies, it would fully investigate whether there are any privacy or security issues that may arise. The Board has noted that the Respiratory Care Board is authorized to release SSNs to collection agencies via Business and Professions Code section 3778 (Chapter 586, Statutes of 2003); the Board is currently not aware of other agencies with similar authority.

As part of its Strategic Plan objective, the Board/LATC will research the feasibility of working with other licensing boards in sharing disciplinary information for purposes of leveraging other professional licenses. Other strategies the Board/LATC has utilized with regard to fine collection: Franchise Tax Board Intercept Program; payment plans; revised enforcement letters; etc. In addition, the Board is working with DCA to explore the possibility of establishing a collections unit in DCA to assist boards in collecting citation penalties.

(Note: This was Issue #5 for LATC in the Sunset Background Paper.)

2018 Board/LATC Update Response:

The Board continues to focus on the collection of citation penalties, and its current Strategic Plan includes an objective to measure the effectiveness of the Board's citation collection methods as a means of protecting future consumers. Likewise, the LATC's current Strategic Plan includes an objective to contract with collection agencies to pursue and recover unpaid citations from unlicensed individuals.

The Board's and LATC's ongoing efforts to pursue payment of citation penalties resulted in collecting 70% and 100% respectively (with one \$16,000 outlier LATC citation) of the fines assessed in the past three fiscal years. Research has also indicated that collection agencies can take action without SSNs. Accordingly, the Board and LATC are currently collaborating with DCA to execute a contract with a collection agency for full-service debt collection services, including "skip-tracing," credit reporting, and filing legal actions, as appropriate, to assist in the collection of unpaid citation penalties and cost reimbursement accounts aged beyond 90 days. The Board and LATC anticipate execution of this contract by early 2019.

In addition, collaboration with the Contractors State License Board and Board for Professional Engineers, Land Surveyors, and Geologists to share disciplinary actions for the purpose of leveraging professional licenses may be feasible when the three boards are on a new platform system.

CAB ISSUE #8: CONTINUED REGULATION BY THE BOARD. Should the licensing and regulation of architects be continued and be regulated by the current Board membership?

Committee Staff's Recommendation: Recommend that the licensing and regulation of architects continue to be regulated by the current Board members of the California Architects Board in order to protect the interests of the public and be reviewed once again in four years.

The Board/LATC concurs with the Committees' recommendation.

(Note: This was Issue #6 for LATC in the Sunset Background Paper and the Board/LATC concur with that recommendation.)

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

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.

The Board has addressed all issues from the prior review.

NEW ISSUES

Written Contract

The Board's "written contact requirement" is one of its most important consumer protection tools. AB 969 (Davis, Chapter 117, Statutes of 1995) added Business and Professions Code (BPC) section 5536.22 to the Architects Practice Act (Act). The provision requires architects to use a written contract when contracting to provide professional services to a client, with specified exceptions. The architect's written contract must: 1) describe the services to be provided by the architect to the client; 2) describe the basis of compensation and method of payment; 3) identify by name and address the client and the architect, including the architect's license number; 4) describe the procedure to accommodate additional services; and 5) describe the procedure to be used by both parties to terminate the contract.

Memorializing the basic terms of a business relationship can prove invaluable. Both parties to the relationship need to understand the cost, schedule, compensation, etc. When there is no contract, there is an enhanced opportunity for one party to take advantage of the other. The Board believes that the contract requirement benefits both the consumer and the architect.

Since this provision has been in effect for some time, the Board has investigated many consumer complaints that centered around the existence of a contract or meaning of specific terms. As such, the Board's experts in the Enforcement Program (Architect Consultants) have identified several potential improvements to the current law. Many of the disputes that have resulted in complaints stemmed from misunderstandings concerning the project description and/or failure to manage changes in the project description during the design process. The description of the project has direct bearing on the: 1) design services required; 2) compensation related to those services; and 3) project budget and schedule. Without a defined project description, it is often unclear whether the project is on track in meeting the expectations and project requirements established by the client and the architect.

Under the Rules of Professional Conduct, Title 16, California Code of Regulations, section 160(f)(1), architects are prohibited from materially altering the scope or objective of a project without first fully informing the client and obtaining the client's consent in writing. However, architects are not currently required to define the project description in their written contracts with clients. Therefore, it can be difficult for the client or architect to determine when the project description has been materially altered if it has not first been defined and agreed upon in the written contract.

The Board has also received complaints and questions from consumers related to disputes regarding the ownership and use of an architect's instruments of service. AB 630 (Holden, Chapter 453, Statutes of 2013) became effective January 1, 2014, and added BPC section 5536.4 to the Architects Practice Act, which prohibits the use of an architect's instruments of service without the consent of the architect in a written contract, written agreement, or written license specifically authorizing that use. However, architects are not currently required to include a provision addressing the ownership and use of their instruments of service in their written contracts with clients. Therefore, clients are often unaware of each party's rights with respect to the architect's instruments of service.

The Board is proposing to amend BPC section 5536.22 in order to clarify that the following elements are needed in architects' written contracts with clients for professional services: 1) a description of the project for which the client is seeking services; 2) the project address; 3) a description of the procedure that the architect and the client will use to accommodate contract changes, including, but not limited to, changes in the description of the project, in the description of the services, or in the description of the compensation and method of payment; 4) a statement identifying the ownership and use of instruments of service prepared by the architect; and 5) a statement notifying the client that architects are licensed and regulated by the Board. The Board is also proposing to exclude contracts with public agencies from the written contract requirement.

The Board expects this proposal to benefit consumers and architects by reducing the number of disputes related to disagreements regarding the project description, unauthorized changes made to the project during the design process, and/or the ownership and use of instruments of service. In addition, by ensuring that both the architect and the client understand these issues, there may be cost savings for the Board due to fewer complaints.

The Board respectfully requests that this proposal be included as part of the legislation addressing its sunset date. See proposed language below:

Amend section 5536.22 of the Business and Professions Code to read:

(a) An architect shall use a written contract when contracting to provide professional services to a client pursuant to this chapter. That written contract shall be executed by the architect and the client, or his or her representative, prior to the architect commencing work, unless the client knowingly states in writing that work may be commenced before the contract is executed. The written contract shall include, but not be limited to, all of the following items:

- (1) A description of the project for which the client is seeking services.
- (~~4~~2) A description of the services to be provided by the architect to the client.
- (~~2~~3) A description of any basis of compensation applicable to the contract and the method of payment agreed upon by both parties.
- (~~3~~4) The name, address, and license number of the architect, and the name and address of the client and project address.

- (45) A description of the procedure that the architect and the client will use to accommodate additional services.
- (6) A description of the procedure that the architect and the client will use to accommodate contract changes including, but not limited to, changes in the description of the project, in the description of the services, or in the description of the compensation and method of payment.
- (57) A description of the procedure to be used by either party to terminate the contract.
- (8) A statement identifying the ownership and use of instruments of service prepared by the architect.
- (9) A statement in at least 12-point type that reads: "Architects are licensed and regulated by the California Architects Board located at 2420 Del Paso Road, Suite 105, Sacramento, CA 95834."
- (b) This section shall not apply to any of the following:
 - (1) Professional services rendered by an architect for which the client will not pay compensation.
 - (2) An arrangement as to the basis for compensation and manner of providing professional services implied by the fact that the architect's services are of the same general kind which the architect has previously rendered to and received payment from the same client.
 - (3) If the client knowingly states in writing after full disclosure of this section that a writing which complies with the requirements of this section is not required.
 - (4) Professional services rendered by an architect to a professional engineer registered to practice engineering under Chapter 7 (commencing with Section 6700), or to a land surveyor licensed under Chapter 15 (commencing with Section 8700).
 - (5) Professional services rendered by an architect to a public agency.

CALIFORNIA ARCHITECTS BOARD

BACKGROUND INFORMATION AND OVERVIEW OF THE CURRENT REGULATORY PROGRAM

As of December 1, 2018

Section 12 – Attachments

Please provide the following attachments:

A. Board's administrative manual.

See Attachment A

California Architects Board Member Administrative Manual

B. Current organizational chart showing relationship of committees to the board and membership of each committee (cf., Section 1, Question 1).

See Attachment B

Committee Organizational Chart

C. Major studies, if any (cf., Section 1, Question 4).

See Attachment C

California Architects Board Occupational Analysis of the Architect Profession (November 2014)

Review of the National Council of Architectural Registration Boards Architect Registration Examination
– Executive Summary

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).

See Attachment D

Year-End Organization Charts - FYs 14/15 – 17/18

E. Performance Measure Reports (cf., Section 2, Question 6).

See Attachment E

Quarterly Performance Measure Reports

(quarters three and four of FY 2017/18 not available at time of report)

California Architects Board Member Administrative Manual

California Architects Board Member Administrative Manual

Approved by Board 9/12/18

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Chapter 1

Introduction

Overview

The California Board of Architectural Examiners was created by the California Legislature in 1901 to safeguard the public's health, safety, and welfare. It was renamed the California Architects Board (Board) in 2000. It is one of the boards, bureaus, commissions, and committees within the Department of Consumer Affairs (DCA), part of the Business, Consumer Services and Housing Agency under the aegis of the Governor. The Department is responsible for consumer protection and representation through the regulation of licensed professions and the provision of consumer services. While the DCA provides administrative oversight and support services, the Board has policy autonomy and sets its own policies, procedures, and regulations.

The Board is presently composed of 10 members that, by law, 5 are public members, and 5 are architects. The five architect members are all appointed by the Governor. Three of the public members are also gubernatorial appointees; while one public member is appointed by the Assembly Speaker and the other is appointed by the Senate Rules Committee. Board members may serve up to two four-year terms. Board members fill non-salaried positions but are paid \$100 per day for each meeting day or day spent in the discharge of official duties (see section entitled "Salary Per Diem") and are reimbursed travel expenses.

This Board Member Administrative Manual is provided to Board members as a reference of important laws, regulations, DCA policies, and Board policies to guide the actions of the Board members and ensure Board effectiveness and efficiency.

Mission

The California Architects Board protects consumers by establishing standards for professional qualifications, ensuring competence through examinations, setting practice standards, and enforcing the Architects Practice Act.

Vision The California Architects Board will be the national leader in the regulation of architectural practice.

Values Collaborative
Professional
Innovative
Proactive

General Rules of Conduct All Board members shall act in accordance with their oath of office, and shall conduct themselves in a courteous, professional and ethical manner at all times. The Board members serve at the pleasure of the Governor and the Legislature, and shall conduct their business in an open manner, so that the public that they serve shall be both informed and involved, consistent with the provisions of the Bagley-Keene Open Meeting Act and all other governmental and civil codes applicable to similar boards within the State of California.

- Board members shall not act or speak on the Board's behalf without proper authorization from the Board president.
- Board members shall maintain the confidentiality of confidential documents and information.
- Board members shall commit the time to prepare for Board responsibilities.
- Board members shall recognize the equal role and responsibilities of all Board members.
- Board members shall act fairly, be nonpartisan, impartial, and unbiased in their role of protecting the public.
- Board members shall treat all applicants and licensees in a fair and impartial manner.
- Board members' actions shall serve to uphold the principle that the Board's primary mission is to protect the public.
- Board members shall not use their positions on the Board for personal, familial, or financial gain.

Abbreviations

ARE	Architectural Registration Examination
B&P	Business and Professions Code
DCA	Department of Consumer Affairs

EO	Executive Officer
Gov.	Government Code
NCARB	National Council of Architectural Registration Boards
SAM	State Administrative Manual
WCARB	Western Council of Architectural Registration Boards

Chapter 2

Board Meeting Procedures

Bagley-Keene Open Meeting Act

(Gov. Code Section 11120 et seq.)

All meetings are open for public attendance and subject to all provisions of the Bagley-Keene Open Meeting Act. This act governs meetings of the state regulatory boards and meetings of committees of those boards where the committee consists of more than two members. It specifies meeting notice and agenda requirements and prohibits discussing or taking action on matters not included in the agenda.

Public Comment

(Gov. Code Section 11125.7)

Public comment must be allowed on open session agenda items before or during discussion of each item and before a vote.

The Board may accept public comment on an item not on the agenda, provided that the Board takes no action or does not discuss the item at the same meeting. The Board may refer the item to the Board's next Strategic Planning session and/or place the matter on the agenda of a future meeting. The Board cannot prohibit public criticism of the Board's policies or services. The Board president may set reasonable time limitations.

Due to the need for the Board to maintain fairness and neutrality when performing its adjudicative function, the Board shall not receive any substantive information from a member of the public regarding matters that are currently under or subject to investigation, or involve a pending or criminal administrative action.

Closed Session

(Gov. Code Sections

Any general discussion of exams or disciplinary procedures shall be held in public. The Board may meet in closed session to discuss examinations

11125.2, 11126, 11126.1)

where a public discussion would compromise the integrity of the examination and to deliberate on disciplinary cases. Examples of types of closed session meetings include:

- Discuss and vote on disciplinary or enforcement matters under the Administrative Procedure Act (APA);
- Prepare, approve, or grade examinations;
- Discuss pending litigation; or;
- Discuss the appointment, employment, or dismissal of the EO unless the EO requests that such action be taken in public.

If the agenda contains matters that are appropriate for closed session, the agenda shall cite the particular statutory section and subdivision authorizing the closed session.

No members of the public are allowed to remain in the meeting room for closed sessions. At least one staff member must be present at all closed sessions to record topics discussed and decisions made.

Closed session must be specifically noticed on the agenda (including the topic and legal authority). Before going into closed session, the Board president should announce in open session the general nature of the item(s) to be discussed. If the item involves the EO's employment, appointment, or dismissal, and action is taken in closed session, the Board must report that action and any roll call vote that was taken at the next public meeting.

Frequency of Meetings

(B&P Code Section 5522)

The Board shall meet at least once a quarter for the purpose of transacting such business as may lawfully come before it and may meet more often as it determines necessary.

Meeting Location

(Gov. Code Sections 11123.1 & 11131; B&P Code Section 101.7)

The Board is required to hold its meetings at locations that are easily accessible to the public and individuals with disabilities in compliance the Americans with Disabilities Act (ADA). The Board will hold meetings in different locations throughout

the state and is required to hold at least one meeting in Northern California and one meeting in Southern California.

**Board Member Attendance
at Board Meetings**

(Board Policy)

Board members shall attend each meeting of the Board. If a member is unable to attend he/she must contact the Board president or the EO and ask to be excused from the meeting for a specific reason. Should a member miss two consecutive meetings, the Board president may notify the Director of the DCA.

**Board Member
Participation**

(Board Policy)

The Board president may ascertain from members whose level of participation is below standard whether or not the member is no longer able to continue serving as an active member of the Board. In such a case, the Board president may suggest that the member resign. If such resignation is not forthcoming within a reasonable time, the Board, by resolution, may request the appointing authority to have the member replaced. However, the member shall be given the opportunity to present to the Board his/her arguments against the resolution prior to such a resolution being adopted by the Board.

Teleconference Meetings

(Gov. Code Section 11123)

Special rules for notice of teleconference meetings are as follows:

- Same 10-day notice requirement as in-person meetings.
- Notice and agenda must include teleconference locations.
- Every teleconference location must be open to the public and at least one Board member must be physically present at every noticed location. Board members must attend the meeting at a publicly noticed location.
- Additional locations may be listed on the notice that allow the public to observe or address the Board by electronic means without a Board member present.

Special Meetings

(Gov. Code Section 11125.4)

A special meeting may be called at any time by the Board president, or in his or her absence the vice president or by a majority of the members of the Board and held with 48 hours' notice in specified situations (e.g., consideration of proposed legislation). At the commencement of any special meeting, the Board must make a finding in open session that the delay necessitated by providing notice 10 days prior to a meeting would cause a "substantial hardship on the Board or that immediate action is required to protect the public interest." The finding shall be adopted by two-thirds vote of the Board if less than two-thirds members present, a unanimous vote of those members present.

Emergency Meetings

(Gov. Code Section 11125.5)

An emergency meeting may be held after finding by a majority of the Board at a prior meeting or at the emergency meeting that an emergency situation exists due to work stoppage or crippling disaster. [A quorum is required for the Board to meet in the event of emergency, such as a work stoppage or crippling disaster.] Emergency meetings require a one-hour notice.

Quorum

(B&P Code Section 5524)

Six of the members of the Board constitute a quorum of the Board for the transaction of business. The concurrence of five members of the Board present at a meeting duly held at which a quorum is present shall be necessary to constitute an act or decision of the Board, except that when all 10 members of the Board are present at a meeting duly held, the concurrence of six members shall be necessary to constitute an act or decision of the Board.

Agenda Items

(Board Policy)

The Board president, with the assistance of the EO, shall prepare the agenda and tentative meeting timeframe. Any Board member may submit items for a Board meeting agenda to the EO 15 days prior to the meeting.

Notice of Meetings to be Sent to Individuals

According to the Bagley-Keene Open Meeting Act, meeting notices (including agendas for Board meetings) shall be sent to persons on the Board's

(Gov. Code Section 11120 et seq.; B&P Code Section 101.7)

mailing or email list at least 10 calendar days in advance. The notice shall include a staff person's name, work address, and work telephone number who can provide further information prior to the meeting.

Notice of Meetings to be Posted on the Internet

(Gov. Code Section 11125)

Unless the meeting meets the requirements for a special or emergency meeting under the Bagley-Keene Open Meeting Act, notice shall be given and made available on the Internet at least 10 calendar days in advance of the meeting, and shall include the name, address, and telephone number of a staff person who can provide further information prior to the meeting but need not include a list of witnesses expected to appear at the meeting. The written notice shall additionally include the Internet address where notices required by the Bagley-Keene Open Meeting Act are made available.

Mail Ballots

(Gov. Code Section 11500 et seq.)

The Board must approve any proposed decision or stipulated settlement before the formal discipline becomes final and the penalty can take effect. Due to time limitations, mail ballots may be executed. If needed, stipulated settlements and proposed decisions will be mailed to each Board member for his or her vote. For stipulations, a background memorandum from the assigned deputy attorney general accompanies the mail ballot. A five-calendar day deadline generally is given to complete the ballot and return it to the Board's office.

Record of Meetings

(Board Policy; B&P Section 5521; Gov. Code Sections 11123(c), 11126.1)

The minutes are a summary, not a transcript, of each Board meeting. They shall be prepared by Board staff and submitted for review by Board members before the next Board meeting. The minutes must contain a record of how each member present voted for each item on which a vote was taken. Board minutes shall be approved at the next scheduled meeting of the Board. When approved, the minutes shall serve as the official record of the meeting.

Voting on Motions

*(B&P Code Section 5524;
Gov. Code Sections 11120,
11122, 11123, 87100 et seq.;
68 Ops.Cal.Atty.Gen. 65,
69-70)*

As a general rule, all votes must be taken publicly. However, votes taken on closed session matters are not required to be taken publicly. In addition, the APA (disciplinary matters) authorizes mail voting on all questions arising under that act. Secret ballots and proxy votes are prohibited. A majority of the board or committee vote is determined by the votes actually cast. Abstentions are recorded, but not counted, unless a law provides otherwise.

Options for Board members:

- 1) Support / in Favor / Yes / Aye
- 2) Oppose / No / Nay
- 3) Abstain (not counted as a vote)
- 4) Recused (not counted as a vote)

Audio/Visual Recording

(Board Policy)

The meeting may be audio/video recorded and/or broadcast live via the Internet. Recordings shall be disposed of upon Board approval of the minutes. If a webcast of the meeting is intended, it shall be indicated on the agenda notice.

Chapter 3**Travel & Salary Policies/Procedures****Travel Approval**

*(DCA Memorandum
96-01)*

Board members shall have Board president approval for all travel except for regularly scheduled Board and committee meetings to which the Board member is assigned.

Travel Arrangements

(Board Policy)

Board members are encouraged to coordinate with the EO secretary for any Board-related travel arrangements, including air or train transportation, car rental, and lodging accommodations through Cal Travel Store's online booking tool, Concur.

Board members must also utilize the most economic source of transportation available. For example, if the hotel provides a shuttle from the airport to the hotel it is not fiscally responsible to rent a car or take a taxi. Reimbursement may be reduced or denied if the most economical sources are not used.

All Board-related travel must be booked using Cal

Travel Store's self-service reservation system, Concur, if a Board member seeks reimbursement.

In advance of Board and committee meetings, the EO secretary will provide members information detailing the name and address of the chosen hotel where state rates are available if an overnight stay is required.

Out-of-State Travel

(SAM Section 700 et seq.)

For out-of-state travel, Board members will be reimbursed actual lodging expenses, supported by vouchers, and will be reimbursed for meal and supplemental expenses. Out-of-state travel for all persons representing the state of California is controlled and must be approved by the Governor's Office.

Travel Reimbursement

(SAM Section 700 et seq. & DCA Memorandum 96-01)

Rules governing reimbursement of travel expenses for Board members are the same as for management level state staff. Board members must submit the originals of all receipts, with the exception of meals, and, when applicable, a copy of the airline itinerary and hotel receipt showing the balance paid, to the EO secretary. All expenses shall be claimed on the appropriate travel expense claim forms. The EO secretary maintains these forms and completes them as needed. The EO secretary completes travel expense reimbursements in CalATERS Global and maintains copies of these reports and submitted receipts. It is advisable for Board members to submit their travel expense forms immediately after returning from a trip and not later than two weeks following the trip.

In order for the expenses to be reimbursed, Board members shall follow the procedures contained in DCA Departmental Memoranda that are periodically disseminated by the Director and are provided to Board members on at least an annual basis by the EO secretary.

Salary Per Diem

(B&P Code Section 103)

Each member of a board, commission or committee created in various chapters of Division 3 (commencing with section 5000) is eligible to receive a per diem of \$100 for each day actually spent in the discharge of official duties, unless on

any day served, the member also received compensation for their regular public employment. Reimbursement of travel and other related expenses for Board members is also regulated by section 103.

In relevant part, this section provides for the payment of salary per diem for Board members **“for each day actually spent in the discharge of official duties,”** and provides that the Board member **“shall be reimbursed for traveling and other expenses necessarily incurred in the performance of official duties.”**

(Board Policy)

Accordingly, the following general guidelines shall be adhered to in the payment of salary per diem or reimbursement for travel:

No salary per diem or reimbursement for travel-related expenses shall be paid to Board members except for attendance in official Board or committee meetings, unless a substantial official service is performed by the Board member. Attendance at gatherings, events, hearings, conferences, or meetings other than official Board or committee meetings in which a substantial official service is performed shall be approved in advance by the Board president. The EO shall be notified of the event and approval shall be obtained from the Board president prior to Board member's attendance.

The term “day actually spent in the discharge of official duties” shall mean such time as is expended from the commencement of a Board or committee meeting to the conclusion of that meeting. Where it is necessary for a Board member to leave early from a meeting, the Board president shall determine if the member has provided a substantial service during the meeting and, if so, shall authorize payment of salary per diem and reimbursement for travel-related expenses.

For Board specified work, Board members will be compensated for actual time spent performing work authorized by the Board president. That work includes, but is not limited to, authorized attendance at other gatherings, events, meetings, hearings, or conferences; NCARB committee work;

and travel time on non-meeting days (out-of-state). That work does not include preparation time for Board or committee meetings. Board members cannot claim salary per diem for time spent traveling to and from a Board or committee meeting.

Chapter 4

Other Policies/Procedures

Board Member Disciplinary Actions

*(Board Policy; Gov. Code
Section 11125.4)*

A member may be censured by the Board if, after a hearing before the Board, the Board determines that the member has acted in an inappropriate manner.

The Board president shall preside over the hearing unless the censure involves the president's own actions, in which case the Board vice president shall preside. In accordance with the Bagley-Keene Open Meeting Act, the censure hearing shall be conducted in open session.

Removal of Board Members

*(B&P Code Sections 106 &
106.5)*

The Governor has the power to remove from office at any time any member of any board appointed by him/her for continued neglect of duties required by law or for incompetence or unprofessional or dishonorable conduct. The Governor may also remove from office a board member who directly or indirectly discloses examination questions to an applicant for examination for licensure.

Resignation of Board Members

(Gov. Code Section 1750)

In the event that it becomes necessary for a Board member to resign, a letter shall be sent to the appropriate appointing authority (Governor, Senate Rules Committee, or Speaker of the Assembly) with the effective date of the resignation. Written notification is required by state law. A copy of this letter shall also be sent to the director of DCA, the Board president, and the EO.

Officers of the Board

(B&P Code Section 5518)

The Board shall elect from its members a president, a vice president, and a secretary to hold office for one year or until their successors are duly elected and qualified.

Election of Officers*(Board Policy)*

The Board shall elect the officers at the last meeting of the calendar year. Officers shall serve a term of one year. All officers may be elected on one motion or ballot as a slate of officers unless more than one Board member is running per office. An officer may be re-elected and serve for more than one term.

Officer Vacancies*(Board Policy)*

If an office becomes vacant during the year, an election shall be held at the next meeting. If the office of the president becomes vacant, the vice president shall assume the office of the president. Elected officers shall then serve the remainder of the term.

Nomination of Officers*(Board Policy)*

The Board president shall appoint a Nominations Committee prior to the last meeting of the calendar year and shall give consideration to appointing a public and a professional member of the Board to the Committee. The Committee's charge will be to recommend a slate of officers for the following year. The Committee's recommendation will be based on the qualifications, recommendations, and interest expressed by the Board members. A survey of Board members will be conducted to obtain interest in each officer position. A Nominations Committee member is not precluded from running for an officer position. If more than one Board member is interested in an officer position, the Nominations Committee will make a recommendation to the Board and others will be included on the ballot for a runoff if they desire. The results of the Nominations Committee's findings and recommendations will be provided to the Board members in the meeting packet prior to the election of officers. Notwithstanding the Nominations Committee's recommendations, Board members may be nominated from the floor at the meeting.

Committee Appointments*(Board Policy)*

The Board 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 EO. When

committees include the appointment of non-Board members, all impacted parties should be considered. (See *Committee Policy in Appendix B.*)

Attendance at Committee Meetings

(Board Policy; Gov. Code Section 11122.5(c)(6))

If a Board member wishes to attend a meeting of a committee in an official capacity of which he/she is not a member, that Board member shall obtain permission from the Board president to attend and shall notify the committee chair and staff. Board members who are not members of the committee that is meeting cannot vote during the committee meeting and may attend only as observers. If there is a quorum of the Board at a committee meeting, Board members who are not members of the committee must sit in the audience and cannot participate in committee deliberations.

Committees operate at the direction of the Board to fulfill specific goals in the Strategic Plan. Committee chairs shall lead committees' actions toward such goals without undue influence on the part of Board officers or members.

The Board and LATC maintain an ongoing practice of providing regular updates regarding key issues at each other's respective meetings to sustain understanding of each entity's priorities. The Board appoints an LATC liaison, who attends LATC meetings on behalf of the Board.

Board Staff

(DCA Reference Manual)

Employees of the Board, with the exception of the EO, are civil service employees. Their employment, pay, benefits, discipline, termination, and conditions of employment are governed by civil service laws, regulations, and collective bargaining labor agreements. Because of this complexity, it is most appropriate that the Board delegate all authority and responsibility for management of the civil service staff to the EO. Board members shall not intervene or become involved in specific day-to-day personnel transactions or matters.

Executive Officer Evaluation

(Board Policy; Gov. Code

Board members shall evaluate the performance of the EO on an annual basis in accordance with DCA's memorandum Process for Annual Performance Evaluations of EO (Appendix D). The

Section 11126(a)(1))

evaluation shall be conducted in Closed Session during a meeting of the Board pursuant to Gov. Code section 11126(a)(1).

Board Administration*(DCA Reference Manual)*

Board members should be concerned primarily with formulating decisions on Board policies rather than decisions concerning the means for carrying out a specific course of action. It is inappropriate for Board members to become involved in the details of program delivery. Strategies for the day-to-day management of programs and staff shall be the responsibility of the EO.

Consistent with the budget and Strategic Plan, requests by individual Board members that are not directly associated with a committee's goals or have an impact on staff workload, as determined by the president and EO, may be declined. In the event the request is by the president, the vice president shall review the request.

Board Budget*(Board Policy)*

The Board vice president shall serve as the Board's budget liaison with staff and shall assist staff in the monitoring and reporting of the budget to the Board. Staff will conduct an annual budget briefing with the Board with the assistance of the Board vice president. The EO or his/her designee will attend and testify at legislative budget hearings and shall communicate all budget issues to the Administration and Legislature.

Conflict of Interest*(Gov. Code Section 87100)*

No Board member may make, participate in making, or in any way attempt to use his or her official position to influence a governmental decision in which he or she knows or has reason to know he or she has a financial interest. Any Board member who has a financial interest shall disqualify himself/herself from making or attempting to use his/her official position to influence the decision. Any Board member who feels he or she is entering into a situation where there is a potential for a conflict of interest should immediately consult the EO or the Board's legal counsel. The question of whether or not a member has a financial interest that would present a legal conflict of interest is complex and must be decided on a case-by-case

review of the particular facts involved. For more information on disqualifying yourself because of a possible conflict of interest, please refer to the Fair Political Practice Committee's manual on their website: fppc.ca.gov.

Financial Disclosure

(Gov. Code Section 87302(b))

The Conflict of Interest Code also requires Board members to file annual financial disclosure statements by submitting a Form 700 – Statement of Economic Interest. New Board members are required to file a disclosure statement within 30 days after assuming office. Annual financial statements must be filed no later than April 1 of each calendar year.

A "leaving of office statement" must be filed within 30 days after an affected Board member leaves office.

Board members are not required to disclose all of their financial interests. Gov. Code section 87302 (b) explains when an item is reportable:

An investment, interest in real property, or income shall be made reportable by the Conflict of Interest Code if the business entity in which the investment is held, the interest in real property, or the income or source of income may foreseeably be affected materially by any decision made or participated in by the designated employee by virtue of his or her position.

Refer to the Fair Political Practices Commission's website fppc.ca.gov to determine what investments, interests in property, or income must be reported by a member. Questions concerning particular financial situations and related requirements should be directed to DCA's Legal Affairs Division.

Incompatible Activities

(Gov. Code Section 19990)

Following is a summary of the employment, activities, or enterprises that might result in or create the appearance of being inconsistent, incompatible, or in conflict with the duties of state officers:

- Using the prestige or influence of a state office or employment for the officer's or employee's

private gain or advantage, or the private gain or advantage of another.

- Using state time, facilities, equipment, or supplies for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
- Using confidential information acquired by the virtue of state employment for the officer's or employee's private gain or advantage or advantage of another.
- Receiving or accepting money, or any other consideration, from anyone other than the state for the performance of an act which the officer or employee would be required or expected to render in the regular course or hours of his or her state employment or as a part of his or her duties as a state officer or employee.
- Performance of an act other than in his or her capacity as a state officer or employee knowing that such an act may later be subject, directly or indirectly, to the control, inspection, review, audit, or enforcement by such officer or employee of the agency by which he or she is employed. (This would not preclude an "industry" member of the Board from performing normal functions of his or her occupation.)
- Receiving or accepting, directly or indirectly, any gift, including money, any service, gratuity, favor, entertainment, hospitality, loan, or any other thing of value from anyone who is seeking to do business of any kind with the state or whose activities are regulated or controlled in any way by the state, under circumstances from which it reasonably could be inferred that the gift was intended to influence him or her in his or her official duties or was intended as a reward for any official action on his or her part.

The aforementioned limitations do not attempt to specify every possible limitation on member or employee activity that might be determined and prescribed under the authority of Gov. Code section 19990. DCA's Incompatible Work Activities

OHR 10-01 is included in Appendix C.

Ex Parte Communications

*(Gov. Code Section
11430.10 et seq.)*

The Government Code contains provisions prohibiting ex parte communications. An "ex parte" communication is a communication to the decision-maker made by one party to an enforcement action without participation by the other party. While there are specified exceptions to the general prohibition, the key provision is found in subdivision (a) of section 11430.10, which states:

"While the proceeding is pending, there shall be no communication, direct or indirect, regarding any issue in the proceeding to the presiding officer from an employee or representative of an agency that is a party or from an interested person outside the agency, without notice and an opportunity for all parties to participate in the communication."

Board members are prohibited from an ex parte communication with Board enforcement staff while a proceeding is pending.

Occasionally an applicant who is being formally denied licensure, or a licensee against whom disciplinary action is being taken, will attempt to directly contact Board members.

If the communication is written, the person should read only far enough to determine the nature of the communication. Once he or she realizes it is from a person against whom an action is pending, they should reseal the documents and send them to the EO.

If a Board member receives a telephone call from an applicant or licensee against whom an action is pending, he or she should immediately tell the person that discussion about the matter is not permitted, he or she will be required to recuse him or herself from any participation in the matter, and continued discussion is of no benefit to the applicant or licensee.

If a Board member believes that he or she has received an unlawful ex parte communication, he

or she should contact the Board's assigned Legal Affairs Division counsel.

**Communications with
Other Organizations/
Individuals**

(Board Policy)

All communications relating to any Board action or policy to any individual or organization including NCARB, WCARB, or a representative of the media shall be made only by the Board president, his/her designee, or the EO. Any Board member who is contacted by any of the above should immediately inform the Board president or EO of the contact. All correspondence shall be issued on the Board's standard letterhead and will be created and disseminated by the Board office.

Board members shall not act on behalf of the Board without Board approval and consensus, including but not limited to meeting or interacting with other professional organizations, governmental entities, educational institutions, architectural associations, intern associations, etc. All actions on behalf of the Board shall be documented and communicated to the EO. The EO will then convey such information to the Board via the monthly report or by other means, as determined necessary.

Legislation

(Board Policy)

In the event time constraints preclude Board action, the Board delegates to the EO the authority to take action on legislation that would change the Architects Practice Act, impact a previously established Board policy, or affect the public's health, safety, or welfare. Prior to taking a position on legislation, the EO shall consult with the Board president. The Board shall be notified of such action as soon as possible.

Contact with Candidates

(Board Policy)

Board members shall not intervene on behalf of a candidate for any reason. They should forward all contacts or inquiries to the EO or Board staff.

Gifts from Candidates

(Board Policy)

Gifts of any kind to Board members or the staff from candidates for licensure with the Board shall not be permitted.

Request for Records Access

No Board member may access a licensee or candidate file without the EO's knowledge and

(Board Policy) approval of the conditions of access. Records or copies of records shall not be removed from the Board's office.

Business Cards

(Board Policy)

Business cards will be provided to each Board member upon request with the Board's name, address, telephone, fax number, and website address. A Board member's business address, telephone, and fax number, and e-mail address may be listed on the card at the member's request.

Letterhead

(Board Policy)

Only correspondence that is transmitted directly by the Board office may be printed or written on Board letterhead stationery. Any correspondence from a Board member requiring the use of Board stationary or the Board's logo should be transmitted to the Board office for finalization and distribution.

Chapter 5**Training**

Once a Board member is appointed, the EO secretary will send an email containing a list of all the required trainings, their due dates, and instructions about their completion. Board members should send the certificate of completion or signature page to the EO secretary who maintains Board members' records. For additional information, Board members may refer to DCA's online Board Member Resource Center which may be found at: dca.boardmembers.ca.gov

Board Member Orientation

(B&P Code Section 453)

Newly appointed and reappointed Board members must attend a Board Member orientation training course offered by DCA within one year of assuming office. The orientation covers information regarding required training, in addition to other topics that will ensure a member's success, including an overview of DCA.

Ethics

(Gov. Code Section 11146 et seq.)

State appointees and employees in exempt positions are required to take an ethics orientation within the first six months of their appointment and

every two years thereafter. To comply with that directive, Board members may take the interactive course provided by the Office of the Attorney General, which can be found at oag.ca.gov/ethics.

Sexual Harassment Prevention

(Gov. Code Section 12950.1)

Board members are required to undergo sexual harassment prevention training and education once every two years, in odd years. Staff will coordinate the training with DCA.

Defensive Driver

(SAM Section 0751)

All state employees, which includes Board and committee members, who drive a vehicle (state vehicle, vehicles rented by the state, or personal vehicles for state business) on official state business must complete the Department of General Services (DGS) approved defensive driver training (DDT) within the first six months of their appointment and every four years thereafter.

APPENDIX A

Member Position Description

The California Architects Board exists to regulate the practice of architecture in the interest and for the protection of the public health, safety, and welfare. The Board is comprised of ten members, five architects and five public members. To ensure the most effective representation of the interests of both the public and the profession, the Board seeks to have among its members a broad cross-section of architects and consumers of architectural services (e.g., representatives from large and small firms, developers, building officials, educators). Whether a public or a professional member, each member of the Board is responsible first and foremost for public protection.

The Board manages its responsibilities by delegating to a number of committees and task forces and its staff, thereby enabling the Board to more effectively fulfill its mission. The Board appoints an EO to exercise the powers and perform the duties delegated by the Board. The EO manages the Board's staff (currently 29.8 positions including Landscape Architects Technical Committee [LATC] staff positions). With direction from the Board and the Strategic Plan, the Board staff implements the Board's examination, licensing, enforcement, and administration programs.

As a whole, the Board's responsibilities include the following:

- Delineation of the basic professional qualifications and performance standards for admission to and practice of the profession of architecture. The Board accomplishes this objective by setting minimum qualifications for licensure and administering the California Supplemental Examination.
- Establishment and administration of a fair and uniform enforcement policy to deter and prosecute violations of the Architects Practice Act and related regulations.
- Setting policy and procedures for the Board, its committees, task forces, and staff in carrying out the duties of the Board.
- Disseminating information to consumers, licensees, and professional and educational organizations about the Board's services and activities, and rules and regulations governing the profession.

Individual Board member responsibilities include:

- Attendance at Board meetings. (The Board regularly meets quarterly, but may meet more often if necessary. Meetings are generally one-day and are scheduled in locations throughout California. Overnight travel may be necessary. Every two years, the Board meeting includes a Strategic Planning session.)
- Participation on Board committees and task forces. (Time commitment for committees and task forces vary. Most committees meet 1-2 times per year. Meetings are generally one-day and are scheduled in locations throughout

California. Overnight travel may be necessary.)

- Board members are also expected to invest the time to review the "recommended reading" necessary to participate effectively in Board business. Such readings include the Board Member Administrative Procedure Manual, Sunset Review Report, Board and committee packets, recent studies and reports, and related material.
- Acting as a representative of the Board to communicate information to the professional and educational communities. (Board members may be assigned an architectural school and a constituency group with which they act as a liaison.)
- Possible participation in meetings of the National Council of Architectural Registration Boards (NCARB) and Western Council of Architectural Registration Boards' (WCARB) meetings and committees. (Each organization holds at least one meeting per year. NCARB committees typically meet twice per year. Meetings are usually two days, and up to two days travel time may be required, depending on meeting location.)
- Possible participation as a WCARB or NCARB officer or director. (The Board has a goal of exercising more influence on WCARB/NCARB by encouraging its members to participate at officer levels of these two organizations.)

APPENDIX B**Committee Policy**Committees

The standing committees of the Board are the:

- Executive
- Professional Qualifications
- Regulatory and Enforcement
- Communications

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 meetings to complete assigned objectives and present them to the Board for consideration, clarification, direction, etc. before the end of the biennial 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

With the exception of the Executive Committee, each committee chair and vice chair shall be appointed by the Board president (in consultation with the vice president and EO) and shall be a Board member, absent extenuating circumstances (numerous vacancies on the Board). The Executive Committee shall be comprised of the current Board president, vice president, secretary, and the immediate past Board president. 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 every other 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 EO in preparing the report.

Approved by the Board June 14, 2012

Revised and approved by the Board on September 12, 2018

APPENDIX C

DCA Incompatible Work Activities (OHR 14-01)

APPENDIX D

Process for Annual Performance Evaluations of Executive Officer Memorandum
(Dated March 9, 2015)

DEPARTMENTAL POLICY



TITLE	INCOMPATIBLE WORK ACTIVITIES		
POLICY OWNER	OFFICE OF HUMAN RESOURCES		
POLICY NUMBER	OHR 14-01	SUPERSEDES	OHR 10-01
ISSUE DATE	NOVEMBER 24, 2014	EFFECTIVE	IMMEDIATELY
DISTRIBUTE TO	ALL EMPLOYEES		
ORIGINAL APPROVED BY	Original signature on file Awet P. Kidane Director		
NUMBER OF PAGES	1 of 10	ATTACHMENT	ATTACHMENT A

POLICY

It is the policy of the Department of Consumer Affairs (“DCA” and “Department”) that all policy directives and all laws, rules, and regulations concerning incompatible work activities are promoted and adhered to by its employees, governmental officials, and temporary staff.

APPLICABILITY

This policy applies to all employees, governmental officials, Board members and Bureau Advisory Committee members, and temporary staff of DCA, and any of its offices, divisions, bureaus, boards, programs, commissions, committees, and other constituent agencies. Within this policy, the terms “DCA” and “Department” apply to all of these entities.

PURPOSE

The purpose of this policy is to outline the State laws set forth in the standards of conduct with which State civil service officers and employees, and appointees and employees exempt from civil service are expected to comply. All employees of the DCA have a responsibility to their employer, their fellow employees, and the people of California to conduct themselves in an ethical manner so as not to bring discredit to themselves or the State and the Department.

AUTHORITY

- CA Government Code section 11475.10
- CA Government Code section 19990 et seq.
- CA Penal Code Section 502
- Executive Order B-66-2, "Standards of Ethical Conduct"
- Political Reform Act (CA Government Code section 81000 et seq.)
- Title II of the California Code of Regulations (CCR) section 599.859

PROVISIONS

Pursuant to Government Code section 19990 and Executive Order B-66-2, there is a code of ethical standards, which is applicable to State employees and gubernatorial appointees/exempt employees. This code of ethical standards is to be followed in addition to all other statutes, executive orders, or rules (i.e. the Fair Political Practices Act) which might affect questions of conflict of interest, incompatibility, or ethics relating to gubernatorial appointees/exempt employees.

Applicable portions of the Executive Order are stated below. Exempt employees are requested to carefully read these sections and to comply with both their letter and spirit:

Standards of Ethical Conduct for Exempt Appointees

"Standards of Ethical Conduct"

"No employment, activity, or enterprise shall be engaged in by any officer or employee of the Executive Department of the State which might result in, or create the appearance of resulting in any of the following:

- (1) **Using the prestige or influence of a State office or employment** for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
- (2) **Using State time, facilities, equipment, or supplies** for the officer's or employee's private gain or advantage, or the private gains or advantage of another.
- (3) **Using confidential information** acquired by virtue of State employment for the officer's or employee's private gain or advantage, or the private gain or advantage of another.
- (4) **Receiving or accepting money or any other consideration** from anyone other than the State for the performance of an act which the officer or employee would be required or expected to render in the regular course or hours of his [or her] State employment or as a part of his [or her] duties as a State officer or employee.
- (5) **Performance of an act in other than his [or her] capacity as a State officer or employee** knowing that such an act may later be subject, directly or indirectly, to the

control, inspection, review, audit or enforcement by such officer or employee or the agency by which he or she is employed. [This would not preclude an "industry" member of a board or commission from performing the normal functions of his or her occupation.]

- (6) **Receiving or accepting, directly or indirectly, any gift**, including money, any service, gratuity, favor, entertainment, hospitality, loan, or any other thing of value from anyone who is doing or is seeking to do business of any kind with the State or whose activities are regulated or controlled in any way by the State, under circumstances from which it reasonably could be inferred that the gift was intended to influence him or her in his or her official duties or was intended as a reward for any official action on his or her part." (Emphasis added.)

Responsibility of All Employees, Both Exempt and Civil Service

Employees of the DCA have a responsibility to their employer, their fellow employees, and the people of California to conduct themselves in an ethical manner so as not to bring discredit to themselves or the State and the Department.

This policy must be followed by each employee of the DCA in order to avoid activities which are clearly inconsistent, incompatible, or in conflict with his or her official duties. Employees must review this policy with consideration toward their particular job duties and responsibilities.

This policy specifically relates to incompatible activities and does not include all provisions of law or regulations with which employees must comply.

If an employee is uncertain as to whether certain activity, employment, or enterprise is in violation of this policy, the employee should immediately consult with his or her supervisor who will indicate in writing whether the activity, employment, or enterprise is prohibited.

To protect the integrity of the California State Civil Service, State law sets forth standards of conduct with which State civil service officers and employees are expected to comply. Section 19990 of the Government Code requires that:

“A state officer or employee shall not engage in any employment, activity, or enterprise which is clearly inconsistent, incompatible, in conflict with, or inimical to his or her duties as a state officer or employee.”

Each appointing power shall determine, subject to approval of the California Department of Human Resources (CalHR), those activities which, for employees under its jurisdiction, are inconsistent, incompatible, or in conflict with their duties as State officers or employees. Activities and enterprises deemed to fall in these categories shall include, but not be limited to, all of the following:

Using Prestige or Influence

- (a) Using the prestige or influence of the State or the appointing authority for the officer's or employee's private gain or advantage or the private gain of another.

Examples of such activities include:

1. *Soliciting business from persons licensed by the employee's employer (DCA entity) under the guise that the licensee may receive special benefits from the employee's agency.*
2. *Soliciting money from a licensee or from other departmental employees for the employee's private gain.*
3. *Providing or using the names and/or addresses of licensees, vendors, or other entities subject to regulation by DCA for mailing lists or solicitation unless authorized to do so as part of the employee's duties.*
4. *Using the badge, uniform, or identification card of a State position for private gain or advantage.*

Use of State Time, Facilities, etc.

- (b) Using State time, facilities, equipment, or supplies for private gain or advantage.

Examples of such activities include:

1. *Using State vehicles or credit cards for personal gain or for personal transactions.*
2. *Using State letterhead stationery for private correspondence.*
3. *Using State office supplies, State postage stamping facilities, State copy machines, or computer equipment and software for home or personal business.*
4. *Selling products such as cosmetics, jewelry, stationery, plastics, etc., at times other than regularly scheduled breaks and lunch periods, or to other employees when they are not on such breaks.*

Using Confidential Information

- (c) Using, or having access to, confidential information available due to State employment for private gain or advantage or providing confidential information to persons to whom issuance of said information has not been authorized may be inconsistent, incompatible or in conflict with a State employee's or officer's duties.

Examples of such activities include:

1. *Disclosing confidential investigative reports or confidential examination materials or information.*
2. *Providing or using, unless authorized to do so by the Department or by someone to whom that responsibility has been delegated, licensee social security numbers, birth dates, gender, and/or complaint activity reports.*

3. *Requesting, acquiring, examining, or disseminating confidential or employee personnel records or personal information maintained by the Department unless authorized in the assignment of related duties.*
4. *Willfully misusing, misplacing, or destroying confidential information, including but not limited to, the disclosure of passwords or permitting access to computer information systems, programs, or other data to unauthorized personnel.*

Accepting Money or Other Consideration

- (d) Receiving or accepting money, or any other consideration, from anyone other than the State for the performance of his or her duties as a State employee.

Examples of such activities include:

1. *Requesting or accepting money, or other consideration, from applicants or licensees for the priority processing of license applications.*
2. *Charging a fee for helping an applicant complete documents for licensure.*

Performance of an Activity

- (e) Performance of an activity, in other than his or her capacity as a State employee, which is subject directly or indirectly, to the control, inspection, review, audit, or enforcement by the employee.

Each DCA entity should evaluate its own mission and job classifications to determine what activities are covered by this category. Specific applications may vary by the DCA entity. The following examples are provided for guideline purposes only:

1. *Engaging in a personal medical practice or activity which is regulated by the employee's licensing board, when the employee's duties are to review, inspect, audit, or enforce the regulated activity.*
2. *Engaging in a nursing practice or activity which is regulated by the employee's licensing board, when the employee's duties are to review, inspect, audit, or enforce the regulated activity.*
3. *Engaging in a construction business or activity which is regulated by the employee's licensing board, when the employee's duties are to review, inspect, audit, or enforce the regulated activity.*
4. *Engaging in an automobile related business or activity which is regulated by the employee's bureau, when the employee's duties are to review, inspect, audit, or enforce the regulated activity.*

5. *Engaging in a private legal practice where the employee represents clients in any matter or venture subject to the regulation of an agency in DCA, or represents any licensee in any enforcement matter before a DCA entity.*

Exception to this Provision

Each DCA entity may determine that it is in the interests of the agency to allow specified employees to engage in activities which would otherwise be prohibited under the above guidelines. Examples may include allowing employees holding professional or vocational licenses to engage in the licensed business or profession in order to maintain current skills.

Any DCA entity deciding to allow such employment or activities shall develop criteria to evaluate whether requests to engage in such employment or activities will be approved. The criteria must include, but need not be limited to: the time-base of the employee, the benefit to the organization of the employment or activity, a policy to avoid an actual conflict of interest or the appearance of a conflict of interest, and periodic review of the employment or activity.

Any employee currently engaged in, or desiring to engage in, such employment or activities shall submit a written request to his or her supervisor, describing the type and scope of outside employment or activity. The supervisor shall review the request and make a recommendation to approve or disapprove the request, based on the criteria developed by the DCA entity. The request and recommendation shall be submitted through the supervisory chain to the Program Manager, Division Chief, Bureau Chief, Executive Officer, Executive Director, Registrar, Commissioner, or designee who will make the determination. The approving officer may review the matter with the DCA Legal Office and request legal review and a legal opinion regarding the proposed activity. The decision of the approving officer shall be in writing with reasons set forth for the decision.

If an exception request is denied, represented employees may request further review in accordance with the terms of the employee's Memorandum of Understanding.

Gratuities, Gifts, and Other Things of Value

- (f) Receiving or accepting, directly or indirectly, any gift, including money, or any service, gratuity, favor, entertainment, hospitality, loan, or other thing of value from anyone who is doing or seeking to do business of any kind with the employee's appointing authority, or whose activities are regulated or controlled by the appointing authority under circumstances from which it could reasonably be substantiated that the gift was intended to influence the employee in his or her official duties, or was intended as a reward for any official action performed by the employee.

Although this section does not preclude acceptance of gifts, it clearly establishes that if the intent of the giver is to influence future, or reward past, official actions, the gift cannot be accepted.

Since determining intent may be difficult, the following guidelines are provided:

1. *Does the value of the gift, in itself, suggest an intent other than routine hospitality or gratuity? It may be useful to apply the Fair Political Practices laws as a general guide. These laws require that certain employees (**only those who meet specific "Designated Employee" criteria**) shall not receive gifts that exceed \$460 during any twelve-month period from any one source; establish a financial interest between the source and the recipient; and must report gifts worth \$50 or more. Thus, it follows that gifts approaching these value limits could raise questions under Government Code Section 19990. In addition, gifts considerably below these limits can also be inappropriate if they raise concern under any of the following standards:*
 - a. *Do the circumstances surrounding the gift suggest an improper intent? For example, a gift given on the eve of an important decision involving the donor is of much greater concern than a routine holiday gift or an invitation to an annual reception. Gifts directly or indirectly identified as a reward for specific past decisions or actions usually raise questions of improper relationships.*
 - b. *Is the gift characteristic of the gratuities, hospitalities, or other items typically received from organizations and/or individuals, similar to the donor? The key here is to not accept a gift from one party, which could be viewed as an attempt to gain an advantage over others who have a similar relationship with the recipient.*
 - c. *How strongly does the form of the gift suggest that it is a routine part of an on-going business relationship as opposed to something more? For example, occasional business lunches or the receipt of mementos bearing the name or insignia of the donor raise fewer questions than gifts of cash, merchandise, extraneous travel or entertainment that have value beyond the business relationship.*

With consideration to the above-noted guidelines and rules set forth by the Fair Political Practices Commission, the best practice for addressing gifts (i.e. food, beverages, goods, etc.) is to always report them upon receipt to supervisors, regardless of the value of the gift. The supervisor will confer with Legal Affairs in making a determination to accept or return the gift.

DCA employees should not accept gifts for performing their expected scope of duties, as it creates the perception that employees can be influenced by gifts and gratuities, especially if the giver is a licensee or someone who will benefit from our services. A gift offered to one individual should not be accepted. If a gift is presented to an office, and it is determined to be acceptable, the gift may be shared with all employees within the office.

Not Devoting Full Time Efforts to State Office or Employment

- (g) Subject to any other laws, rules, or regulations as pertained thereto, not devoting his or her full time, attention, and efforts to his or her State office or employment during his or her hours of duty as a State employee.

An example of such activity would be conducting private or personal business during an employee's regular hours of duty.

Other Acts that May Be Incompatible

The aforementioned limitations do not attempt to specify every possible limitation on employee activity that might be determined and prescribed under the authority of Section 19990 of the Government Code. If later experience shows a need for additions to, deletions from, or clarification of the aforementioned limitations, the DCA will request the approval of CalHR in making changes it determines necessary. Upon such approval, the listing will be amended. Nothing in this statement or listing should be construed by any employee as the sole provisions of law and administrative rules, which should be observed by each State employee of this Department.

Procedures for Determining Incompatible Work Activity

This procedure applies to all requests to engage in outside employment or activity other than a request for an exemption from the prohibitions contained in Government Code Section 19990(e). To determine whether an activity is an Incompatible Work Activity, the following procedures shall be performed:

- Any DCA employee who is engaging, or intends to engage, in outside employment or an activity or enterprise which may be in conflict with the provisions of this policy shall submit a written request for review of the matter to his or her immediate supervisor.

The written request from the employee shall include the following information:

1. The name of the employee.
 2. The name of the DCA entity, i.e., the office, board, bureau, committee, commission, division, or program under which the person is employed.
 3. The classification of the employee.
 4. The collective bargaining unit representing the employee, if applicable.
 5. The employee's duty statement, along with a statement describing the extent to which the employee's duties pertain to any confidential information that would come under his or her direct review.
 6. A detailed description of the specific activity in which the employee intends to engage.
- The immediate supervisor shall review the request and discuss it with the head of the DCA entity, as applicable.
 - The head of the DCA entity may review the matter with the DCA's Legal Office and request a legal opinion on whether the proposed activity is prohibited by the DCA's Incompatible Work Activity Policy.
 - If the activity is determined to be compatible with the employee's duties or position, the employee's supervisor will approve the employee's request, and

the employee may continue to, or proceed to, engage in the activity or business.

- If activity is determined to be incompatible with the employee's duties or position, the supervisor shall provide a written statement detailing the reason(s) for the denial to the employee.

Represented employees may appeal a denial in accordance with the terms of the employee's Memorandum of Understanding (MOU). Non-represented employees may appeal under CCR 599.859 to the DCA Director. In all cases, the DCA Director's decision shall be final.

Appeal Process

If an employee is notified that he/she has violated any provision of this statement, or if an employee is notified that any outside employment in which the employee wishes to engage is in violation of any provision of this statement, the employee may file an appeal as follows:

1. The employee may appeal the determination to the Director/Chief Deputy Director within ten (10) working days after receipt of denial. The appeal should contain:
 - a. A copy of the original request for clarification;
 - b. The response prepared by the Deputy Director of the Administrative Services Division; and
 - c. A statement explaining why the employee believes the employment, activity, or enterprise in question is not incompatible, inconsistent, or in conflict with his/her assigned duties as a State employee.
2. Within fifteen (15) working days after receipt of the appeal, the Director/Chief Deputy Director or his/her designee will meet with the Deputy Director of the Administrative Services Division and the appropriate Division Chief to review the appeal and issue a final determination. The employee will be advised of the time and date of said meeting and will be given an opportunity to attend.

If the employee submits proof to the Director/Chief Deputy Director that the length of the appeal process would cause him/her to lose the opportunity to participate in the employment, activity, or enterprise in question, an accelerated appeal procedure may be used. Under this procedure, the employee is required to submit the appeal to the Director/Chief Deputy Director within five (5) working days of receipt of the determination from the Deputy Director of the Administrative Services Division. The Director/Chief Deputy Director or her/his designee shall respond with a final determination within fifteen (15) working days.

Service on Governmental Bodies

Service on a local appointed or elected governmental board, bureau, commission, committee, program, or other body or as a local elected official by DCA attorney shall not, by itself, be deemed to be inconsistent, incompatible, in conflict with, or inimical to, the

duties of the attorney as a State employee and shall not result in the automatic vacation of either office.

Nothing in this section shall be construed to prohibit a DCA attorney from serving on any other appointed or elected governmental board, commission, committee, or other body, consistent with all applicable conflict-of-interest statutes and regulations and judicial canons of ethics.

RECOMMENDED IMPLEMENTATION

This policy shall be distributed to all new employees in new employee packets or transfer packets for their review and acknowledgment.

In addition, the Department will emphasize this policy by distributing it on an annual basis to all employees to ensure everyone completes the “Incompatible Work Activities Acknowledgment” (Attachment A).

VIOLATIONS

Failure to follow any of the provisions of this policy is cause for discipline, which may include termination of employment.

In addition, any tampering, interference, damage, or unauthorized access to computer data or computer systems may constitute a criminal violation of Penal Code section 502.

REVISIONS

Determination of the need for revisions and/or the status or maintenance of this policy should be directed to the Division of Program & Policy Review at (916) 574-7970.

ATTACHMENTS

A. Incompatible Work Activities Acknowledgement OHR 14-01

Incompatible Work Activities OHR 14-01

I hereby acknowledge receipt of the Department of Consumer Affairs (DCA)
Incompatible Work Activities Policy OHR 14-01.

- ____ 1. I understand that I shall read the Policy and become familiar with its contents.
- ____ 2. I understand that I need to take all reasonable steps to comply with this policy.
- ____ 3. I understand that this completed Acknowledgement will become a permanent part of my Official Personnel File (OPF).
- ____ 4. I understand that my signature on this Acknowledgement does not modify my employment relationship with DCA as set forth in the most current Memorandum of Understanding (MOU) appropriate to my employee bargaining unit.

(Printed Name)

(Signature)

(Date)

(Board/Bureau/Committee/Commission/Program/Division/Office)

Original: Office of Human Resources (Official Personnel File)
Copies: Employee, Supervisor

Office of Human Resources

1625 N. Market Blvd. Suite N-321, Sacramento, CA 95834
P (916) 574-8300 F (916) 574-8608



MEMORANDUM

DATE	March 9, 2015
TO	Board Presidents and Chairpersons
FROM	Original Signature on File Jeffrey Sears, Personnel Officer Department of Consumer Affairs
SUBJECT	Process for Annual Performance Evaluations of Executive Officer

This memorandum revises and updates the February 14, 2013, memo that outlined the process by which boards, committees or commissions (hereafter, "Board") evaluate their Executive Officer (EO), a generic term which is intended to also include Executive Directors and Registrars.

The Performance Appraisal process, which is outlined on the following pages, is based on the principle that performance should be evaluated on a regular basis in order to provide recognition of effective performance and as a tool to provide guidance in improving future performance. In accordance with best practices, the Office of Human Resources recommends that each Board:

- Provide a written evaluation of EO performance each year, which advises the EO of past performance
- Provide constructive, job-related comments and specific examples of work done well and work that could be improved.
- If applicable, provide suggestions identifying specific ways in which the EO can improve performance in the coming year.
- Place this topic on the agenda for the next Board Meeting in 2015, and annually thereafter. For the agenda, provide a copy of this memo (or successor memos on this topic) and the Board Chair/Executive Officer Supervisory Expectations memo (attached) to ensure all Board Members are aware of the EO Evaluation Process and the administrative expectations for the EO.

This topic is now included in the orientation training for new Board Members to ensure the information is disseminated in the future.

A new revision to the *Performance Appraisal for Executive Officer (Evaluation Form)* is attached to the email distributing this process revision, and will also be available to Board staff on the DCA Intranet.

Executive Officer Performance Evaluation Process

The DCA recommends all Boards adhere to the process below, which meets Bagley-Keene Open Meeting Act requirements.

1. When a Board is ready to begin the evaluation process:
 - Determine the Board Meeting when the evaluation will occur and provide proper notice of the evaluation in the meeting agenda. Suggested language for the agenda:
Item # -- **CLOSED SESSION**
"The Board will meet in Closed Session pursuant to Government Code Section 11126(a)(1) to conduct its annual evaluation of its Executive Officer."
 - Ask DCA OHR staff or Board staff to provide the *Performance Appraisal for Executive Officer (Evaluation Form)* to each Member - ideally, two weeks prior to the Meeting.
2. Prior to the Board Meeting during which the EO evaluation will occur, each Board Member independently completes the **Evaluation Form**, rating and commenting on the EO's performance in each applicable category.
3. Prior to the Board Meeting during which the EO evaluation will occur, the Board President/Chairperson should contact the appropriate DCA OHR staff (the Personnel Officer or assigned Personnel Analyst) to discuss the EO's current salary, salary increase potential and any salary restrictions which may be in place.

At the Board Meeting, the EO's performance is discussed by all Board Members in a closed session under Government Code section 11126(a)(1), in accordance with the agenda. Assigned DCA Counsel may assist the Board during this process. The Board may NOT take any action to dismiss or hear any charges brought against the EO.

4. Board Members must:
 - Discuss ratings for each category and any job-related comments for that category.
 - Determine the final ratings for each category and which, if any, comments will be included in the final evaluation.
 - If applicable¹, determine a recommended salary increase and effective date.
5. After the Board has reached consensus on the final ratings and on which comments will be included, the Board's designee – generally, the Board President/Chairperson - prepares a final **Evaluation Form** reflecting the Board's assessment of the EO's performance and includes any job-related comments which the Members deem necessary in order to communicate successes in the past year and any suggestions for improvement.

¹ The Board, via the **Evaluation Form**, may make a recommendation to the Administration to authorize a salary increase. The increase may not exceed the maximum of the salary range for the exempt level assigned to the EO for that Board.

- If applicable, the final **Evaluation Form** should provide the EO with specific examples of areas for improvement. The Board's suggestions for improvement must be realistic.
 - The Board's salary increase recommendation and a prospective effective date are reported on the final **Evaluation Form**. Note: The effective date is typically at the beginning of a month, and should be at least thirty (30) days from the meeting date, to allow adequate time for review and approval of the request.
6. After the final **Evaluation Form** is completed, the Board President/Chairperson or designee meets with the EO to discuss his/her performance, the ratings and any comments provided by the Board Members. At the conclusion of the meeting, both must sign the final **Evaluation Form**. A signed copy is provided to the EO.
 7. After the Board President/Chairperson and the EO sign the final **Evaluation Form**, the original is forwarded in a confidential envelope to the Office of Human Resources (Attention: DCA Personnel Officer, at the address on page 1 of this memo), to be filed in the EO's Official Personnel File.
 8. If the Board has recommended a salary increase, the DCA OHR will prepare the documents to submit the request for final approval, based on the salary increase information and effective date indicated on the final **Evaluation Form**.

Reporting Board Action at Next Board Meeting

The Open Meeting Act requires that, after a closed session where there was an action taken to appoint, employ, or dismiss a public employee, the Board must, during open session at a subsequent public meeting, report that action and the roll call vote, if any was taken. A routine annual evaluation does not need to be reported out. If a Board meeting was held via teleconference, a roll call vote is required, and it will therefore be reported.

Questions regarding this process should be directed to Christine Lally, DCA Deputy Director for Board and Bureau Relations, at (916) 574-8200 or Jeffrey Sears, DCA Personnel Officer, at (916) 574-8301.

Attachment: Board Chair/Executive Officer Supervisory Expectations memo

cc: Awet Kidane, Director
Tracy Rhine, Chief Deputy Director
Christine Lally, Deputy Director, Board and Bureau Relations
Doreathea Johnson, Deputy Director, Legal Affairs
Tonya Corcoran, Deputy Director, Office of Administrative Services
All Board Executive Officers, Executive Directors and Registrars
All DCA Attorneys
OHR Classification and Pay Managers and Analysts



PERFORMANCE APPRAISAL

FOR

EXECUTIVE
OFFICER

(including
Executive Director
and
Registrar)

*Prepared by
Department of Consumer Affairs
Office of Human Resources
1625 N. Market Blvd. Suite N-321
Sacramento, CA 95834
(Revised February 2015)*



Executive Officer **PERFORMANCE APPRAISAL**

INSTRUCTIONS

1. The DCA Performance Appraisal process system is based on the principle that performance should be evaluated on a regular basis in order to provide recognition of effective performance and as a tool to provide guidance in improving future performance.
2. If the Executive Officer (hereafter, "EO", which includes Executive Director and Registrar) is not at the maximum range of salary, the Board, Committee or Commission (hereafter, "Board") may recommend a salary increase for the EO. To qualify for such increases, the EO must meet or exceed performance expectations, as determined by the Board. This form is used to document the Board's recommendation for a salary increase.
3. To indicate the rating of any performance factor, an "X" mark should be placed in the appropriate rating column and in the "Overall Rating" column on each page. Additional spaces have been provided to accommodate other critical performance factors identified by the Board.
4. Comments to the Executive Officer should:
 - Be constructive and provide guidance for future performance;
 - Include factual examples of work especially well or poorly done, and
 - Give specific suggestions for performance improvement.
5. The Overall Ratings must be consistent with the factor ratings and comments, but there is no prescribed formula for computing the Overall Rating.
6. Overall Comments may consist of a summary of comments from specific categories, general comments or comments on other job-related factors which the rater wishes to discuss. Additional pages may be attached.
7. The Board President/Chairperson will discuss the appraisal with the EO and give him or her a signed copy. In signing the appraisal, the EO merely acknowledges that s/he has reviewed the appraisal and has discussed it with the rater. His/her signature does not indicate agreement with the ratings or comments.
8. The original copy of the appraisal, signed by both the Board President/Chairperson and the EO, will be maintained by the Department of Consumer Affairs, in the Executive Officer's Official Personnel File.



EXECUTIVE OFFICER PERFORMANCE APPRAISAL RATING SYSTEM

The rating system consists of five (5) Ratings Categories, as defined below:

Outstanding

Performance significantly exceeds the Board's expectations due to the efforts and ability of the Executive Officer when considering the job in its entirety. Significantly above-standard performance may be exhibited by consistently completing assignments in advance of deadlines; implementing plans and/or procedures to increase efficiency or effectiveness of work; working independently with little direction; and consistently meeting Board goals.

Above Average

Performance exceeds the Board's expectations due to the efforts and ability of the Executive Officer when considering the job in its entirety. Performance is beyond what is expected of an Executive Officer in this position.

Average

Performance of the Executive Officer meets the minimum expectations of the Board. The Executive Officer adequately performs the duties and responsibilities of the position.

Needs Improvement

The Executive Officer's performance fails to meet the Board's minimum expectations due to lack of effort and/or ability when considering the job in its entirety. Performance requires improvement in numerous and/or important aspects of the position.

Not Applicable

Rater is unable to assess the Executive Officer in this area, or the area is not applicable to the employee's job.



Executive Officer
PERFORMANCE APPRAISAL
OVERALL RATING

NAME OF EO:

NAME OF BOARD:

DATE OF BOARD MEETING WHEN RATING OCCURRED:

The overall rating must be consistent with the factor rating and comments, but there is no prescribed formula for computing the overall rating. The rating system is described on page 2.

☐ **OUTSTANDING**

☐ **ABOVE AVERAGE**

☐ **AVERAGE**

☐ **NEEDS IMPROVEMENT**

OVERALL COMMENTS *(Attach additional pages, if necessary)*

I HAVE PARTICIPATED IN A DISCUSSION OF OVERALL JOB PERFORMANCE

EO Signature: _____

Date: _____

Chairperson/President Signature: _____

Date: _____

Salary Increase recommendation (if applicable):

☐ No increase ☐ No increase (at maximum) ☐ Recommended Increase: _____%

Effective Date of Salary Increase: _____



Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	1. Relationship with the Board	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Maintains respect and trust of Board members.					
2	Provides Board with advice during consideration of issues.					
3	Keeps Board informed of progress of Board programs on a regular basis.					
4	Remains impartial and treats all Board members in a professional manner.					
5	Functions as an effective liaison between Board and Board Staff.					
6	Provides Board with complete, clear, and accurate reports, minutes, etc.					
7	Responds promptly to requests for information from Board members.					
8	Is readily available to Board members.					
9	Responds appropriately to constructive suggestions from Board members.					
	OVERALL RATING: Relationship with the Board					

Comments: (Attach additional pages, if necessary)



Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	2. Execution of Board Policy	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Understands and compiles with the overall policies, laws and regulations of the Board.					
2	Implements Board policies.					
3	Efforts lead toward successful accomplishment of goals.					
	OVERALL RATING: Execution of Board Policy					

Comments: (Attach additional pages, if necessary)



Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	3. Board Programs	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Ensures effective and efficient management of enforcement programs.					
2	Keeps Board apprised of enforcement program and process developments.					
3	Maintains security of examination process.					
4	Monitors validity/defensibility of examinations and provides appropriate recommendations for action.					
5	Monitors and identifies trends in candidate qualifications, pass/fail rates, etc.					
6	Resolves problems which arise in the exam process.					
7	Keeps Board apprised of exam program and process developments.					
8	Keeps Board apprised of licensing program and process developments.					
	OVERALL RATING: Board Programs					

Comments: (Attach additional pages, if necessary)



Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	4. Governmental Relations	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Keeps the Department of Consumer Affairs informed of Board issues, problems, and accomplishments.					
2	Maintains a positive working relationship with other State Agencies.					
3	Manages Board legislative program and efforts.					
4	Manages sunset review process.					
5	Acts a liaison and participates in national organizations, federations or alliances.					
6	Represents the Board effectively before the Legislature.					
	OVERALL RATING: Governmental Relations					

Comments: (Attach additional pages, if necessary)

Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	5. Administrative Functions	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Plans, organizes and directs Board administrative functions and staff.					
2	Provides oversight, direction and management of the Board's annual budget, expenditures and revenues.					
3	Keeps Board apprised of budget developments.					
4	Identifies, recommends and, as directed, seeks necessary changes to laws and regulations through proposed legislation and/or the Office of Administrative Law (OAL).					
5	Ensures compliance and enforcement of departmental, state and federal policies and procedures.					
6	Develops and executes sound personnel practices and procedures.					
	OVERALL RATING: Administrative Functions					

Comments: (Attach additional pages, if necessary)

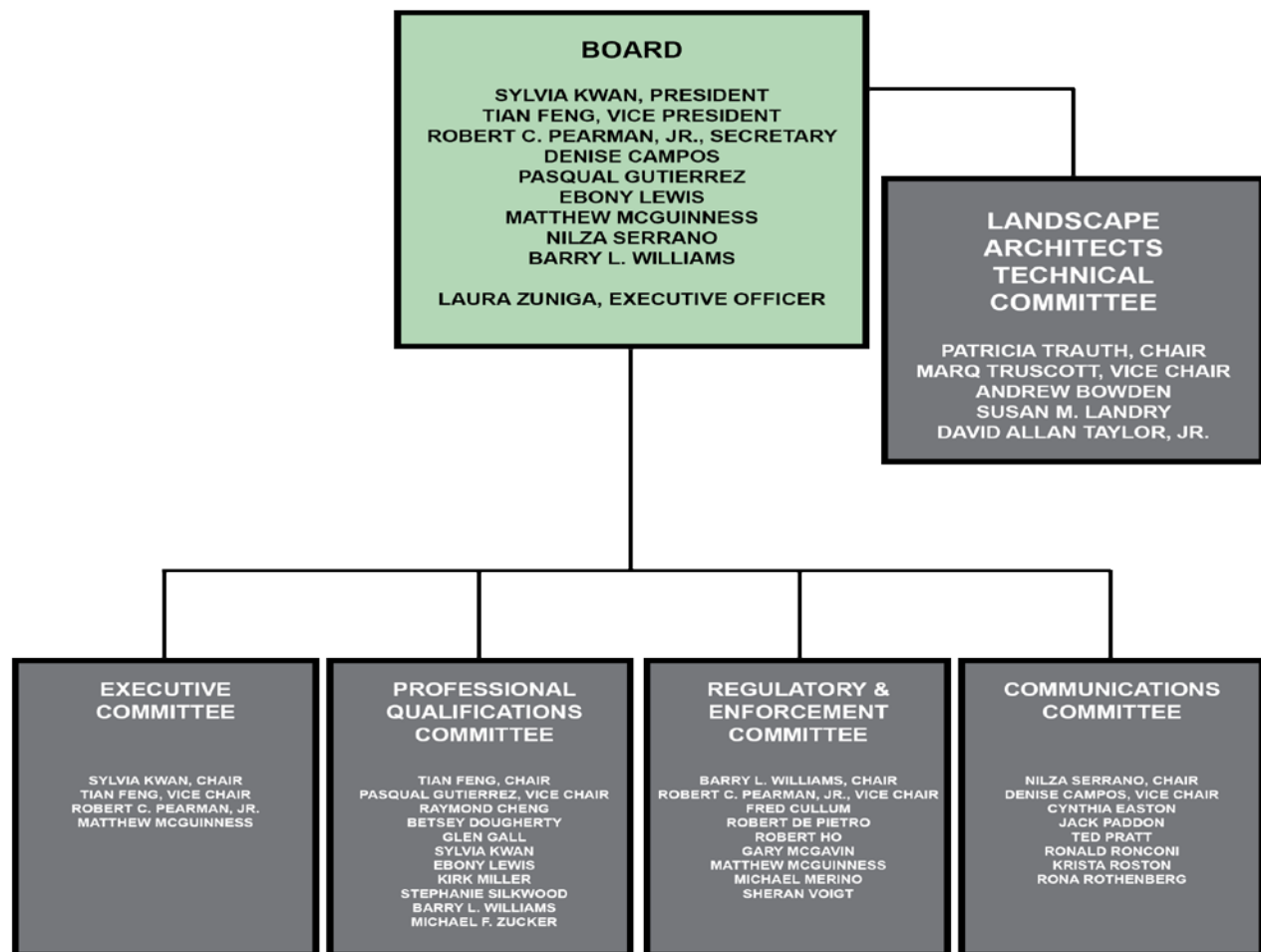


Executive Officer
PERFORMANCE APPRAISAL

Performance Factor		Ratings				
	6. Public Liaison	Outstanding	Above Average	Average	Needs Improvement	Not Applicable
1	Represents the Board before the public.					
2	Directs consumer outreach programs.					
3	Manages Board's public relations effort.					
4	Directs liaison with educational institutions.					
5	Solicits and gives attention to problems and opinions of all groups and individuals.					
6	Represents the Board before industry associations to provide information regarding the Board's laws, regulations, programs and policies.					
	OVERALL RATING: Public Liaison					

Comments: (Attach additional pages, if necessary)

Committee Organizational Chart



- 1. California Architects Board Occupational Analysis of the Architect Profession (November 2014)**
- 2. Review of the National Council of Architectural Registration Boards Architect Registration Examination – Executive Summary**

CALIFORNIA ARCHITECTS BOARD

OCCUPATIONAL ANALYSIS OF THE ARCHITECT PROFESSION



OFFICE OF PROFESSIONAL EXAMINATION SERVICES



CALIFORNIA ARCHITECTS BOARD

OCCUPATIONAL ANALYSIS OF THE ARCHITECT PROFESSION

This report was prepared and written by the
Office of Professional Examination Services
California Department of Consumer Affairs

NOVEMBER 2014

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EXECUTIVE SUMMARY

The California Architects Board (Board) requested that the Department of Consumer Affairs' Office of Professional Examination Services (OPES) conduct an occupational analysis of Architect practice in California. The purpose of the occupational analysis is to define practice for Architects in terms of actual job tasks that new licensees must be able to perform safely and competently at the time of licensure. The results of this occupational analysis serve as the basis for determining the tasks and knowledge that make up the description of practice for the Architect profession in California. The major steps of the occupational analysis were conducted between March 2014 and September 2014.

OPES test specialists began by researching the profession and conducting stakeholder and practitioner focus groups. The purpose of the stakeholder focus groups was to identify the qualities stakeholders believed an Architect should possess and the areas of Architect practice that stakeholders felt could be improved. The stakeholder focus groups included a contractors group, a group of various engineering professionals and landscape architects, and a building officials group. The focus group of Architect practitioners was held to review the results of the stakeholder focus groups and to identify changes and trends in California Architect practice anticipated over the next five to eight years.

OPES also conducted telephone interviews with 11 Architects throughout California. The purpose of the practitioner telephone interviews was to identify the tasks performed by newly licensed Architects, and the knowledge required to perform those tasks in a safe and competent manner. The interviews were also used to follow up on topics arising from the focus groups and to inform the development of a preliminary list of tasks and knowledge statements.

Following the stakeholder focus groups and practitioner interviews, two additional Architect practitioner focus groups were convened by OPES. The purpose of these sessions was to review the results of the previous focus groups and interviews, and to develop and refine the task and knowledge statements derived from the interviews, focus groups, and research. These practitioners also performed a preliminary linkage of the task and knowledge statements to ensure all tasks had a related knowledge and all knowledge statements had a related task. New task and knowledge statements were created as a result of this process, and some statements were eliminated from the final list due to overlap and reconciliation. These practitioners also developed the demographic items for inclusion in the survey.

OPES developed the three-part questionnaire that was completed by Architects statewide. Development of the questionnaire included a pilot study which was conducted using a group of 16 licensees. The participants' feedback was used to refine the questionnaire.

In the first part of the questionnaire, licensees were asked to provide demographic information relating to their work settings and practice. In the second part, the licensees were asked to rate specific job tasks in terms of frequency (i.e., how often the licensee performs the task in the licensee's current practice) and importance (i.e., how important the task is to performance of the licensee's current practice). In the third part of the questionnaire, licensees were asked to rate specific knowledge statements in terms of how important that knowledge is to performance of their current practice.

The Board provided OPES with the email addresses for 8,902 licensees. After reviewing the response rates of previous occupational analysis studies, it was decided to include all 8,902 practitioners in the current occupational analysis. The Board sent notification emails to all 8,902 Architects, inviting them to complete the questionnaire online. Eighteen percent of the invited licensees (1,603) responded by accessing the Web-based survey. The final sample size included in the data analysis was 1,511, or 17 percent of the group invited to complete the questionnaire. This response rate reflects two adjustments, the details of which are described in the Response Rate section of this report. The group of respondents is representative of the California Architect population based on the sample's demographic composition.

OPES then performed data analyses on the task and knowledge rating responses. OPES combined the task ratings to derive an overall criticality index for each task statement. The mean importance rating was used as the criticality index for each knowledge statement.

After the data was analyzed, two additional focus groups were conducted with licensed Architects. The purpose of these focus groups was to evaluate the criticality indices and determine whether any task or knowledge statements should be eliminated. The licensees in these groups also established the linkage between job tasks and knowledge statements, organized the task and knowledge statements into content areas, and defined those areas. The licensees then evaluated and confirmed the content area weights.

The resulting description of practice for California Architects is structured into six content areas. The description of practice specifies the job tasks and knowledge critical to safe and effective Architect practice in California at the time of licensure and forms the basis for the content included in the examination outline.

The new examination outline for the Architect California Specific Examination (CSE) is structured into four content areas weighted by criticality relative to the other content areas. The CSE examination outline specifies the job tasks and knowledge specific to California practice that a California-licensed Architect is expected to have mastered at the time of licensure. An overview of the final examination outline is provided below.

OVERVIEW OF THE ARCHITECT CSE EXAMINATION OUTLINE

Content Area	Content Area Description	Percent Weight
I. General Practice	This area assesses the candidate's knowledge related to core areas of practice applicable across types of projects, construction contract arrangements, and project delivery methods.	6
II. Programming / Design	This area assesses the candidate's ability to identify and evaluate site and project opportunities and constraints in developing design concepts that meet the client's, user's, and stakeholder's needs and applicable California regulations.	44
III. Development / Documentation	This area assesses the candidate's knowledge regarding developing design solutions, managing a project team, and preparing design and construction drawings and documents in conformance with the project program and applicable California regulations.	40
IV. Bidding and Construction	This area assesses the candidate's knowledge related to California regulations associated with project bidding, construction, and post-construction activities.	10
Total		100

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CHAPTER 1. INTRODUCTION

PURPOSE OF THE OCCUPATIONAL ANALYSIS

The California Architects Board (Board) requested that the Department of Consumer Affairs' Office of Professional Examination Services (OPES) conduct an occupational analysis to identify critical job activities performed by licensed Architects. This occupational analysis was part of the Board's comprehensive review of Architect practice in California. The purpose of the occupational analysis is to define practice for Architects in terms of actual job tasks that new licensees must be able to perform safely and competently at the time of licensure. The results of this occupational analysis serve as the basis for determining the tasks and knowledge that make up the description of practice for the Architect profession in California.

CONTENT VALIDATION STRATEGY

OPES used a content validation strategy to ensure that the occupational analysis reflected the actual tasks performed by Architects in independent practice. The technical expertise of California-licensed Architects was used throughout the occupational analysis process to ensure the identified task and knowledge statements directly reflect requirements for performance in current practice.

UTILIZATION OF SUBJECT MATTER EXPERTS

The Board selected licensed Architects to participate as subject matter experts (SMEs) during various phases of the occupational analysis. These Architects were selected from a broad range of practice settings, geographic locations, and experience backgrounds. The SMEs provided information regarding the different aspects of current Architect practice during the development phase of the occupational analysis, and participated in focus groups to review the content of task and knowledge statements for technical accuracy prior to administration of the occupational analysis questionnaire. Following administration of the occupational analysis questionnaire, additional focus groups of SMEs were convened at OPES to review the results, finalize the description of practice, and develop the examination plan for the Architect California Supplemental Examination (CSE).

ADHERENCE TO LEGAL STANDARDS AND GUIDELINES

Licensing, certification, and registration programs in the State of California adhere strictly to federal and State laws and regulations and professional guidelines and technical standards. For the purpose of occupational analysis, the following laws and guidelines are authoritative:

- California Business and Professions Code, Section 139.
- Uniform Guidelines on Employee Selection Procedures (1978), Code of Federal Regulations, Title 29, Section 1607.
- California Fair Employment and Housing Act, Government Code, Section 12944.
- *Principles for the Validation and Use of Personnel Selection Procedures* (2003), Society for Industrial and Organizational Psychology (SIOP).
- *Standards for Educational and Psychological Testing* (1999), American Educational Research Association, American Psychological Association, and National Council on Measurement in Education.

For a licensure program to meet these standards, it must be solidly based upon the job activities required for practice.

DESCRIPTION OF OCCUPATION

The Architect occupation is described as follows in the California Business and Professions Code, Section 5500.1:

- (a) The practice of architecture within the meaning and intent of this chapter is defined as offering or performing, or being in responsible control of, professional services which require the skills of an architect in the planning of sites, and the design, in whole or in part, of buildings, or groups of buildings and structures.*
- (b) Architects' professional services may include any or all of the following:*
- (1) Investigation, evaluation, consultation, and advice.*
 - (2) Planning, schematic and preliminary studies, designs, working drawings, and specifications.*
 - (3) Coordination of the work of technical and special consultants.*
 - (4) Compliance with generally applicable codes and regulations, and assistance in the governmental review process.*
 - (5) Technical assistance in the preparation of bid documents and agreements between clients and contractors.*
 - (6) Contract administration.*
 - (7) Construction observation.*
- (c) As a condition for licensure, architects shall demonstrate a basic level of competence in the professional services listed in subdivision (b) in examinations administered under this chapter.*

CHAPTER 2. OCCUPATIONAL ANALYSIS QUESTIONNAIRE

STAKEHOLDER AND PRACTITIONER FOCUS GROUPS

OPES test specialists began by researching the profession and conducting three stakeholder focus groups and one practitioner focus group. The stakeholder focus groups were held at OPES in March 2014, and included a contractor group, a group of various engineering professionals (structural engineers, civil engineers, and mechanical engineers) and landscape architects, and a group of building officials. The purpose of the stakeholder focus groups was to identify the qualities stakeholders believed an Architect should possess and the areas of Architect practice that stakeholders felt could be improved. The focus group of Architect practitioners was held at OPES in March 2014 to review the results of the stakeholder focus groups and to identify changes and trends in California Architect practice anticipated over the next five to eight years.

SUBJECT MATTER EXPERT INTERVIEWS

The Board provided OPES with a list of California-licensed Architects to contact for telephone interviews. During the semi-structured interviews, licensed Architects were asked to identify all of the activities performed that are specific to the Architect profession. The interviews confirmed major content areas of newly licensed Architect practice and the job tasks performed in each content area. The licensees were also asked to identify the knowledge necessary for newly licensed Architects to perform each job task safely and competently.

TASK AND KNOWLEDGE STATEMENTS

OPES staff integrated the information obtained from the focus groups of stakeholders and practitioners, the interviews, and from prior studies of the profession. OPES then developed a preliminary list task and knowledge statements, organizing the statements into major areas of practice.

In May 2014, OPES facilitated two focus groups of Architects to evaluate the task and knowledge statements for technical accuracy and comprehensiveness, and to assign each statement to the appropriate content area. The groups verified that the content areas were independent and non-overlapping, and performed a preliminary linkage of the task and knowledge statements to ensure that every task had a related knowledge and every knowledge statement had a related task. Additional task and knowledge statements were created as needed to complete the scope of the content areas.

The finalized lists of task and knowledge statements were developed into an online questionnaire that was eventually completed and evaluated by a sample of Architects throughout California.

QUESTIONNAIRE DEVELOPMENT

OPES developed the online occupational analysis survey, a questionnaire soliciting licensees' ratings of the job task and knowledge statements for the purpose of analysis. The surveyed Architects were instructed to rate each job task in terms of how often they performed the task (FREQUENCY), and how important the task was to the performance of their current practice (IMPORTANCE). In addition, they were instructed to rate each knowledge statement in terms of how important the specific knowledge was to the performance of their current practice (IMPORTANCE). The questionnaire also included a demographic section for purposes of developing an accurate profile of the respondents. The questionnaire can be found in Appendix F.

PILOT STUDY

Prior to developing the final questionnaire, OPES prepared an online pilot survey. The pilot questionnaire was reviewed by the Board and a group of 16 SMEs for feedback about the technical accuracy of the task and knowledge statements, estimated time for completion, online navigation, and ease of use. OPES used this feedback to develop the final questionnaire.

CHAPTER 3. RESPONSE RATE AND DEMOGRAPHICS

SAMPLING STRATEGY AND RESPONSE RATE

The Board sent notification emails to all Architects with active licenses in California for whom it had an email address (8,902 licensees), inviting them to complete the questionnaire online. The online format allowed for several enhancements to the survey and data collection process. As part of the survey development, configuration, and analysis process, various criteria were established to exclude invalid participants and capture data automatically, significantly reducing data input errors.

Eighteen percent of the licensed Architects in the sample (1,603) responded by accessing the Web-based survey. The final sample size included in the data analysis was 1,511, or 17 percent of the population that was invited to complete the questionnaire. This response rate (17 percent) reflects two adjustments. First, data from respondents who indicated they were not currently licensed and practicing as Architects in California were excluded from analysis. And second, the reconciliation process removed surveys containing incomplete and unresponsive data. The respondent sample was representative of the population of California Architects based on the sample's demographic composition.

DEMOGRAPHIC SUMMARY

Of the respondents included in the analysis, 24 percent had been practicing as an Architect for 5 years or less, 29 percent had been practicing between 6 and 20 years, and 46 percent had been practicing for more than 20 years.

Sixty percent of respondents earned a bachelor's degree as their highest level of education and 33 percent had earned a master's degree. Respondents reported having between 3 to 6 years (33 percent) and 7 to 10 years (28 percent) of pre-licensure experience working in architecture before obtaining their Architect's license.

The majority of respondents (61.3 percent) worked in architecture 4 to 10 years before obtaining licensure in California. Most respondents reported working 40 or more hours per week (71 percent) in an architecture firm (74.7 percent) as either the sole Architect (33 percent) or as one of 1 to 5 Architects employed by the firm (32 percent).

When describing the types of projects they considered a specialty based on expertise and experience, the majority of respondents listed residential (62.3 percent) and commercial (61 percent) projects. Following closely were education (37.7 percent), health care (27.2 percent), hospitality (25.4 percent), institutional (24.2 percent), and industrial projects (23.3 percent).

The respondents reported that, on the average, 27.4 percent of their time was spent on construction documents, followed by project management activities (17.8 percent), design (17.7 percent), management/administrative work (15.2 percent), and construction administration activities (14.2 percent).

Finally, the respondents were also asked to review their projects over the previous five years. The primary construction contract arrangements reported by the respondents were Design-Bid-Build (58.6 percent), Guaranteed Max Price (45 percent), and Fee plus Cost (36.7 percent). The most frequent project delivery methods reported were Design-Bid-Build (61.5 percent), Design-Owner Build (32.1 percent), and Design-Build (31.9 percent).

The demographic information from the respondents can be found in Tables 1 through 18.

TABLE 1 – NUMBER OF YEARS LICENSED AND PRACTICING IN CALIFORNIA AS AN ARCHITECT

YEARS	N	PERCENT
0 to 5	361	23.9
6 to 10	187	12.4
11 to 20	253	16.7
More than 20	700	46.3
Missing	10	.7
Total	1,511	100

FIGURE 1 – NUMBER OF YEARS LICENSED AND PRACTICING IN CALIFORNIA AS AN ARCHITECT

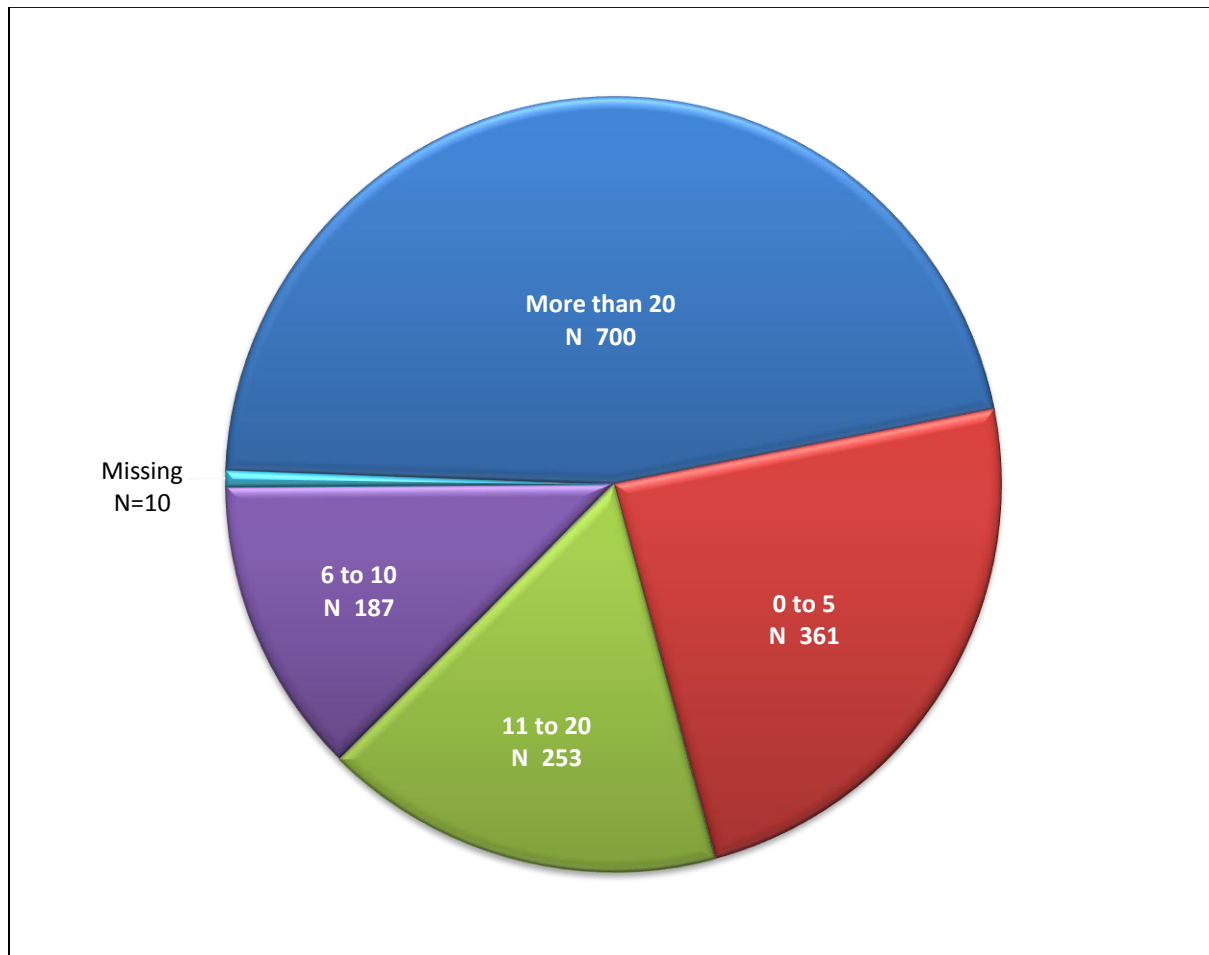


TABLE 2 – YEARS WORKED IN ARCHITECTURE BEFORE OBTAINING CALIFORNIA LICENSE

YEARS	N	PERCENT
0 to 3 years	216	14.3
4 to 6 years	502	33.2
7 to 10 years	424	28.1
11 to 15 years	210	13.9
More than 15 years	154	10.2
Subtotal	1,506	99.7
Missing	5	.3
Total	1,511	100

FIGURE 2 – YEARS WORKED IN ARCHITECTURE BEFORE OBTAINING CALIFORNIA LICENSE

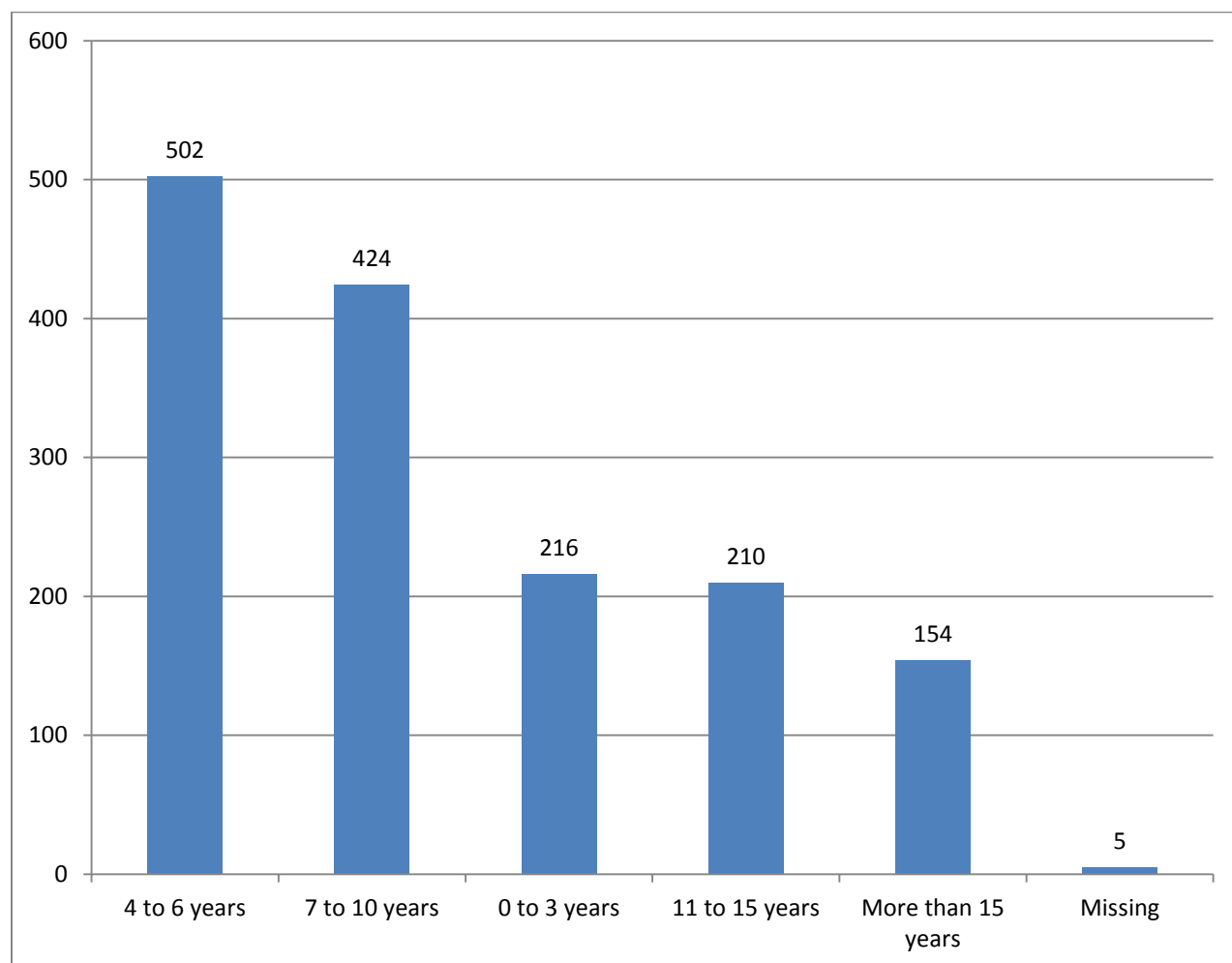


TABLE 3 – HIGHEST LEVEL OF EDUCATION

LEVEL OF EDUCATION	N	PERCENT
Bachelor's degree	900	59.6
Master's degree	494	32.7
Associate degree	55	3.6
Technical certificate	23	1.5
Ph.D. degree	8	.5
Missing	31	2.1
Total	1,511	100

FIGURE 3 – HIGHEST LEVEL OF EDUCATION

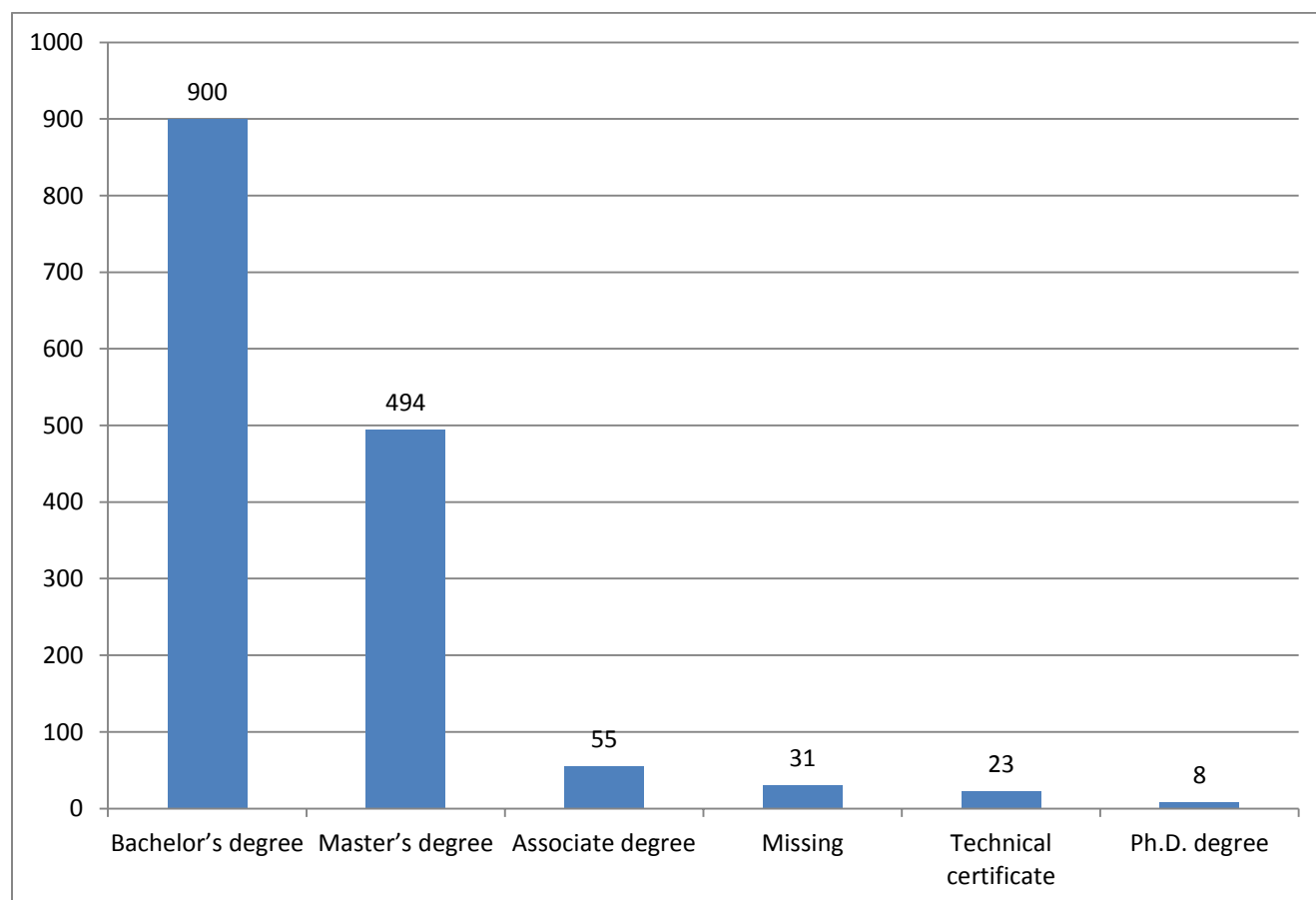


TABLE 4 – PRIMARY WORK SETTING

WORK SETTING	N	PERCENT
Architecture firm (as individual or group)	1,129	74.7
Multidisciplinary firm	160	10.6
Governmental agency	85	5.6
Other (please specify)	77	5.1
Institution (e.g., hospital, school)	25	1.7
Construction firm	19	1.3
Non-design company (e.g., hotel, utility company)	12	.8
Missing	4	.3
Total	1,511	100

FIGURE 4 – PRIMARY WORK SETTING

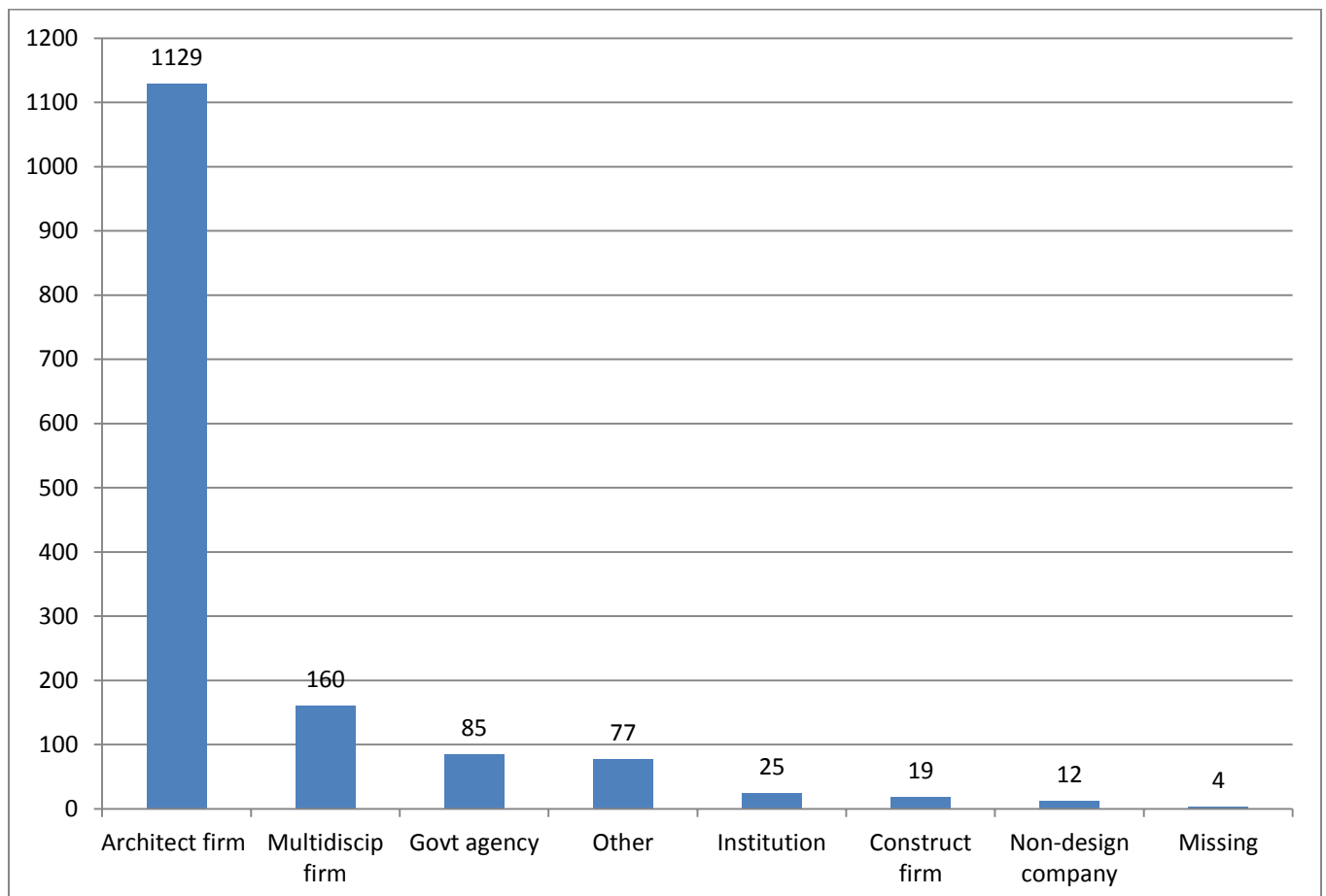


TABLE 5 – NUMBER OF HOURS WORKED PER WEEK

HOURS WORKED	N	PERCENT
0 to 10 hours	105	6.9
11 to 20 hours	89	5.9
21 to 39 hours	230	15.2
40 or more hours	1,073	71.0
Missing	14	.9
Total	1,511	100

NOTE: Total may not add to 100% due to rounding.

FIGURE 5 – NUMBER OF HOURS WORKED PER WEEK

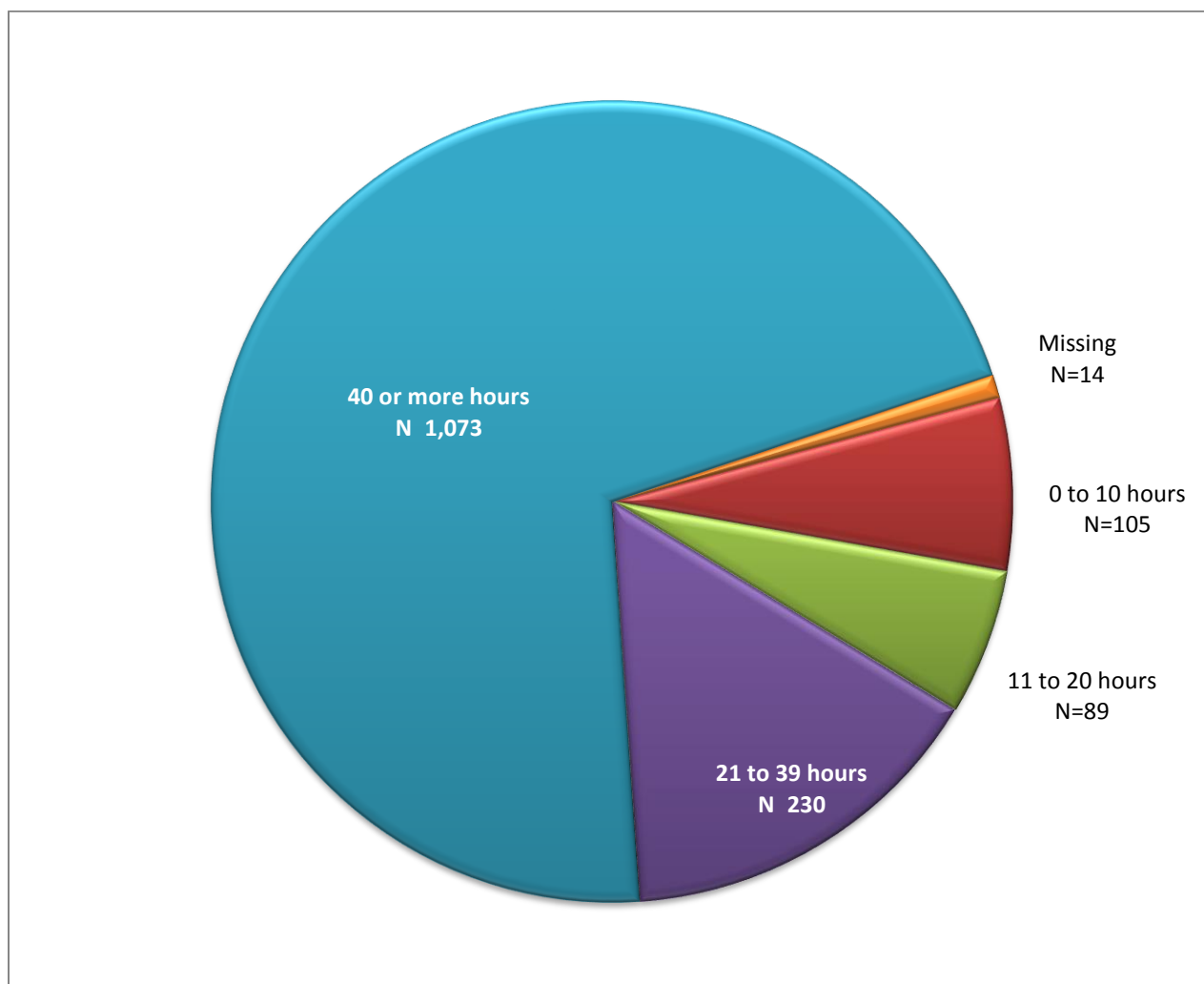


TABLE 6 – NUMBER OF EMPLOYEES OTHER THAN ARCHITECTS IN ORGANIZATION

CLIENT	N	PERCENT
None	405	26.8
1 to 10	465	30.8
11 to 20	161	10.7
21 to 30	70	4.6
More than 30	400	26.5
Missing	10	.7
Total	1,511	100

NOTE: Total may not add to 100% due to rounding.

FIGURE 6 – NUMBER OF EMPLOYEES OTHER THAN ARCHITECTS IN ORGANIZATION

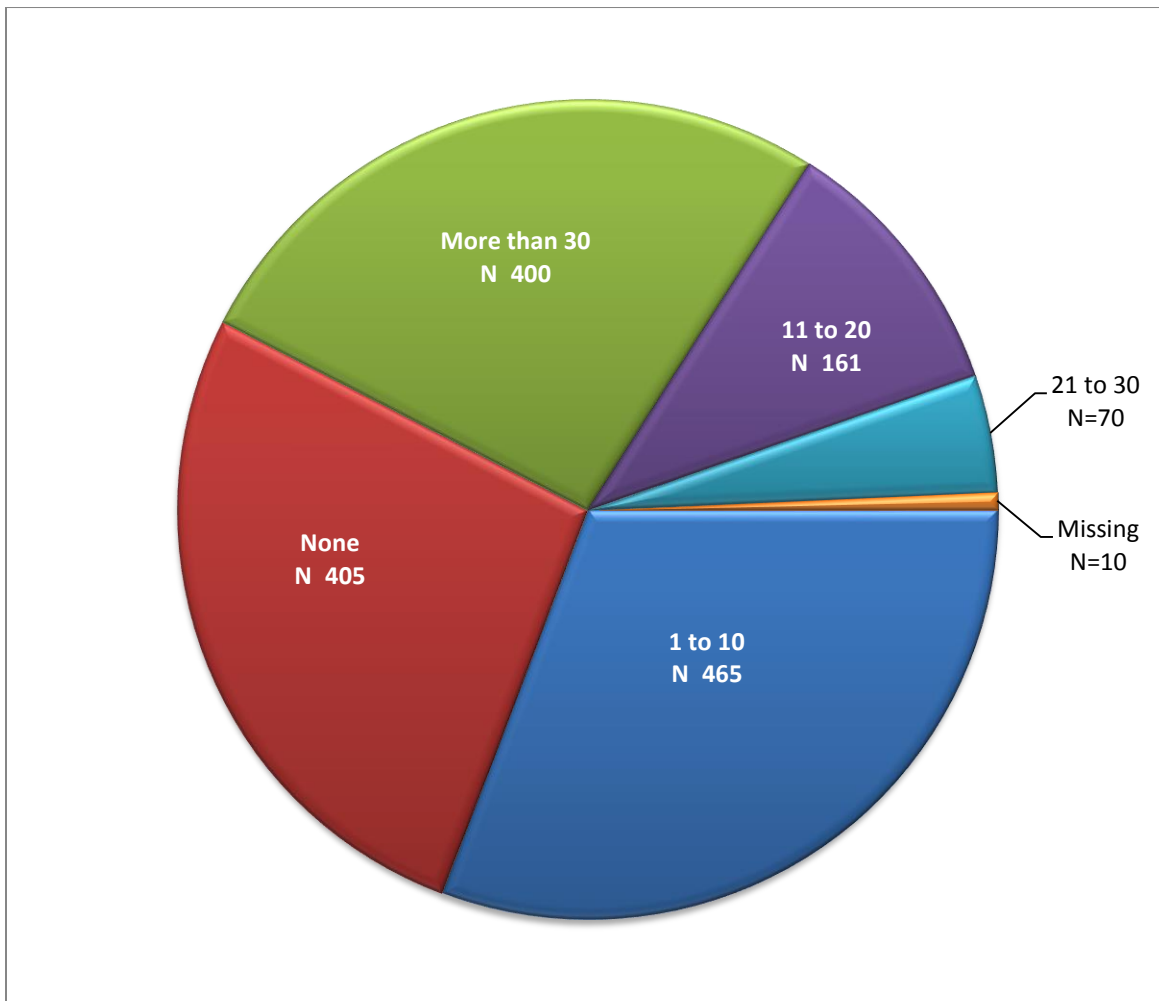


TABLE 7 – NUMBER OF OTHER LICENSED ARCHITECTS IN ORGANIZATION

NUMBER OF ARCHITECTS	N	PERCENT
None	499	33.0
1 to 5	483	32.0
6 to 10	154	10.2
More than 10	352	23.3
Missing	23	1.5
Total	1,511	100

FIGURE 7 – NUMBER OF OTHER LICENSED ARCHITECTS IN ORGANIZATION

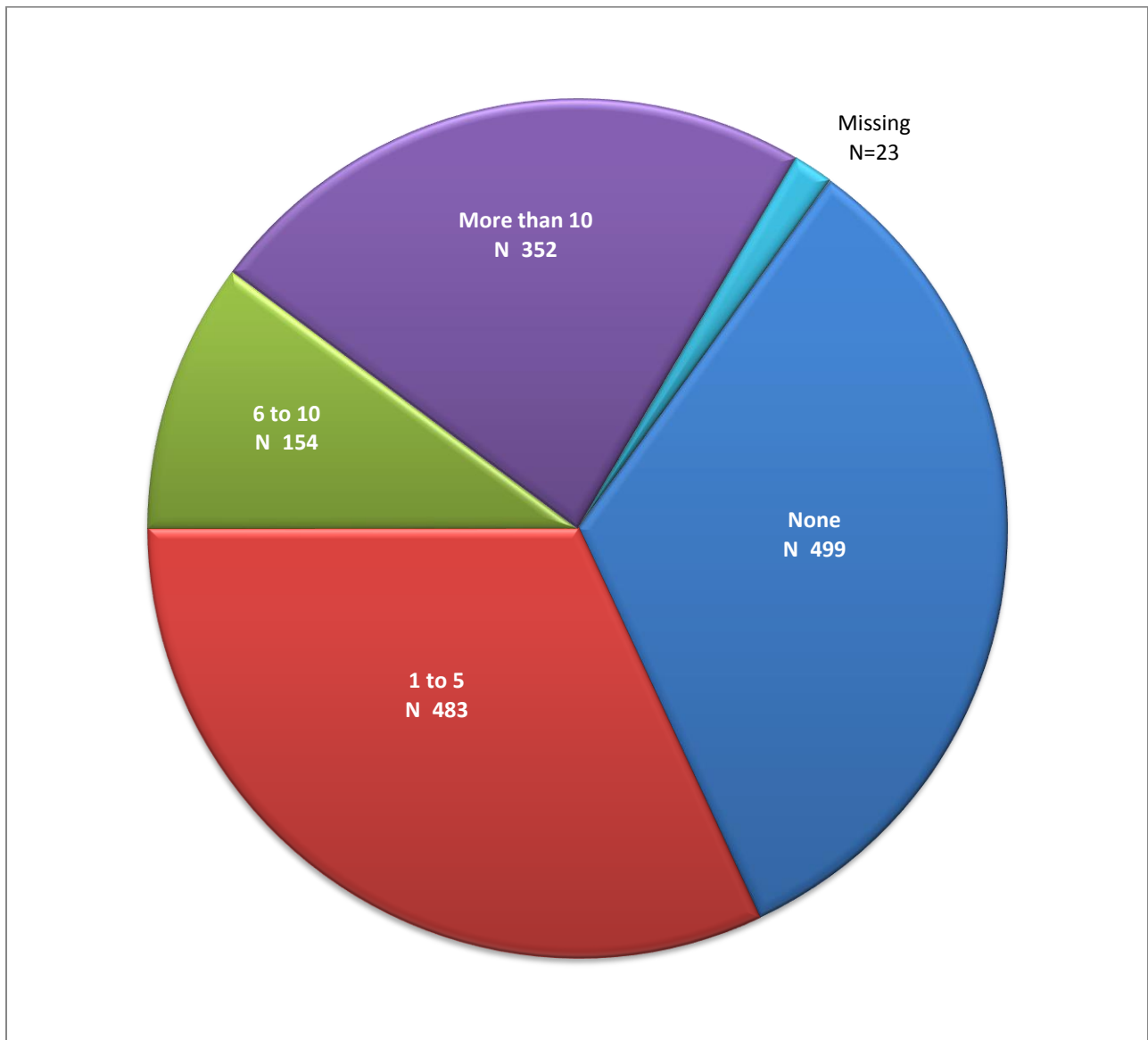


TABLE 8 – PROJECT TYPES CONSIDERED AN AREA OF SPECIALTY BY RESPONDENTS

SPECIALIZATION	N	PERCENT
Residential (single-family, multifamily)	941	62.3
Commercial (office, mixed-use)	922	61.0
Education (community colleges, universities, K-12)	570	37.7
Health care (hospitals, clinics)	411	27.2
Hospitality (hotels, restaurants)	384	25.4
Institutional (military, justice, fire/police stations)	365	24.2
Industrial (factories, warehouses, utilities)	352	23.3

NOTE: Respondents asked to check all that apply.

FIGURE 8 – PROJECT TYPES CONSIDERED AN AREA OF SPECIALTY BY RESPONDENTS

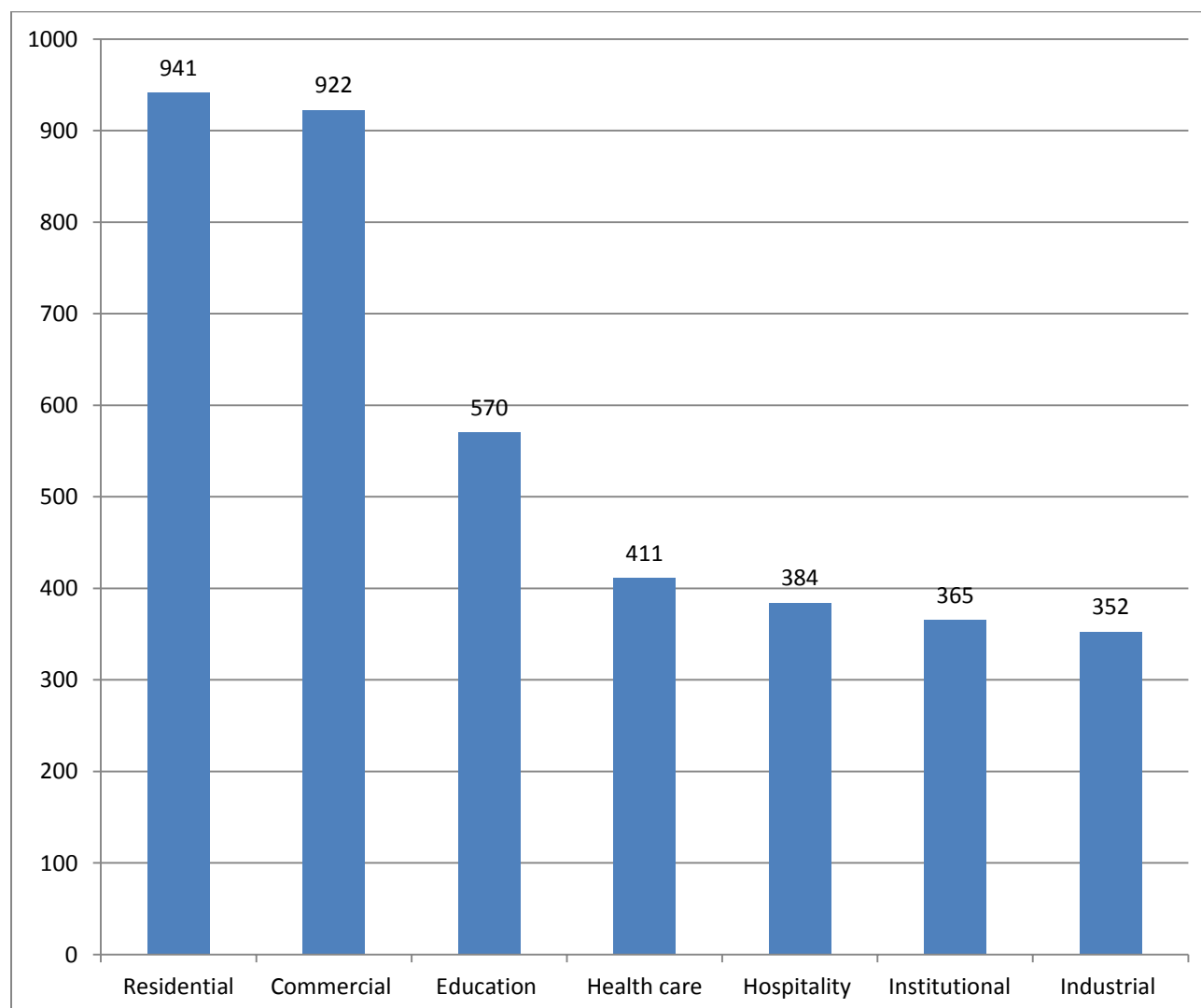


TABLE 9 – OTHER STATE LICENSES POSSESSED

LICENSE	N	PERCENT
Architect (out of state)	123	8.1
Contractor	96	6.4
Engineer	23	1.5

FIGURE 9 – OTHER STATE LICENSES POSSESSED

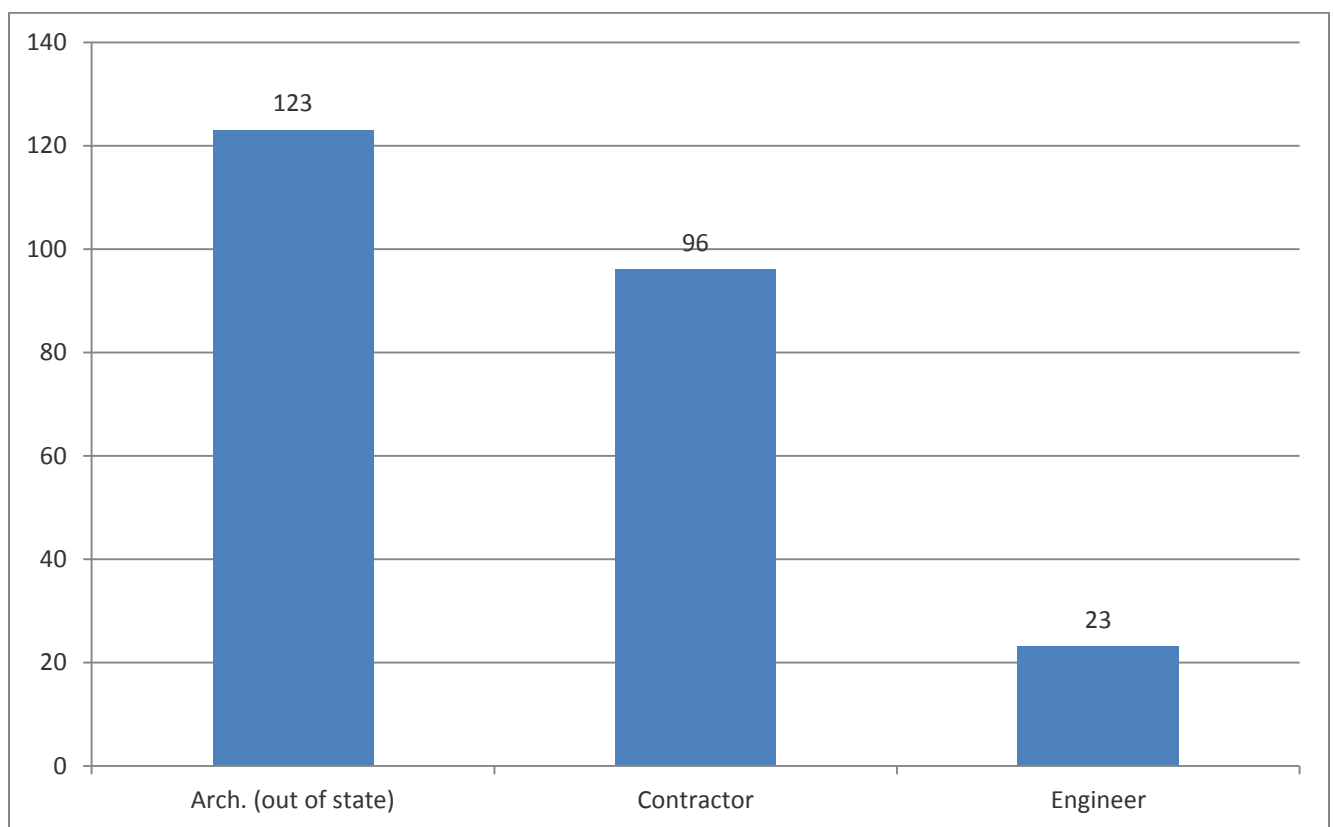


TABLE 10 – OTHER CERTIFICATES POSSESSED

CERTIFICATE	N	PERCENT
LEED	565	89.8
CDT (Certified Document Technologist)	37	5.9
California Access Specialist (CaASp)	33	5.2
CPM (Certified Project Manager)	19	3.0
CCS (Certified Construction Specifier)	17	2.7
ACHA (Health Care)	12	1.9
NCIDQ (Interior Design)	9	1.4

NOTE: Percentage reported is average across endorsing respondents.

FIGURE 10 – OTHER CERTIFICATES POSSESSED

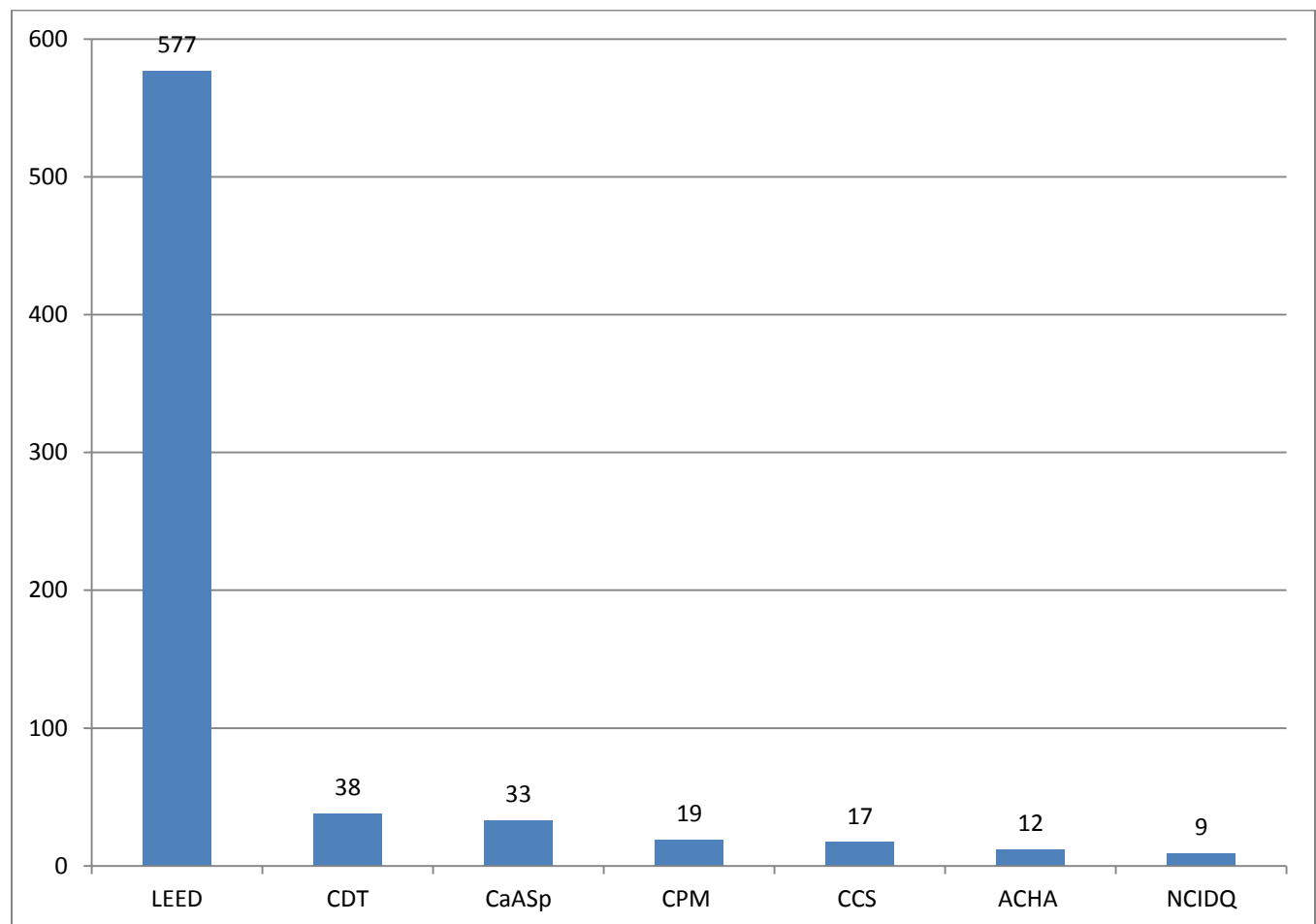


TABLE 11 – PERCENTAGE OF WORK PERFORMED IN/OUT OF STATE LAST FIVE YEARS

LOCATION OF WORK	N	PERCENT
California	1,502	89.8
Other States	650	15.1
International	497	11.7

NOTE: Percentage reported is average across endorsing respondents.

FIGURE 11 – PERCENTAGE OF WORK PERFORMED IN/OUT OF STATE LAST FIVE YEARS

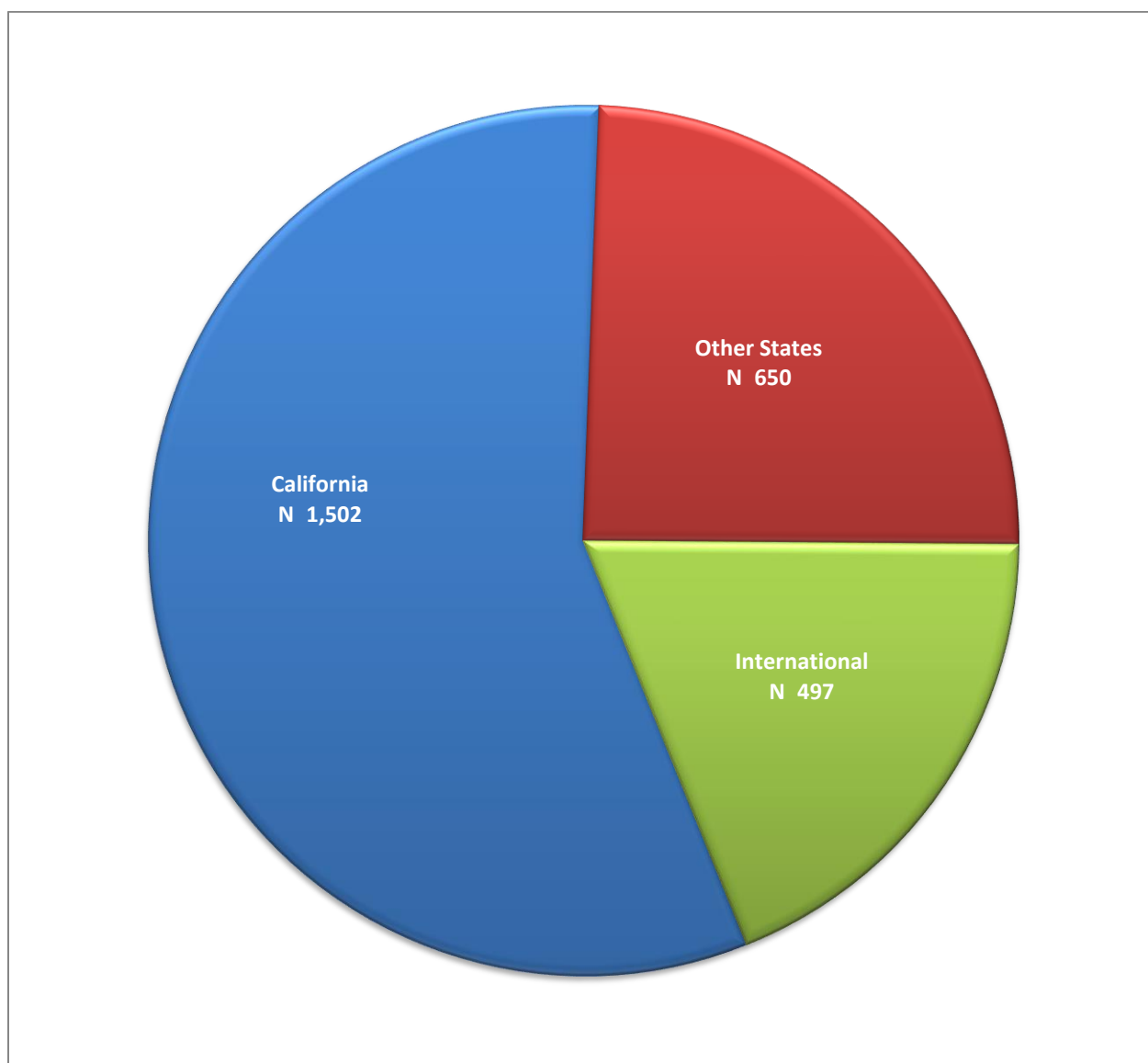


TABLE 12 – PERCENTAGE OF TIME SPENT ON PRINCIPAL WORK TASKS

WORK TASK	N	PERCENT
Construction documents	1,292	27.4
Design	1,289	17.7
Construction administration	1,282	14.2
Project management	1,200	17.8
Agency review/approval	1,178	10.3
Management/Administration	1,122	15.2
Programming/Pre-Design	1,043	8.7
QA/QC	824	6.6
Bid coordination	803	3.7
Specification writing	779	5.1
Post-occupancy services	543	2.1

NOTE: Percentage reported is average across respondents.

FIGURE 12 – PERCENTAGE OF TIME SPENT ON PRINCIPAL WORK TASKS

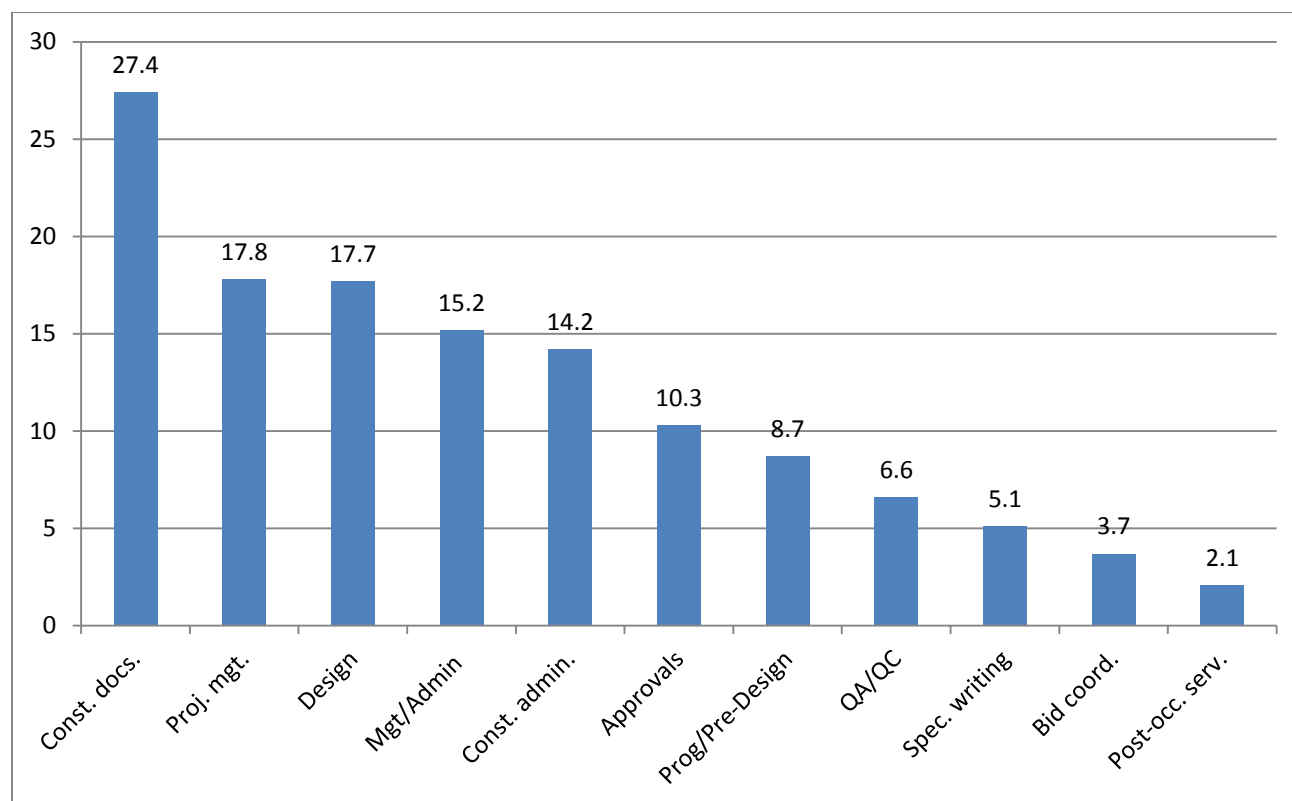


TABLE 13 – PERCENTAGE OF WORK PERFORMED USING SPECIFIC
CONSTRUCTION CONTRACT ARRANGEMENTS LAST FIVE YEARS

CONTRACT ARRANGEMENT	N	PERCENT
Design–Bid–Build	1,112	58.6
Guaranteed Max Price	957	45
Fee plus Cost	751	36.7
Construction Management at Risk	427	14.8
Multi-Prime	361	7.7

NOTE: Percentage reported is average across respondents.

FIGURE 13 – PERCENTAGE OF WORK PERFORMED USING SPECIFIC
CONSTRUCTION CONTRACT ARRANGEMENTS LAST FIVE YEARS

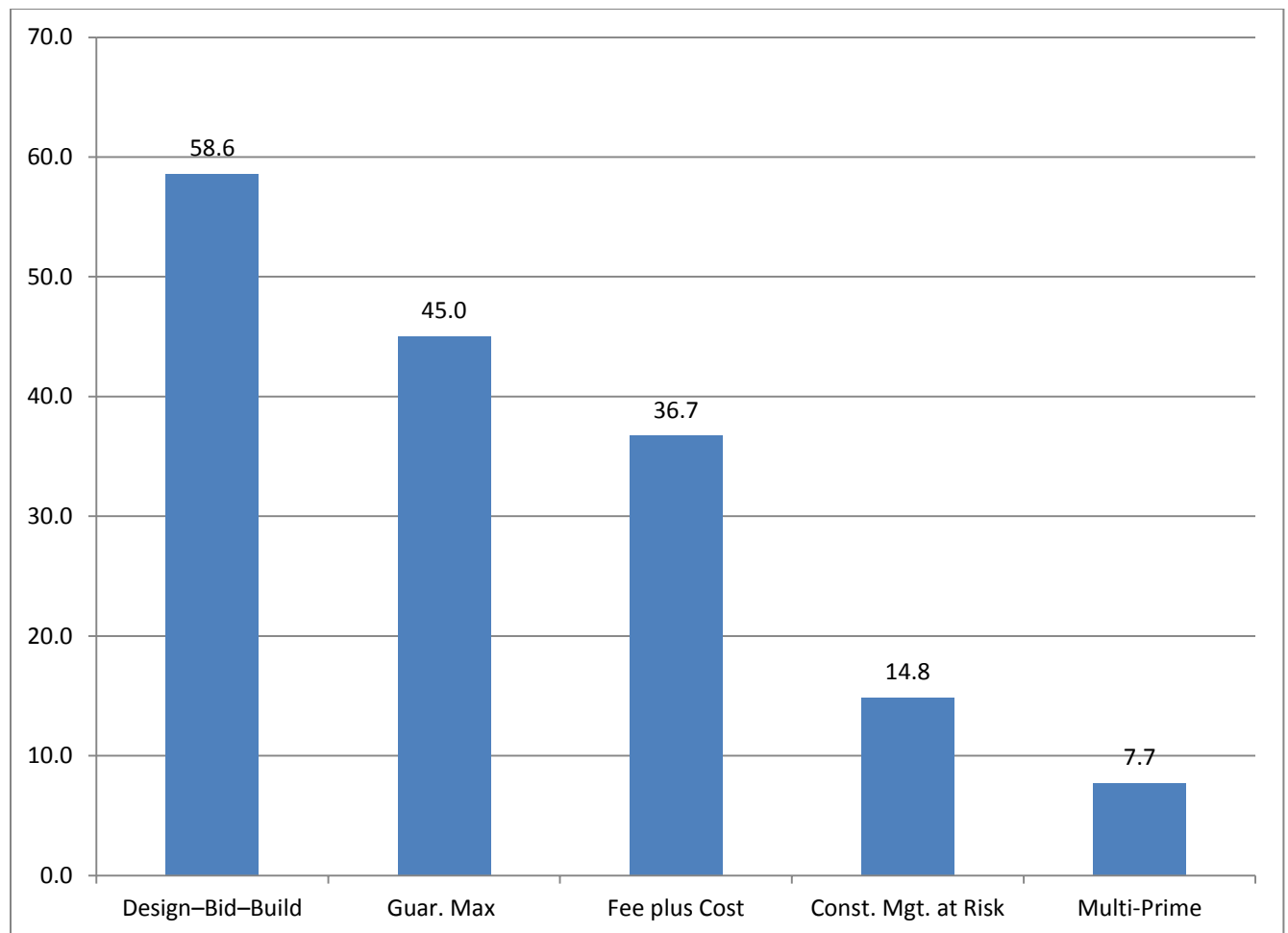


TABLE 14 – PERCENTAGE OF WORK PERFORMED USING SPECIFIC PROJECT DELIVERY METHODS LAST FIVE YEARS

DELIVERY METHOD	N	PERCENT
Design–Bid–Build	1,238	61.5
Design–Build	725	32.1
Design–Owner Build	912	32
Integrated Project Delivery	491	19.2
Other	393	17.4
Public/Private Partnership	364	8.5

NOTE: Percentage reported is average across respondents.

FIGURE 14 – PERCENTAGE OF WORK PERFORMED USING SPECIFIC PROJECT DELIVERY METHODS LAST FIVE YEARS

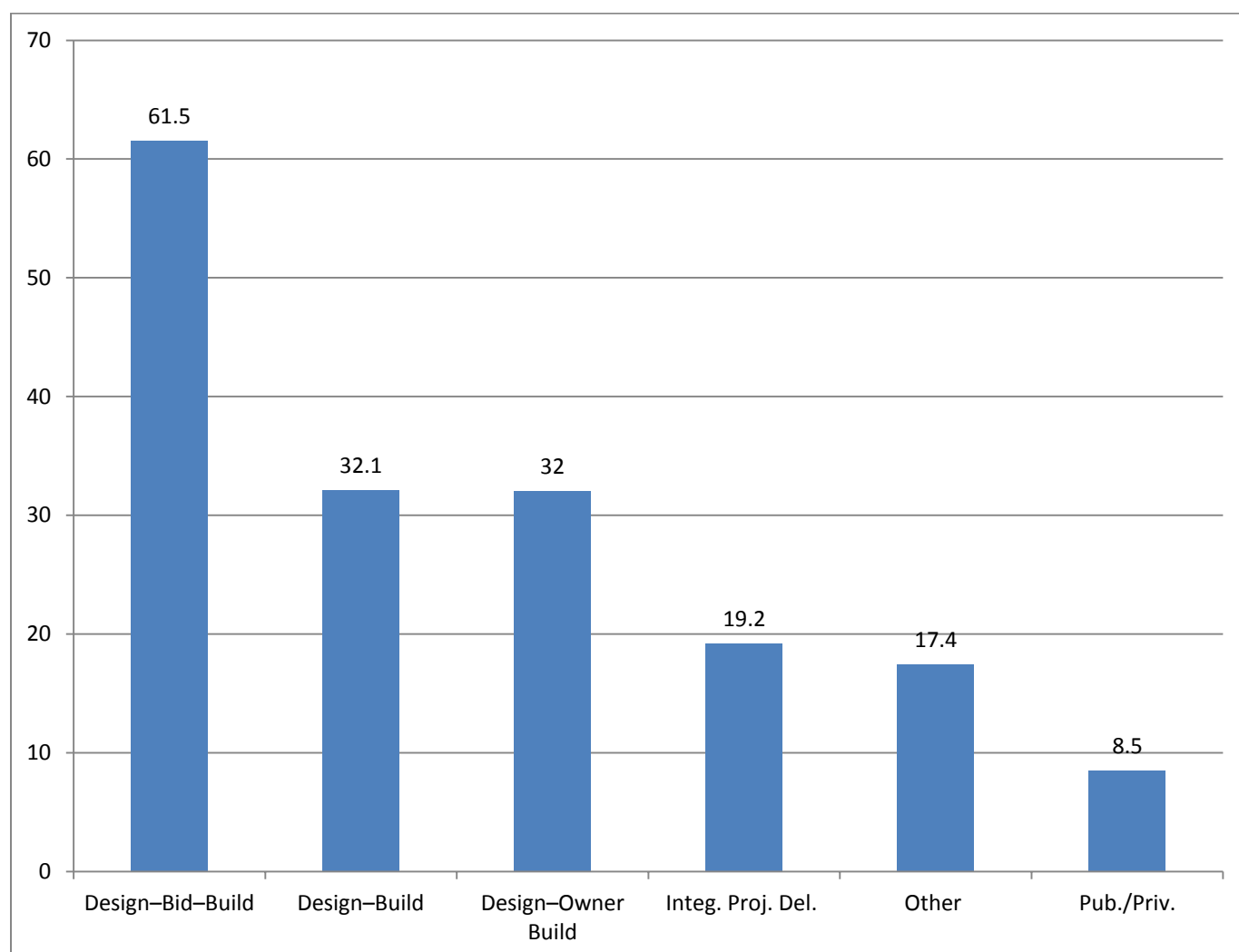


TABLE 15 – PERCENTAGE OF INFORMATION EXCHANGE USING ELECTRONIC DOCUMENTS

PARTY	N	PERCENT
Consultants	1,467	84.4
Contractors	1,437	70.5
Owners	1,418	69.2
Agency submittals	1,374	29.4

NOTE: Percentage reported is average across respondents for each Party.

FIGURE 15 – PERCENTAGE OF INFORMATION EXCHANGE USING ELECTRONIC DOCUMENTS

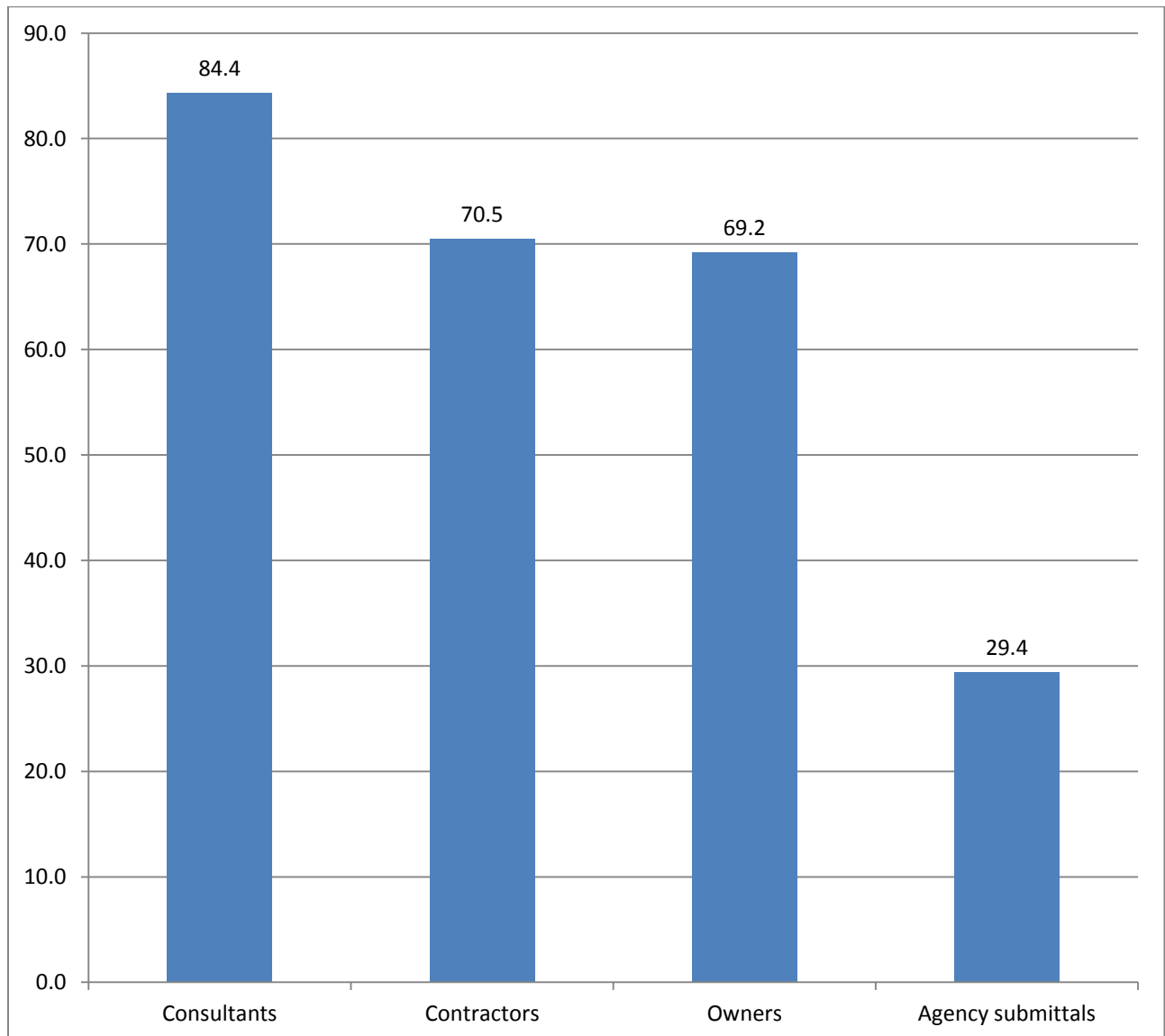
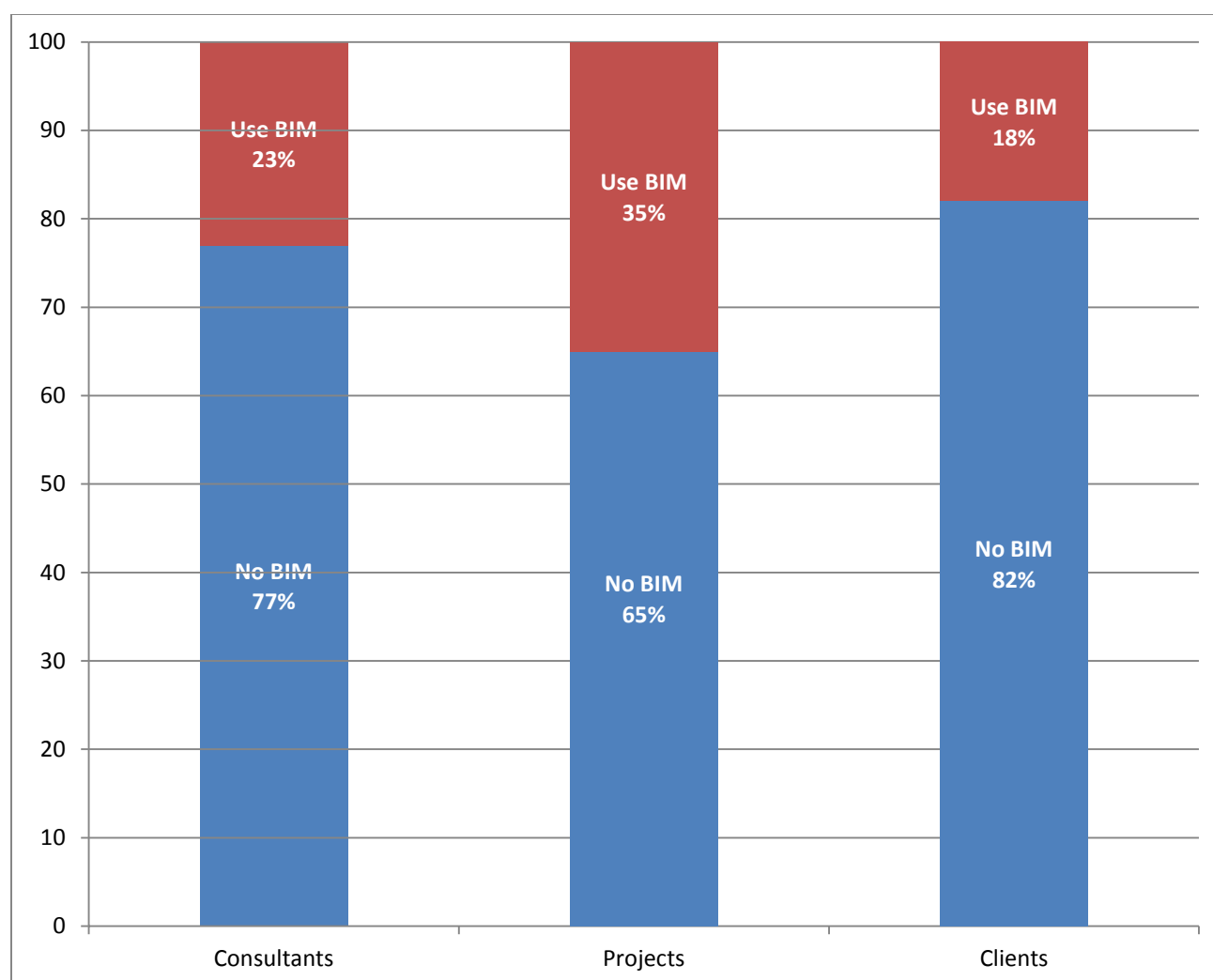


TABLE 16 – PERCENTAGE OF DESIGN TEAM CONSULTANTS, PROJECTS, AND CLIENTS USING BIM¹ LAST FIVE YEARS

	PERCENT BIM	PERCENT NO-BIM	N
Consultants	23	77	1,481
Projects	35	65	1,490
Clients	18	82	1,475

NOTE: Percentage reported is average across respondents for each category.

FIGURE 16 – PERCENTAGE OF DESIGN TEAM CONSULTANTS, PROJECTS, AND CLIENTS USING BIM LAST FIVE YEARS



¹ BIM: Building Information Modeling

TABLE 17 – CAPACITY IN WHICH ARCHITECT'S FIRM PERFORMS BIM FOR CONSULTANTS

	YES	NO	N
BIM as part of Architect's contract for project delivery?	37.2	62.8	1,446
BIM as an added services?	24.4	75.6	1,387

NOTE: Percentage reported is average across respondents for each category.

FIGURE 17 – CAPACITY IN WHICH ARCHITECT'S FIRM PERFORMS BIM FOR CONSULTANTS

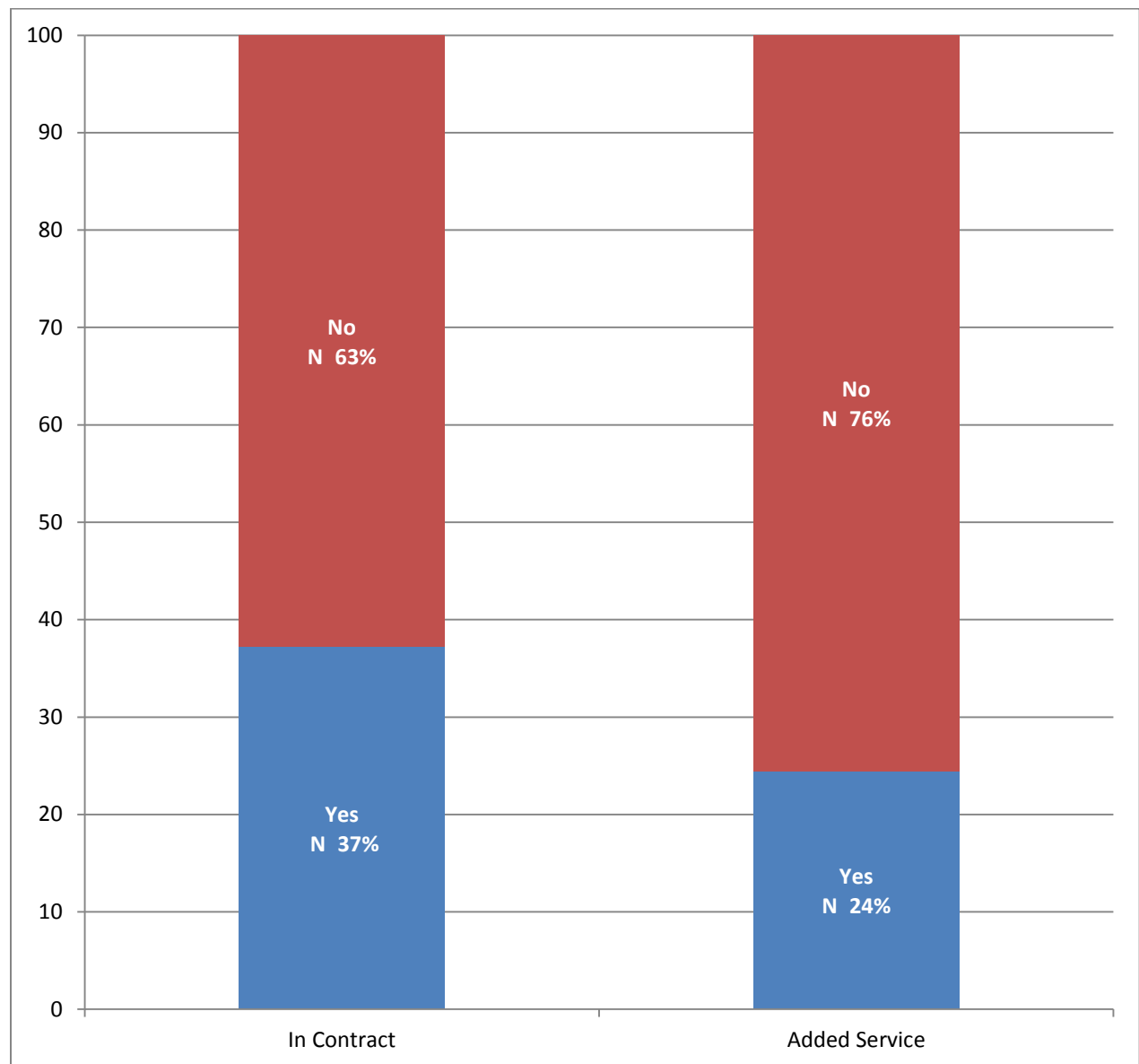


TABLE 18 – RESPONDENTS BY REGION

Region	Region Name	Frequency	Percent
1	Los Angeles and Vicinity	485	32.1
2	San Francisco Bay Area	527	34.9
3	San Joaquin Valley	59	3.9
4	Sacramento Valley	95	6.3
5	San Diego and Vicinity	128	8.5
6	Shasta/Cascade	5	0.3
7	Riverside-San Bernardino	42	2.8
8	Sierra Mountain	33	2.2
9	North Coast	46	3.0
10	South/Central Coast	84	5.6
	Missing	7	0.5
	Total	1,511	100

NOTE: Appendix A shows a more detailed breakdown of the frequencies by region.

CHAPTER 4. DATA ANALYSIS AND RESULTS

RELIABILITY OF RATINGS

The job task and knowledge ratings obtained by the questionnaire were evaluated with a standard index of reliability called coefficient alpha (α). Coefficient alpha is an estimate of the internal consistency of the respondents' ratings of job task and knowledge statements. Coefficients were calculated for all respondent ratings.

Table 19 displays the reliability coefficients for the task rating scales in each content area. The overall ratings of task frequency ($\alpha = .98$) and task importance ($\alpha = .98$) across content areas were highly reliable. Table 20 displays the reliability coefficients for the knowledge statements rating scale in each content area. The overall ratings of knowledge importance ($\alpha = .98$) across content areas were highly reliable. These results indicate that the responding Architects rated the task and knowledge statements consistently throughout the questionnaire.

TABLE 19 – TASK SCALE RELIABILITY

CONTENT AREA		Number of Tasks	α Frequency	α Importance
I.	Contract Development / Project Planning	9	.891	.896
II.	Project Management	10	.914	.915
III.	Programming / Schematic Design	13	.920	.920
IV.	Design Development / Approvals	9	.906	.901
V.	Construction Documents / Permitting	7	.906	.903
VI.	Project Bidding and Construction	13	.944	.942
All Tasks		62	.979	.979

TABLE 20 – KNOWLEDGE SCALE RELIABILITY

I. Contract Development / Project Planning	10	.873
II. Project Management	10	.857
III. Programming / Schematic Design	20	.930
IV. Design Development / Approvals	14	.907
V. Construction Documents / Permitting	10	.870
VI. Project Bidding and Construction	18	.946
All Knowledge	82	.982

TASK CRITICAL VALUES

Two focus groups of licensed Architects were convened at OPES in September 2014 to review the average frequency and importance ratings, as well as the criticality indices of all task and knowledge statements. The purpose of these workshops was to identify the essential tasks and knowledge required for safe and effective Architect practice at the time of licensure. The licensees reviewed the frequency, importance, and criticality indices for all task statements.

In order to determine the critical values (criticality) of the task statements, the frequency rating (TFreqi) and the importance rating (TImpi) for each task were multiplied for each respondent, and the products averaged across respondents.

$$\text{Critical task index} = \text{mean} [(TFreqi) \times (TImpi)]$$

The task statements were then ranked according to the task critical values. The task statements and their mean ratings and associated critical values are presented in Appendix B.

The first September 2014 focus group of SMEs evaluated the tasks' critical values based on the questionnaire results. OPES staff instructed the SMEs to identify a cutoff value of criticality in order to determine if any tasks did not have a high enough critical value to be retained. The SMEs determined that no cutoff value should be set, based on their view of the relative importance of all tasks to California Architect practice. The second September 2014 focus group of SMEs performed an independent review of the same data, and arrived at the same conclusion that no cutoff value should be set and that all tasks should be retained as part of the California Architect description of practice.

KNOWLEDGE IMPORTANCE RATINGS

In order to determine the importance of each knowledge, the mean importance rating for each knowledge statement (KImp) was calculated. The knowledge statements were then ranked according to mean importance. The knowledge statements and their importance ratings are presented in Appendix C.

The first September focus group of SMEs that evaluated the task critical values also reviewed the knowledge statement importance ratings and the relative importance of each knowledge to California Architect practice. Based on this review, the SMEs determined that no cutoff value should be established and that all knowledge statements should be retained. The second September focus group of SMEs independently reviewed the same data and arrived at the same conclusion, that no cutoff value should be set and that all knowledge statements should be retained as part of the California Architect description of practice. The California Architect description of practice is presented in Appendix D.

CHAPTER 5. EXAMINATION PLAN

CALIFORNIA-SPECIFIC PRACTICE

The first September 2014 focus group of SMEs reviewed the preliminary assignment of task and knowledge statements to content areas as developed for the OA questionnaire. They verified that the content areas were non-overlapping and described major areas of practice. The second September focus group of SMEs independently reviewed the preliminary assignment of task and knowledge statements to content areas and agreed with the first group that the content areas were non-overlapping and described major areas of practice. Both groups also determined that these content areas and their related tasks and knowledge were representative of the California Architect description of practice.

In addition to determining the California Architect description of practice, the two focus groups of SMEs were also charged with identifying the tasks and knowledge that best described California-specific practice. As part of this process, both groups of SMEs were provided information about the general content of the national examination for architects (the Architect Registration Examination, or ARE), which the Board requires all candidates for California licensure to have successfully passed before taking the State's licensure examination. The objective was to develop a stronger focus on California-specific practice while minimizing the content overlap between the national and California examinations.

The two groups of SMEs independently reviewed the tasks in each content area and identified those tasks that were descriptive of general Architect practice. These tasks were marked for possible deletion from the test plan. Each group of SMEs then identified the knowledge related to the tasks marked for removal. Those tasks that were linked to knowledge related to California-specific practice were retained. The tasks and their related knowledge that were not descriptive of California-specific practice were removed. Both groups of SMEs continued in this manner until all of the content areas had been reviewed. Once the second group of SMEs had completed this work, they were asked to review the results from the first group of SMEs and to reconcile any differences through discussion. This reconciliation process resulted in the 32 tasks and 35 knowledge statements that the SMEs felt best reflected California-specific practice. The assignment of these tasks and their related knowledge to content areas was reviewed by the SMEs. The linkage between the tasks and knowledge was also reviewed and verified by the SMEs. The resulting content areas with their respective task and knowledge linkage form the content outline for the Architect California Supplemental Examination, and are presented in Table 22.

CONTENT AREAS AND WEIGHTS

In order for the second September 2014 group of SMEs to determine the relative weights of the content areas, initial calculations were performed by dividing the sum of the task critical values for a content area by the overall sum of the task critical values for all tasks, as shown below. The content area weights based on the task critical values are presented in Table 21.

$$\frac{\text{Sum of Critical Values for Tasks in Content Area}}{\text{Sum of Critical Values for All Tasks}} = \text{Percent Weight of Content Area}$$

In reviewing the preliminary weights based solely on the task critical values (TCV Prelim. Wts.), the SMEs determined that these weights did not reflect the relative importance of the content areas to Architect practice in California. The SMEs were then presented with values based on the knowledge importance (KImp) ratings for each content area (KImp Prelim. Wts.). These values were calculated by dividing the sum of the knowledge importance for a content area by the overall sum of the knowledge importance ratings for all knowledge, as shown below. The content area weights based on the KImp values are presented in Table 21.

$$\frac{\text{Sum of K(Imp) for Knowledge in Content Area}}{\text{Sum of K(Imp) for All Knowledge}} = \text{Percent Weight of Content Area}$$

In determining the final weighting of the content areas, the second September 2014 group of SMEs looked at the group of tasks and knowledge, the linkage between the tasks and knowledge, and the relative importance of the tasks and knowledge in each content area to Architect practice in California. The results of the SMEs evaluation are depicted in Table 21, below. The content outline for the Architect California Supplemental Examination is presented in Table 22.

TABLE 21 – CONTENT AREA WEIGHTS

Content Area	TCV Prelim. Wts.	KImp Prelim. Wts.	Final Weights
I. General Practice	26.8	15.9	6
II. Programming / Design	29.5	36.4	44
III. Development / Documentation	20	35.6	40
IV. Bidding and Construction	23.7	12.1	10
Total	100%	100%	100%

TABLE 22 – CONTENT OUTLINE: ARCHITECT CALIFORNIA SUPPLEMENTAL EXAMINATION

- I. General Practice (6%):** This area assesses the candidate’s knowledge related to core areas of practice applicable across types of projects, construction contract arrangements, and project delivery methods.

Task Statement	Linked Knowledge
1 Advertise and solicit services in compliance with professional and legal requirements.	1 Knowledge of the provisions of the Architect’s Practice Act and CA Code of Regulations related to architect’s business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect’s stamp).
3 Assess preliminary project requirements including budget and schedule relative to own firm’s/organization’s business goals, resources, and expertise.	5 Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection).
4 Evaluate potential contractual risks and determine strategies to manage them.	1 Knowledge of the provisions of the Architect’s Practice Act and CA Code of Regulations related to architect’s business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect’s stamp). 5 Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection). 9 Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements.
5 Collaborate with client to determine scope of work, project delivery method, deliverables, and compensation, etc., to prepare owner-architect agreement.	1 Knowledge of the provisions of the Architect’s Practice Act and CA Code of Regulations related to architect’s business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect’s stamp). 5 Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection). 9 Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements.
6 Identify the local, State, and federal regulatory jurisdictions impacting project.	9 Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements.

I. General Practice (continued)

Task Statement	Linked Knowledge
11 Implement strategies for managing and documenting communication (e.g., point of contact, reporting methods) between the architect, client, and team and between the design team and external parties (e.g., agencies, stakeholders).	13 Knowledge of architect's role and responsibilities for managing project and contractual risk for the architect and client. 16 Knowledge of the architect's professional and contractual responsibilities related to the client.
13 Manage client expectations related to the contracted scope of work (e.g., milestones, decision points).	16 Knowledge of the architect's professional and contractual responsibilities related to the client.
16 Establish standards for addressing conflicts that arise during the design and construction process.	16 Knowledge of the architect's professional and contractual responsibilities related to the client.

- II. Programming / Design (44%):** This area assesses the candidate's ability to identify and evaluate site and project opportunities and constraints in developing design concepts that meet the client's, user's, and stakeholder's needs and applicable California regulations.

Task Statement	Linked Knowledge
<p>20 Perform or evaluate site feasibility studies (e.g., size, gradient, infrastructure, environmental conditions) to clarify and address project requirements.</p>	<p>25 Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.</p> <p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>27 Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.</p>
<p>21 Assist client in evaluating design concepts based on budget, aesthetics, etc., to determine design direction.</p>	<p>25 Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.</p> <p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>27 Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p> <p>32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).</p> <p>33 Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p>

II. Programming / Design (continued)

Task Statement	Linked Knowledge
<p>23 Provide consultants with program and background information to collaboratively develop the design concept.</p>	<p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>27 Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p> <p>32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).</p> <p>33 Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p>
<p>25 Present project to community groups and other stakeholders for their input and feedback.</p>	<p>28 Knowledge of processes and procedures for obtaining discretionary approvals.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p>

II. Programming / Design (continued)

Task Statement	Linked Knowledge
<p>28 Integrate sustainable design strategies and technologies into design.</p>	<p>25 Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.</p> <p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p>
<p>29 Identify the specific requirements of regulatory agencies and discuss their incorporation into the design/program with client and design team.</p>	<p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>28 Knowledge of processes and procedures for obtaining discretionary approvals.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p> <p>32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).</p> <p>33 Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p>

II. Programming / Design (continued)

Task Statement	Linked Knowledge
29 Identify the specific requirements of regulatory agencies and discuss their incorporation into the design/program with client and design team.	36 Knowledge of methods and procedures for complying with the California Health and Safety Code related to design and construction. 37 Knowledge of methods and procedures for complying with the California water quality regulations related to design and construction.
30 Prepare and submit exhibits and application forms to governing agencies (e.g., Planning Department, Coastal Commission, Design Review Board) for discretionary approvals.	28 Knowledge of processes and procedures for obtaining discretionary approvals. 29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design. 30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction. 31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction. 37 Knowledge of methods and procedures for complying with the California water quality regulations related to design and construction.
31 Work with agency staff to incorporate proposed conditions of discretionary approval into project documents.	28 Knowledge of processes and procedures for obtaining discretionary approvals. 29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design. 30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction. 31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction. 32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).

II. Programming / Design (continued)

Task Statement	Linked Knowledge
<p>32 Develop design concepts based on program requirements and constraints placed by applicable laws, local codes, ordinances, etc.</p>	<p>27 Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p> <p>32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).</p> <p>33 Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p> <p>36 Knowledge of methods and procedures for complying with the California Health and Safety Code related to design and construction.</p>

III. Development / Documentation (40%): This area assesses the candidate's knowledge regarding developing design solutions, managing a project team, and preparing design and construction drawings and documents in conformance with the project program and applicable California regulations.

Task Statement	Linked Knowledge
<p>34 Analyze and coordinate the selection and design of building systems (e.g., structural, mechanical, electrical, fire safety, security) with consultants.</p>	<p>41 Knowledge of methods and procedures for evaluating and integrating building systems (e.g., structural, mechanical, electrical, plumbing, life safety, conveying, building systems controls) into the project design.</p> <p>42 Knowledge of methods and procedures for evaluating building materials (e.g., material characteristics, performance, testing standards) for selection into the project design.</p> <p>50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.</p> <p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p> <p>59 Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.</p>
<p>35 Lead the project team in the integration of the regulatory requirements into the design development documents.</p>	<p>49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.</p> <p>50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.</p> <p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p> <p>52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.</p> <p>57 Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.</p>

III. Development / Documentation (continued)

Task Statement	Linked Knowledge
<p>36 Coordinate design with input from client and the overall project team (e.g., general contractor, building official), and evaluate/incorporate their inputs based on project requirements.</p>	<p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC). 52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc. 63 Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions). 64 Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.</p>
<p>39 Analyze and integrate the selection of sustainable design strategies and technologies into the design.</p>	<p>41 Knowledge of methods and procedures for evaluating and integrating building systems (e.g., structural, mechanical, electrical, plumbing, life safety, conveying, building systems controls) into the project design. 42 Knowledge of methods and procedures for evaluating building materials (e.g., material characteristics, performance, testing standards) for selection into the project design. 49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc. 51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p>
<p>46 Prepare construction documents and verify conformance with the conditions of prior agency approvals and applicable codes and regulations.</p>	<p>49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc. 50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc. 51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC). 52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc. 59 Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.</p>

III. Development / Documentation (continued)

Task Statement	Linked Knowledge
<p>46 Prepare construction documents and verify conformance with the conditions of prior agency approvals and applicable codes and regulations.</p>	<p>61 Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).</p> <p>62 Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).</p> <p>64 Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.</p>
<p>48 Manage the submittal of construction documents to regulatory agencies through initial submittal, coordinating responses, and obtaining approvals.</p>	<p>49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.</p> <p>50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.</p> <p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p> <p>52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.</p> <p>57 Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.</p> <p>59 Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.</p> <p>61 Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).</p> <p>62 Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).</p> <p>63 Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions).</p> <p>64 Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.</p>

III. Development / Documentation (continued)

Task Statement	Linked Knowledge
<p>42 Coordinate the preparation of the construction documents (e.g., architectural, structural, mechanical, civil, electrical, specs) and resolve potential conflicts or errors.</p>	<p>49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.</p> <p>50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.</p> <p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p> <p>52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.</p> <p>57 Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.</p> <p>59 Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.</p> <p>61 Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).</p> <p>62 Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).</p> <p>63 Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions).</p> <p>64 Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.</p>

IV. Bidding / Construction (10%): This area assesses the candidate's knowledge related to California regulations associated with project bidding, construction, and post-construction activities.

Task Statement	Linked Knowledge
49 Assist client in the bidding process (e.g., distribute documents, conduct pre-bid meetings, prepare addenda).	67 Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects.
50 Assist client in selecting contractors and negotiating construction contracts.	67 Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects.
51 Prepare bid documents appropriate to the selected delivery method.	67 Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects
54 Monitor project construction costs and schedule (e.g., review and certify contractor applications for payment, verify lien releases).	68 Knowledge of California laws related to design professional and contractor liens and their implications for the architect's and client's responsibilities.
55 Review test, inspection, observation schedules, programs and reports for conformance with construction documents.	78 Knowledge of code-required special inspections and testing (e.g., field welding, high-strength concrete). 79 Knowledge of State inspection, testing, reporting, and documentation requirements for construction of hospitals, public schools, and essential services buildings.
56 Review shop drawings and submittals during construction for conformance with design intent.	79 Knowledge of State inspection, testing, reporting, and documentation requirements for construction of hospitals, public schools, and essential services buildings.
60 Manage project close-out procedures (e.g., Certificate of Substantial Completion, Notice of Completion, verification of final lien releases, verification of public agency approvals) per contract.	68 Knowledge of California laws related to design professional and contractor liens and their implications for the architect's and client's responsibilities. 77 Knowledge of the California construction laws related to minimum warranty periods.
62 Assist owner with resolving post-occupancy issues (e.g., evaluation of building performance, warranty issues).	77 Knowledge of the California construction laws related to minimum warranty periods.

CHAPTER 6. CONCLUSION

The occupational analysis of the Architect profession described in this report provides a comprehensive description of current practice in California. The procedures employed to perform the occupational analysis were based upon a content validation strategy to ensure that the results accurately represent the practice of Architects. Results of this occupational analysis provide information regarding current practice that can be used to make job-related decisions regarding professional licensure.

By adopting the Architect Content Outline contained in this report, the Board ensures that its examination program reflects current practice.

This report provides all documentation necessary to verify that the analysis has been implemented in accordance with legal, professional, and technical standards.

APPENDIX A. RESPONDENTS BY REGION

LOS ANGELES AND VICINITY

County of Practice	Frequency
Los Angeles	350
Orange	135
TOTAL	485

SAN FRANCISCO BAY AREA

County of Practice	Frequency
Alameda	106
Contra Costa	32
Marin	33
Napa	5
San Francisco	221
San Mateo	34
Santa Clara	81
Santa Cruz	9
Solano	6
TOTAL	527

SAN JOAQUIN VALLEY

County of Practice	Frequency
Calaveras	2
Fresno	21
Kern	10
Mariposa	1
Madera	4
Merced	2
San Joaquin	10
Stanislaus	6
Tulare	3
TOTAL	59

SACRAMENTO VALLEY

County of Practice	Frequency
Butte	3
Lake	1
Sacramento	81
Sutter	1
Yolo	9
TOTAL	95

SAN DIEGO AND VICINITY

County of Practice	Frequency
San Diego	127
Inyo	1
TOTAL	128

SHASTA/CASCADE

County of Practice	Frequency
Shasta	5
TOTAL	5

RIVERSIDE – SAN BERNARDINO

County of Practice	Frequency
Riverside	24
San Bernardino	18
TOTAL	42

SIERRA MOUNTAIN

County of Practice	Frequency
Nevada	7
Placer	17
El Dorado	9
TOTAL	33

NORTH COAST

County of Practice	Frequency
Del Norte	1
Humboldt	4
Mendocino	6
Sonoma	35
TOTAL	46

SOUTH/CENTRAL COAST

County of Practice	Frequency
Monterey	14
San Luis Obispo	25
Santa Barbara	21
San Benito	1
Ventura	23
TOTAL	84

APPENDIX B. CRITICALITY INDICES FOR ALL TASKS

Task Num	Task Statement	Average Task Freq.	Average Task Impt.	Task Crit. Value
1	Advertise and solicit services in compliance with professional and legal requirements.	1.61	2.76	5.49
2	Evaluate the project's opportunities and constraints for alignment with client goals and requirements.	3.51	4.00	10.06
3	Assess preliminary project requirements including budget and schedule relative to own firm's/organization's business goals, resources, and expertise.	3.09	3.69	14.89
4	Evaluate potential contractual risks and determine strategies to manage them.	2.78	3.68	12.93
5	Collaborate with client to determine scope of work, project delivery method, deliverables, and compensation, etc., to prepare owner-architect agreement.	3.13	3.89	12.35
6	Identify the local, State, and federal regulatory jurisdictions impacting project.	3.76	4.11	10.99
7	Identify the project team members (e.g., architects, engineers, specialty consultants) and who is responsible for the contracting, management, and coordination of each member.	3.19	3.60	11.24
8	Collaborate with client to determine the specific roles and responsibilities of project participants (e.g., owner's representative, architect, contractor, construction manager).	2.67	3.23	11.99
9	Solicit the consultants to be contracted under the architect and evaluate their qualifications and scope of services based on project requirements.	2.72	3.38	13.06
10	Implement strategies for managing contractual risk (QA/QC, peer review).	2.34	3.35	15.19
11	Implement strategies for managing and documenting communication (e.g., point of contact, reporting methods) between the architect, client, and team and between the design team and external parties (e.g., agencies, stakeholders).	2.79	3.36	16.23
12	Implement strategies to control risk and manage liability for the client (e.g., due diligence, accessibility).	2.88	3.53	13.54
13	Manage client expectations related to the contracted scope of work (e.g., milestones, decision points).	3.26	3.71	12.26
14	Manage the distribution and review of documents for project coordination.	3.38	3.66	10.21
15	Establish documentation standards for the design team to support consistency and coordination.	2.70	3.34	9.54
16	Establish standards for addressing conflicts that arise during the design and construction process.	2.41	3.20	9.36
17	Conduct periodic progress meetings with design and project team to identify potential issues in work processes or team communication and develop plans to address the issues.	2.92	3.47	10.10
18	Review and update construction cost estimates as required by contract.	2.01	3.23	8.36

Task Num	Task Statement	Average Task Freq.	Average Task Impt.	Task Crit. Value
19	Manage the design team's fees, deliverables, and schedules to conform to contract.	2.71	3.57	8.82
20	Perform or evaluate site feasibility studies (e.g., size, gradient, infrastructure, environmental conditions) to clarify and address project requirements.	2.46	3.42	10.11
21	Assist client in evaluating design concepts based on budget, aesthetics, etc., to determine design direction.	3.25	3.76	10.34
22	Review program with client to validate project requirements and gain approval to proceed.	3.25	3.90	10.36
23	Provide consultants with program and background information to collaboratively develop the design concept.	3.01	3.52	11.17
24	Develop the project program using multiple approaches (e.g., surveys, interviews) to identify and evaluate user needs.	1.93	2.97	12.10
25	Present project to community groups and other stakeholders for their input and feedback.	1.88	3.03	12.79
26	Prepare models, renderings, sketches, etc., to help communicate project designs.	2.94	3.52	12.86
27	Present schematic design documents that meet program requirements to client to obtain client's input and approval.	3.39	3.95	13.06
28	Integrate sustainable design strategies and technologies into design.	2.83	3.14	10.40
29	Identify the specific requirements of regulatory agencies and discuss their incorporation into the design/program with client and design team.	3.57	3.98	9.82
30	Prepare and submit exhibits and application forms to governing agencies (e.g., Planning Department, Coastal Commission, Design Review Board) for discretionary approvals.	2.96	3.76	8.66
31	Work with agency staff to incorporate proposed conditions of discretionary approval into project documents.	2.71	3.56	8.53
32	Develop design concepts based on program requirements and constraints placed by applicable laws, local codes, ordinances, etc.	3.53	4.08	10.02
33	Lead the preparation of design development documents that integrate the architectural design and engineered building systems.	3.29	3.91	11.01
34	Analyze and coordinate the selection and design of building systems (e.g., structural, mechanical, electrical, fire safety, security) with consultants.	3.14	3.77	7.42
35	Lead the project team in the integration of the regulatory requirements into the design development documents.	3.13	3.82	7.16
36	Coordinate design with input from client and the overall project team (e.g., general contractor, building official), and evaluate/incorporate their inputs based on project requirements.	3.30	3.72	8.97

Task Num	Task Statement	Average Task Freq.	Average Task Impt.	Task Crit. Value
37	Perform value engineering and life-cycle cost analyses to advise owner about approaches for managing project costs.	2.02	2.88	10.43
38	Review design development documents with client for compliance with project requirements and to gain approval to proceed.	3.19	3.78	9.10
39	Analyze and integrate the selection of sustainable design strategies and technologies into the design.	2.45	2.95	9.29
40	Incorporate final conditions of discretionary approval into project documents.	2.87	3.69	11.68
41	Conduct constructability review of Design Development documents.	2.47	3.39	12.93
42	Coordinate the preparation of the construction documents (e.g., architectural, structural, mechanical, civil, electrical, specs) and resolve potential conflicts or errors.	3.51	4.19	12.83
43	Modify construction documents based on changes in cost estimates including developing bidding alternates for client to consider.	2.51	3.29	13.32
44	Manage distribution and review of documents during the construction document and permit phases.	3.06	3.39	12.13
45	Prepare construction documents that meet program requirements and project goals, and present to client for approval.	3.31	3.99	11.33
46	Prepare construction documents and verify conformance with the conditions of prior agency approvals and applicable codes and regulations.	3.34	4.06	7.21
47	Perform a detailed review of construction documents for constructability and incorporate changes into final documents.	2.94	3.73	6.59
48	Manage the submittal of construction documents to regulatory agencies through initial submittal, coordinating responses, and obtaining approvals.	3.30	3.88	6.03
49	Assist client in the bidding process (e.g., distribute documents, conduct pre-bid meetings, prepare addenda).	2.47	3.13	6.32
50	Assist client in selecting contractors and negotiating construction contracts.	2.20	3.06	9.05
51	Prepare bid documents appropriate to the selected delivery method.	2.54	3.45	11.36
52	Manage the initiation/processing of documents to record construction changes (e.g., Construction Change Directives, Architect's Supplemental Instructions, Change Orders).	2.61	3.41	12.62
53	Participate in pre-construction and pre-installation meetings with contractor as required by the contract documents.	2.61	3.20	14.12
54	Monitor project construction costs and schedule (e.g., review and certify contractor applications for payment, verify lien releases).	2.17	3.10	11.51

Task Num	Task Statement	Average Task Freq.	Average Task Impt.	Task Crit. Value
55	Review test, inspection, observation schedules, programs and reports for conformance with construction documents.	2.22	3.07	9.71
56	Review shop drawings and submittals during construction for conformance with design intent.	3.00	3.72	11.57
57	Conduct periodic site observations/field reports to confirm that construction is in general conformance with contract documents.	3.07	3.69	14.90
58	Respond to contractor Requests for Information.	3.34	3.91	12.23
59	Assist client with evaluating possible changes to the project during construction (e.g., cost, scope, schedule, quality).	2.81	3.42	11.86
60	Manage project close-out procedures (e.g., Certificate of Substantial Completion, Notice of Completion, verification of final lien releases, verification of public agency approvals) per contract	2.18	3.15	10.85
61	Conduct post-construction services (e.g., post-occupancy evaluations, extended commissioning, record drawings) per contract.	1.38	2.45	10.48
62	Assist owner with resolving post-occupancy issues, (e.g., evaluation of building performance, warranty issues).	1.41	3.01	13.16

APPENDIX C. KNOWLEDGE IMPORTANCE RATINGS

K Num	Knowledge Statement	Mean Klmp
1	Knowledge of the provisions of the Architect's Practice Act and CA Code of Regulations related to architect's business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect's stamp).	3.48
2	Knowledge of different project delivery methods and the architect's and project team's corresponding roles and responsibilities (e.g., to client, as part of team).	3.19
3	Knowledge of options for tailoring architectural services to meet the client and project needs.	3.37
4	Knowledge of types of contracts and their application to the scope of work and the project's service requirements (client, consultant, etc.).	3.23
5	Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection).	3.70
6	Knowledge of consultants (e.g., civil, structural, MEP, geotechnical), the services they provide, and their applications to meeting project requirements.	3.82
7	Knowledge of methods for evaluating own/firm's capabilities and capacities in relation to project requirements.	3.57
8	Knowledge of approaches for increasing the capability and/or capacity of the architect/firm to meet project requirements.	3.20
9	Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements.	3.84
10	Knowledge of methods for evaluating client goals and resources in order to identify/define the preliminary project requirements, budget, and schedule.	3.66
11	Knowledge of procedures and standard practices for documenting contractual milestones (e.g., decisions, changes, approvals).	3.37
12	Knowledge of methods and techniques for communicating with client, project team, contractors, agencies, and stakeholders (e.g., meetings, emails, letters, minutes, transmittals, phone logs, visual aids).	3.68
13	Knowledge of architect's role and responsibilities for managing project and contractual risk for the architect and client.	3.79
14	Knowledge of methods and techniques for using technological resources (e.g., BIM/CAD, imaging software, web-based applications) to support communication with client and team.	3.22
15	Knowledge of the architect's role and responsibilities in orchestrating the architect's consultants and the entire project team.	3.84
16	Knowledge of the architect's professional and contractual responsibilities related to the client.	4.05
17	Knowledge of methods for controlling project costs (e.g., value engineering, life-cycle costing, cost estimating).	3.21

K Num	Knowledge Statement	Mean Klmp
18	Knowledge of procedures for preparing and monitoring the project budget including hard and soft costs.	3.05
19	Knowledge of methods and procedures for allocating resources and managing in-house and consultant costs throughout all phases of architectural services.	3.24
20	Knowledge of methods and techniques for resolving conflicts that occur during design and construction.	3.74
21	Knowledge of methods, techniques, and procedures for conducting predesign services (e.g., programming, feasibility studies, site analysis).	3.28
22	Knowledge of methods for evaluating and finalizing the program to determine feasibility and conformance to client's project requirements.	3.36
23	Knowledge of methods for developing design solutions with the involvement of client, users, consultants, and stakeholders.	3.61
24	Knowledge of methods and procedures for developing the schematic design deliverables.	3.46
25	Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.	3.47
26	Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.	3.28
27	Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.	3.61
28	Knowledge of processes and procedures for obtaining discretionary approvals.	3.49
29	Knowledge of processes and procedures for compliance with local codes and ordinances related to design.	4.12
30	Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.	3.13
31	Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.	2.76
32	Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).	2.56
33	Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.	3.19
34	Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.	3.74

K Num	Knowledge Statement	Mean Klmp
35	Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.	3.98
36	Knowledge of methods and procedures for complying with the California Health and Safety Code related to design and construction.	3.14
37	Knowledge of methods and procedures for complying with the California water quality regulations related to design and construction.	2.70
38	Knowledge of the Americans with Disabilities Act (ADA) with regard to how it impacts architectural practice (e.g., client and architect responsibilities, design, construction).	4.19
39	Knowledge of national standards (e.g., UL, ANSI, ASTM, Factory Mutual) relevant to design and construction.	2.77
40	Knowledge of methods and procedures for incorporating sustainable design strategies and technologies into design and construction.	3.04
41	Knowledge of methods and procedures for evaluating and integrating building systems (e.g., structural, mechanical, electrical, plumbing, life safety, conveying, building systems controls) into the project design.	3.79
42	Knowledge of methods and procedures for evaluating building materials (e.g., material characteristics, performance, testing standards) for selection into the project design.	3.42
43	Knowledge of methods for incorporating sustainable design (e.g., energy conservation, resource management, indoor air quality) into project design and construction.	3.15
44	Knowledge of methods for identifying and evaluating the implications of special conditions (e.g., based on loading, soils, uses) on design and construction.	3.22
45	Knowledge of contents of design drawings and related documents required for agency approvals.	3.98
46	Knowledge of architect's role and responsibilities in leading project team in order to obtain necessary agency approvals at the appropriate time.	3.88
47	Knowledge of methods for analyzing initial and life-cycle costs to select materials and systems for project.	2.52
48	Knowledge of methods for performing a QA/QC review of Design Development documents including constructability.	3.21
49	Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.	2.82
50	Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.	3.17

K Num	Knowledge Statement	Mean Klmp
51	Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).	3.81
52	Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.	3.85
53	Knowledge of methods and procedures for demonstrating design compliance with federal laws and authorities: ADA, Army Corps of Engineers, FAA, etc.	3.51
54	Knowledge of methods and procedures for demonstrating design compliance with National Standards: NFPA, ASTM, etc.	2.77
55	Knowledge of methods for performing a QA/QC review of construction docs including constructability, code compliance, etc.	3.38
56	Knowledge of the architect's role in reconciling client's budget with probable construction costs.	3.28
57	Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.	3.34
58	Knowledge of methods and procedures for presenting contract documents to client for approval.	3.45
59	Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.	4.06
60	Knowledge of methods for the detailed integration of building systems (e.g., clash detection, interdisciplinary overlays).	3.35
61	Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).	3.24
62	Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).	3.85
63	Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions).	3.49
64	Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.	3.39
65	Knowledge of methods and procedures for preparing bidding documents based on project funding source (private/public) and delivery method.	3.06
66	Knowledge of architect's role and responsibilities related to construction bidding and negotiation processes.	3.11

K Num	Knowledge Statement	Mean Klmp
67	Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects.	2.83
68	Knowledge of California laws related to design professional and contractor liens and their implications for the architect's and client's responsibilities.	2.85
69	Knowledge of the limits of the architect's role and responsibilities during construction (e.g., directing subcontractors, means and methods).	3.65
70	Knowledge of the interrelationships and responsibilities between the owner, architect, and contractor during construction.	3.85
71	Knowledge of methods for resolving conflicts that occur during construction (e.g., mediation, arbitration, litigation).	3.15
72	Knowledge of methods and procedures for developing and reviewing the contract documents package.	3.60
73	Knowledge of procedures for determining general conformance of construction with contract documents (e.g., observation, submittal reviews, RFIs).	3.69
74	Knowledge of methods and procedures for implementing changes during construction (e.g., Architect's Supplemental Instructions, Change Orders).	3.57
75	Knowledge of procedures for monitoring construction costs and schedules (e.g., reviewing and certifying payments to contractor, reviewing lien releases).	3.06
76	Knowledge of procedures for performing project close-out (e.g., Certificate of Substantial Completion, Notice of Completion, final lien releases).	3.05
77	Knowledge of the California construction laws related to minimum warranty periods.	2.56
78	Knowledge of code-required special inspections and testing (e.g., field welding, high-strength concrete).	2.85
79	Knowledge of State inspection, testing, reporting, and documentation requirements for construction of hospitals, public schools, and essential services buildings.	3.17
80	Knowledge of the architect's role and responsibilities in providing contract administration services based on the client-architect agreement.	3.46
81	Knowledge of post-construction services (e.g., extended building commissioning, record document preparation, operational and maintenance programming, facilities management, post-occupancy evaluation).	2.53
82	Knowledge of the architect's role and responsibilities to client regarding changes to project during construction (e.g., cost, scope, schedule, quality).	3.53

APPENDIX D. ARCHITECT DESCRIPTION OF PRACTICE

CALIFORNIA ARCHITECT DESCRIPTION OF PRACTICE

I. Contract Development / Project Planning

Task Statements	Knowledge Statements
<ol style="list-style-type: none"> 1 Advertise and solicit services in compliance with professional and legal requirements. 2 Evaluate the project's opportunities and constraints for alignment with client goals and requirements. 3 Assess preliminary project requirements including budget and schedule relative to own firm's/organization's business goals, resources, and expertise. 4 Evaluate potential contractual risks and determine strategies to manage them. 5 Collaborate with client to determine scope of work, project delivery method, deliverables, and compensation, etc., to prepare owner-architect agreement. 6 Identify the local, State, and federal regulatory jurisdictions impacting project. 7 Identify the project team members (e.g., architects, engineers, specialty consultants) and who is responsible for the contracting, management, and coordination of each member. 8 Collaborate with client to determine the specific roles and responsibilities of project participants (e.g., owner's representative, architect, contractor, construction manager). 9 Solicit the consultants to be contracted under the architect and evaluate their qualifications and scope of services based on project requirements. 	<ol style="list-style-type: none"> 1 Knowledge of the provisions of the Architect's Practice Act and CA Code of Regulations related to architect's business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect's stamp). 2 Knowledge of different project delivery methods and the architect's and project team's corresponding roles and responsibilities (e.g., to client, as part of team). 3 Knowledge of options for tailoring architectural services to meet the client and project needs. 4 Knowledge of types of contracts and their application to the scope of work and the project's service requirements (client, consultant, etc.). 5 Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection). 6 Knowledge of consultants (e.g., civil, structural, MEP, geotechnical), the services they provide, and their applications to meeting project requirements. 7 Knowledge of methods for evaluating own/firm's capabilities and capacities in relation to project requirements. 8 Knowledge of approaches for increasing the capability and/or capacity of the architect/firm to meet project requirements. 9 Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements. 10 Knowledge of methods for evaluating client goals and resources in order to identify/define the preliminary project requirements, budget, and schedule.

II. Project Management

Task Statements	Knowledge Statements
<p>10 Implement strategies for managing contractual risk (QA/QC, peer review).</p> <p>11 Implement strategies for managing and documenting communication (e.g., point of contact, reporting methods) between the architect, client, and team and between the design team and external parties (e.g., agencies, stakeholders).</p> <p>12 Implement strategies to control risk and manage liability for the client (e.g., due diligence, accessibility).</p> <p>13 Manage client expectations related to the contracted scope of work (e.g., milestones, decision points).</p> <p>14 Manage the distribution and review of documents for project coordination.</p> <p>15 Establish documentation standards for the design team to support consistency and coordination.</p> <p>16 Establish standards for addressing conflicts that arise during the design and construction process.</p> <p>17 Conduct periodic progress meetings with design and project team to identify potential issues in work processes or team communication and develop plans to address the issues.</p> <p>18 Review and update construction cost estimates as required by contract.</p> <p>19 Manage the design team's fees, deliverables, and schedules to conform to contract.</p>	<p>11 Knowledge of procedures and standard practices for documenting contractual milestones (e.g., decisions, changes, approvals).</p> <p>12 Knowledge of methods and techniques for communicating with client, project team, contractors, agencies, and stakeholders (e.g., meetings, emails, letters, minutes, transmittals, phone logs, visual aids).</p> <p>13 Knowledge of architect's role and responsibilities for managing project and contractual risk for the architect and client.</p> <p>14 Knowledge of methods and techniques for using technological resources (e.g., BIM/CAD, imaging software, web-based applications) to support communication with client and team.</p> <p>15 Knowledge of the architect's role and responsibilities in orchestrating the architect's consultants and the entire project team.</p> <p>16 Knowledge of the architect's professional and contractual responsibilities related to the client.</p> <p>17 Knowledge of methods for controlling project costs (e.g., value engineering, life-cycle costing, cost estimating).</p> <p>18 Knowledge of procedures for preparing and monitoring the project budget including hard and soft costs.</p> <p>19 Knowledge of methods and procedures for allocating resources and managing in-house and consultant costs throughout all phases of architectural services.</p> <p>20 Knowledge of methods and techniques for resolving conflicts that occur during design and construction.</p>

III. Programming / Schematic Design

Task Statements	Knowledge Statements
<p>20 Perform or evaluate site feasibility studies (e.g., size, gradient, infrastructure, environmental conditions) to clarify and address project requirements.</p> <p>21 Assist client in evaluating design concepts based on budget, aesthetics, etc., to determine design direction.</p> <p>22 Review program with client to validate project requirements and gain approval to proceed.</p> <p>23 Provide consultants with program and background information to collaboratively develop the design concept.</p> <p>24 Develop the project program using multiple approaches (e.g., surveys, interviews) to identify and evaluate user needs.</p> <p>25 Present project to community groups and other stakeholders for their input and feedback.</p> <p>26 Prepare models, renderings, sketches, etc., to help communicate project designs.</p> <p>27 Present schematic design documents that meet program requirements to client to obtain client's input and approval.</p> <p>28 Integrate sustainable design strategies and technologies into design.</p> <p>29 Identify the specific requirements of regulatory agencies and discuss their incorporation into the design/program with client and design team.</p> <p>30 Prepare and submit exhibits and application forms to governing agencies (e.g., Planning Department, Coastal Commission, Design Review Board) for discretionary approvals.</p> <p>31 Work with agency staff to incorporate proposed conditions of discretionary approval into project documents.</p>	<p>21 Knowledge of methods, techniques, and procedures for conducting predesign services (e.g., programming, feasibility studies, site analysis).</p> <p>22 Knowledge of methods for evaluating and finalizing the program to determine feasibility and conformance to client's project requirements.</p> <p>23 Knowledge of methods for developing design solutions with the involvement of client, users, consultants, and stakeholders.</p> <p>24 Knowledge of methods and procedures for developing the schematic design deliverables.</p> <p>25 Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.</p> <p>26 Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.</p> <p>27 Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.</p> <p>28 Knowledge of processes and procedures for obtaining discretionary approvals.</p> <p>29 Knowledge of processes and procedures for compliance with local codes and ordinances related to design.</p> <p>30 Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.</p> <p>31 Knowledge of methods and procedures for complying with California Coastal Act as it relates to design and construction.</p>

III. Programming / Schematic Design (continued)

Task Statements	Knowledge Statements
<p>32 Develop design concepts based on program requirements and constraints placed by applicable laws, local codes, ordinances, etc.</p>	<p>32 Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).</p> <p>33 Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.</p> <p>34 Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.</p> <p>35 Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.</p> <p>36 Knowledge of methods and procedures for complying with the California Health and Safety Code related to design and construction.</p> <p>37 Knowledge of methods and procedures for complying with the California water quality regulations related to design and construction.</p> <p>38 Knowledge of the Americans with Disabilities Act (ADA) with regard to how it impacts architectural practice (e.g., client and architect responsibilities, design, construction).</p> <p>39 Knowledge of national standards (e.g., UL, ANSI, ASTM, Factory Mutual) relevant to design and construction.</p> <p>40 Knowledge of methods and procedures for incorporating sustainable design strategies and technologies into design and construction.</p>

IV. Design Development / Approvals

Task Statements	Knowledge Statements
33 Lead the preparation of design development documents that integrate the architectural design and engineered building systems.	41 Knowledge of methods and procedures for evaluating and integrating building systems (e.g., structural, mechanical, electrical, plumbing, life safety, conveying, building systems controls) into the project design.
34 Analyze and coordinate the selection and design of building systems (e.g., structural, mechanical, electrical, fire safety, security) with consultants.	42 Knowledge of methods and procedures for evaluating building materials (e.g., material characteristics, performance, testing standards) for selection into the project design.
35 Lead the project team in the integration of the regulatory requirements into the design development documents.	43 Knowledge of methods for incorporating sustainable design (e.g., energy conservation, resource management, indoor air quality) into project design and construction.
36 Coordinate design with input from client and the overall project team (e.g., general contractor, building official), and evaluate/incorporate their inputs based on project requirements.	44 Knowledge of methods for identifying and evaluating the implications of special conditions (e.g., based on loading, soils, uses) on design and construction.
37 Perform value engineering and life-cycle cost analyses to advise owner about approaches for managing project costs.	45 Knowledge of contents of design drawings and related documents required for agency approvals.
38 Review design development documents with client for compliance with project requirements and to gain approval to proceed.	46 Knowledge of architect's role and responsibilities in leading project team in order to obtain necessary agency approvals at the appropriate time.
39 Analyze and integrate the selection of sustainable design strategies and technologies into the design.	47 Knowledge of methods for analyzing initial and life-cycle costs to select materials and systems for project.
40 Incorporate final conditions of discretionary approval into project documents.	48 Knowledge of methods for performing a QA/QC review of Design Development documents including constructability.
41 Conduct constructability review of Design Development documents.	49 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.

IV. Design Development / Approvals (continued)

Task Statements	Knowledge Statements
	<p>50 Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.</p> <p>51 Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).</p> <p>52 Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.</p> <p>53 Knowledge of methods and procedures for demonstrating design compliance with federal laws and authorities: ADA, Army Corps of Engineers, FAA, etc.</p> <p>54 Knowledge of methods and procedures for demonstrating design compliance with National Standards: NFPA, ASTM, etc.</p>

V. Construction Documents / Permitting

Task Statements	Knowledge Statements
42 Coordinate the preparation of the construction documents (e.g., architectural, structural, mechanical, civil, electrical, specs) and resolve potential conflicts or errors.	55 Knowledge of methods for performing a QA/QC review of construction documents including constructability, code compliance, etc.
43 Modify construction documents based on changes in cost estimates including developing bidding alternates for client to consider.	56 Knowledge of the architect's role in reconciling client's budget with probable construction costs.
44 Manage distribution and review of documents during the construction document and permit phases.	57 Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.
45 Prepare construction documents that meet program requirements and project goals, and present to client for approval.	58 Knowledge of methods and procedures for presenting contract documents to client for approval.
46 Prepare construction documents and verify conformance with the conditions of prior agency approvals and applicable codes and regulations.	59 Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.
47 Perform a detailed review of construction documents for constructability and incorporate changes into final documents.	60 Knowledge of methods for the detailed integration of building systems (e.g., clash detection, interdisciplinary overlays).
48 Manage the submittal of construction documents to regulatory agencies through initial submittal, coordinating responses, and obtaining approvals.	61 Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).
	62 Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).
	63 Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions).
	64 Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.

VI. Project Bidding and Construction

Task Statements	Knowledge Statements
<p>49 Assist client in the bidding process (e.g., distribute documents, conduct pre-bid meetings, prepare addenda).</p> <p>50 Assist client in selecting contractors and negotiating construction contracts.</p> <p>51 Prepare bid documents appropriate to the selected delivery method.</p> <p>52 Manage the initiation/processing of documents to record construction changes (e.g., Construction Change Directives, Architect's Supplemental Instructions, Change Orders).</p> <p>53 Participate in pre-construction and pre-installation meetings with contractor as required by the contract documents.</p> <p>54 Monitor project construction costs and schedule (e.g., review and certify contractor applications for payment, verify lien releases).</p> <p>55 Review test, inspection, observation schedules, programs and reports for conformance with construction documents.</p> <p>56 Review shop drawings and submittals during construction for conformance with design intent.</p> <p>57 Conduct periodic site observations/field reports to confirm that construction is in general conformance with contract documents.</p> <p>58 Respond to contractor Requests for Information.</p> <p>59 Assist client with evaluating possible changes to the project during construction (e.g., cost, scope, schedule, quality).</p> <p>60 Manage project close-out procedures (e.g., Certificate of Substantial Completion, Notice of Completion, verification of final lien releases, verification of public agency approvals) per contract</p> <p>61 Conduct post-construction services (e.g., post-occupancy evaluations, extended commissioning, record drawings) per contract.</p>	<p>65 Knowledge of methods and procedures for preparing bidding documents based on project funding source (private/public) and delivery method.</p> <p>66 Knowledge of architect's role and responsibilities related to construction bidding and negotiation processes.</p> <p>67 Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects.</p> <p>68 Knowledge of California laws related to design professional and contractor liens and their implications for the architect's and client's responsibilities.</p> <p>69 Knowledge of the limits of the architect's role and responsibilities during construction (e.g., directing subcontractors, means and methods).</p> <p>70 Knowledge of the interrelationships and responsibilities between the owner, architect, and contractor during construction.</p> <p>71 Knowledge of methods for resolving conflicts that occur during construction (e.g., mediation, arbitration, litigation).</p> <p>72 Knowledge of methods and procedures for developing and reviewing the contract documents package.</p> <p>73 Knowledge of procedures for determining general conformance of construction with contract documents (e.g., observation, submittal reviews, RFIs).</p> <p>74 Knowledge of methods and procedures for implementing changes during construction (e.g., Architect's Supplemental Instructions, Change Orders).</p> <p>75 Knowledge of procedures for monitoring construction costs and schedules (e.g., reviewing and certifying payments to contractor, reviewing lien releases).</p>

VI. Project Bidding and Construction (continued)

Task Statements	Knowledge Statements
<p>62 Assist owner with resolving post-occupancy issues, (e.g., evaluation of building performance, warranty issues).</p>	<p>76 Knowledge of procedures for performing project close-out (e.g., Certificate of Substantial Completion, Notice of Completion, final lien releases).</p> <p>77 Knowledge of the California construction laws related to minimum warranty periods.</p> <p>78 Knowledge of code-required special inspections and testing (e.g., field welding, high-strength concrete).</p> <p>79 Knowledge of State inspection, testing, reporting, and documentation requirements for construction of hospitals, public schools, and essential services buildings.</p> <p>80 Knowledge of the architect's role and responsibilities in providing contract administration services based on the client-architect agreement.</p> <p>81 Knowledge of post-construction services (e.g., extended building commissioning, record document preparation, operational and maintenance programming, facilities management, post-occupancy evaluation).</p> <p>82 Knowledge of the architect's role and responsibilities to client regarding changes to project during construction (e.g., cost, scope, schedule, quality).</p>

APPENDIX E. EMAIL TO PRACTITIONERS

Dear Licensee:

You have been selected by the California Architects Board to participate in the 2014 Architect Occupational Survey. The purpose of the survey is to gather data on the job tasks performed by Architects as well as the knowledge and abilities required to perform those tasks. Your participation is essential to the success of this project.

You may complete the survey all at one sitting or return to it multiple times. Your individual response will be confidential. The Survey may be found at:

https://www.surveymonkey.com/s.aspx?sm=KkNx_2fSW_2bKTUWNWj0Zpsn6Q_3d_3d

Please complete the survey by July 18, 2014.

Any questions, please contact Justin Sotelo at Justin.sotelo@dca.ca.gov or 916 575-7216.

Your participation is essential to the success of this project.

CALIFORNIA ARCHITECTS BOARD

APPENDIX F. QUESTIONNAIRE

Architect Occupational Analysis

1. COVER LETTER

Dear Licensee:

The California Architects Board (Board) is conducting an occupational analysis of the Architect profession. The purpose of the occupational analysis is to identify the important tasks performed by Architects in current practice and the knowledge required to perform those tasks. Results of the occupational analysis will be used to update and improve the Architect California Supplemental Examination.

The Board requests your assistance in this process. Please take the time to complete the survey questionnaire as it relates to your current practice. Your participation ensures that all aspects of the profession are covered and is essential to the success of this project.

Your individual responses will be kept confidential. Your responses will be combined with responses of other Architects and only group trends will be reported. Your personal information will not be tied to your responses.

In order to progress through this survey, please use the following navigation buttons:

- Click the **Next** button to continue to the next page.
- Click the **Prev** button to return to the previous page.
- Click the **Exit this survey** button to exit the survey and return to it at a later time.
- Click the **Done/Submit** button to submit your survey as completed.

Any questions marked with an asterisk (*) require an answer in order to progress through the survey questionnaire.

Please Note: The survey automatically saves fully-completed pages, but will **not** save responses to questions on pages that were partially completed when the survey was exited. Once you have started the survey, you can exit at any time and return to it later without losing your responses as long as you fully completed the page before logging out and are accessing the survey from the same computer. For your convenience, the weblink is available 24 hours a day 7 days a week.

Please submit the completed survey questionnaire by July 18, 2014.

If you have any questions about completing this survey, please contact Justin Sotelo of CAB, Justin.Sotelo@dca.ca.gov; (916) 575-7216. The Board welcomes your participation in this project and thanks you for your time.

INSTRUCTIONS FOR COMPLETING THE DEMOGRAPHIC ITEMS

This part of the questionnaire contains an assortment of demographic items, the responses to which will be used to describe Architect practice as represented by the respondents to the questionnaire. Please note the instructions for each item before marking your response as several permit multiple responses.

INSTRUCTIONS FOR RATING TASK AND KNOWLEDGE STATEMENTS

This part of the questionnaire contains a list of tasks and knowledge descriptive of Architect practice in a variety of settings. Please note that some of the tasks or knowledge may not apply to your setting.

For each task, you will be asked to answer two questions: how often you perform the task **(frequency)** and how important the task is in the performance of your current practice **(importance)**. For each knowledge, you will be asked to answer one question: how important the knowledge is in the performance of your current practice **(importance)**.

Please rate each task and knowledge as it relates to your current practice as a licensed Architect. **Do not respond based on what you believe all Architects should be expected to know or be able to do.**

2. ARCHITECT OCCUPATIONAL ANALYSIS

The California Architects Board recognizes that every Architect practitioner may not perform all of the tasks and use all of the knowledge contained in this questionnaire. However, your participation is essential to the success of this project, and your contributions will help establish standards for safe and effective Architect practice in the state of California.

Complete this questionnaire only if you are currently licensed and practicing as an Architect in California.

3. PART I PERSONAL DATA

The information you provide here is voluntary and confidential. It will be treated as personal information subject to the Information Practices Act (Civil Code, Section 1798 et seq.) and it will be used only for the purpose of analyzing the ratings from this questionnaire.

4.

*** 1. Are you currently licensed and practicing in California as an Architect?**

☐ Yes

☐ No

5.

1. How many years have you been licensed and practicing in California?

- ☐ 0 to 5 years
- ☐ 6 to 10 years
- ☐ 11 to 20 years
- ☐ More than 20 years

2. How many years did you work in architecture before obtaining licensure in California?

- ☐ 0 to 3 years
- ☐ 4 to 6 years
- ☐ 7 to 10 years
- ☐ 11 to 15 years
- ☐ More than 15 years

3. How would describe your primary work setting?

- ☐ Architecture firm (as individual or group)
- ☐ Multidisciplinary firm
- ☐ Governmental agency
- ☐ Institution (e.g., hospital, school)
- ☐ Non-design Company (hotel, utility company, etc.)
- ☐ Construction firm
- ☐ Other (please specify)

4. How many other licensed Architects work in your organization?

- ☐ None
- ☐ 1 to 5
- ☐ 6 to 10
- ☐ More than 10

Architect Occupational Analysis

5. How many employees other than Architects work in your organization?

- ☐ None
- ☐ 1 to 10
- ☐ 11 to 20
- ☐ 21 to 30
- ☐ More than 30

6. How many hours per week do you work as an Architect?

- ☐ 0 to 10 hours
- ☐ 11 to 20 hours
- ☐ 21 to 39 hours
- ☐ 40 or more hours

7. What is the highest level of education you have completed?

- ☐ Technical certificate
- ☐ Associate's degree
- ☐ Bachelor's degree
- ☐ Master's degree
- ☐ Doctorate degree

8. In what major field of study did you receive your certificate or degree in?

Certificate program	<input type="text"/>
AA Degree	<input type="text"/>
BA/BS	<input type="text"/>
MA/MS	<input type="text"/>
Ph.D.	<input type="text"/>

Architect Occupational Analysis

9. Which of the following project types would you consider to be a specialty based on your expertise and experience? (Mark all that apply)

- ☐ Education (Community college, universities, K-12)
- ☐ Health care (Hospitals, clinics)
- ☐ Commercial (Office, mixed-use)
- ☐ Industrial (Factories, warehouse, utilities)
- ☐ Hospitality (Hotel, restaurant)
- ☐ Residential (Single-family, multifamily)
- ☐ Institutional (Military, justice, fire/police stations)

10. Over the past 5 years, what percentage of your work was performed in each of the following three areas? (use whole numbers; numbers should add to 100)

CA	<input type="text"/>
Other States	<input type="text"/>
International	<input type="text"/>

11. Over the past 5 years, what percentage of your work was performed for each of the following project clients? (use whole numbers; numbers should add to 100)

Government Agencies	<input type="text"/>
Private companies	<input type="text"/>
Non-profits	<input type="text"/>
Individual homeowners	<input type="text"/>

12. Which of the following licenses do you possess in addition to CA Architect? (Mark all that apply)

- ☐ Contractor
- ☐ Architect
- ☐ Engineer
- ☐ Architect (out of State)

Architect Occupational Analysis

13. Which of the following certificates do you possess? (mark all that apply)

- ☐ CA Access Specialist (CaASp)
- ☐ ACHA (health care)
- ☐ LEED
- ☐ CPM (project management)
- ☐ CCS (Certified Construction Specifier)
- ☐ CDT
- ☐ NCIDQ

14. On the average what percentage of your time is spent performing each of the following tasks in the course of your work? (use whole numbers; numbers should add to 100)

Construction documents	<input type="text"/>
Construction administration	<input type="text"/>
Agency review/approval	<input type="text"/>
Management/Administration	<input type="text"/>
Project Management	<input type="text"/>
Design	<input type="text"/>
Programming / Pre-Design	<input type="text"/>
Post-occupancy services	<input type="text"/>
Specification Writing	<input type="text"/>
QA/QC	<input type="text"/>
Bid Coordination	<input type="text"/>

15. Over the past 5 years, what percentage of your work was performed using each of the project delivery methods? (use whole numbers; numbers should add to 100)

Design – build	<input type="text"/>
Design – bid – build	<input type="text"/>
Integrated project delivery	<input type="text"/>
Public/private partnership	<input type="text"/>
Design – Owner Build	<input type="text"/>
Other (percentage)	<input type="text"/>

Architect Occupational Analysis

16. Over the past 5 years, what percentage of your work was performed using each of the following construction contract arrangements below? (use whole numbers; numbers should add to 100)

Guaranteed Max Price	<input type="text"/>
Design – bid – build	<input type="text"/>
Construction Management at Risk	<input type="text"/>
Fee plus Cost	<input type="text"/>
Multi-Prime	<input type="text"/>

17. What percentage of the information exchange with each of the following parties is being done using electronic documents (e.g., texts/email, PDFs, Word docs)? (enter a percent between 0-100; use whole numbers)

Consultants	<input type="text"/>
Contractors	<input type="text"/>
Agency submittals	<input type="text"/>
Owners	<input type="text"/>

18. What percentage of your projects use BIM (Building Information Modeling)? (enter a percent between 0-100, use whole numbers,)

Percent of projects:

19. What percentage of your clients require BIM (Building Information Modeling) as part of their requested services? (enter a percent between 0-100, use whole numbers)

Percent of clients:

20. Over the past 5 years, what percentage of the design team consultants you worked with used BIM to generate their drawings? (enter a percent between 0 and 100; use whole numbers)

Percent of consultants

21. In what capacity do you or your firm perform BIM for your consultants:

	Yes	No
As part of your contract for project delivery?	<input type="radio"/>	<input type="radio"/>
As an added service?	<input type="radio"/>	<input type="radio"/>

22. Which type of setting best describes your primary work location?

- ☐ Urban (greater than 50,000 people)
- ☐ Rural (less than 50,000 people)

Architect Occupational Analysis

23. In what California county is your primary practice located?

- | | | |
|------------------------------------|---------------------------------------|-------------------------------------|
| <input type="radio"/> Alameda | <input type="radio"/> Marin | <input type="radio"/> San Mateo |
| <input type="radio"/> Alpine | <input type="radio"/> Mariposa | <input type="radio"/> Santa Barbara |
| <input type="radio"/> Amador | <input type="radio"/> Mendocino | <input type="radio"/> Santa Clara |
| <input type="radio"/> Butte | <input type="radio"/> Merced | <input type="radio"/> Santa Cruz |
| <input type="radio"/> Calaveras | <input type="radio"/> Modoc | <input type="radio"/> Shasta |
| <input type="radio"/> Colusa | <input type="radio"/> Mono | <input type="radio"/> Sierra |
| <input type="radio"/> Contra Costa | <input type="radio"/> Monterey | <input type="radio"/> Siskiyou |
| <input type="radio"/> Del Norte | <input type="radio"/> Napa | <input type="radio"/> Solano |
| <input type="radio"/> El Dorado | <input type="radio"/> Nevada | <input type="radio"/> Sonoma |
| <input type="radio"/> Fresno | <input type="radio"/> Orange | <input type="radio"/> Stanislaus |
| <input type="radio"/> Glenn | <input type="radio"/> Placer | <input type="radio"/> Sutter |
| <input type="radio"/> Humboldt | <input type="radio"/> Plumas | <input type="radio"/> Tehama |
| <input type="radio"/> Imperial | <input type="radio"/> Riverside | <input type="radio"/> Trinity |
| <input type="radio"/> Inyo | <input type="radio"/> Sacramento | <input type="radio"/> Tulare |
| <input type="radio"/> Kern | <input type="radio"/> San Benito | <input type="radio"/> Tuolumne |
| <input type="radio"/> Kings | <input type="radio"/> San Bernardino | <input type="radio"/> Ventura |
| <input type="radio"/> Lake | <input type="radio"/> San Diego | <input type="radio"/> Yolo |
| <input type="radio"/> Lassen | <input type="radio"/> San Francisco | <input type="radio"/> Yuba |
| <input type="radio"/> Los Angeles | <input type="radio"/> San Joaquin | |
| <input type="radio"/> Madera | <input type="radio"/> San Luis Obispo | |

6. PART II RATING JOB TASKS

In this part of the questionnaire, please rate each task as it relates to your current practice as an Architect. Your Frequency and Importance ratings should be separate and independent ratings. Therefore, the ratings that you assign from one rating scale should not influence the ratings that you assign from the other rating scale.

If the task is NOT part of your current practice, rate the task "0" (zero) Frequency and "0" (zero) Importance.

The boxes for rating the Frequency and Importance of each task have drop-down lists. Click on the "down" arrow for each list to see the ratings and then select the option based on your current job.

FREQUENCY RATING

How often are these tasks performed in your current job?
Use the following scale to make your rating.

- 0 - DOES NOT APPLY TO MY PRACTICE. I do not perform this task in my job.
- 1 - RARELY. This task is one of the tasks I perform least often in my practice relative to other tasks I perform.
- 2 - SELDOM. This task is performed less often relative to other tasks I perform in my practice.
- 3 - REGULARLY. This task is performed as often as other tasks I perform in my practice.
- 4 - OFTEN. This task is performed more often than most other tasks I perform in my practice.
- 5 - VERY OFTEN. This task is one of the tasks I perform most often in my practice.

IMPORTANCE RATING

HOW IMPORTANT are these tasks in the performance of your current practice?
Use the following scale to make your ratings.

- 0 - NOT IMPORTANT; DOES NOT APPLY TO MY PRACTICE. I do not perform this task in my practice.
- 1 - OF MINOR IMPORTANCE. This task is of minor importance for effective performance relative to other tasks; it has the lowest priority of all the tasks I perform in my current practice.
- 2 - FAIRLY IMPORTANT. This task is fairly important for effective performance relative to other tasks; however, it does not have the priority of most other tasks I perform in my current practice.
- 3 - MODERATELY IMPORTANT. This task is moderately important for effective performance relative to other tasks; it has average priority of all the tasks I perform in my current job.

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4 - VERY IMPORTANT. This task is very important for performance in my practice; it has a higher degree of priority than most other tasks I perform in my current practice.

5 - CRITICALLY IMPORTANT. This task is one of the most critical tasks I perform in practice; it has the highest degree of priority of all the tasks I perform in my current practice.

1. TASK STATEMENTS

	Frequency	Importance
1. Advertise and solicit services in compliance with professional and legal requirements.	<input type="text"/>	<input type="text"/>
2. Evaluate the project's opportunities and constraints for alignment with client goals and requirements.	<input type="text"/>	<input type="text"/>
3. Assess preliminary project requirements including budget and schedule relative to own firm's/organization's business goals, resources, and expertise.	<input type="text"/>	<input type="text"/>
4. Evaluate potential contractual risks and determine strategies to manage them.	<input type="text"/>	<input type="text"/>
5. Collaborate with client to determine scope of work, project delivery method, deliverables, and compensation, etc., to prepare owner-architect agreement.	<input type="text"/>	<input type="text"/>
6. Identify the local, state, and federal regulatory jurisdictions impacting project.	<input type="text"/>	<input type="text"/>
7. Identify the project team members (e.g., architects, engineers, specialty consultants) and who is responsible for the contracting, management, and coordination of each member.	<input type="text"/>	<input type="text"/>
8. Collaborate with client to determine the specific roles and responsibilities of project participants (e.g., owner's representative, architect, contractor, construction manager).	<input type="text"/>	<input type="text"/>
9. Solicit the consultants to be contracted under the architect and evaluate their qualifications and scope of services based on project requirements.	<input type="text"/>	<input type="text"/>
10. Implement strategies for managing contractual risk (QA/QC, peer review).	<input type="text"/>	<input type="text"/>
11. Implement strategies for managing and documenting communication (e.g., point of contact, reporting methods) between the architect, client, and team and between the design team and external parties (e.g., agencies, stakeholders).	<input type="text"/>	<input type="text"/>

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12. Implement strategies to control risk and manage liability for the client (e.g., due diligence, accessibility).

13. Manage client expectations related to the contracted scope of work (e.g., milestones, decision points).

14. Manage the distribution and review of documents for project coordination.

15. Establish documentation standards for the design team to support consistency and coordination.

16. Establish standards for addressing conflicts that arise during the design and construction process.

17. Conduct periodic progress meetings with design and project team to identify potential issues in work processes or team communication and develop plans to address the issues.

18. Review and update construction cost estimates as required by contract.

19. Manage the design team's fees, deliverables, and schedules to conform to contract.

20. Perform or evaluate site feasibility studies (e.g., size, gradient, infrastructure, environmental conditions) to clarify and address project requirements.

21. Assist client in evaluating design concepts based on budget, aesthetics, etc., to determine design direction.

22. Review program with client to validate project requirements and gain approval to proceed.

23. Provide consultants with program and background information to collaboratively develop the design concept.

24. Develop the project program using multiple approaches (e.g., surveys, interviews) to identify and evaluate user needs.

25. Present project to community groups and other stakeholders for their input and feedback.

Architect Occupational Analysis

2. TASK STATEMENTS

	Frequency	Importance
26. Prepare models, renderings, sketches, etc., to help communicate project designs.	<input type="text"/>	<input type="text"/>
27. Present schematic design documents that meet program requirements to client to obtain client's input and approval.	<input type="text"/>	<input type="text"/>
28. Integrate sustainable design strategies and technologies into design.	<input type="text"/>	<input type="text"/>
29. Identify the specific requirements of regulatory agencies and discuss their incorporation into the design/program with client and design team.	<input type="text"/>	<input type="text"/>
30. Prepare and submit exhibits and application forms to governing agencies (e.g., Planning Department, Coastal Commission, Design Review Board) for discretionary approvals.	<input type="text"/>	<input type="text"/>
31. Work with agency staff to incorporate proposed conditions of discretionary approval into project documents.	<input type="text"/>	<input type="text"/>
32. Develop design concepts based on program requirements and constraints placed by applicable laws, local codes, ordinances, etc.	<input type="text"/>	<input type="text"/>
33. Lead the preparation of design development documents that integrate the architectural design and engineered building systems.	<input type="text"/>	<input type="text"/>
34. Analyze and coordinate the selection and design of building systems (e.g., structural, mechanical, electrical, fire safety, security) with consultants.	<input type="text"/>	<input type="text"/>
35. Lead the project team in the integration of the regulatory requirements into the design development documents.	<input type="text"/>	<input type="text"/>
36. Coordinate design with input from client and the overall project team (e.g., general contractor, building official), and evaluate/incorporate their inputs based on project requirements.	<input type="text"/>	<input type="text"/>
37. Perform value engineering and life-cycle cost analyses to advise owner about approaches for managing project costs.	<input type="text"/>	<input type="text"/>
38. Review design development documents with client for compliance with project requirements and to gain approval	<input type="text"/>	<input type="text"/>

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to proceed.

39. Analyze and integrate the selection of sustainable design strategies and technologies into the design.

40. Incorporate final conditions of discretionary approval into project documents.

41. Conduct constructability review of Design Development documents.

42. Coordinate the preparation of the construction documents (e.g., architectural, structural, mechanical, civil, electrical, specs) and resolve potential conflicts or errors.

43. Modify construction documents based on changes in cost estimates including developing bidding alternates for client to consider.

44. Manage distribution and review of documents during the construction document and permit phases.

45. Prepare construction documents that meet program requirements and project goals, and present to client for approval.

46. Prepare construction documents and verify conformance with the conditions of prior agency approvals and applicable codes and regulations.

47. Perform a detailed review of construction documents for constructability and incorporate changes into final documents.

48. Manage the submittal of construction documents to regulatory agencies through initial submittal, coordinating responses, and obtaining approvals.

49. Assist client in the bidding process (e.g., distribute documents, conduct pre-bid meetings, prepare addenda).

50. Assist client in selecting contractors and negotiating construction contracts.

Architect Occupational Analysis

3. TASK STATEMENTS

	Frequency	Importance
51. Prepare bid documents appropriate to the selected delivery method.	<input type="text"/>	<input type="text"/>
52. Manage the initiation/processing of documents to record construction changes (e.g., Construction Change Directives, Architect's Supplemental Instructions, Change Orders).	<input type="text"/>	<input type="text"/>
53. Participate in pre-construction and pre-installation meetings with contractor as required by the contract documents.	<input type="text"/>	<input type="text"/>
54. Monitor project construction costs and schedule (e.g., review and certify contractor applications for payment, verify lien releases).	<input type="text"/>	<input type="text"/>
55. Review test, inspection, observation schedules, programs and reports for conformance with construction documents.	<input type="text"/>	<input type="text"/>
56. Review shop drawings and submittals during construction for conformance with design intent.	<input type="text"/>	<input type="text"/>
57. Conduct periodic site observations/field reports to confirm that construction is in general conformance with contract documents.	<input type="text"/>	<input type="text"/>
58. Respond to contractor Requests for Information.	<input type="text"/>	<input type="text"/>
59. Assist client with evaluating possible changes to the project during construction (e.g., cost, scope, schedule, quality).	<input type="text"/>	<input type="text"/>
60. Manage project close-out procedures (e.g., Certificate of Substantial Completion, Notice of Completion, verification of final lien releases, verification of public agency approvals) per contract	<input type="text"/>	<input type="text"/>
61. Conduct post-construction services (e.g., post-occupancy evaluations, extended commissioning, record drawings) per contract.	<input type="text"/>	<input type="text"/>
62. Assist owner with resolving post-occupancy issues, (e.g., evaluation of building performance, warranty issues).	<input type="text"/>	<input type="text"/>

7. PART III. RATING JOB KNOWLEDGE

In this part of the questionnaire, rate each of the knowledge statements based on how important the knowledge is to successful performance in your practice. If a knowledge statement is NOT part of your job, then rate it "0" (zero) for Importance.

The boxes for rating the Importance of each knowledge statement have a drop-down list. Click on the "down" arrow for each list to see the ratings. Then select the rating based on your current practice.

IMPORTANCE RATING

HOW IMPORTANT is this knowledge in the performance of your current practice?
Use the following scale to make your ratings.

0 DOES NOT APPLY TO MY PRACTICE; NOT REQUIRED; this knowledge is not required to perform in my practice.

1 OF MINOR IMPORTANCE; this knowledge is of minor importance for performance of my practice relative to all other knowledge.

2 FAIRLY IMPORTANT; this knowledge is fairly important for performance of my practice relative to all other knowledge.

3 MODERATELY IMPORTANT; this knowledge is moderately important for performance of my practice relative to all other knowledge.

4 VERY IMPORTANT; this knowledge is very important for performance of my practice relative to all other knowledge.

5 CRITICALLY IMPORTANT; this knowledge is essential for performance of my practice relative to all other knowledge.

Architect Occupational Analysis

1. Knowledge Statements

Importance

1. Knowledge of the provisions of the Architect's Practice Act and CA Code of Regulations related to architect's business and professional requirements (e.g., contracts, architectural corporations, responsible control, architect's stamp).

2. Knowledge of different project delivery methods and the architect's and project team's corresponding roles and responsibilities (e.g., to client, as part of team).

3. Knowledge of options for tailoring architectural services to meet the client and project needs.

4. Knowledge of types of contracts and their application to the scope of work and the project's service requirements (client, consultant, etc.).

5. Knowledge of methods for limiting professional liability (e.g., contractual allocation of risk, standard of care, client and project selection).

6. Knowledge of consultants (e.g., civil, structural, MEP, geotechnical), the services they provide, and their applications to meeting project requirements.

7. Knowledge of methods for evaluating own/firm's capabilities and capacities in relation to project requirements.

8. Knowledge of approaches for increasing the capability and/or capacity of the architect/firm to meet project requirements.

9. Knowledge of methods and procedures for identifying the regulatory agencies having jurisdiction over the project and their specific requirements.

10. Knowledge of methods for evaluating client goals and resources in order to identify/define the preliminary project requirements, budget, and schedule.

11. Knowledge of procedures and standard practices for documenting contractual milestones (e.g., decisions, changes, approvals).

12. Knowledge of methods and techniques for communicating with client, project team, contractors, agencies, and stakeholders (e.g., meetings, emails, letters, minutes, transmittals, phone logs, visual aids).

13. Knowledge of architect's role and responsibilities for managing project and contractual risk for the architect and client.

14. Knowledge of methods and techniques for using technological resources (e.g., BIM/CAD, imaging software, web-based applications) to support communication with client and team.

15. Knowledge of the architect's role and responsibilities in orchestrating the architect's consultants and the entire project team.

16. Knowledge of the architect's professional and contractual responsibilities related to the client.

17. Knowledge of methods for controlling project costs (e.g., value engineering, life-cycle costing, cost estimating).

Architect Occupational Analysis

18. Knowledge of procedures for preparing and monitoring the project budget including hard and soft costs.

19. Knowledge of methods and procedures for allocating resources and managing in-house and consultant costs throughout all phases of architectural services.

20. Knowledge of methods and techniques for resolving conflicts that occur during design and construction.

21. Knowledge of methods, techniques, and procedures for conducting predesign services (e.g., programming, feasibility studies, site analysis).

22. Knowledge of methods for evaluating and finalizing the program to determine feasibility and conformance to client's project requirements.

23. Knowledge of methods for developing design solutions with the involvement of client, users, consultants, and stakeholders.

24. Knowledge of methods and procedures for developing the schematic design deliverables.

25. Knowledge of procedures for obtaining and interpreting data about the existing built environment to determine impacts on project.

26. Knowledge of environmental conditions regulated in California (e.g., wetlands, coastal regions, habitats of endangered species) related to design and construction.

27. Knowledge of the impacts to project from environmental conditions (e.g., seismic activity, fire, winds, flood zone, hazardous materials) and their potential mitigations.

28. Knowledge of processes and procedures for obtaining discretionary approvals.

29. Knowledge of processes and procedures for compliance with local codes and ordinances related to design.

30. Knowledge of methods and procedures for complying with the California Environmental Quality Act (CEQA) related to design and construction.

Architect Occupational Analysis

2. Knowledge Statements

Importance

31. Knowledge of methods and procedures for complying with California Coastal Act as it related to design and construction.

32. Knowledge of methods and procedures for complying with California Clean Air Act related to design and construction (e.g., air quality requirements for dust mitigation, limitations on generator exhaust).

33. Knowledge of methods and procedures for complying with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to the design and construction of hospitals, schools, fire/police stations, etc.

34. Knowledge of what is encompassed by the California Building Standards Code (e.g., building, electrical, mechanical, plumbing, energy) and how the CBSC is distinct from the model codes.

35. Knowledge of methods and procedures for complying with provisions of the California Building Standards Code related to design and construction.

36. Knowledge of methods and procedures for complying with the California Health and Safety Code related to design and construction.

37. Knowledge of methods and procedures for complying with the California water quality regulations related to design and construction.

38. Knowledge of the Americans with Disabilities Act (ADA) with regard to how it impacts architectural practice (e.g., client and architect responsibilities, design, construction).

39. Knowledge of national standards (e.g., UL, ANSI, ASTM, Factory Mutual) relevant to design and construction.

40. Knowledge of methods and procedures for incorporating sustainable design strategies and technologies into design and construction.

41. Knowledge of methods and procedures for evaluating and integrating building systems (e.g., structural, mechanical, electrical, plumbing, life safety, conveying, building systems controls) into the project design.

42. Knowledge of methods and procedures for evaluating building materials (e.g., material characteristics, performance, testing standards) for selection into the project design.

43. Knowledge of methods for incorporating sustainable design (e.g., energy conservation, resource management, indoor air quality) into project design and construction.

44. Knowledge of methods for identifying and evaluating the implications of special conditions (e.g., based on loading, soils, uses) on design and construction.

45. Knowledge of contents of design drawings and related documents required for agency approvals.

Architect Occupational Analysis

46. Knowledge of architect's role and responsibilities in leading project team in order to obtain necessary agency approvals at the appropriate time.

47. Knowledge of methods for analyzing initial and life-cycle costs to select materials and systems for project.

48. Knowledge of methods for performing a QA/QC review of Design Development documents including constructability.

49. Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements for environmental quality: CEQA, Coastal Act, Clean Air Act, water quality regulations, etc.

50. Knowledge of methods and procedures for demonstrating design compliance with State regulatory requirements (e.g., Essential Services Building Seismic Safety Act, Field Act, Hospital Facilities Seismic Safety Act) related to design and construction of hospitals, schools, fire/police stations, etc.

51. Knowledge of methods and procedures for demonstrating design compliance with California Building Standards Code (CBSC).

52. Knowledge of methods and procedures for demonstrating design compliance with local regulations: zoning, planning, general plan, CBSC modifications, etc.

53. Knowledge of methods and procedures for demonstrating design compliance with federal laws and authorities: ADA, Army Corps of Engineers, FAA, etc.

54. Knowledge of methods and procedures for demonstrating design compliance with National Standards: NFPA, ASTM, etc.

55. Knowledge of methods for performing a QA/QC review of construction docs including constructability, code compliance, etc.

56. Knowledge of the architect's role in reconciling client's budget with probable construction costs.

57. Knowledge of methods and procedures for managing the distribution and review of documents during the construction document and permit phases.

58. Knowledge of methods and procedures for presenting contract documents to client for approval.

59. Knowledge of contents of contract documents (e.g., construction drawings, specifications, project manual) required for agency approval, bidding, and construction.

60. Knowledge of methods for the detailed integration of building systems (e.g., clash detection, interdisciplinary overlays).

Architect Occupational Analysis

3. Knowledge Statements

Importance

61. Knowledge of methods for documenting the anchoring of nonstructural elements as defined by the California Building Code (e.g., fixtures and equipment items, nonbearing partitions, suspended ceilings).

62. Knowledge of processes and procedures for working with regulatory agencies having jurisdiction over the project to obtain final approvals (local, regional, State, federal).

63. Knowledge of interrelationships between regulatory agencies and their impact on the approval process (e.g., sequence of approvals, hierarchy of jurisdictions).

64. Knowledge of the architect's role in resolving conflicts between agencies regarding conflicting codes, regulations, and standards.

65. Knowledge of methods and procedures for preparing bidding documents based on project funding source (private/public) and delivery method.

66. Knowledge of architect's role and responsibilities related to construction bidding and negotiation processes.

67. Knowledge of the provisions of the California Public Contract Code related to the bidding and contracting requirements for publicly funded projects.

68. Knowledge of California laws related to design professional and contractor liens and their implications for the architect's and client's responsibilities.

69. Knowledge of the limits of the architect's role and responsibilities during construction (e.g., directing subcontractors, means and methods).

70. Knowledge of the interrelationships and responsibilities between the owner, architect, and contractor during construction.

71. Knowledge of methods for resolving conflicts that occur during construction (e.g., mediation, arbitration, litigation).

72. Knowledge of methods and procedures for developing and reviewing the contract documents package.

73. Knowledge of procedures for determining general conformance of construction with contract documents (e.g., observation, submittal reviews, RFIs).

74. Knowledge of methods and procedures for implementing changes during construction (e.g., Architect's Supplemental Instructions, Change Orders).

75. Knowledge of procedures for monitoring construction costs and schedules (e.g., reviewing and certifying payments to contractor, reviewing lien releases).

76. Knowledge of procedures for performing project close-out (e.g., Certificate of Substantial Completion, Notice of Completion, final lien releases).

77. Knowledge of the California construction laws related to minimum warranty periods.

78. Knowledge of code-required special inspections and testing (e.g., field

Architect Occupational Analysis

welding, high-strength concrete).

79. Knowledge of State inspection, testing, reporting, and documentation requirements for construction of hospitals, public schools, and essential services buildings.

80. Knowledge of the architect's role and responsibilities in providing contract administration services based on the client-architect agreement.

81. Knowledge of post-construction services (e.g., extended building commissioning, record document preparation, operational and maintenance programming, facilities management, post-occupancy evaluation).

82. Knowledge of the architect's role and responsibilities to client regarding changes to project during construction (e.g., cost, scope, schedule, quality).

8. FINISHED

THANK YOU FOR COMPLETING THIS SURVEY QUESTIONNAIRE.

CALIFORNIA ARCHITECTS BOARD

REVIEW OF THE NATIONAL COUNCIL OF ARCHITECTURAL REGISTRATION BOARDS' ARCHITECT REGISTRATION EXAMINATION



OFFICE OF PROFESSIONAL EXAMINATION SERVICES



CALIFORNIA ARCHITECTS BOARD

REVIEW OF THE NATIONAL COUNCIL OF ARCHITECTURAL REGISTRATION BOARDS' ARCHITECT REGISTRATION EXAMINATION

This report was prepared and written by the
Office of Professional Examination Services
California Department of Consumer Affairs

June 2015

Heidi Lincer-Hill, Ph.D., Chief

Raul Villanueva, M.A., Personnel Selection Consultant



EXECUTIVE SUMMARY

Licensing boards and bureaus within the California Department of Consumer Affairs (DCA) are required to ensure that examination programs being used in the California licensure process comply with psychometric and legal standards. The California Architects Board (Board) requested that DCA's Office of Professional Examination Services (OPES) complete a comprehensive review of the National Council of Architectural Registration Boards' (NCARB) examination program. The purpose of the OPES review was to evaluate the suitability of the Architect Registration Examination (ARE) for continued use in California.

OPES received and reviewed documents provided by NCARB. Follow-up phone communications were held to clarify the procedures and practices used to validate and develop the ARE. A comprehensive evaluation of the documents was made to determine whether (a) occupational analysis, (b) examination development, (c) passing scores, (d) test administration, (e) examination performance, and (f) test security procedures met professional guidelines and technical standards. OPES found that the procedures used to establish and support the validity and defensibility of the ARE examination program components listed above meet professional guidelines and technical standards outlined in the *Standards for Educational and Psychological Testing (Standards)* and the California Business and Professions Code section 139.

OPES convened a panel of licensed California architects to serve as subject matter experts (SMEs) to review the content of the six division examinations that make up the ARE and to compare this content with the description of practice for California architects as based on the 2014 California Architect Occupational Analysis performed by OPES. The SMEs were selected by the Board based on their geographic location, experience, and practice specialty.

The SMEs performed a comparison between the content of the division examinations of the ARE (current version 4.0 and upcoming version 5.0) and the 2014 California Architect description of practice, and they concluded that the content measured by the division examinations of the ARE 4.0 and the ARE 5.0 are congruent in assessing the general knowledge required for entry-level architect practice in California.

The SMEs were also asked to link the job task and knowledge statements that make up the 2014 examination outline for the Architect California Supplemental Examination (CSE) with the content of the division examinations making up ARE 4.0 and ARE 5.0. This linkage was performed to identify if there were areas of California architect practice not covered by ARE 4.0 or ARE 5.0.

The results of the linkage study indicate that there are areas of California architect practice not covered by either the ARE 4.0 or ARE 5.0. These areas were found to be covered by the CSE. The CSE is structured into four content areas (Table 3). The CSE examination plan (Table 4) specifies the job tasks and related knowledge tested by the CSE which a California architect is expected to have mastered at the time of licensure.

The content areas for the division examinations of the ARE 4.0, ARE 5.0, and for the CSE are provided in Tables 1 through 3 below, respectively.

TABLE 1 – CONTENT AREAS OF THE ARCHITECT REGISTRATION EXAMINATION PLAN (ARE 4.0)

ARE Division Examination	Content of Division Sections	Subarea Weights per Section
I. Programing, Planning & Practice	Programming & Analysis	27-33%
	Environmental, Social, & Economic Issues	17-23%
	Codes & Regulations	11-17%
	Project & Practice Management	33-39%
II. Site Planning & Design	Principles	27-30%
	Environmental Issues	34-32%
	Codes & Regulations	18-26%
	Materials & Technology	16-20%
	Project & Practice Management	4-8%
III. Building Design & Construction Systems	Principles	27-33%
	Environmental Issues	6-9%
	Codes & Regulations	10-13%
	Materials & Technology	43-49%
	Project & Practice Management	4-7%
IV. Schematic Design		100%
V. Structural Systems	General Structures	50-54%
	Seismic Forces	18-22%
	Wind Forces	18-22%
	Lateral Forces	7-9%
VI. Building Systems	Codes & Regulations	6-9%
	Environmental Issues	9-11%
	Plumbing	10-15%
	HVAC	18-23%
	Electrical	10-15%
	Lighting	15-20%
	Specialties	18-23%
VII. Construction Documents & Services	Codes & Regulations	9-11%
	Environmental Issues	6-9%
	Construction Drawings & Project Manual	48-53%
	Project & Practice Management	30-35%

TABLE 2 – CONTENT AREAS OF THE ARCHITECT REGISTRATION EXAMINATION
PLAN (ARE 5.0)

ARE Division Examination	Content of Division Sections	Subarea Weights per Section
I. Practice Management	Business Operations	20-26%
	Finances, Risk, & Development of Practice	29-35%
	Practice---Wide Delivery of Services	22-28%
	Practice Methodologies	17-23%
II. Project Management	Resource Management	7-13%
	Project Work Planning	17-23%
	Contracts	25-31%
	Project Execution	17-23%
	Project Quality Control	19-25%
III. Programming & Analysis	Environmental & Contextual Conditions	14-21%
	Codes & Regulations	16-22%
	Site Analysis & Programming	21-27%
	Building Analysis & Programming	37-43%
IV. Project Planning & Design	Environmental Conditions & Context	10-16%
	Codes & Regulations	16-22%
	Building Systems, Materials, & Assemblies	19-25%
	Project Integration of Program & Systems	32-38%
	Project Costs & Budgeting	8-14%
V. Project Planning & Documentation	Integration of Building Materials & Systems	31-37%
	Construction Documentation	32-38%
	Project Manual & Specifications	12-18%
	Codes & Regulations	8-14%
	Construction Cost Estimates	2-8%
VI. Construction & Evaluation	Preconstruction Activities	17-23%
	Construction Observation	32-38%
	Administrative Procedures & Protocols	32-38%
	Project Closeout & Evaluation	7-13%

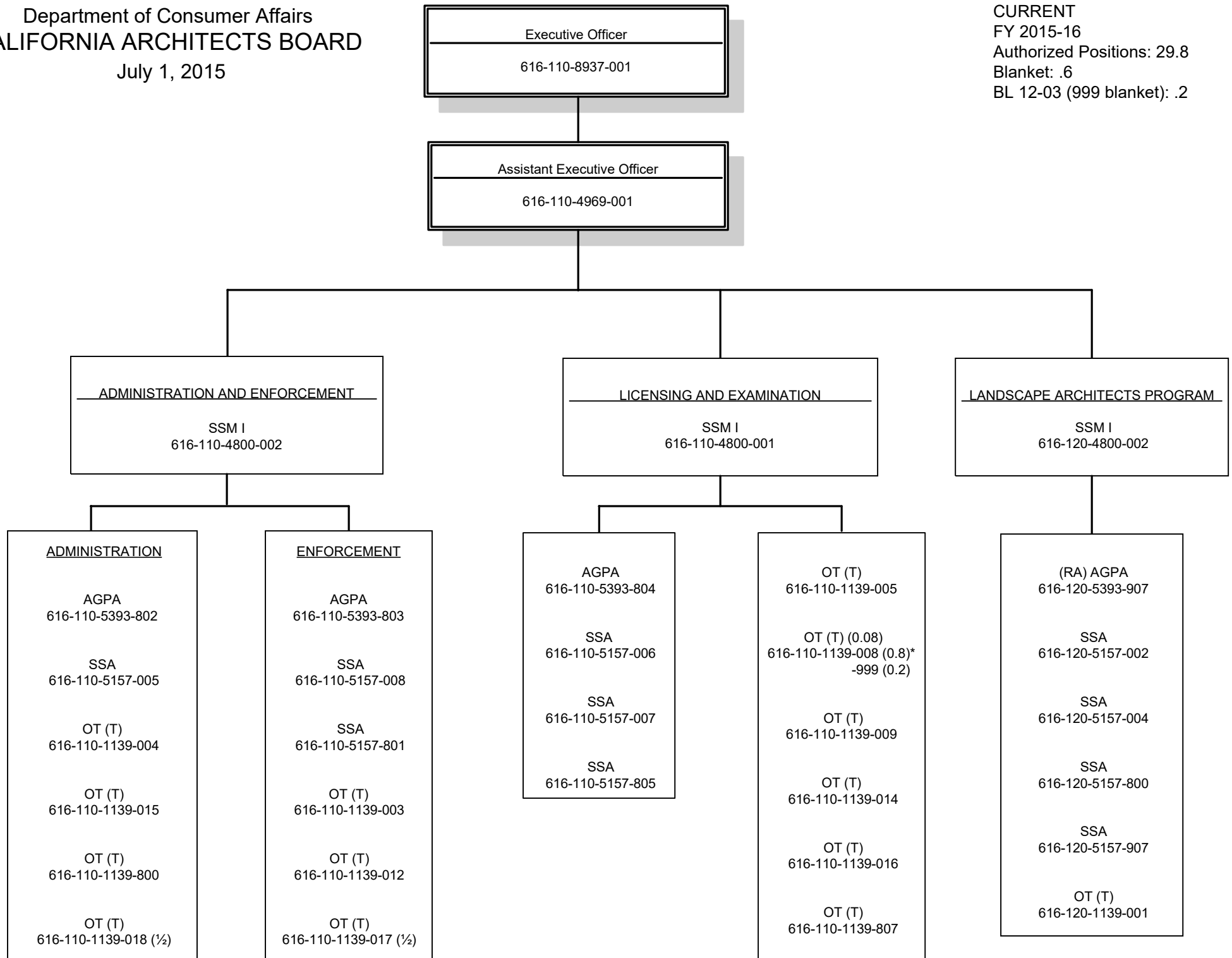
TABLE 3 – CONTENT AREAS OF THE 2014 ARCHITECT CALIFORNIA SUPPLEMENTAL EXAMINATION (CSE) PLAN

Content Area	Content Area Description	Percent Weight
I. General Practice	This area assesses the candidate's knowledge related to core areas of practice applicable across types of projects, construction contract arrangements, and project delivery methods.	14
II. Programming / Design	This area assesses the candidate's ability to identify and evaluate site and project opportunities and constraints in developing design concepts that meet the client's, user's, and stakeholder's needs and applicable California regulations.	36
III. Development / Documentation	This area assesses the candidate's knowledge regarding developing design solutions, managing a project team, and preparing design and construction drawings and documents in conformance with the project program and applicable California regulations.	30
IV. Bidding / Construction	This area assesses the candidate's knowledge related to California regulations associated with project bidding, construction, and post-construction activities.	20
Total		100%

Year-End Organization Charts - FYs 14/15 – 17/18

Department of Consumer Affairs
CALIFORNIA ARCHITECTS BOARD
July 1, 2015

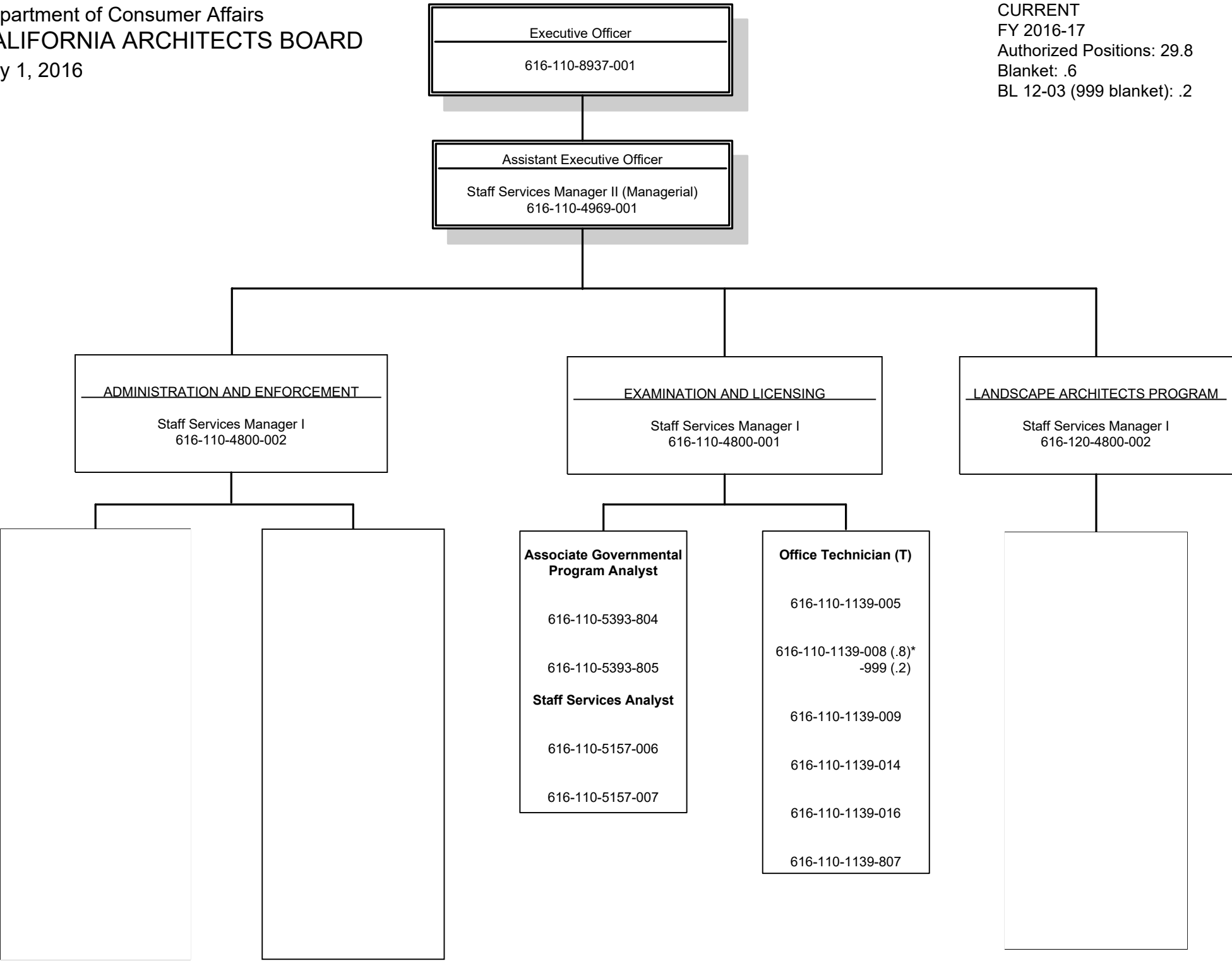
CURRENT
FY 2015-16
Authorized Positions: 29.8
Blanket: .6
BL 12-03 (999 blanket): .2



*=BL 12-03 (999 blanket) Reduction: .2

Executive Officer

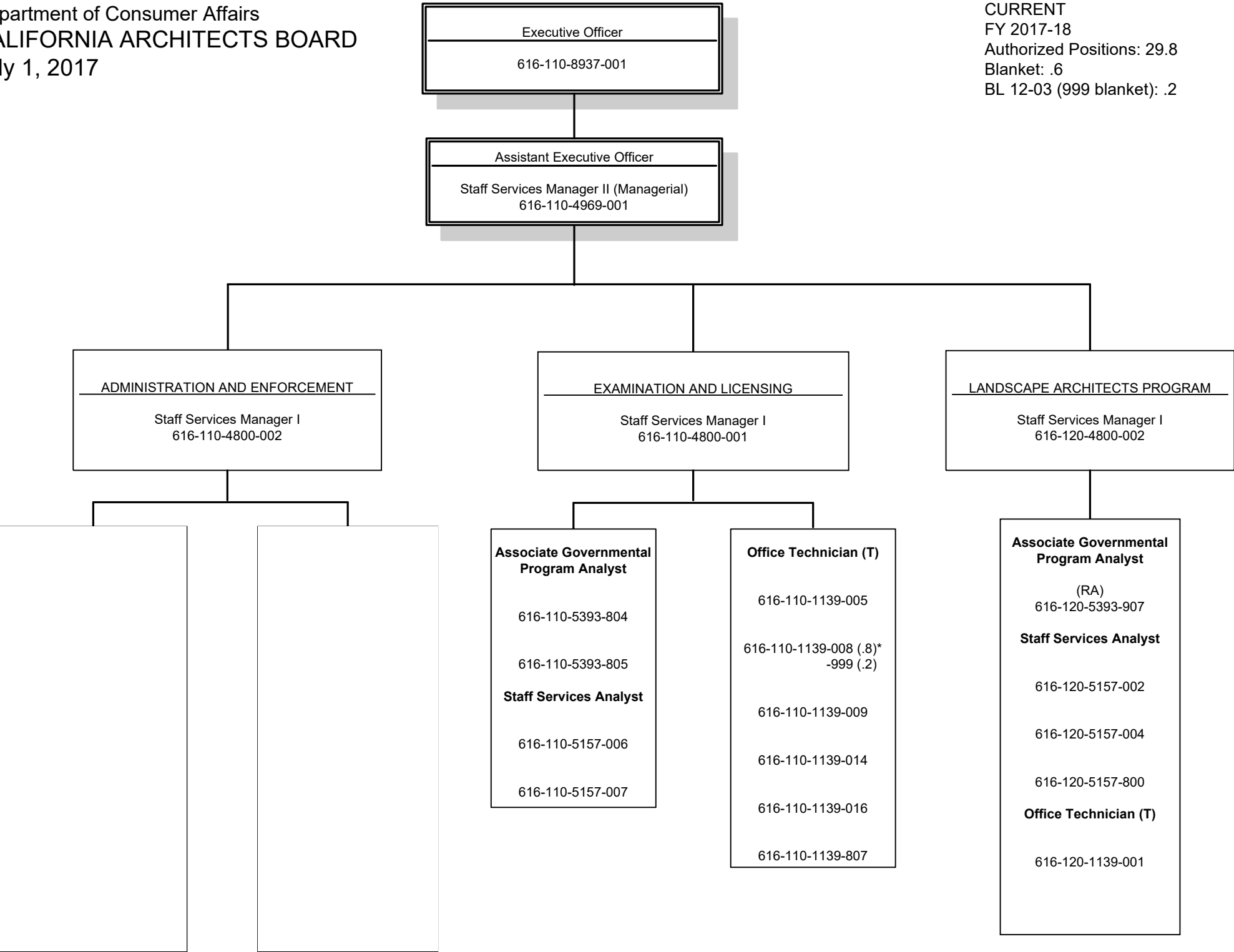
Classification and Pay Analyst



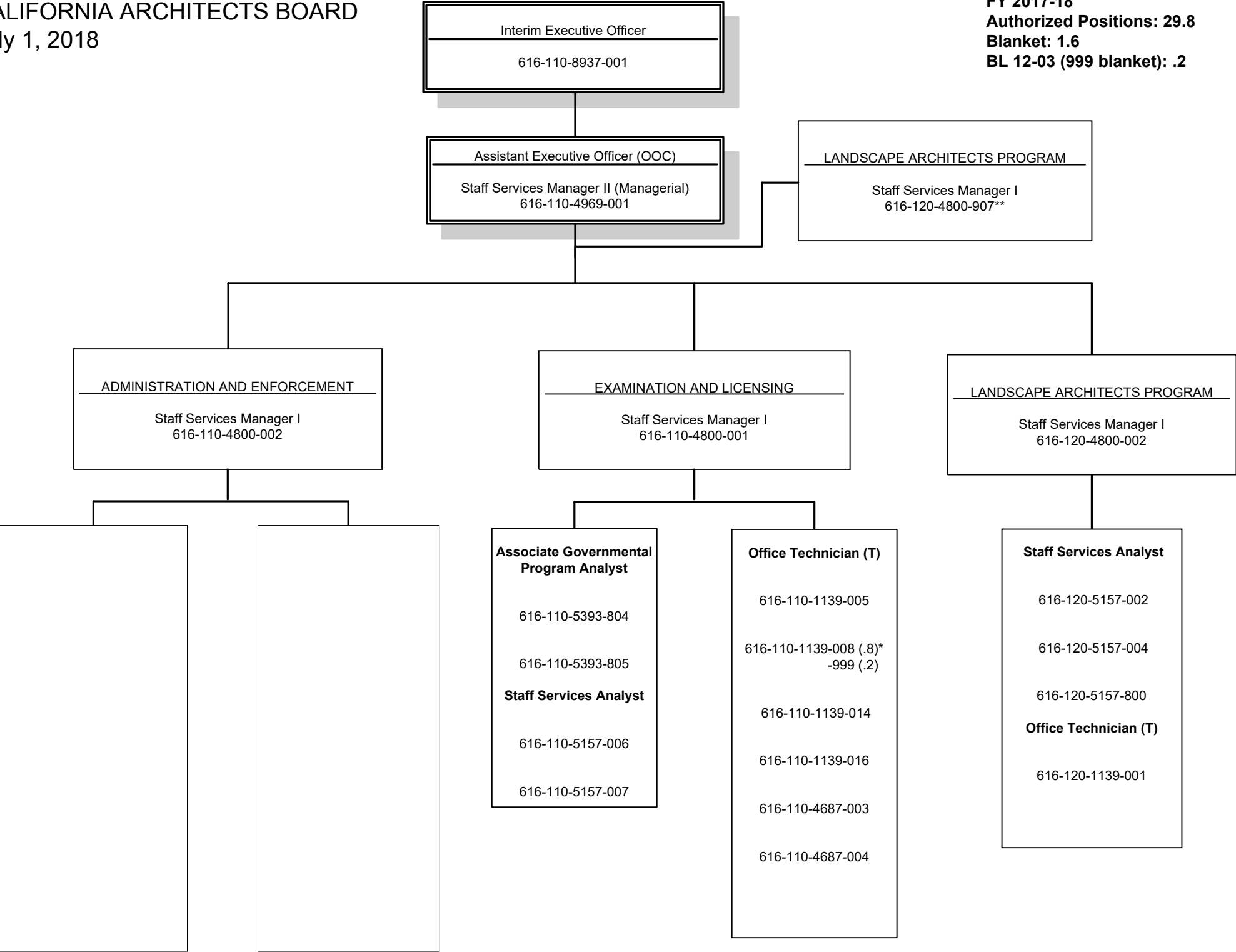
*=BL 12-03 (999 blanket) Reduction: .2

Executive Officer

Classification and Pay Analyst



*=BL 12-03 (999 blanket) Reduction: .2



Interim Executive Officer

*=BL 12-03 (999 blanket) Reduction: .2

**= Exceptional Allocation

Classification and Pay Analyst

Quarterly Performance Measure Reports

(quarters three and four of FY 2017/18 not available at time of report)

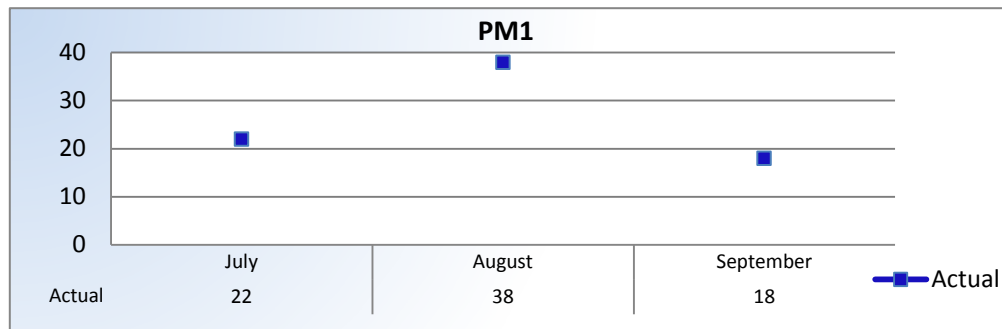
Performance Measures

Q1 Report (July - September 2014)

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

PM1 | Volume

Number of complaints and convictions received.

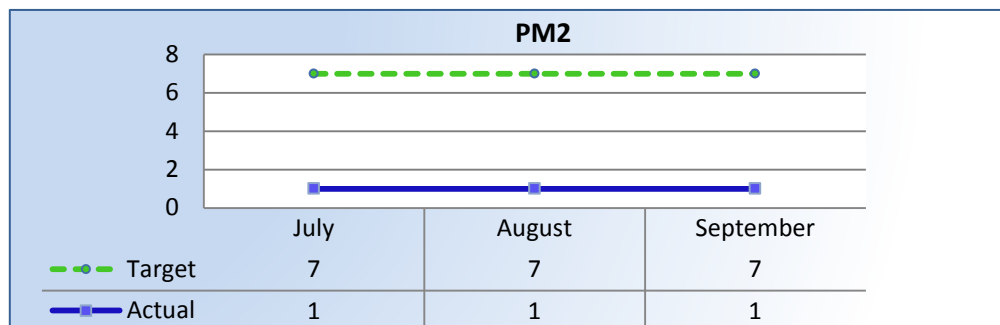


Total Received: 78 Monthly Average: 26

Complaints: 78 | Convictions: 0

PM2 | Intake

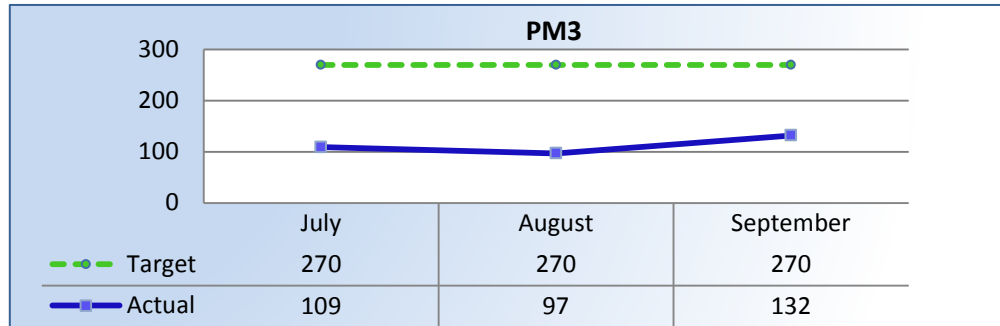
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

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



Target Average: 180 Days | Actual Average: 113 Days

PM4 | Formal Discipline

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

The Board did not report any formal discipline cases this quarter.

Target Average: 540 Days | Actual Average: N/A

PM7 | Probation Intake

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

The Board did not contact any new probationers this quarter.

Target Average: 5 Days | Actual Average: N/A

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not report any new probation violations this quarter.

Target Average: 15 Days | Actual Average: N/A

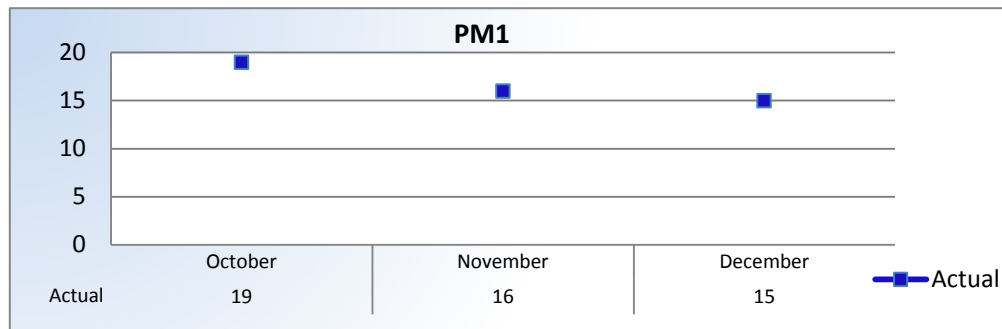
Performance Measures

Q2 Report (October - December 2014)

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

PM1 | Volume

Number of complaints and convictions received.

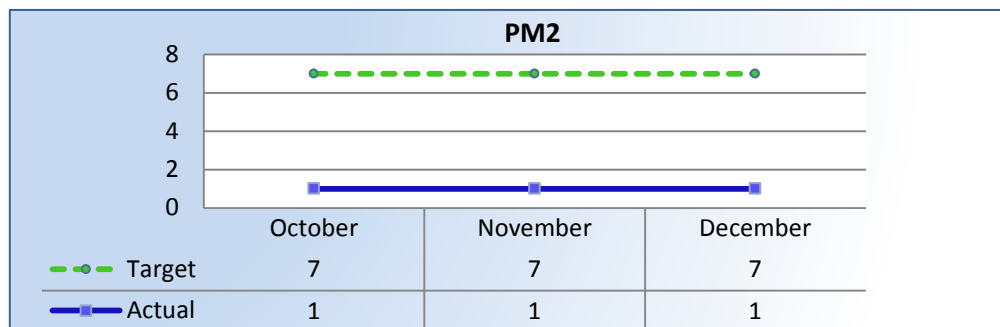


Total Received: 50 Monthly Average: 17

Complaints: 50 | Convictions: 0

PM2 | Intake

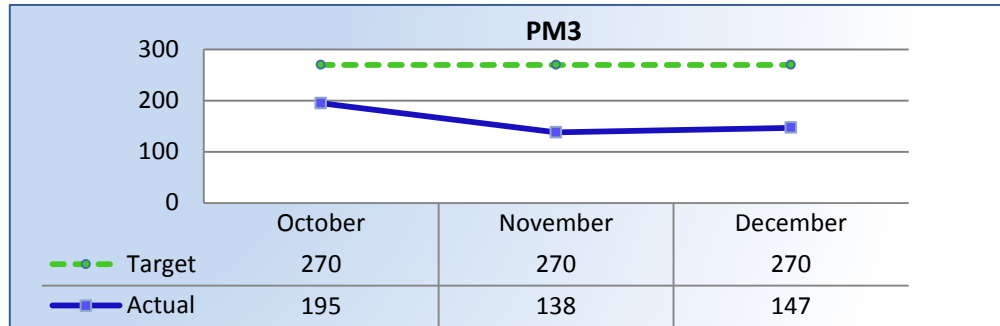
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

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



Target Average: 180 Days | Actual Average: 173 Days

PM4 | Formal Discipline

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

The Board did not report any formal discipline cases this quarter.

Target Average: 540 Days | Actual Average: N/A

PM7 | Probation Intake

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

The Board did not contact any new probationers this quarter.

Target Average: 5 Days | **Actual Average:** N/A

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | **Actual Average:** N/A

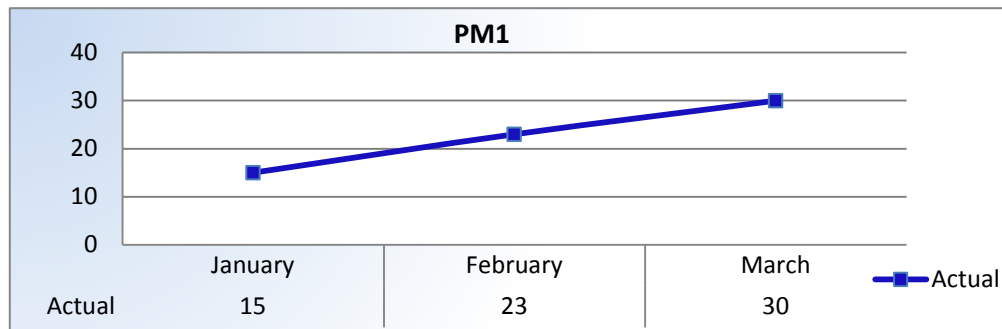
Performance Measures

Q3 Report (January - March 2015)

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

PM1 | Volume

Number of complaints and convictions received.

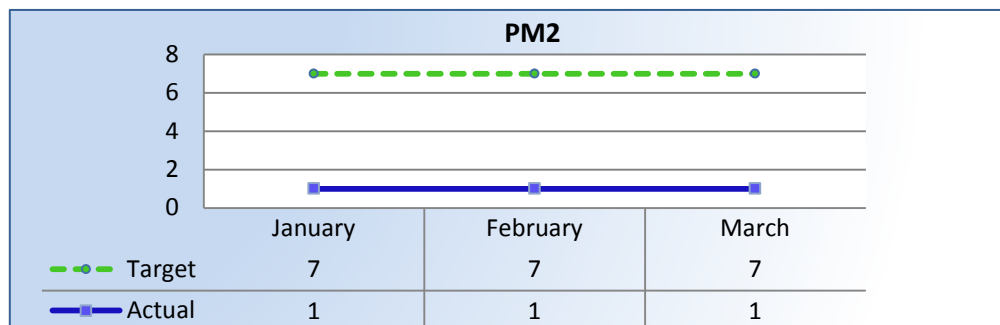


Total Received: 68 Monthly Average: 23

Complaints: 68 | Convictions: 0

PM2 | Intake

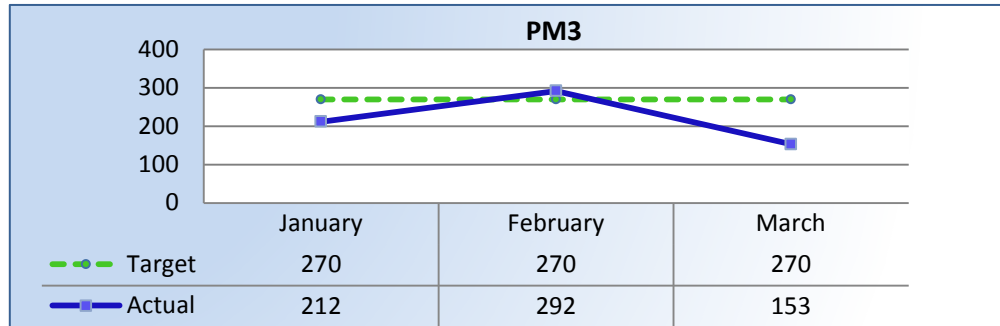
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

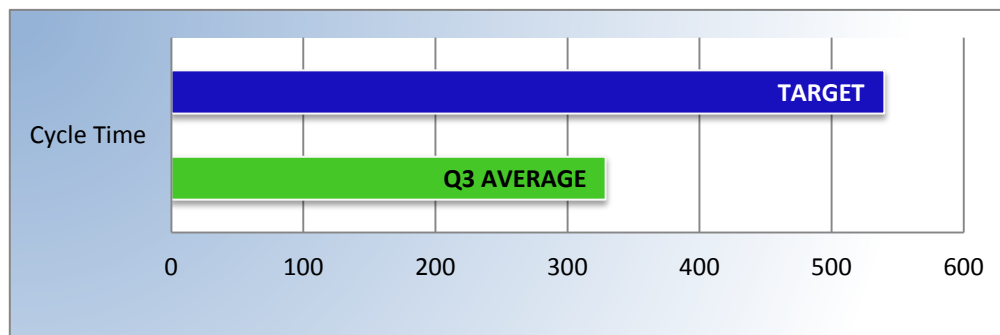
Average cycle time from complaint receipt to closure of the investigation process. Does not include cases sent to the Attorney General or other forms of formal discipline.



Target Average: 270 Days | Actual Average: 226 Days

PM4 | Formal Discipline

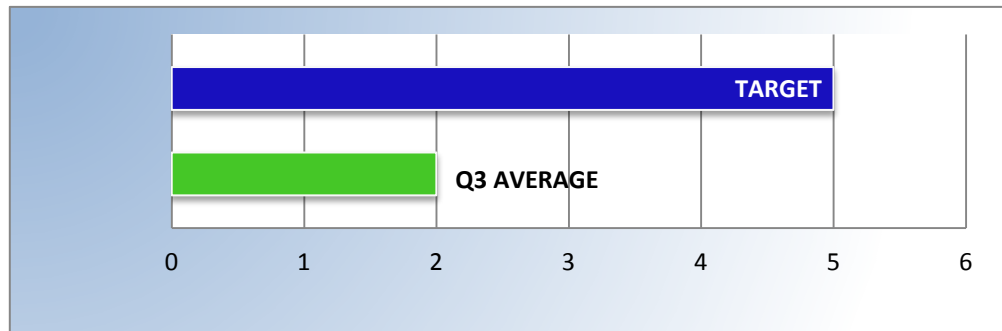
Average number of days to complete the entire enforcement process for cases resulting in formal discipline. (Includes intake and investigation by the Board and prosecution by the AG).



Target Average: 540 Days | Actual Average: 329 Days

PM7 | Probation Intake

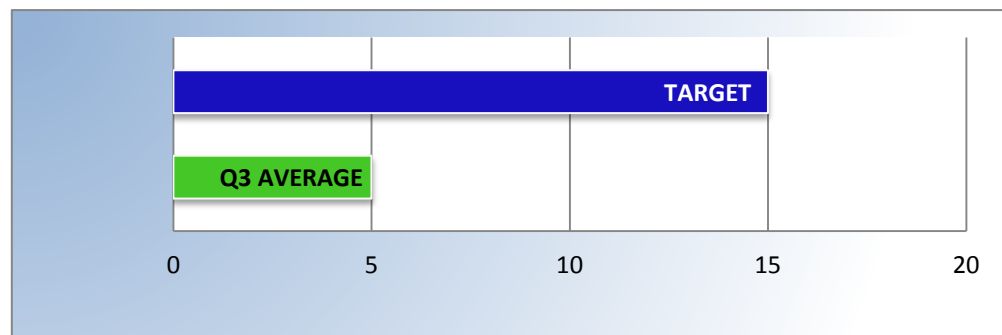
Average number of days from monitor assignment, to the date the monitor makes first contact with the probationer.



Target Average: 5 Days | Actual Average: 2 Days

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.



Target Average: 15 Days | Actual Average: 5 Days

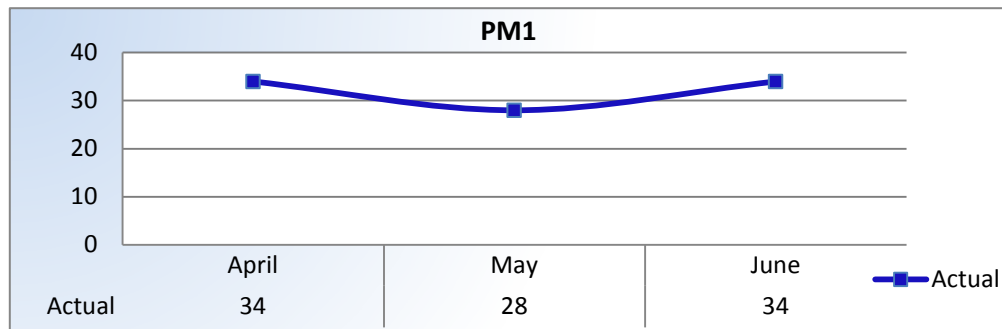
Performance Measures

Q4 Report (April - June 2015)

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

PM1 | Volume

Number of complaints and convictions received.

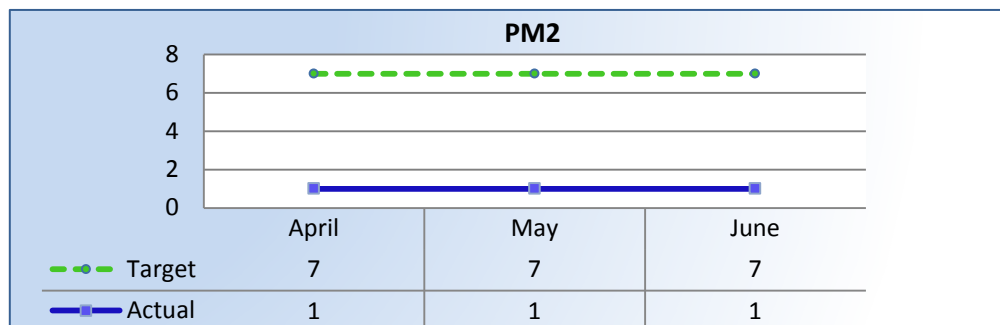


Total Received: 96 Monthly Average: 32

Complaints: 96 | Convictions: 0

PM2 | Intake

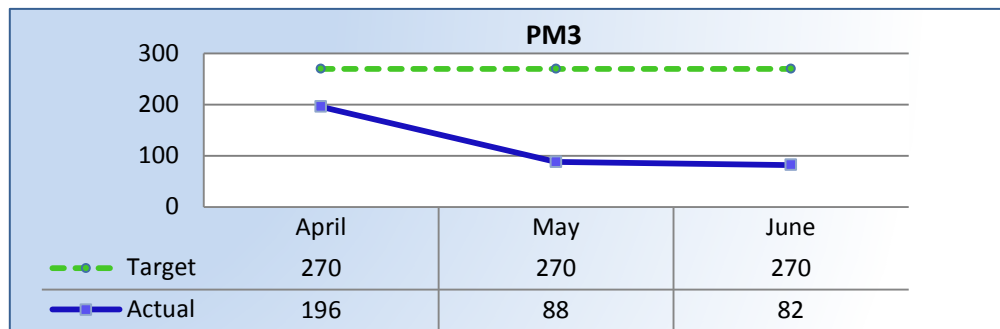
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

Average number of days to complete the entire enforcement process for cases not transmitted to the AG. (Includes intake and investigation)



Target Average: 270 Days | Actual Average: 117 Days

PM4 | Formal Discipline

Average number of days to complete the entire enforcement process for cases transmitted to the AG for formal discipline. (Includes intake, investigation, and transmittal outcome)

The Board did not have any cases closed in formal discipline this quarter.

Target Average: 540 Days | Actual Average: N/A

PM7 | Probation Intake

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

The Board did not contact any new probationers this quarter.

Target Average: 5 Days | **Actual Average:** N/A

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | **Actual Average:** N/A

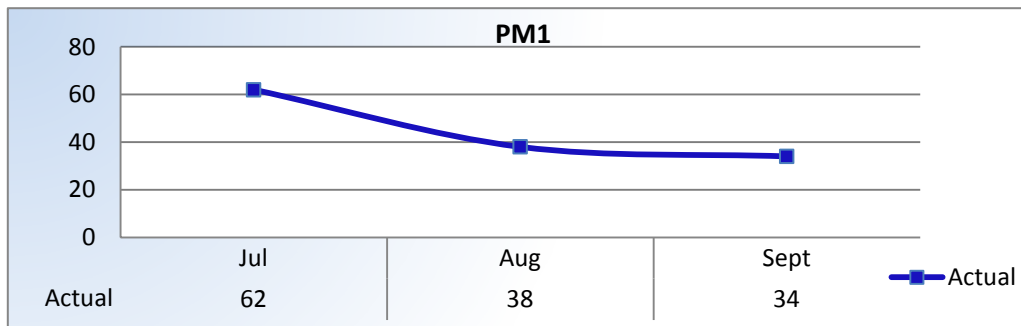
Performance Measures

Q1 Report (July - September 2015)

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

PM1 | Volume

Number of complaints and convictions received.

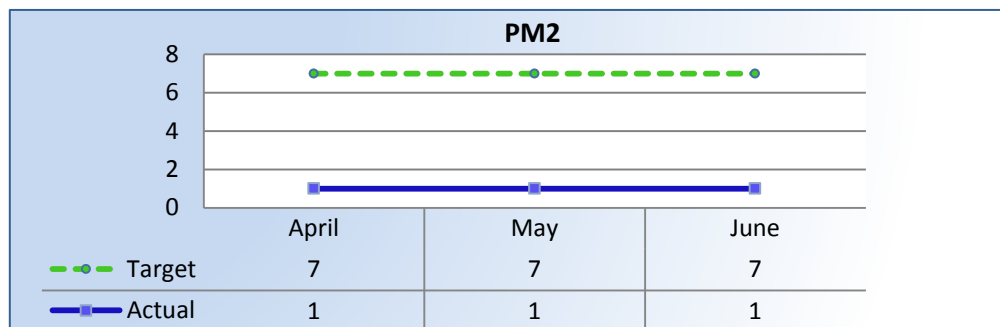


Total Received: 134 Monthly Average: 45

Complaints: 133 | Convictions: 1

PM2 | Intake

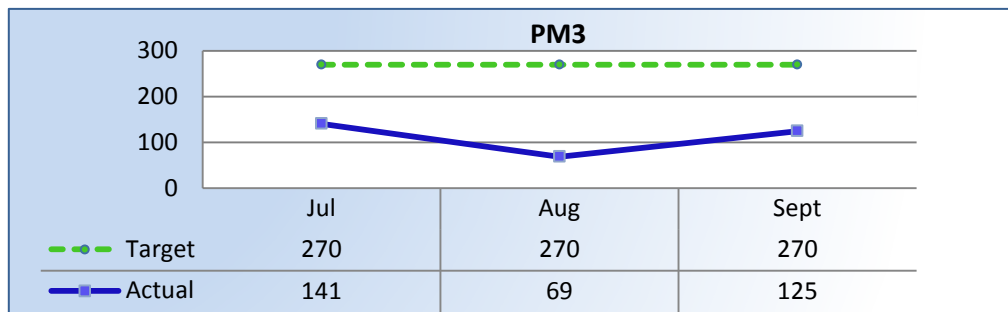
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

Average number of days to complete the entire enforcement process for cases not transmitted to the AG. (Includes intake and investigation)



Target Average: 270 Days | Actual Average: 117 Days

PM4 | Formal Discipline

Average number of days to complete the entire enforcement process for cases transmitted to the AG for formal discipline. (Includes intake, investigation, and transmittal outcome)

The Board did not have any cases closed in formal discipline this quarter.

Target Average: 540 Days | Actual Average: N/A

PM7 | Probation Intake

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

The Board did not contact any new probationers this quarter.

Target Average: 5 Days | Actual Average: N/A

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | Actual Average: N/A

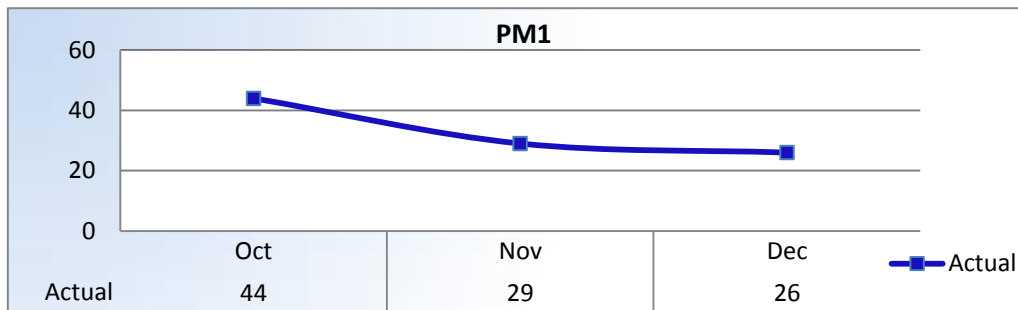
Performance Measures

Q2 Report (October - December 2015)

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

PM1 | Volume

Number of complaints and convictions received.

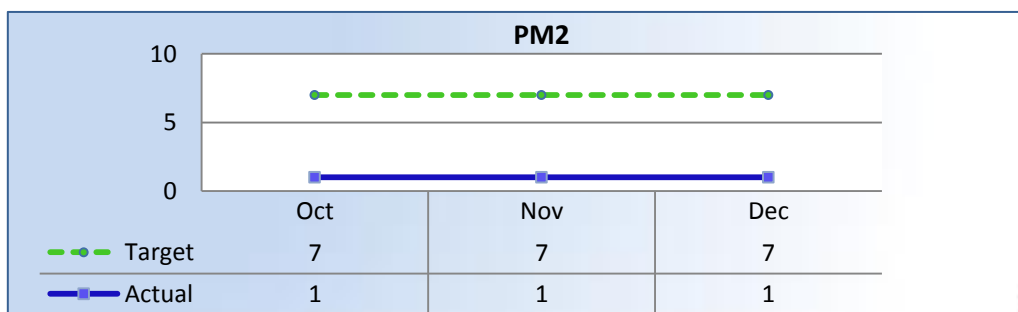


Total Received: 99 Monthly Average: 33

Complaints: 99 | Convictions: 0

PM2 | Intake

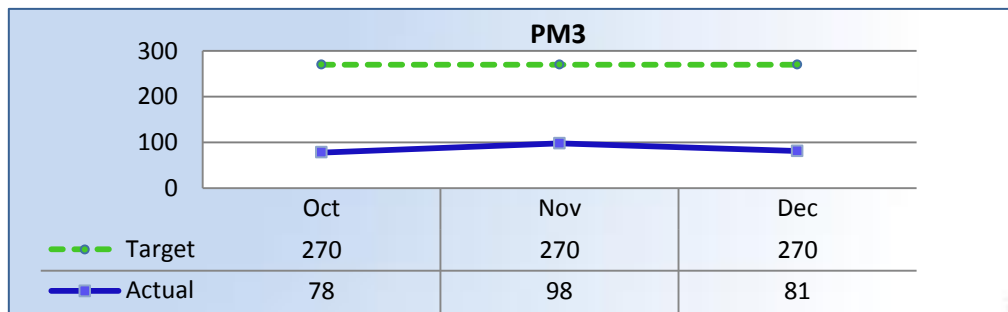
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

Average number of days to complete the entire enforcement process for cases not transmitted to the AG. (Includes intake and investigation)



Target Average: 270 Days | Actual Average: 85 Days

PM4 | Formal Discipline

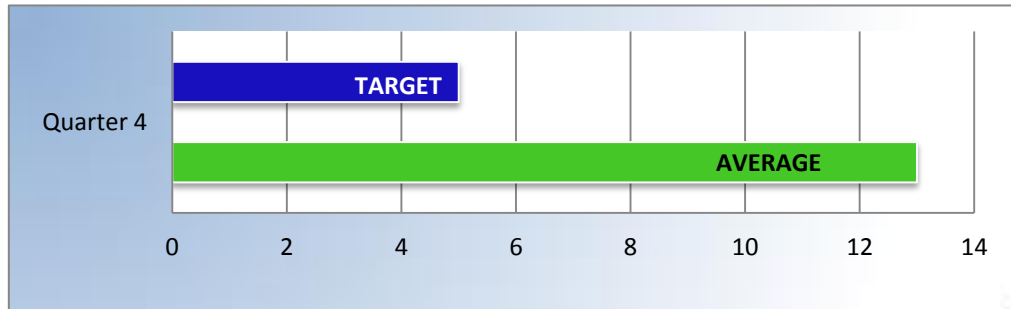
Average number of days to complete the entire enforcement process for cases transmitted to the AG for formal discipline. (Includes intake, investigation, and transmittal outcome)

The Board did not have any cases closed in formal discipline this quarter.

Target Average: 540 Days | Actual Average: N/A

PM7 | Probation Intake

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



Target Average: 5 Days | Actual Average: 13 Days

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | Actual Average: N/A

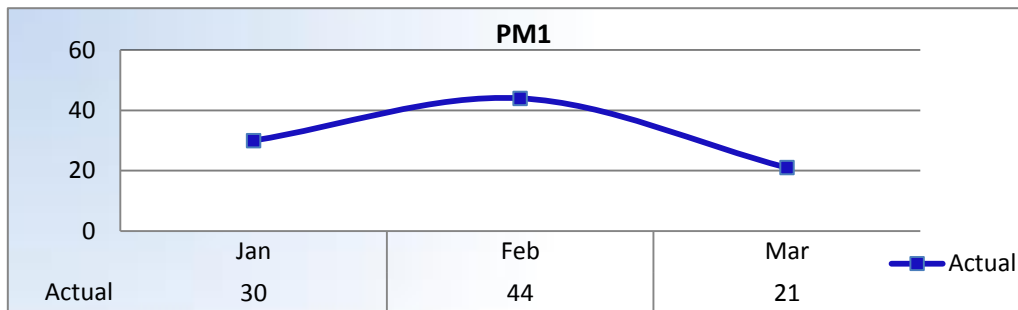
Performance Measures

Q3 Report (January – March 2016)

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

PM1 | Volume

Number of complaints and convictions received.

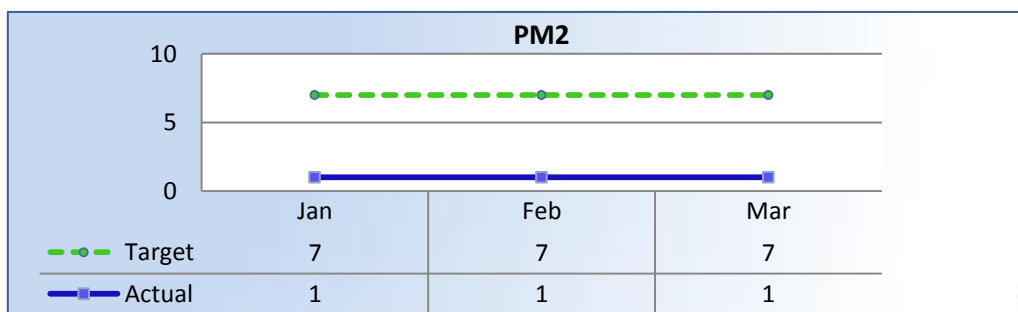


Total Received: 95 Monthly Average: 32

Complaints: 95 | Convictions: 0

PM2 | Intake

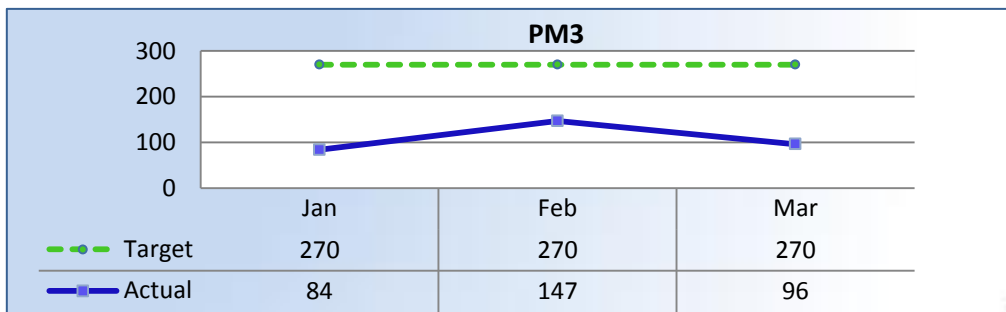
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

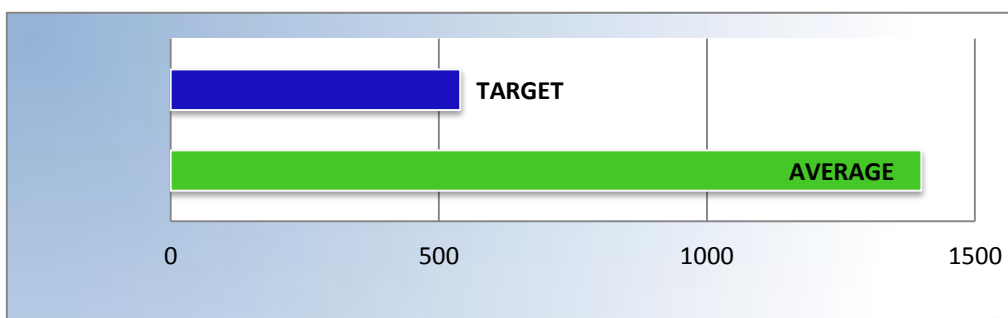
Average number of days to complete the entire enforcement process for cases not transmitted to the AG. (Includes intake and investigation)



Target Average: 270 Days | Actual Average: 114 Days

PM4 | Formal Discipline

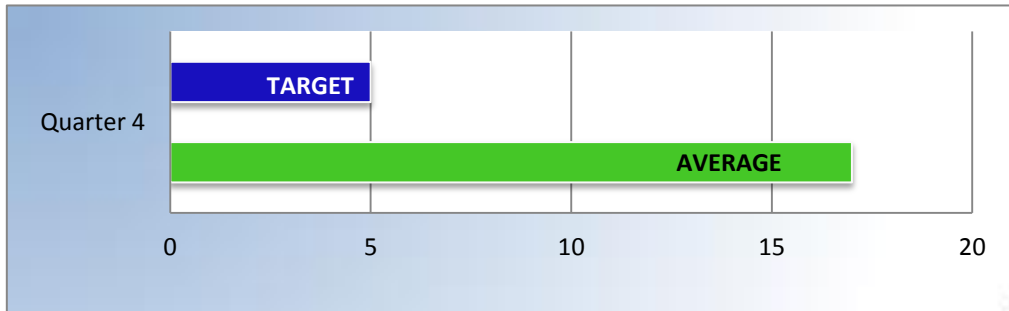
Average number of days to complete the entire enforcement process for cases transmitted to the AG for formal discipline. (Includes intake, investigation, and transmittal outcome)



Target Average: 540 Days | Actual Average: 1,400 Days

PM7 | Probation Intake

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



Target Average: 5 Days | Actual Average: 17 Days

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | Actual Average: N/A

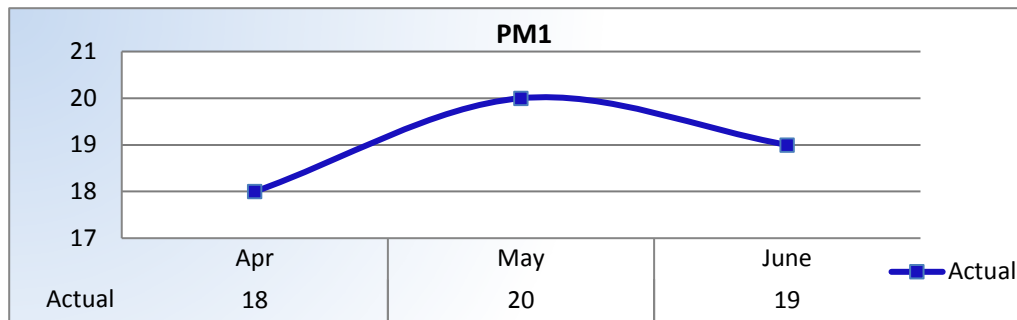
Performance Measures

Q4 Report (April - June 2016)

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

PM1 | Volume

Number of complaints and convictions received.

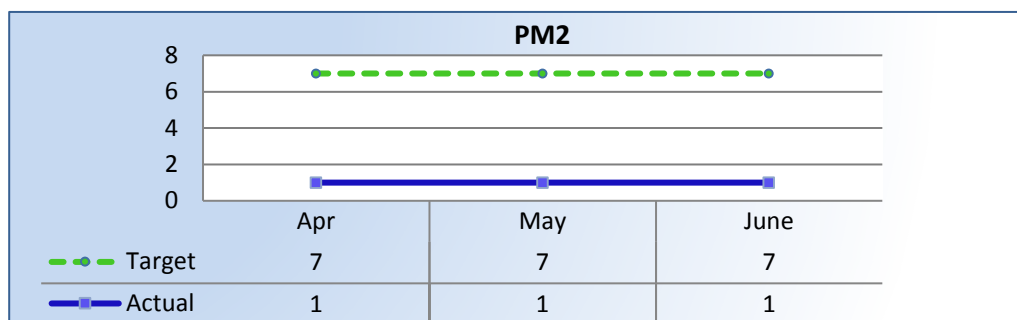


Total Received: 57 Monthly Average: 19

Complaints: 57 | Convictions: 0

PM2 | Intake

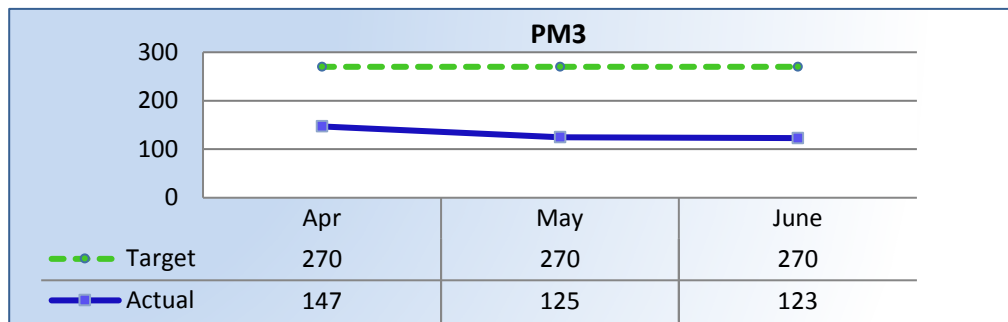
Average cycle time from complaint receipt, to the date the complaint was assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Intake & Investigation

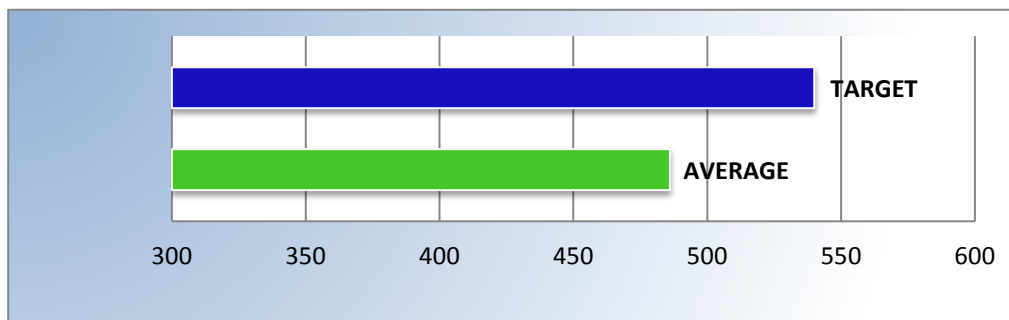
Average number of days to complete the entire enforcement process for cases not transmitted to the AG. (Includes intake and investigation)



Target Average: 270 Days | Actual Average: 132 Days

PM4 | Formal Discipline

Average number of days to complete the entire enforcement process for cases transmitted to the AG for formal discipline. (Includes intake, investigation, and transmittal outcome)



Target Average: 540 Days | Actual Average: 486 Days

PM7 | Probation Intake

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

The Board did not contact any new probationers this quarter.

Target Average: 5 Days | **Actual Average:** n/a

PM8 | Probation Violation Response

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

Target Average: 15 Days | **Actual Average:** n/a

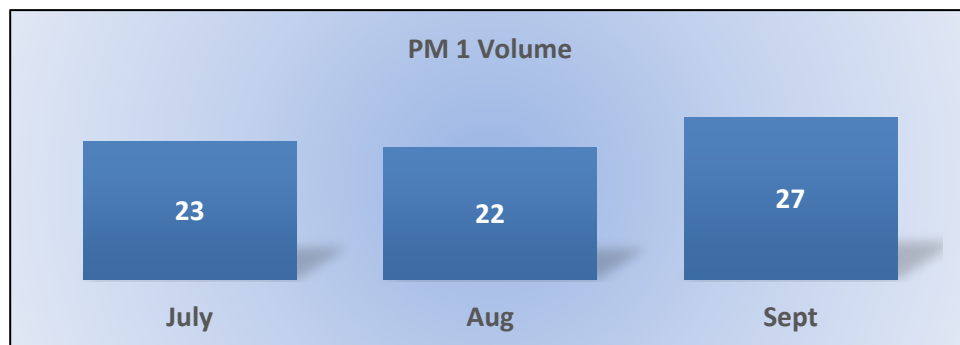
Enforcement Performance Measures

Q1 Report (July - September 2016)

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

PM1 | Volume

Number of complaints and convictions received.

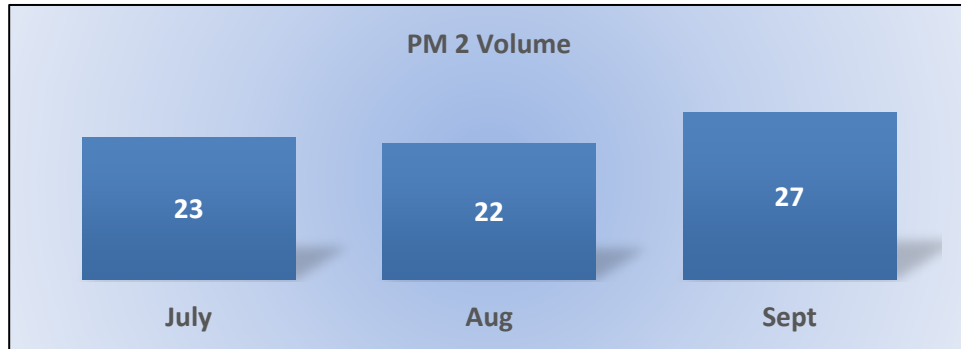


Total Received: 72 Monthly Average: 24

Complaints: 72 | Convictions: 0

PM2 | Intake – Volume

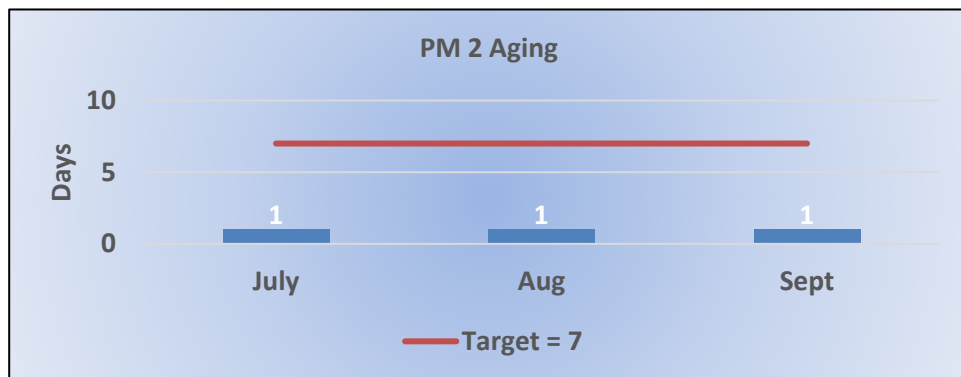
Number of complaints closed or assigned to an investigator.



Total: 72 | Monthly Average: 24

PM2 | Intake – Cycle Time

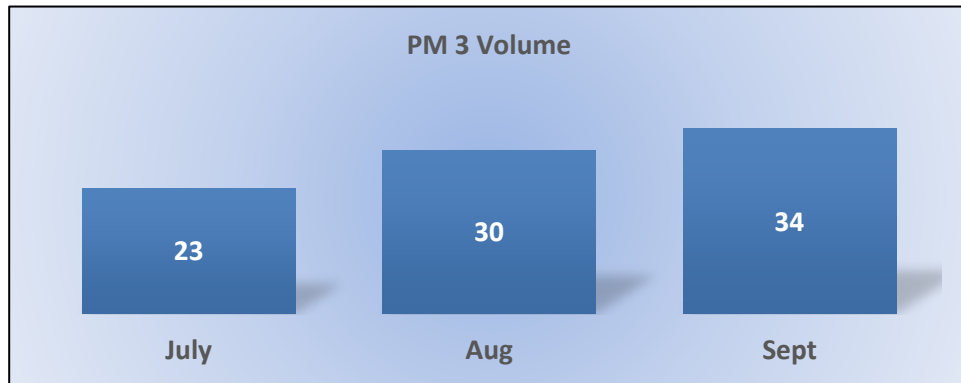
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

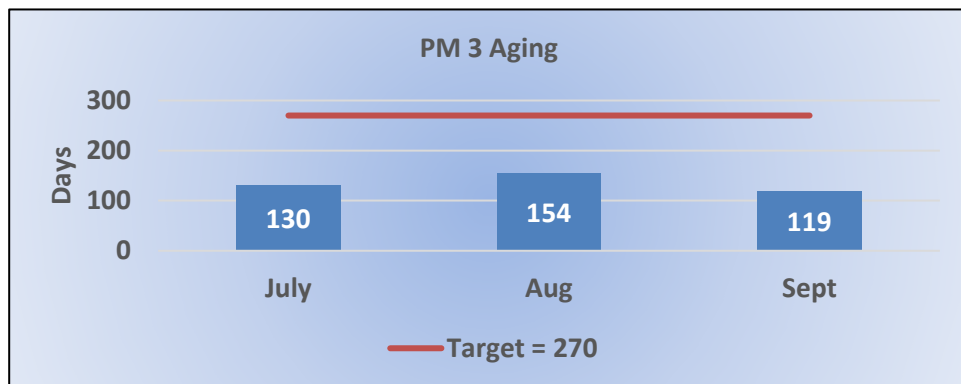
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 87 | Monthly Average: 29

PM3 | Investigations – Cycle Time

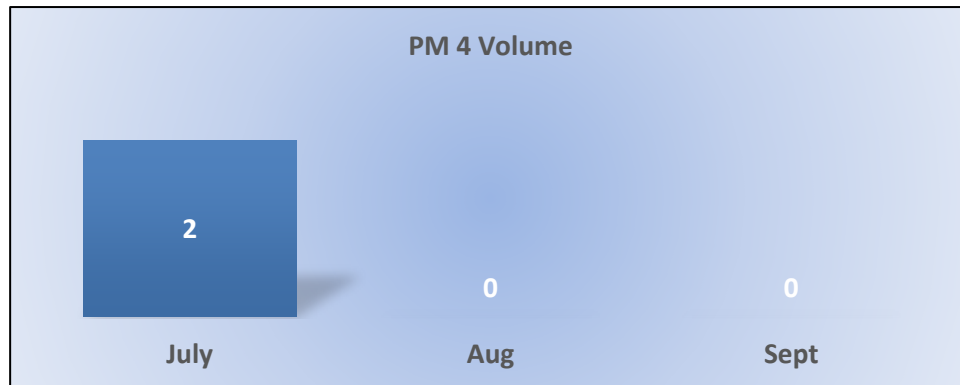
Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation)



Target Average: 270 Days | Actual Average: 134 Days

PM4 | Formal Discipline – Volume

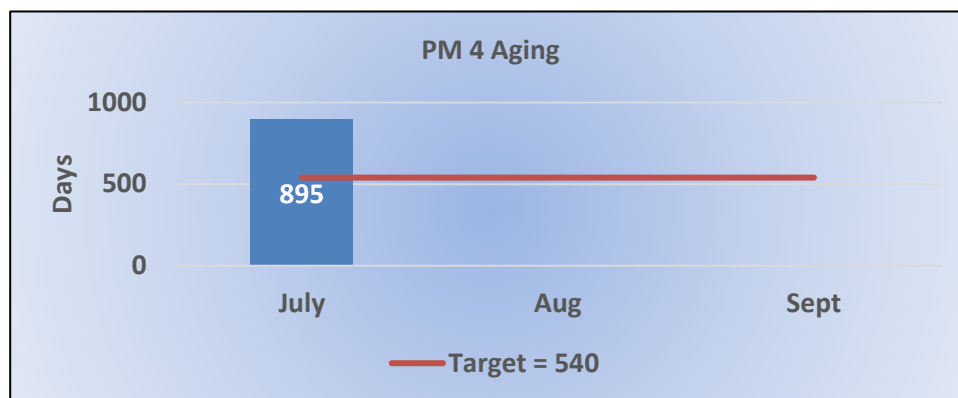
Cases closed, of those transmitted to the Attorney General.



Total: 2

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General.
(Includes intake, investigation, and case outcome.)



Target Average: 540 Days | Actual Average: 895 Days

PM7 | Probation Intake – Volume

Number of new probation cases.

*No new probationers were assigned
for monitoring this quarter.*

PM7 | Probation Intake – Cycle Time

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

*No new probationers were assigned
for monitoring this quarter.*

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

*The Board did not have any
probation violations this quarter.*

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported,
to the date the assigned monitor initiates appropriate action.

*The Board did not have any
probation violations this quarter.*

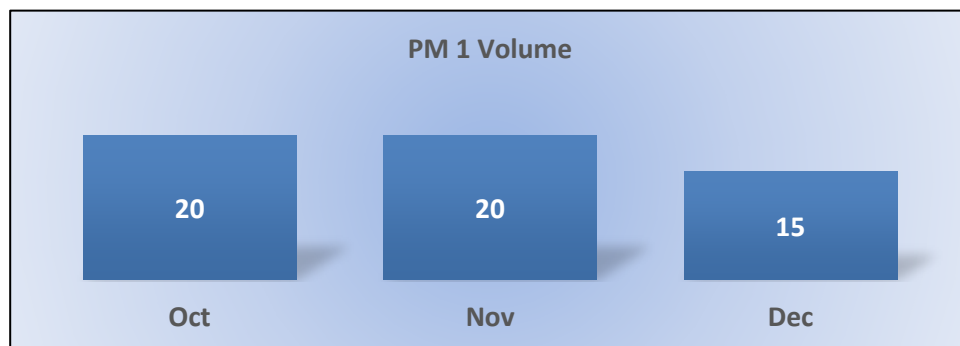
Enforcement Performance Measures

Q2 Report (October - December 2016)

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

PM1 | Volume

Number of complaints and convictions received.

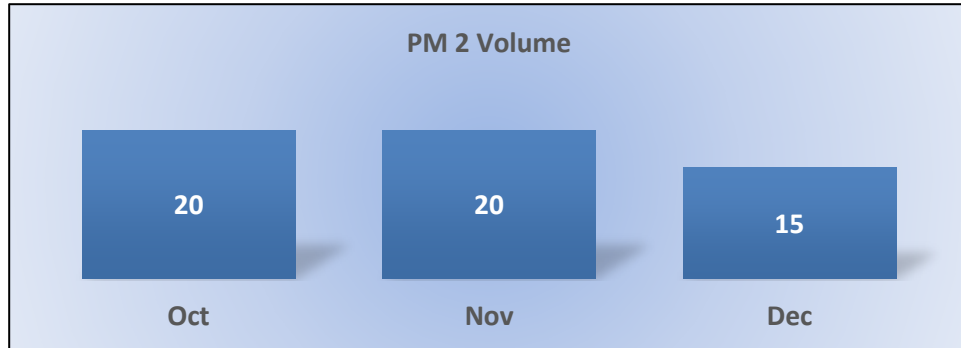


Total Received: 55 Monthly Average: 18

Complaints: 55 | Convictions: 0

PM2 | Intake – Volume

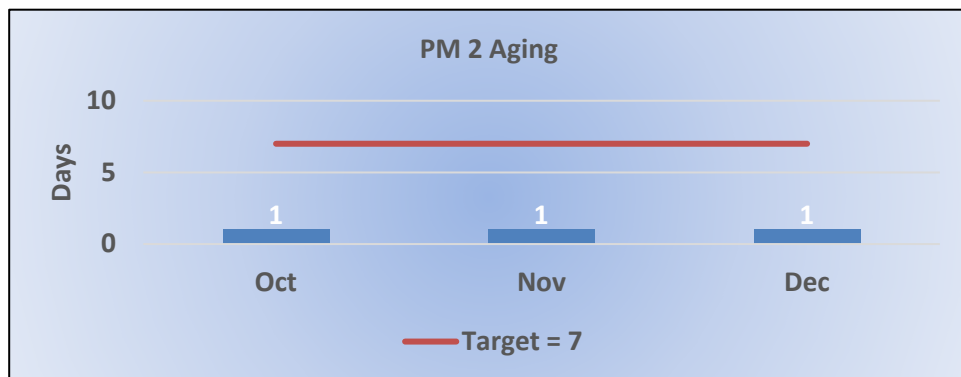
Number of complaints closed or assigned to an investigator.



Total: 55 | Monthly Average: 18

PM2 | Intake – Cycle Time

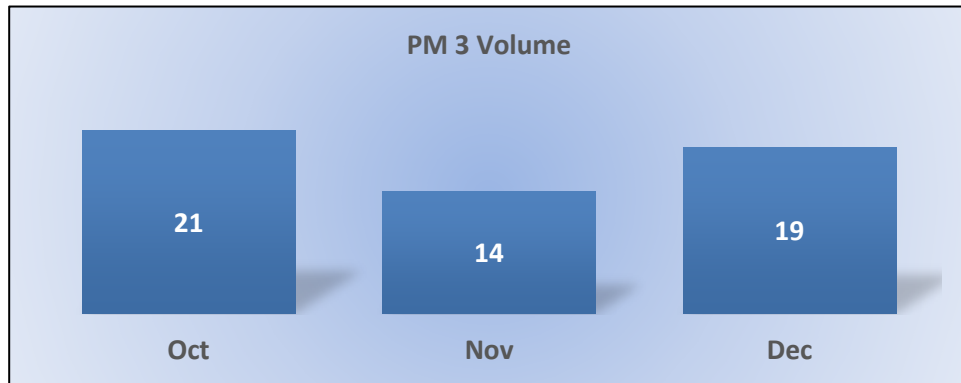
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

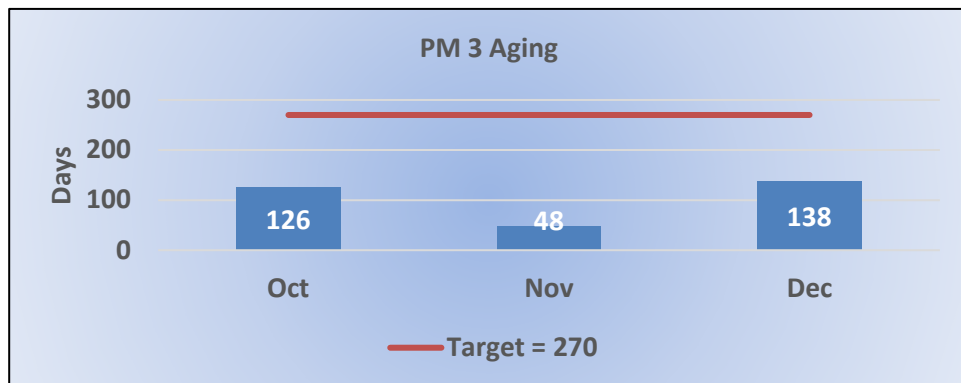
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 54 | Monthly Average: 18

PM3 | Investigations – Cycle Time

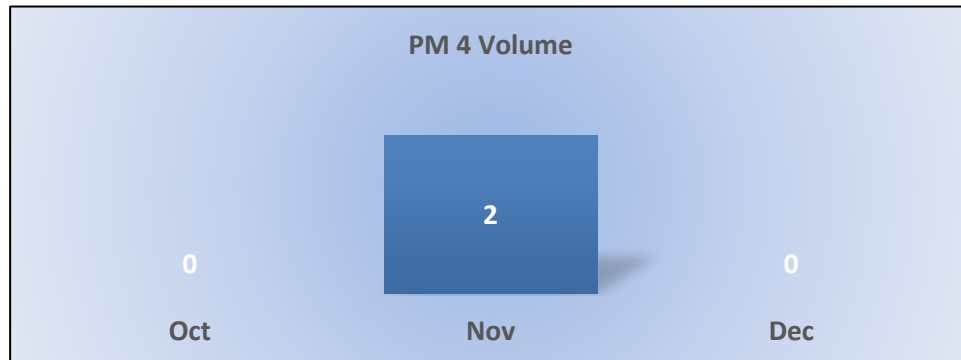
Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation.)



Target Average: 270 Days | Actual Average: 110 Days

PM4 | Formal Discipline – Volume

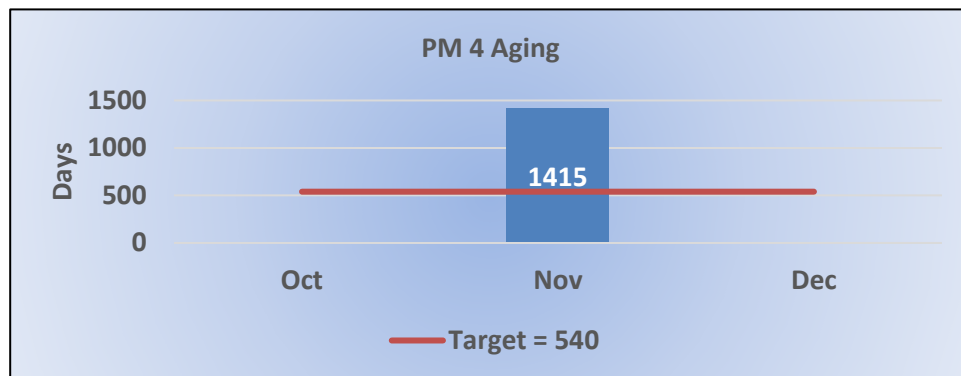
Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).



Total: 2

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General. (Includes intake, investigation, and case outcome.)



Target Average: 540 Days | Actual Average: 1,415 Days

PM7 | Probation Intake – Volume

Number of new probation cases.

*No new probationers were assigned
for monitoring this quarter.*

PM7 | Probation Intake – Cycle Time

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

*No new probationers were assigned
for monitoring this quarter.*

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

*The Board did not have any
probation violations this quarter.*

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported,
to the date the assigned monitor initiates appropriate action.

*The Board did not have any
probation violations this quarter.*

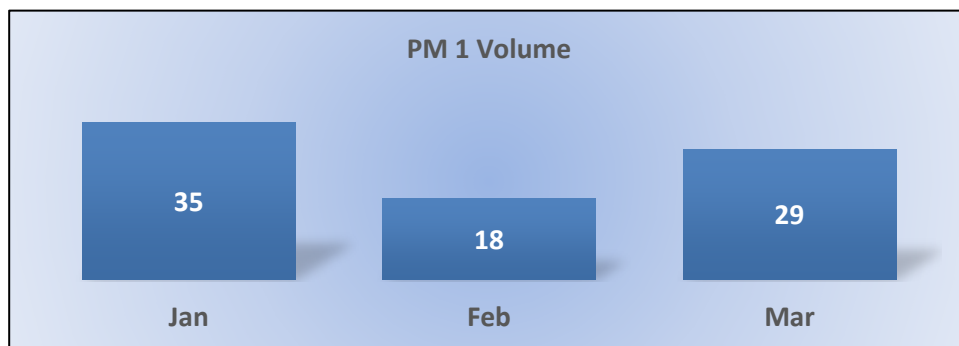
Enforcement Performance Measures

Q3 Report (January – March 2017)

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

PM1 | Volume

Number of complaints and convictions received.

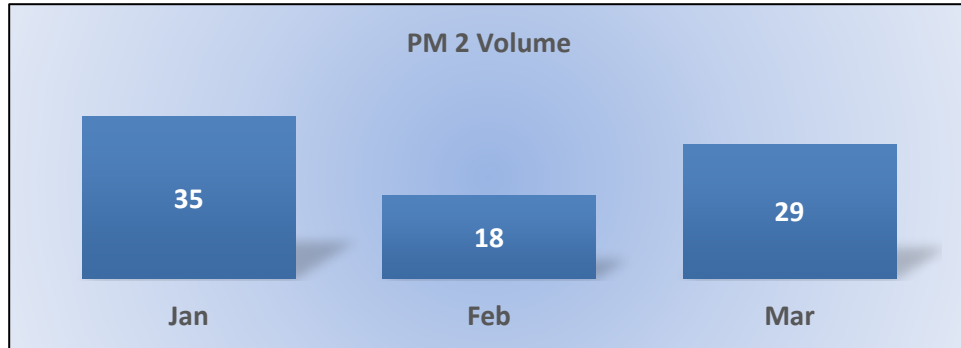


Total Received: 82 Monthly Average: 27

Complaints: 82 | Convictions: 0

PM2 | Intake – Volume

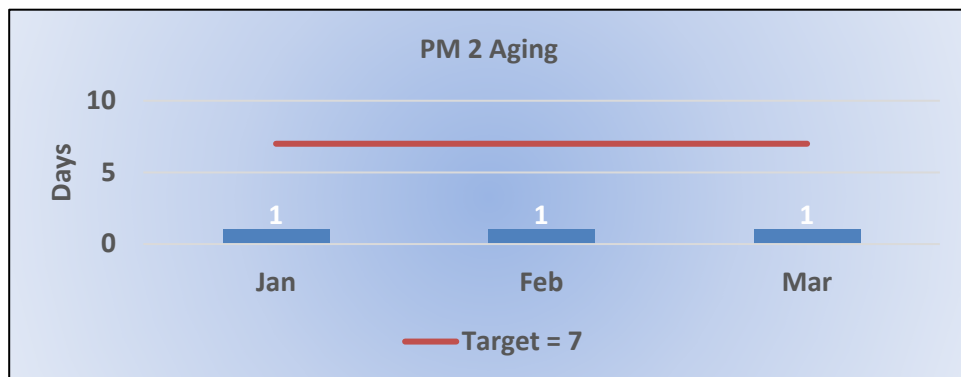
Number of complaints closed or assigned to an investigator.



Total: 82 | Monthly Average: 27

PM2 | Intake – Cycle Time

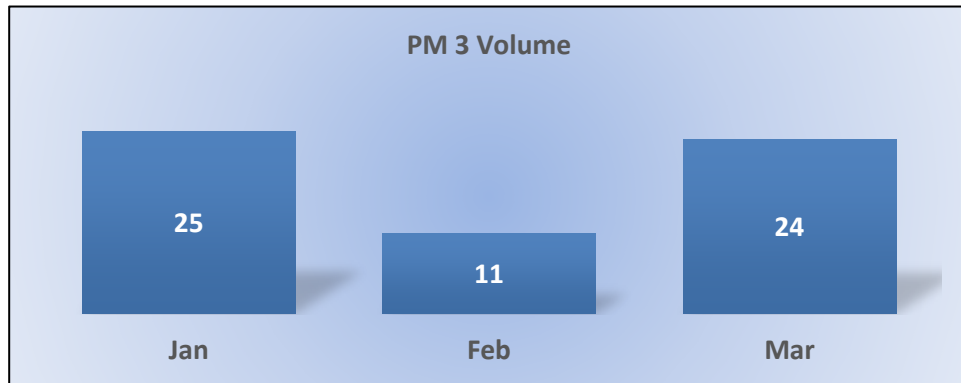
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

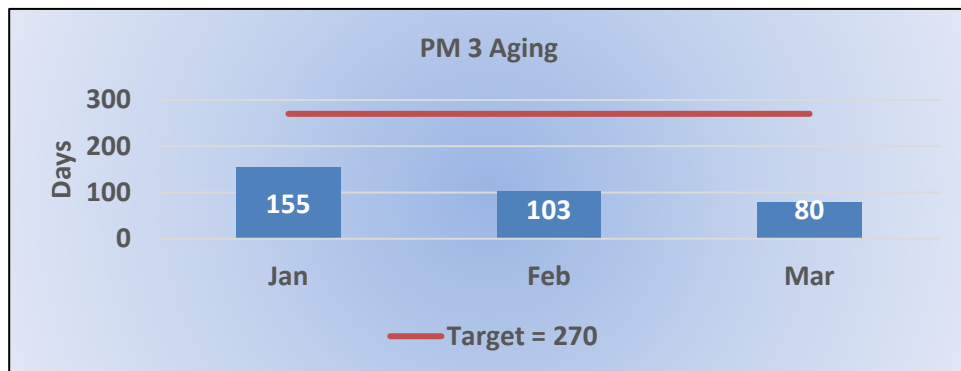
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 60 | Monthly Average: 20

PM3 | Investigations – Cycle Time

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation.)



Target Average: 270 Days | Actual Average: 115 Days

PM4 | Formal Discipline – Volume

Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).

The Board did not have any cases closed in formal discipline this quarter.

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General.
(Includes intake, investigation, and case outcome.)

The Board did not have any cases closed in formal discipline this quarter.

PM7 | Probation Intake – Volume

Number of new probation cases.

*No new probationers were assigned
for monitoring this quarter.*

PM7 | Probation Intake – Cycle Time

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

*No new probationers were assigned
for monitoring this quarter.*

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

*The Board did not have any
probation violations this quarter.*

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported,
to the date the assigned monitor initiates appropriate action.

*The Board did not have any
probation violations this quarter.*

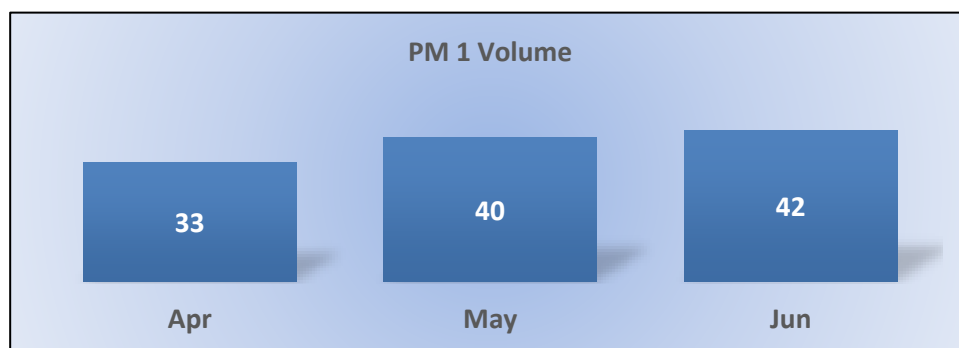
Enforcement Performance Measures

Q4 Report (April - June 2017)

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

PM1 | Volume

Number of complaints and convictions received.

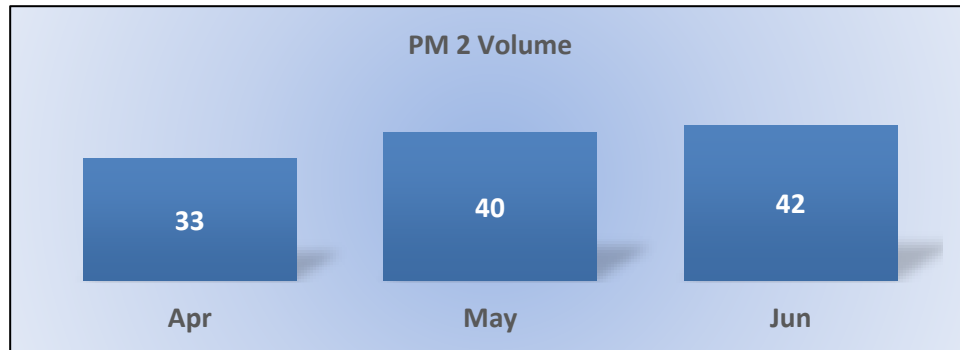


Total Received: 115 Monthly Average: 38

Complaints: 113 | Convictions: 2

PM2 | Intake – Volume

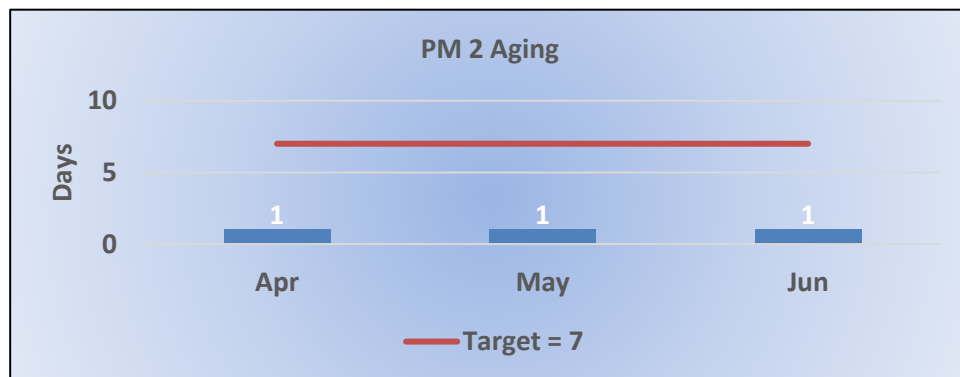
Number of complaints closed or assigned to an investigator.



Total: 115 | Monthly Average: 38

PM2 | Intake – Cycle Time

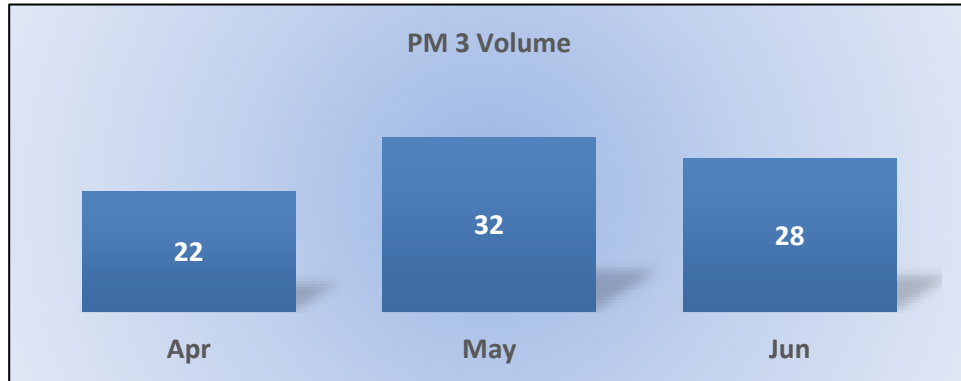
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

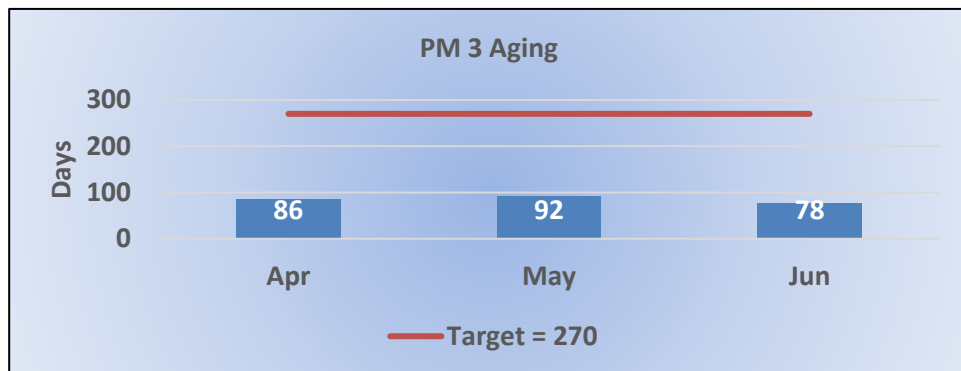
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 82 | Monthly Average: 27

PM3 | Investigations – Cycle Time

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation.)



Target Average: 270 Days | Actual Average: 86 Days

PM4 | Formal Discipline – Volume

Cases closed after transmission to the Attorney General for formal disciplinary action. This includes formal discipline, and closures without formal discipline (e.g., withdrawals, dismissals, etc.).

The Board did not have any cases closed in formal discipline this quarter.

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General.
(Includes intake, investigation, and case outcome.)

The Board did not have any cases closed in formal discipline this quarter.

PM7 | Probation Intake – Volume

Number of new probation cases.

*No new probationers were assigned
for monitoring this quarter.*

PM7 | Probation Intake – Cycle Time

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

*No new probationers were assigned
for monitoring this quarter.*

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

*The Board did not have any
probation violations this quarter.*

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported,
to the date the assigned monitor initiates appropriate action.

*The Board did not have any
probation violations this quarter.*

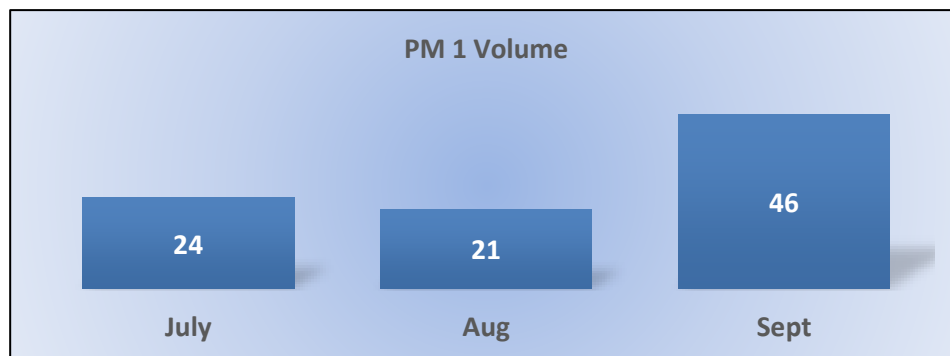
Enforcement Performance Measures

Q1 Report (July - September 2017)

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

PM1 | Volume

Number of complaints and convictions received.

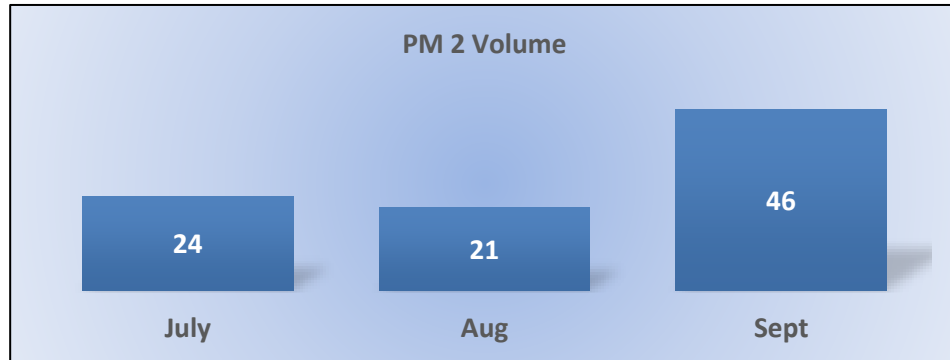


Total Received: 91 | Monthly Average: 30

Complaints: 91 | Convictions: 0

PM2 | Intake – Volume

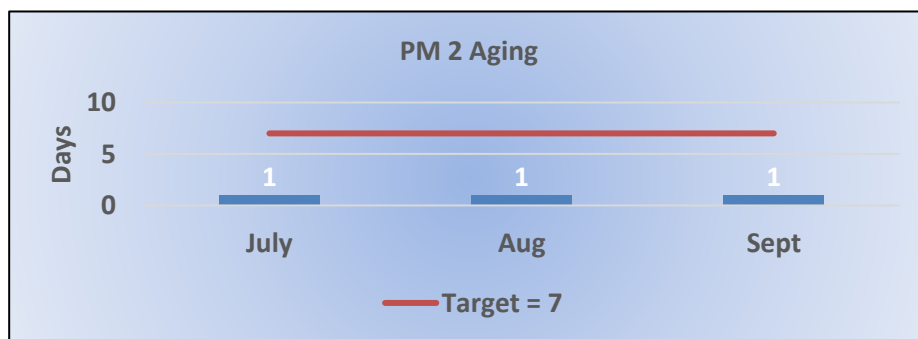
Number of complaints closed or assigned to an investigator.



Total: 91 | Monthly Average: 30

PM2 | Intake – Cycle Time

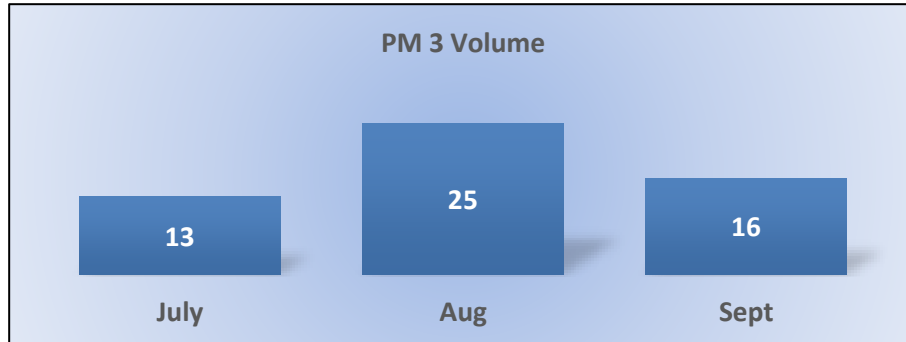
Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

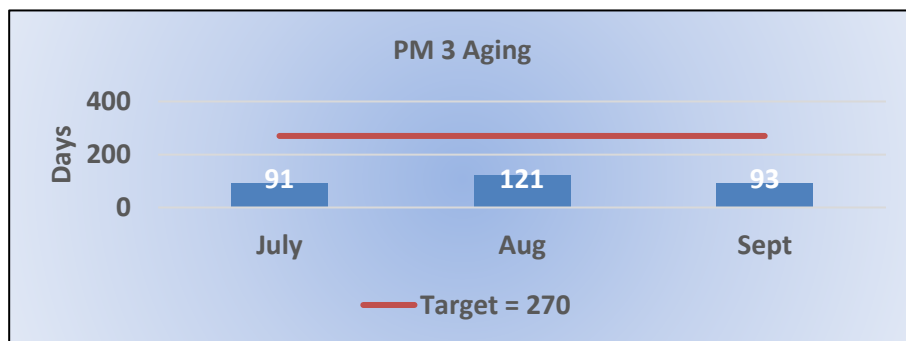
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 54 | Monthly Average: 18

PM3 | Investigations – Cycle Time

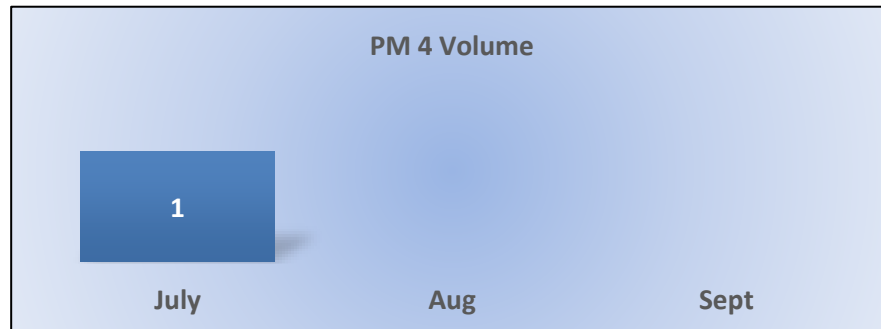
Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation)



Target Average: 270 Days | Actual Average: 106 Days

PM4 | Formal Discipline -- Volume

Cases closed, of those transmitted to the Attorney General.

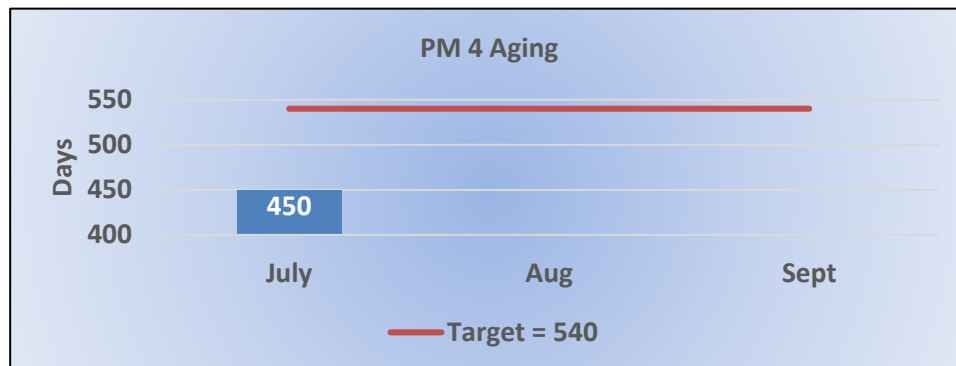


Total: 1 | Monthly Average: 1

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General.

(Includes intake, investigation, and transmittal outcome)



Target Average: 540 Days | Actual Average: 450 Days

PM7 | Probation Intake – Volume

Number of new probation cases.

No new probationers were assigned for monitoring this quarter.

PM7 | Probation Intake – Cycle Time

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

No new probationers were assigned for monitoring this quarter.

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

The Board did not have any probation violations this quarter.

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.

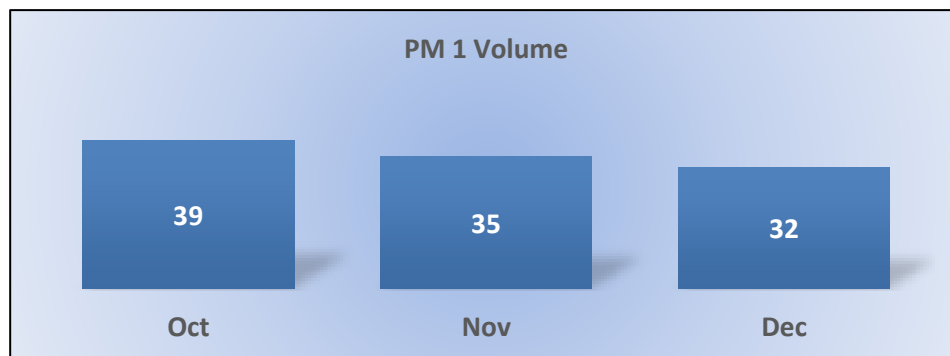
Enforcement Performance Measures

Q2 Report (October - December 2017)

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

PM1 | Volume

Number of complaints and convictions received.

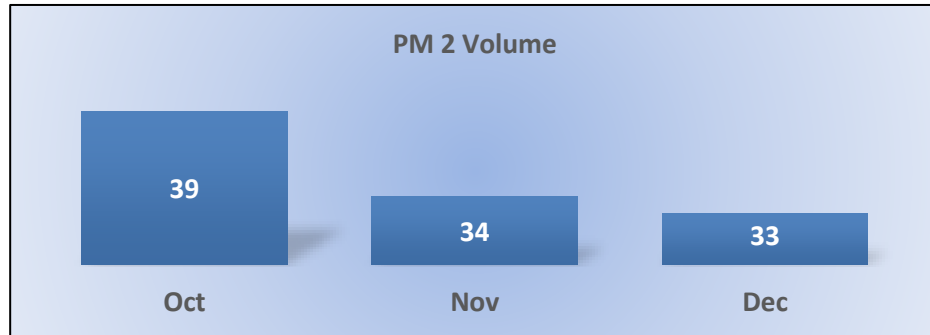


Total Received: 106 | Monthly Average: 35

Complaints: 106 | Convictions: 0

PM2 | Intake – Volume

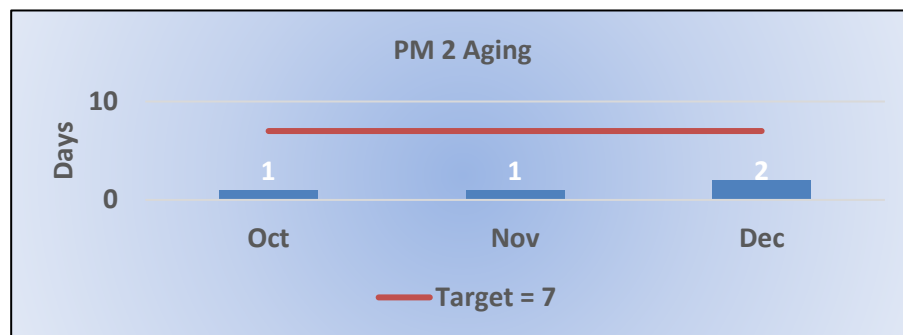
Number of complaints closed or assigned to an investigator.



Total: 106 | Monthly Average:35

PM2 | Intake – Cycle Time

Average number of days from complaint receipt, to the date the complaint was closed or assigned to an investigator.



Target Average: 7 Days | Actual Average: 1 Day

PM3 | Investigations – Volume

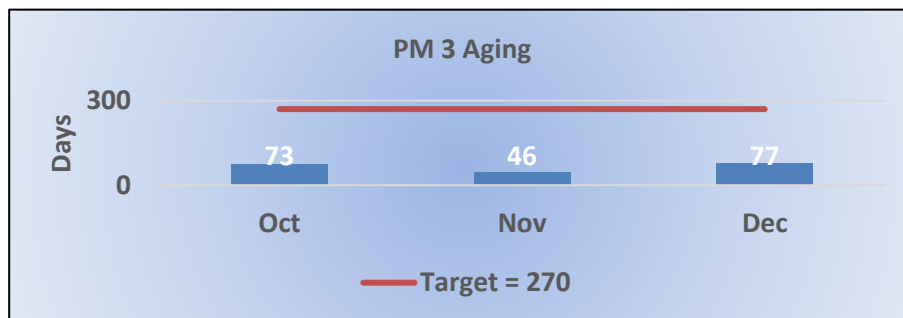
Number of investigations closed (not including cases transmitted to the Attorney General).



Total: 108 | Monthly Average: 36

PM3 | Investigations – Cycle Time

Average number of days to complete the entire enforcement process for cases not transmitted to the Attorney General.
(Includes intake and investigation)



Target Average: 270 Days | Actual Average: 66 Days

PM4 | Formal Discipline -- Volume

Cases closed, of those transmitted to the Attorney General.

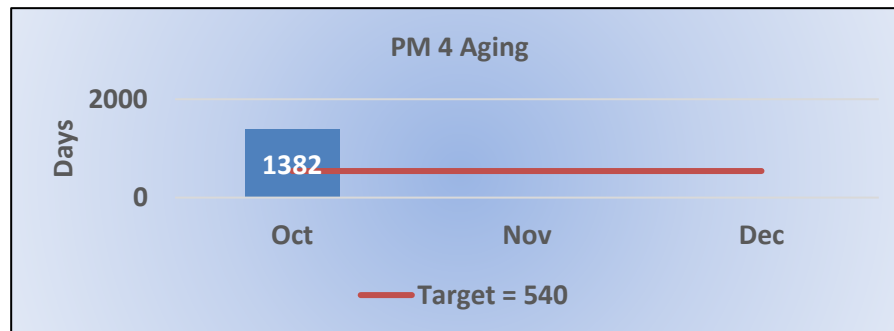


Total: 1 | Monthly Average: 1

PM4 | Formal Discipline – Cycle Time

Average number of days to complete the entire enforcement process for cases transmitted to the Attorney General.

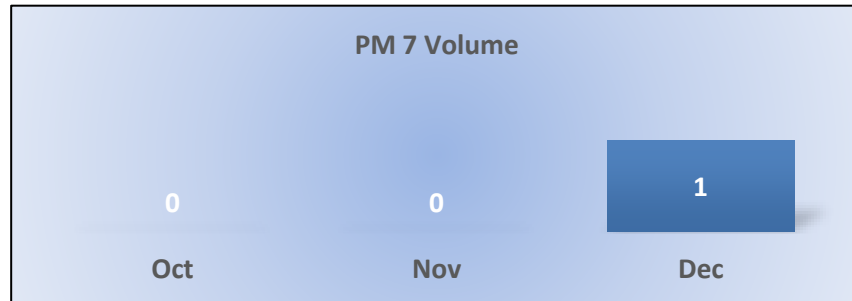
(Includes intake, investigation, and transmittal outcome)



Target Average: 540 Days | Actual Average: 1,382 Days

PM7 | Probation Intake – Volume

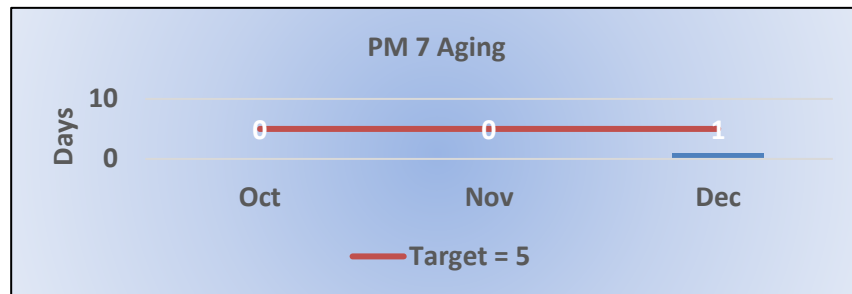
Number of new probation cases.



Total: 1

PM7 | Probation Intake – Cycle Time

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



Target Average: 5 Days | Actual Average: 1 Day

PM8 | Probation Violation Response – Volume

Number of probation violation cases.

The Board did not have any probation violations this quarter.

PM8 | Probation Violation Response – Cycle Time

Average number of days from the date a violation of probation is reported, to the date the assigned monitor initiates appropriate action.

The Board did not have any probation violations this quarter.