

N/A  
Laura Zuniga, Executive Officer

Implementation Plan Submitted for: December 31, 2024
--

---

## **RISKS AND CONTROLS**

### **Risk: Business Modernization**

The California Architects Board is in the process of transitioning to a new licensing and enforcement platform. Working under the guidance of the Department of Consumer Affairs, the first phase of the new system came online in the first part of 2023. The Board anticipates that while a new system will bring benefits for consumers and licensees, there will be a potential impact on workload as we transition. Additionally, the second release of the system has been delayed for the Board, and final completion of the project has also been delayed by one year.

### **Control: Oversight**

The Department of Consumer Affairs holds regular meetings with the programs implementing this new system. In addition, Board staff serve as product owners and stay in close contact with staff who are responsible for overseeing the implementation of this new system.

#### **Update With Progress—December 31, 2024**

Work is nearing completion for this phase of business modernization and implementation of the Connect system, with the phase scheduled for end on November 15, 2024. The project will then enter into Maintenance and Operations, and the Board will continue to work with DCA staff on further functionality.

**Contact Person(s): Laura Zuniga**

**Is the control put into practice: Yes**

**Is this control reducing the risk as expected: Yes**

---

### **Risk: Inadequate Funding**

Based on the last Board meeting fund projections, the Board will be insolvent by FY 26/27. The Board is a special fund entity, entirely supported by license fees. These fees are currently at their statutory cap, and as explained by the DCA Budget Office, based on a workload analysis the time/cost to process an initial application is over \$600. Additionally, the Board receives most of its funding from renewals which are set in statute as being received in odd years. This provides for a wax and wane budget cycle and causes extra difficulty when projecting funding for years the Board does not receive renewal funding.

### **Control: Fee Audit**

In order to prevent insolvency, the Board will work with the Department of Consumer Affairs to perform a workload analysis of its fees and accordingly pursue statutory increase as part of its sunset analysis.

#### **Update With Progress—December 31, 2024**

The Board's sunset bill, SB 1452 (Ashby, Chapter 482, Statutes of 2024) contains fee increase authority for the Board. The Board will continue to monitor its fund condition and promulgate regulations when needed to increase fees. The Board does not anticipate needing to take action to raise fees by regulations within the next six months. The Board will continue to monitor its fund condition to determine when there is a need to take action.

**Contact Person(s): Laura Zuniga**

**Is the control put into practice: Yes**

**Is this control reducing the risk as expected: Yes**

---

### **Risk: Reliance on Hard Copy Documents**

The Architects Board has taken initial steps to automate many of its processes. This has been supported by the transition to new information technology systems that facilitates the acceptance of electronic documents, enabling the Board to have "soft" copies of documents and in some instances eliminating the need for physically printing materials. However, while this automation will help reduce hard copy documents going forward, the Board has a large volume of hard copy documents for pending applications, enforcement documents, and licensee files. Staff believe there is a risk in the event of a possible future pandemic, if staff are not able to regularly access records, or if the records are damaged or destroyed due to an accident.

### **Control: Explore Document Imaging**

The Architects Board will be exploring options and costs to transition hard copy license files and other historical documents to a document imaging application

#### **Update With Progress—December 31, 2024**

As the Board enters into the next phase of its implementation of Connect, staff will have the opportunity to work on imaging records.

**Contact Person(s): Laura Zuniga**

**Is the control put into practice: Partially**

**Is this control reducing the risk as expected: Partially**

**What's Next**

Staff will dedicate additional time to image paper records.

Next Milestone: June 30, 2025