



CONTRACTORS STATE LICENSE BOARD

AGENDA ITEM C: OVERVIEWS OF CSLB DIVISION OPERATIONS



CONTRACTORS STATE LICENSE BOARD

A. TESTING DIVISION

WENDI BALVANZ
TESTING DIVISION CHIEF

TEST CENTER VOLUME



- **35,000 exams scheduled annually**
- **46 different CSLB exams**
- **1 to 3 versions of each exam**
available for administration at any
given time



EXAMINATION PROGRAMS



46 Total Examination Programs



OCCUPATIONAL ANALYSIS (OA) CYCLE

SME Recruitment

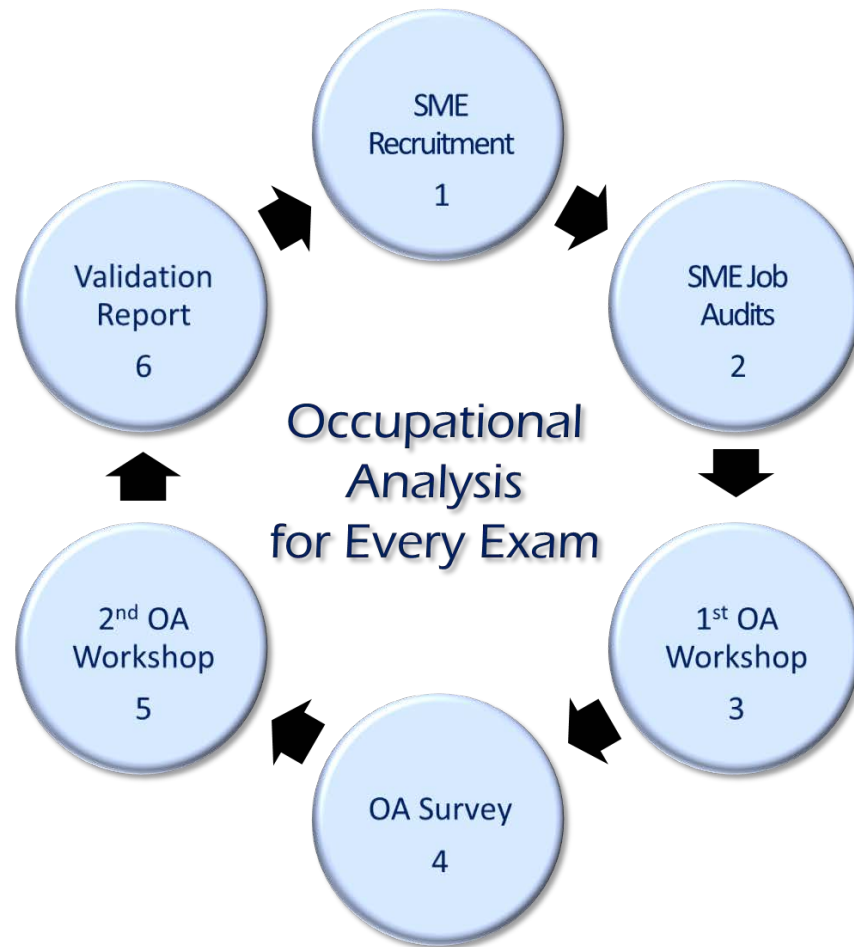
SME Job Audit Interviews

1st OA Workshop

OA Survey

2nd OA Workshop

Validation Report





SME RECRUITMENT REQUIREMENTS

SME Recruitment Requirements

SME Job Audit Interviews

1st OA Workshop

OA Survey

2nd OA Workshop

Validation Report

- Maintain active licenses in good standing
- Represent recent and experienced licensees
- Represent the scope of practice
- Represent all California regions

SME JOB AUDIT INTERVIEWS



SME
Recruitment
Requirements

**SME Job Audit
Interviews**

1st OA
Workshop

OA Survey

2nd OA
Workshop

Validation
Report



- 8 to 12 audits
- List of task statements describing work
- List of knowledge statements needed to perform work



1ST OCCUPATIONAL ANALYSIS WORKSHOP

SME
Recruitment
Requirements

SME Job Audit
Interviews

**1st OA
Workshop**

OA Survey

2nd OA
Workshop

Validation
Report

- Refine task statements
- Refine knowledge statements
- Match task and knowledge statements



OCCUPATIONAL ANALYSIS SURVEY

SME Recruitment Requirements


SME Job Audit Interviews

1st OA Workshop

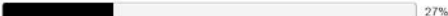
OA Survey

2nd OA Workshop

Validation Report

 C-16 Fire Protection Occupational Analysis Questionnaire

Domain 1: Planning and Estimation

 27%

Domain 1: Planning and Estimation

	Frequency	Importance
1. Review plans and specifications to determine scope of fire protection projects.	<input type="text"/>	<input type="text"/>
2. Design fire protection systems for various buildings and structures.	<input type="text"/>	<input type="text"/>
3. Determine type and location of sprinkler heads for fire protection projects.	<input type="text"/>	<input type="text"/>
4. Determine size, type, and quantity of fire pumps or tanks required to supply sufficient water for fire protection projects.	<input type="text"/>	<input type="text"/>
5. Determine type of pipe, sizing, and requirements for fire protection projects.	<input type="text"/>	<input type="text"/>
6. Determine size, type, and spacing of hangers and seismic bracing based on fire protection piping.	<input type="text"/>	<input type="text"/>
7. Determine layout for private fire service mains and associated components.	<input type="text"/>	<input type="text"/>
8. Estimate cost of equipment required to complete fire protection projects.	<input type="text"/>	<input type="text"/>
9. Estimate cost of	<input type="text"/>	<input type="text"/>



2ND OCCUPATIONAL ANALYSIS WORKSHOP

SME
Recruitment
Requirements

SME Job Audit
Interviews

1st OA
Workshop

OA Survey

**2nd OA
Workshop**

Validation
Report





VALIDATION REPORT

SME
Recruitment
Requirements

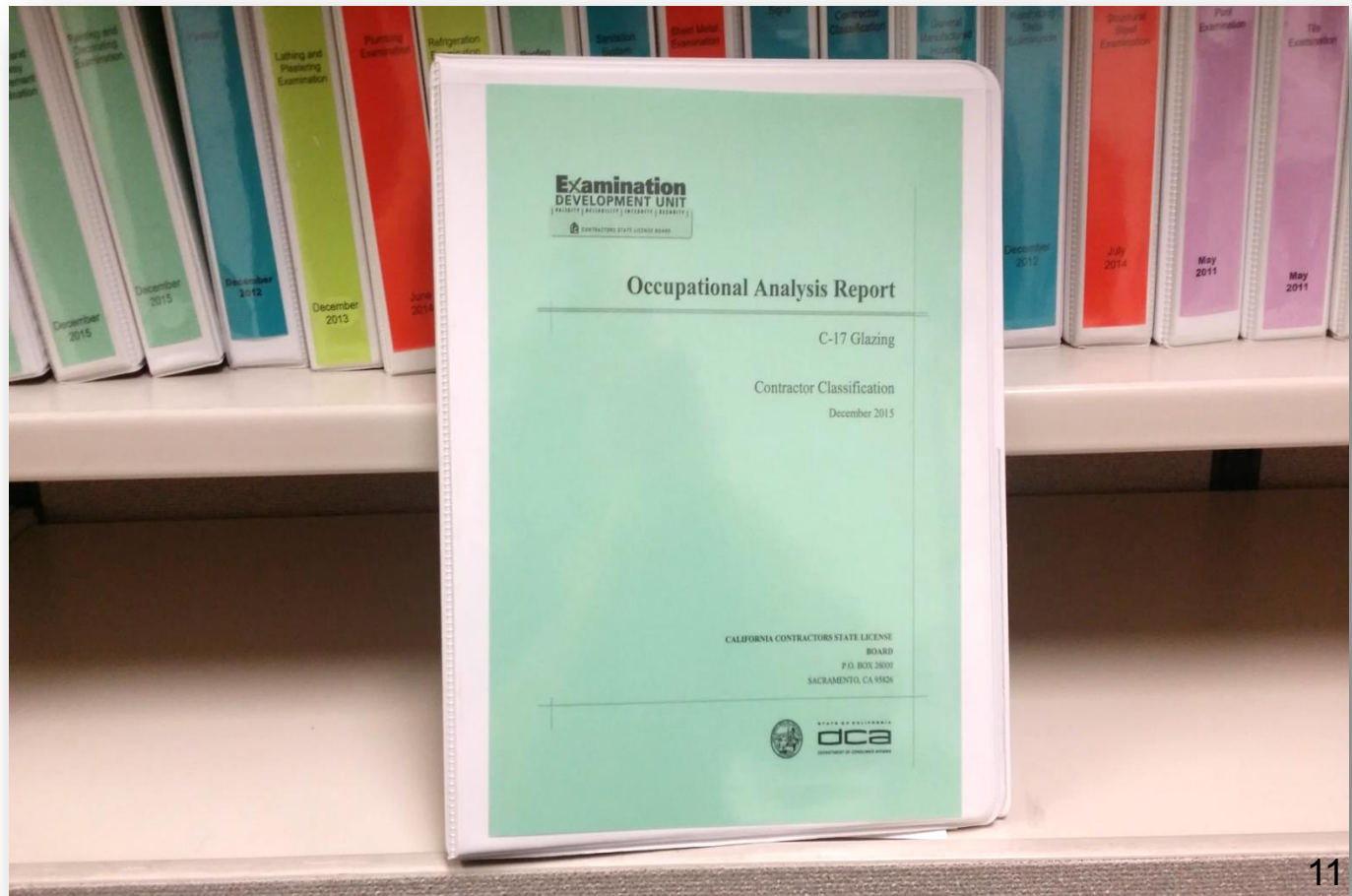
SME Job Audit
Interviews

1st OA
Workshop

OA Survey

2nd OA
Workshop

Validation
Report





EXAMINATION DEVELOPMENT CYCLE

Reclassify Workshops

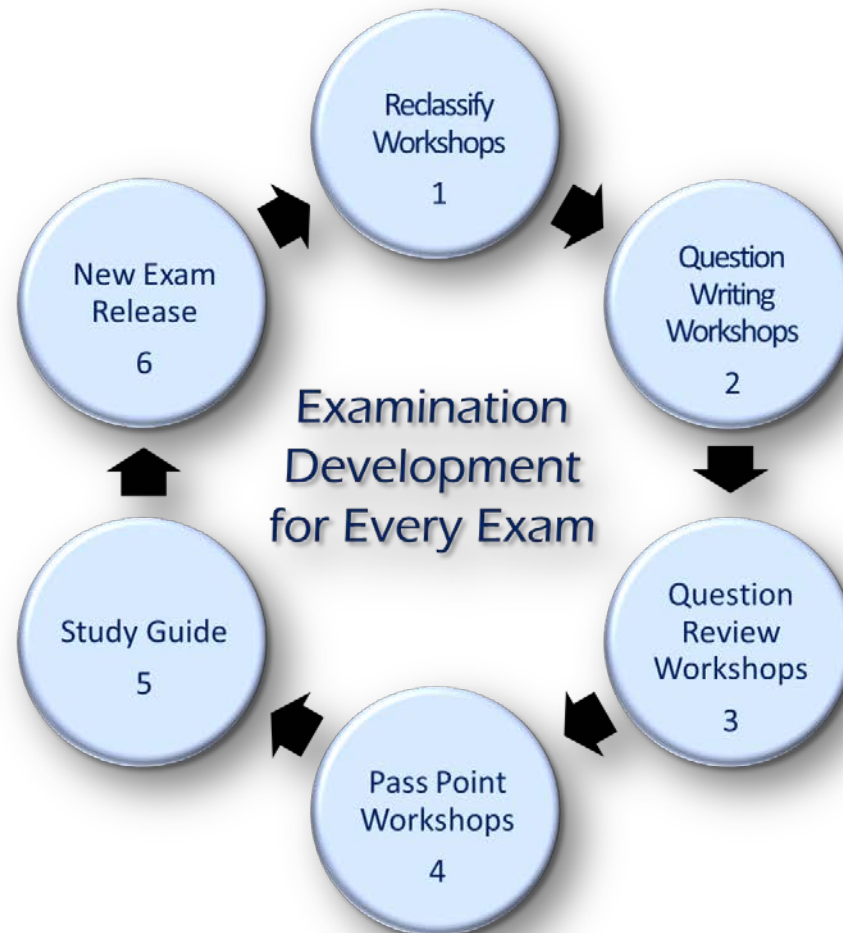
Question Development Workshops

Question Review Workshops

Passing Score Workshops

Testing Study Guide

New Exam Release





RECLASSIFY WORKSHOPS

Reclassify Workshops

Question
Development
Workshops

Question
Review
Workshops

Passing Score
Workshops

Testing
Study Guide

New Exam
Release

For each question, SMEs decide to:

- Retain
- Modify
- Delete



QUESTION DEVELOPMENT WORKSHOPS

Reclassify Workshops

Question Development Workshops

Question Review Workshops

Passing Score Workshops

Testing Study Guide

New Exam Release





QUESTION REVIEW WORKSHOPS

Reclassify Workshops

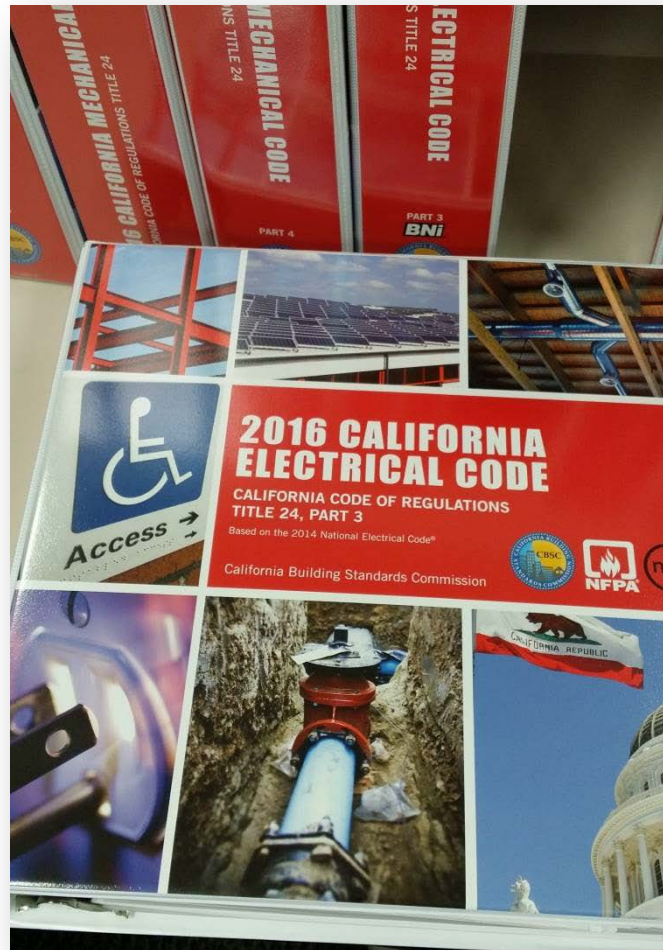
Question Development Workshops

Question Review Workshops

Passing Score Workshops

Testing Study Guide

New Exam Release





PASSING SCORE WORKSHOPS

Reclassify Workshops

Question Development Workshops

Question Review Workshops

Passing Score Workshops

Testing Study Guide

New Exam Release





TESTING STUDY GUIDE

Reclassify Workshops

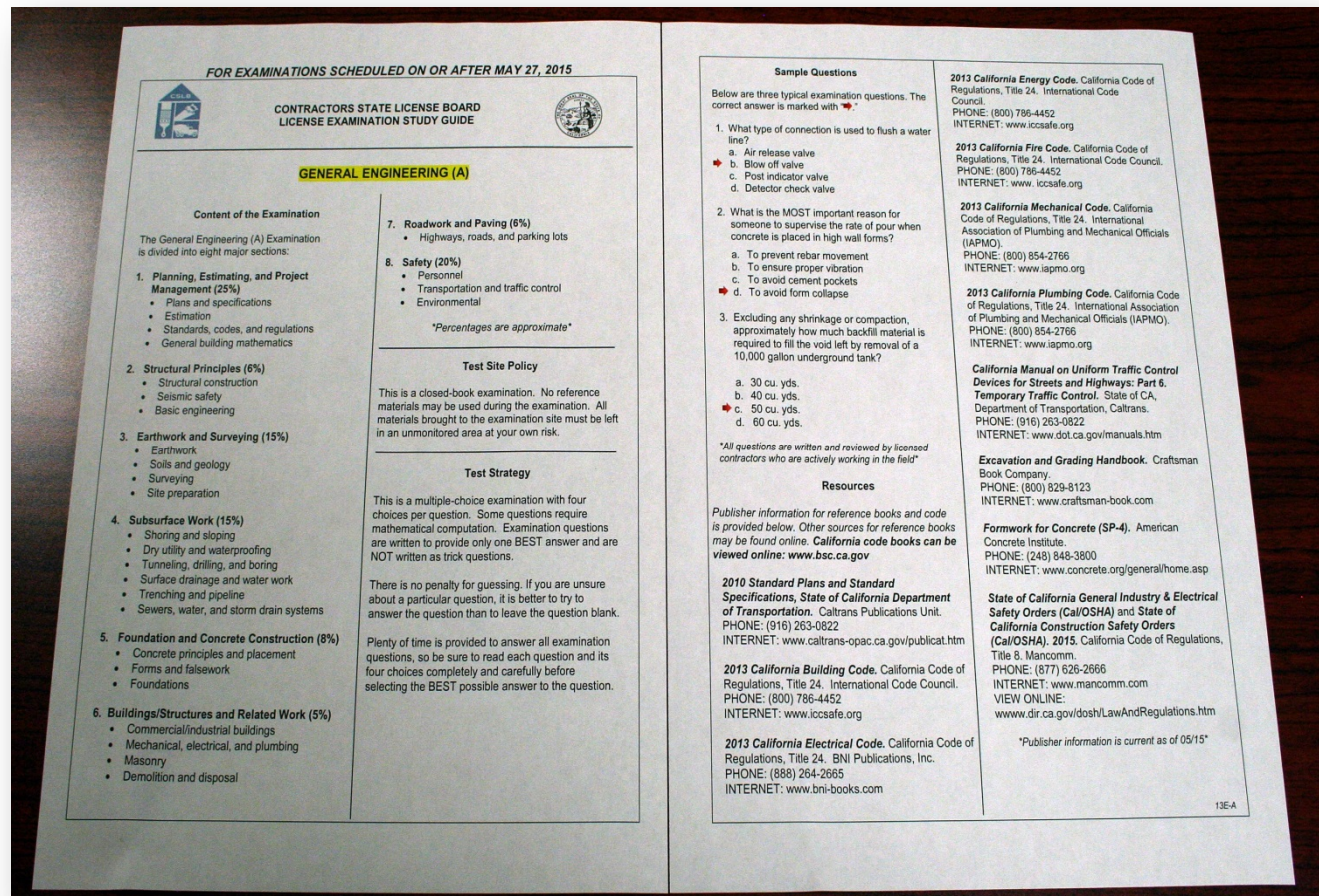
Question Development Workshops

Question Review Workshops

Passing Score Workshops

Testing Study Guide

New Exam Release





NEW EXAM RELEASE

Reclassify
Workshops

Question
Development
Workshops

Question
Review
Workshops

Passing Score
Workshops

Testing
Study Guide

**New Exam
Release**





TEST CENTERS





COMPUTER TESTING

The screenshot shows the main interface of the S.C.O.R.E. 2.0 TESTING APPLICATION. The background is a light blue and white architectural blueprint. In the center, a large, circular, metallic-looking button contains the text 'START EXAM'. Above the button, the word 'TESTING' is written in a curved font, and below it, 'APPLICATION' is written in a similar curved font. To the left of the button, the text 'S.C.O.R.E.' is written in a stylized font, and to the right, '2.0' is written. In the top left corner of the interface, there is a smaller version of the CSLB logo and the text 'State Contractors Official Regulatory Exams'. In the top right corner, there is a power button icon. On the right side, there is a 3D white figure holding a magnifying glass over a question mark. At the bottom left, there is a 'Directions:' box with the text 'Please put on your headphones, adjust your volume and press Start Exam' and volume control icons. At the bottom right, the number '5' and the word 'Sacramento' are visible. A small orange bar at the bottom right of the screenshot contains the number '20'.



TRANSLATOR EXAMINATIONS





EXAM TRANSLATORS

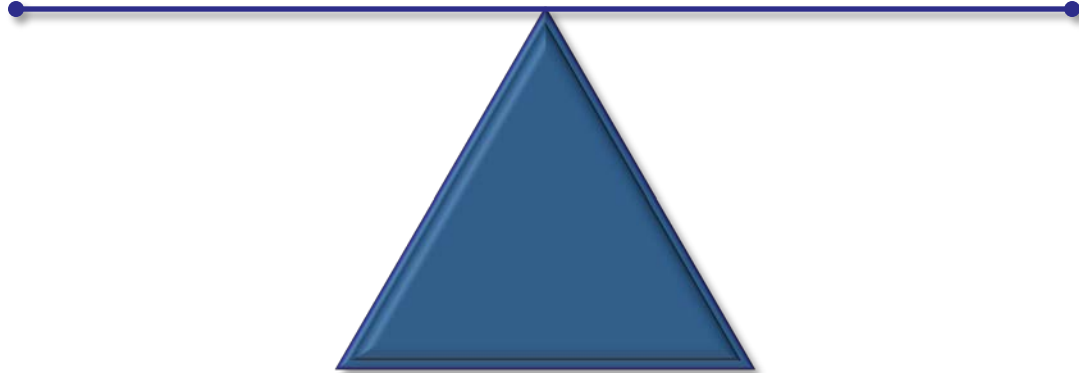
- Provided by candidates
- Pre-approved by CSLB staff
- Recorded and monitored during testing
- Must wait a year to translate again



APPLICANT STEPS TO LICENSURE

PASS

FAIL





CONTRACTORS STATE LICENSE BOARD

B. LICENSING DIVISION

CHARLOTTE ALLISON
LICENSING DIVISION MANAGER



LICENSING

223,263

- Current Active Licenses

15,375

- Active Home Improvement Salesperson Registrations

44

- Classifications

LICENSING



- Processes applications for licensure and renewal
- Reviews criminal background information
- Performs all licensing maintenance including bonds and workers' compensation
- Manages the Licensing Information Center and Sacramento Public Counter
- Reviews family support and judgment documents
- Provides classification determinations
- Complies with statute to verify experience for 3% of all applications



CLASSIFICATIONS

A – General Engineering

B – General Building

C - Specialty



CLASSIFICATIONS

A – GENERAL ENGINEERING





CLASSIFICATIONS

B – GENERAL BUILDING





STATISTICS FOR JULY 2015 - JUNE 2016

20,778

- Original Applications Processed

12,793

- New Licenses Issued

108,631

- Renewal Applications Processed

151,852

- Telephone Callers Assisted

APPLICATION ELIGIBILITY



Age

- Applicants must be 18 years of age

Background check

- Must undergo fingerprinting
- Must disclose criminal convictions with application

Experience

- Four (4) years within the previous 10 years
- Performing trade work at a journey level, foreman, or supervising employee

EVALUATION OF EXPERIENCE



Review

- Certification of work experience signed under penalty of perjury
- College education/trade apprenticeship training acceptable

Statutory Review

- 3% of all applications must be reviewed (B&P 7068)
- Documentation showing claimed experience
- Interviews with applicant, employers, and/or clients
- Application can be verified, withdrawn or denial.

STATUTORY

REVIEW OUTCOME



Verified

- Application process proceeds

Withdrawn

- Applicant must re-apply when the experience has been gained. This can be at any time after the withdraw is processed

Denied

- Applicant may request a hearing before an administrative judge.
 - If the judges overturns the denial, the application process proceeds.
 - If the judge upholds the denial, cannot re-apply for at least 12 months from the date the decision is signed.
- If the denial is not appealed the applicant must wait 12 months from the date of the denial to re-apply.



FINAL REQUIREMENTS FOR LICENSURE

Testing

- California Law/Business exam
- Trade exam

Financial Requirement

- Submit application with fees

Bond

- Submit required bonds per notification

Workers Compensation

- Employs workers must have a policy or holds roofing classification
- Does not employ workers must file an exemption to workers compensation



DID YOU KNOW?

To expedite applications; testing, criminal background and experience verification are performed concurrently by CSLB staff.





DID YOU KNOW?



Arizona



Nevada



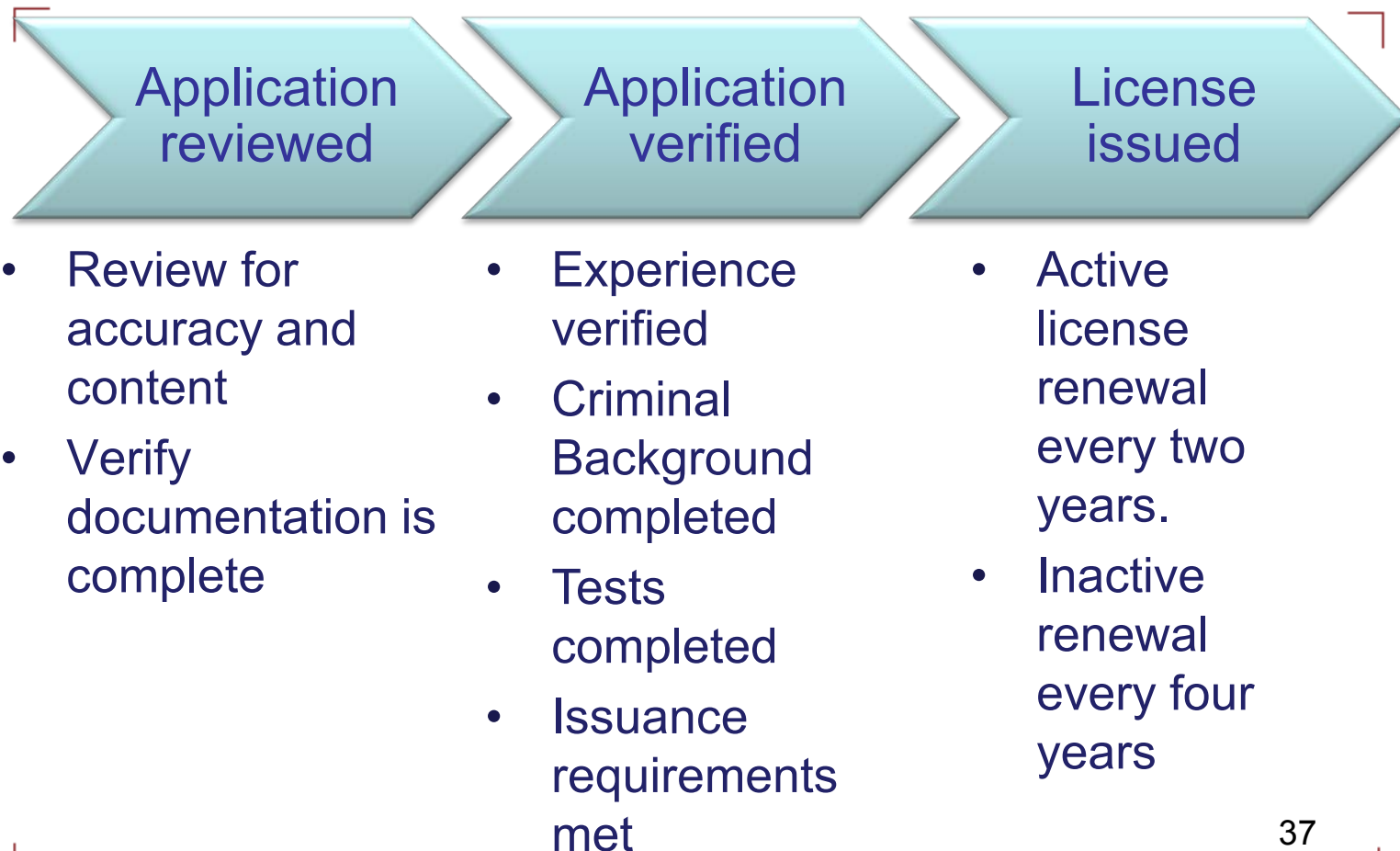
Utah

We have reciprocal agreements allowing selected trade examination waivers with three neighboring states.

(Business and Professions Code section 7065.4)



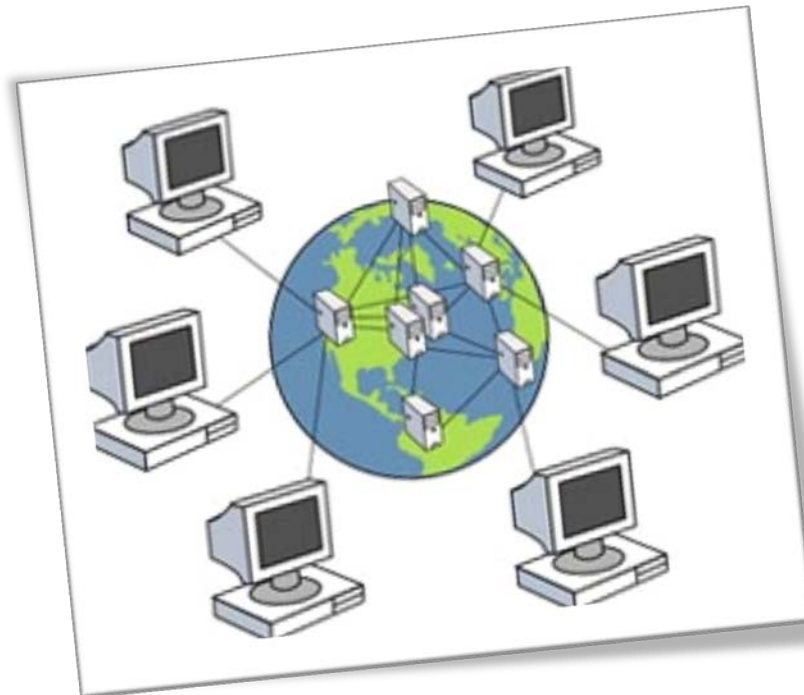
SUMMARY OF APPLICATION PROCESS





ONLINE SERVICES

CSLB license and application information uploads in real time to the website.





ONLINE SERVICES

CA .GOV **CSLB** DEPARTMENT OF CONSUMER AFFAIRS
CONTRACTOR STATE LICENSE BOARD

Home Consumers Contractors **Online Services** Media Room About Us

Search **SEARCH**

Welcome to Contractors State License Board

The Contractors State License Board (CSLB) protects California consumers by licensing and regulating the state's construction industry. CSLB was established in 1929 and today licenses about 290,000 contractors in 44 different license classifications.

Our online services and information are organized into the following categories:

Consumers	Building Officials
Journeymen	Public Works Projects
Applicants	Construction Industry Groups
Licensed Contractors	News Media

Click on one of the above links or view our "Popular Pages." Visit "Instant License Check" to learn whether a contractor license is in good standing with CSLB.

Instant License Check

Enter the contractor license number:

SEARCH

Don't know the license number? [Click Here](#)

Popular Pages

Application Status	File a Complaint
Forms and Applications	Guides and Publications
Board Meetings	Most Wanted

New Interactive Home Improvement **HIS Interactive Application**

HIS Interactive Employment Notification Form



LICENSE LOOK-UP ON WEBSITE

The screenshot shows the CSLB website interface. At the top, there is a search bar and navigation tabs for Consumers, Contractors, Online Services, Media Room, and About Us. The main content area displays the title "Contractor's License Detail for License # 8" and a disclaimer. Below the disclaimer is a "Business Information" section, which is highlighted with a red arrow. The business information includes the name "A TEICHERT & SON INC dba TEICHERT CONSTRUCTION", address "P O BOX 15002 SACRAMENTO, CA 95851", and phone number "Business Phone Number:(916) 484-3011". It also lists the entity type as "Corporation", issue date as "09/24/1929", reissue date as "04/03/1989", and expiration date as "04/30/2017". To the right, there is a "Quick Hits" sidebar with various links and an "Online Services" section at the bottom right.

Business Information

A TEICHERT & SON INC
dba TEICHERT CONSTRUCTION

P O BOX 15002
SACRAMENTO, CA 95851
Business Phone Number:(916) 484-3011

Entity Corporation
Issue Date 09/24/1929
Reissue Date 04/03/1989
Expire Date 04/30/2017

License Status

Online Services Quick Hits

- Check a License or HIS Registration
- Frequently Asked Questions
- Forms and Applications
- Guides and Publications
- CSLB Laws and Regulations
- List of All CSLB Fees
- License Classifications
- Contractor Newsletter
- Application Status
- Application Status (Secured)
- Application Status by Personnel Name
- Application Status by Business Name

Online Services

40



LICENSE LOOK-UP ON WEBSITE

Home Consumers **Contractors** Online Services Media Room About Us

Expire Date: 04/30/2017

License Status

This license is current and active.

All information below should be reviewed.

Classifications

- [A - GENERAL ENGINEERING CONTRACTOR](#)
- [B - GENERAL BUILDING CONTRACTOR](#)
- [C16 - FIRE PROTECTION CONTRACTOR](#)
- [C27 - LANDSCAPING](#)

Certifications

- [HAZ - HAZARDOUS SUBSTANCES REMOVAL](#)

Bonding Information

Contractor's Bond

This license filed a Contractor's Bond with [SAFECO INSURANCE COMPANY OF AMERICA](#).

Bond Number: 6250091

Bond Amount: \$15,000

Effective Date: 01/01/2016

[Contractor's Bond History](#)

Bond of Qualifying Individual

This license filed Bond of Qualifying Individual number **6250090** for JUDSON TEICHERT BIGGS in

[Back to Top](#)



LICENSE LOOK-UP ON WEBSITE

Effective Date: 01/01/2016

Home **Contractors** Online Services Media Room About Us

Bond of Qualifying Individual

- This license filed Bond of Qualifying Individual number **6250090** for JUDSON TEICHERT RIGGS in the amount of **\$12,500** with [SAFECO INSURANCE COMPANY OF AMERICA](#).
Effective Date: 01/01/2007
[BQI's Bond History](#)
- This license filed Bond of Qualifying Individual number **070021762** for THOMAS JOSEPH GRIFFITH in the amount of **\$12,500** with [LIBERTY MUTUAL INSURANCE COMPANY](#).
Effective Date: 01/07/2016

Workers' Compensation

This license has workers compensation insurance with the [ZURICH AMERICAN INSURANCE COMPANY](#).

Policy Number: EWS5345068
Effective Date: 04/01/2015
Expire Date: 04/01/2017
[Workers' Compensation History](#)

Other

- Personnel listed on this license (current or disassociated) are listed on other licenses

[Personnel List](#) [Other Licensees](#)

Is this your license?
Does any of the information need to be corrected/updated?

<https://www2.cslb.ca.gov/OnlineServices/CheckLicense/INSDetail.aspx?Action=INSDetWC&Code=321>

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ADDITIONAL ONLINE SERVICES



- Home Improvement Salesperson Smart Form
- Online fee payment kiosks in most testing locations

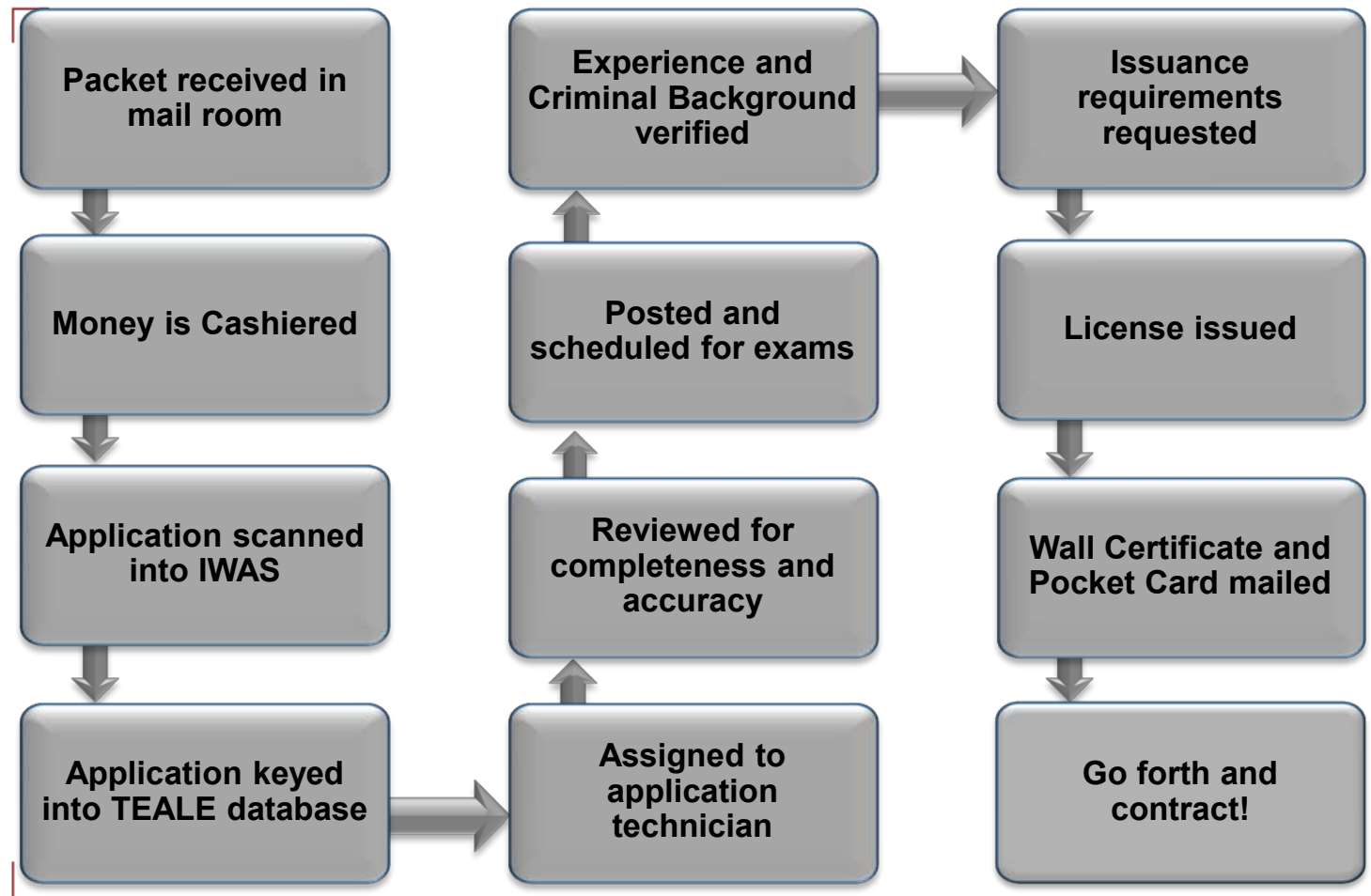


ONLINE SERVICES UNDER CONSTRUCTION



- Application submission
- Renewal submission
- License modification form submission

APPLICATION






LICENSE





LICENSE

STATE OF CALIFORNIA

 **CONTRACTORS STATE LICENSE BOARD**

Pursuant to Chapter 9 of Division 3 of the Business and Professions Code and the Rules and Regulations of the Contractors State License Board, the Registrar of Contractors does hereby issue this license to:

**JOHN DOE
DBA DOE CONSTRUCTION COMPANY**


License Number 88888888

to engage in the business or act in the capacity of a contractor in the following classifications:

B - GENERAL BUILDING CONTRACTOR
C10 - ELECTRICAL
C20 - WARM-AIR HEATING, VENTILATING AND AIR-CONDITIONING
C36 - PLUMBING

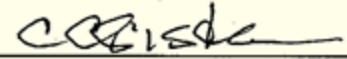
Witness my hand and seal this day,
August 23, 2016

Issued October 1, 1959



Agustin "Augie" Beltran, Board Chair

This license is the property of the Registrar of Contractors, is not transferable, and shall be returned to the Registrar upon demand when suspended, revoked, or invalidated for any reason. It becomes void if not renewed.



Cindi A. Christenson, Registrar of Contractors

13L-24 (REV. 03/15) OSP 15 130040
AUDIT NO: 2320



CONTRACTORS STATE LICENSE BOARD

C. ENFORCEMENT DIVISION

DAVID FOGT

ENFORCEMENT DIVISION CHIEF



INTRODUCTION

- **Enforcement Overview**
 - Units and Offices (Statewide)
 - 2015: *By the Numbers*
 - From “Complaint” to “Disposition:” *Essential Terms*
- **Enforcement Units**
 - Intake and Mediation Centers (IMC)
 - Investigation Centers (IC)
 - Statewide Investigative Fraud Team (SWIFT)
 - Case Management (CM)
- **Enforcement Programs**



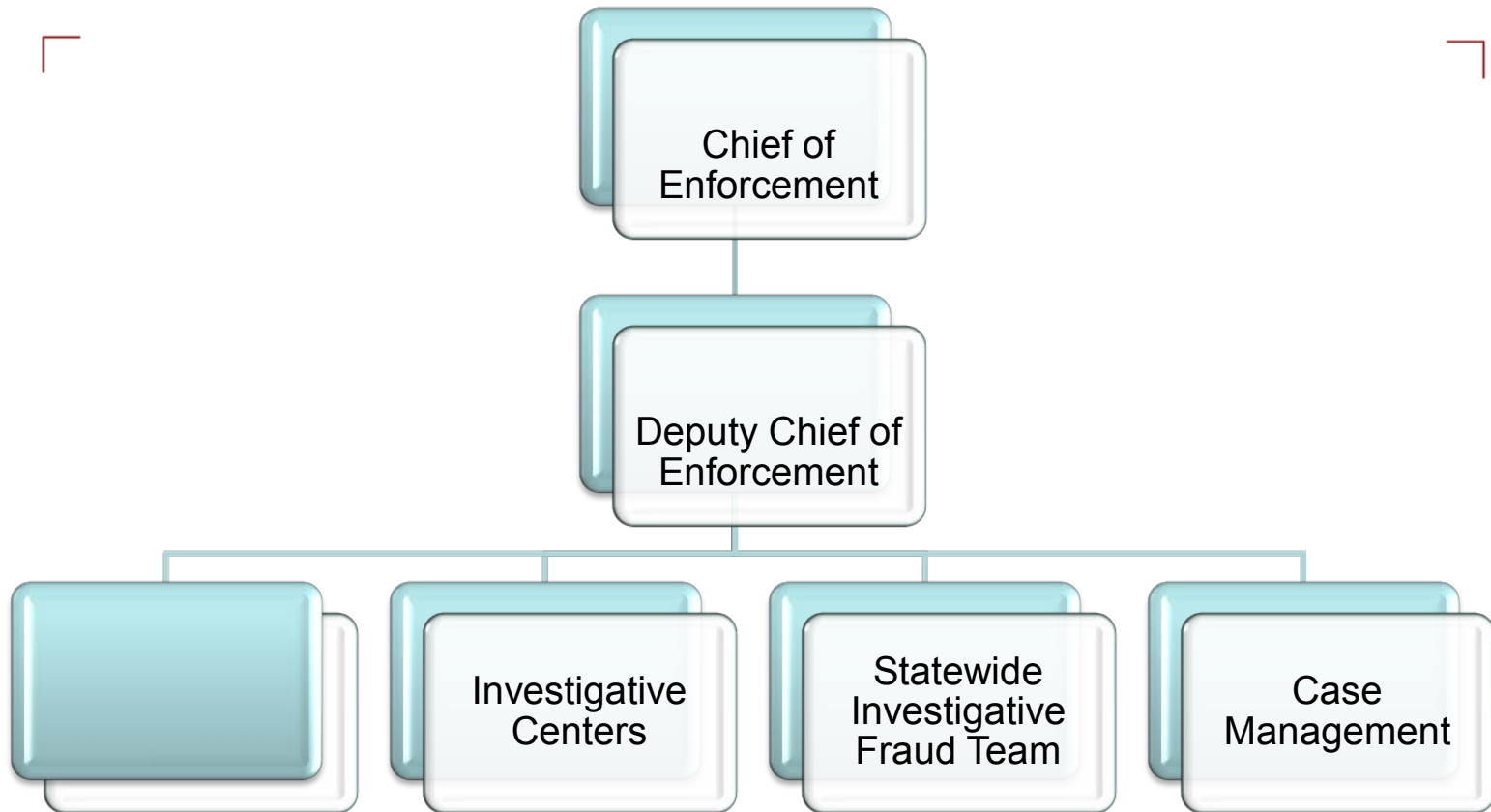
ENFORCEMENT MISSION

- Enforce the laws, regulations, and standards governing construction contracting in a fair and uniform manner
- Resolve disputes that arise from construction activities



ENFORCEMENT DIVISIONS

214 EMPLOYEES





ENFORCEMENT OFFICES OPEN TO THE PUBLIC

- San Francisco
- Sacramento
- Fresno
- Valencia
- West Covina
- Norwalk
- San Bernardino
- San Diego





CLOSING DISPOSITIONS

- Insufficient Evidence
- No Jurisdiction
- No Violation
- Minor Violation- Violation Warning Letter
- License already revoked
- Settled in Investigation
- CSLB Voluntary Arbitration
- Recommended for Licensee Citation
- Recommended for Accusation
- Refer to Prosecutor



ESSENTIAL TERMS

- **Complaint** – Investigations performed by Enforcement staff
- **Administrative-** Discipline imposed on a professional license by the Registrar
- **Criminal-** Provides for jail or state prison sentence against a person
- **Reactive-** Investigation conducted after the violation has occurred
- **Proactive-** Investigation of an active violation



ESSENTIAL TERMS

- Sweeps- Proactive investigation at active construction sites conducted with agency partners
- Stings- An undercover operation at a staged project site conducted with law enforcement partners to obtain bids from persons suspected of engaging in unlicensed and or uninsured practice
- Citation- Disciplinary action consisting of a civil penalty issued to an unlicensed person or licensee
- Accusation- a written statement of charges that seeks to suspend or revoke a contractor's license
- Notice to Appear (NTA)- a written notice to appear in court



COMPLETED INVESTIGATIONS

- 2014 Investigations Completed: 19,026
- 2015 Investigations Completed: 19,906
- 2016 Investigations Completed: 11,739
(2016 Investigations January- July)



INTAKE AND MEDIATION CENTERS (IMC)

- Receive 90% of consumer filed complaints
- Perform timely mediation of licensee complaints
- Prepare egregious licensee and non-licensee complaints for field investigations



IMC 2015 COMPLAINTS

Average number of complaints
received monthly: 944

- Licensed: 80%
- Unlicensed: 20%



IMC BOARD DIRECTED GOALS

- Open complaints within three days of receipt (averaging 1.5 days)
- 70 percent of licensee complaints within 60 days
- Settle 30% with restitution paid to injured party



IMC 2015 SETTLEMENTS

40% of
complaints
settled with
\$10,557,200.24
paid to financially
injured parties



INVESTIGATIVE CENTERS



- Investigate complaints from consumers, licensees, industry, as well as governmental agencies for violations of contractors law
- Assist in the resolution of construction disputes
- Coordinate with prosecutors to enforce criminal and administrative construction related laws
- Coordinate with and assist local building departments to ensure that minimum code requirements are met



IC BOARD DIRECTED GOALS

- Contact consumer within 60 days of complaint assignment
- Complete an average of 10 investigations per month
- Investigate complaints promptly with no more than 100 of the more than 3,500 open complaints exceeding 270 days in age



IC RESPONSIBILITIES

- Perform construction site inspections
- Perform thorough investigations
- Provide complaint resolution assistance
- Produce detailed investigative reports
- Testify at administrative, civil and criminal hearings



IC DUTIES

- Complaint dispositions include arbitration, a advisory letter, a settlement agreement or a legal action
- Closing letter sent
- 28% percent in 2015 resulted in a legal action

ENFORCEMENT PROGRAMS



To assist in the investigation and resolution of complaints workmanship related complaints

- Industry Expert
- Arbitration



LEGAL ACTION VS. RESOLUTION

The following factors are considered in determining if an administrative action is appropriate:

- Egregious Act
- Repeat Offender
- Unlicensed Practice



IC LEGAL ACTIONS

- Enforcement staff continue to expand relationships with prosecutors, referring 1,333 cases for criminal action in 2015





IC 2015 RESTITUTION PAID

- \$3,773,786.03





STATEWIDE INVESTIGATIVE FRAUD TEAM (SWIFT)

Proactive
enforcement of
license and
Workers
Compensation
insurance
requirements





STATEWIDE INVESTIGATIVE FRAUD TEAM (SWIFT)

- Proactive enforcement of license and Workers Compensation insurance requirements



SWIFT BOARD OBJECTIVES



- Respond to industry leads
- Coordinate stings and sweeps with local law enforcement and partnering state agencies



SWIFT OPERATION STRUCTURE

- Sacramento
- Santa Rosa
- San Jose
- Carmel
- Modesto
- Fresno
- Bakersfield
- Norwalk





SWIFT PROGRAMS

- JESF (Joint Enforcement Strike Force)
 - Primary objective is to take criminal action against entities that violate tax, license and workers' compensation requirements.
 - Partners include EDD, Department of Insurance, the Franchise Tax Board, the Board of Equalization, and the Department of Justice.
- LETF (Labor Enforcement Task Force)
 - Primary objective is to take administrative action against entities who violate labor, license, and workplace safety laws.
 - Partners include Employment Development Department and Department of Industrial Relations which would be DLSE and DOSH



SWIFT STINGS

- Sting operation location and targets
 - Areas within the state experiencing significant levels of unlicensed activity and/or advertising
 - Leads received from industry partners, consumers and unlawful advertisements



SWIFT 2015 STING STATISTICS

- Notice to Appear (NTA) in criminal court issued for:
 - Contracting without a license
 - Advertising without a license
 - Failing to maintain WC insurance
- 631 NTA Issued in 2015 in 91 sting days



SWIFT 2015

LEAD STATISTICS

- More than 1,300 investigations opened
- 23% of investigations resulted in a legal action

SWIFT 2015 STATISTICS



- 1,647 administrative/criminal cases
- \$820,821 in CSLB citation penalties and assessments collected
- 780 referred to prosecutors



ADMINISTRATIVE DISCIPLINARY PROCESS

Case Management Centers (CMC)

- Sacramento Enforcement and Disciplinary Services Sections (ESS/DSS)
 - Accusations
 - Subsequent arrests
- Norwalk Citation Enforcement Section (CES)
 - Citations
 - Mandatory Settlement Conferences



CMC 2015 CITATIONS ISSUED

- Issued within 30 days of receipt and assess a civil penalties and generally include an order to pay restitution
- Since 2010, citations have increased over 70%
- Licensee/non-licensee citations issued 2015: 2,410
- Accusations issued 2015: 310



CMC - SUBSEQUENT ARREST AND CONVICTION UNIT

Investigates licensees convicted of a construction related crime:

	2014	2015
Total Number of Cases Investigated	366	1,121
Cases Referred for Accusation	104	109
Cases Referred for Citation	133	211
Warning Letters issued	129	801



CMC - SUBSEQUENT ARREST AND CONVICTION UNIT

Investigates licensees convicted of a construction related crime:

	2014	2015
Total # of Cases Investigated	366	1,121
Cases Referred for Accusation	104	109
Cases Referred for Citation	133	211
Warning Letters Issued	129	801



CMC 2015 STATISTICS

- Cost Recovery- \$255,859
- Restitution paid pursuant to a citation or accusation total - \$1,312,521



WORKERS' COMP. INSURANCE COMPLIANCE

- Complaints are reviewed for WC insurance compliance
- Contractors are suspended by operation of law for failure to comply with WC requirements
- Year 2015, 311 exemptions were cancelled and 113 policies obtained



2015 PERMIT VERIFICATION

- 294 building permit complaints received
 - 222 single-violation building permit citations issued
 - 252% increase in citations from 2009
- Board vote to increase enforcement



DISASTER RESPONSE

- Partner with Department of Insurance and local law enforcement
- Conduct stings and sweeps
- Post consumer awareness signs





DISASTER RESPONSE

- Staff Local Assistance Centers
- Prioritize consumer complaints
- Conduct stings & sweeps



ENFORCEMENT CHALLENGES



- Staff recruitment and retention in Bay Area offices
- Increase in consumer complaints may require more resources
- CSLB visits in remote/high cost living locations
- Ongoing training for complex legal actions
- Supervision of off-site employees



CONTRACTORS STATE LICENSE BOARD

OVERVIEWS OF CSLB DIVISION OPERATIONS