



**Pursuant to ORS 182.472,
A Report of the Work of the Board
with focus on the
2011-2013 Biennium**

Submitted by the

**OREGON STATE
LANDSCAPE ARCHITECT
BOARD**

to

**The Governor,
The President of the Senate,
The Co-Speaker of the House of Representatives,
And The Legislative Fiscal Officer**

April 1, 2014

ACKNOWLEDGEMENTS

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ACRONYMS

The following list includes the most commonly used acronyms within this report.

ASLA = American Society of Landscape Architects
CLARB = Council of Landscape Architectural Registration Boards
DAS = Oregon Department of Administrative Services
LAIT = Landscape Architect in Training
LARE = Landscape Architect Registration Examination
OAR = Oregon Administrative Rules
OSBGE= Oregon State Board of Geologist Examiners
OSLAB= Oregon State Landscape Architect Board
ORS=Oregon Revised Statutes
RLA=Registered Landscape Architect

Oregon State Landscape Architect Board Biennial Report, April 1, 2014

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Oregon State Landscape Architect Board

ORS 182.460 Report

to

The Governor,
The President of the Senate,
The Co-Speakers of the House of Representatives,
The Legislative Fiscal Office, and
The Secretary of State's Office

April 1, 2014

I. INTRODUCTION

What is Landscape Architecture: Landscape architecture has been recognized as a distinct design profession for over a century. Landscape architecture encompasses the analysis, planning, design, management, and stewardship of the natural and built environment through science and design. Landscape Architects are design professionals providing services that have the dominant purpose of landscape preservation, development and enhancement, including but not limited to reconnaissance, research, planning, landscape and site design, the preparation of related drawings, construction documents and specifications and responsible construction observation.

Landscape Architects work as design professionals on a wide ranging variety of projects including but not necessarily limited to the following:

- corporate and commercial grounds,
- historic preservation and restoration,
- hotels, resorts, and golf courses,
- hospitals, health-care facilities and therapeutic gardens,
- land reclamation and rehabilitation,
- parks, playgrounds and recreation sites,
- museums, monuments and cemeteries,
- zoos, public gardens and arboreta,
- residential sites – multi- and single-family,
- school and college campuses,

- green roofs and stormwater management,
- streetscapes and public spaces,
- transportation corridors and multi-modal facilities,
- land use planning, and
- urban and suburban design and master planning.

Landscape Architects focus on important design and construction details in their work for a wide array of private and public projects. A fundamental aspect of the practice of landscape architecture is to keep the public safe from hazards, protect and maximize natural resources, and prevent damage to public or private property from changes in the built environment. The work of Landscape Architects often includes design of aesthetically pleasing and functional systems, approaches and settings for structures, roadways, walkways and other features. Landscape Architects are trained to address site grading, natural drainage, erosion control, and stormwater management. They regularly design and provide construction details and specifications for plantings, irrigation systems, site lighting, site features, and grading and drainage of sites. In addition to producing designs and construction specifications, Landscape Architects develop project cost estimates and reports for their clients. Their work is based on field observations and analysis and their training by education, examination and work experience.

Regulation of Landscape Architecture: All 50 states have recognized that regulation of landscape architecture is necessary to protect the public health, safety, and welfare. The Oregon State Landscape Architect Board (OSLAB or Board) is the regulatory board established to safeguard public health, safety, welfare and property in relation to the practice of landscape architecture in Oregon. OSLAB was initially created in 1968 and re-empowered by ORS 671.312 in 1982 after a one-year sunset. The Board became a semi-independent regulatory board through Senate Bill 546 which was passed by the 1997 Legislative Assembly and signed into law by Governor Kitzhaber on July 25, 1997. The Board operates in accordance with the semi-independence statute (ORS 182.454-472), the title and practice statutes (ORS 671.310-459), Oregon Administrative Rules (OAR) Chapter 804, and its own operational policies and procedures.

OSLAB is a seven member board, with four registrant members and three public members. All members are appointed by the Governor. The term of office is four years, but a member can apply to the Governor's Office for reappointment. As general practice, members do not serve more than two consecutive terms per Governor's Office policy although statute does not limit the number of terms served. The Board has appointed a Chair, Vice Chair, and Treasurer. Members are also assigned to various committees of the Board by the Board Chair. See **Appendix 1** for a current roster of Board members, including officers. The Board is comprised of highly competent individuals from the small but critical minority of the population driven to serve as volunteers. OSLAB members are dedicated to providing oversight of the landscape architecture profession and service to the citizens of Oregon.

OSLAB went through considerable change in membership during the reporting period. One public member decided against seeking reappointment for a second term and ended his tenure with the Board on June 30, 2011. Two registrant members completed second terms at

the end of the first fiscal year (i.e., June 30, 2012). One registrant board member resigned in late 2012 for personal reasons before completing a second term. And finally, two board members completed second terms with the close of the biennium (i.e., June 30, 2013). The Governor's Office made the following appointments during the reporting period: (a) two new registrant and one new public member effective July 1, 2012, (b) one new registrant member effective April 8, 2013 to complete the second term of the member who resigned and then eligible to serve a full-term starting June 30, 2014, and (c) one new registrant member and one new public member effective July 1, 2013. This turnover of six of seven board members obviously required some adjustment and training for the 'new' board. The new members have quickly built a cohesive Board, working well together and understanding the mission of the Board.

During this reporting period, OSLAB scheduled quarterly Board meetings (4/year or 8/biennium) and convened additional special meetings as needed to carry out the responsibilities of the Board. See **Appendix 2** for a list of Board meetings held July 1, 2011 through June 30, 2013. The Board follows the Oregon Public Meetings Law in noticing, running, and documenting its meetings. Meeting minutes are kept on the Board website, currently for 2004-2013, and minutes for 2014 meetings will be added as approved by the Board.

Board committees are an integral component for carrying out the work of the Board. The Board has six standing committees and establishes ad hoc committees as needed to address priority work items. Each committee has a Board member lead and is staffed by the Board Administrator. The nature and timing of work by individual committees varies in relation to needs, as do the number of public meetings convened as part of committee work. The most active committees are: Continuing Education, Rules Advisory, Compliance, and Licensure Review. The Administrative Rules Committee includes volunteer members from the registrant community. The Compliance Committee also sometimes solicits technical review expertise from the registrant community. See **Appendix 3** for current committee assignments for Board members.

OSLAB is served by an Administrator and Registration Specialist, each working half-time for the Board. The staff is employed by the Oregon State Board of Geologist Examiners (OSBGE) and provides services to OSLAB in accordance with an interagency agreement. (See also Expenses discussion under Budget Information.) Due to the very small size of the agency, the Board Administrator serves many roles, for example agency director, human resources manager, office manager, rules coordinator, and customer service representative. The Registration Specialist also must take on a rather unique blend of duties ranging from executive assistant to customer service representative and accountant. Staff carries out the actions of the Board and attends to day-to-day business operations. Staff is kept very busy with a multitude of tasks and routinely overlapping deadlines and above all focuses on ensuring good customer service to the Board, registrants, and the public.

II. FINANCIAL REVIEW/RISK ASSESSMENT

Pursuant to statutory direction and guidance received from the Secretary of State's Office and the Legislative Fiscal Office, the Board contracted for a financial review for the period of July 1, 2011 through June 30, 2013. The contractor selected to perform the review was Valerie A. Wicklund, CPA, LLC. The financial review occurred in September and October 2013, and the final report was delivered to the Board office before the end of October. A copy of the financial review report is found **Appendix 4**. The report includes a handful of recommendations about how the Board might update procedures related to financial management or related business operations. The Board evaluated the recommendations and has developed a response which is also included in Appendix 4.

In addition to the financial review, OSLAB invested in upgrades to its hardware and software as well as staff training related to computer applications during the reporting period. The Administrator also worked to update the Board's contracts with its IT providers and arranged to have an IT security assessment completed. The Department of Administrative Services (DAS) Enterprise Security Office assisted OSLAB by conducting the IT assessment. The DAS IT Security Analysts worked with the Administrator and the Board's IT contractors to obtain information on the Board's existing technology (hardware/software), technology-based applications, and IT security protocols. In late January 2014, the Board received a very positive report from DAS; a copy is found in Appendix 4. DAS found that OSLAB's data protection practices are good, with only a few recommended enhancements. Note that this IT assessment was not tied to just the reporting period but instead addressed Board data handling and IT infrastructure in general.

During the reporting period, the Administrator identified a need for Board review and updating of examination and licensing application approval processes to assess risk management and generally assess whether status quo procedures were still serving the Board. The Administrator worked closely with Board counsel and a Board member to develop revised procedures for the processing of examination and licensure applications. As part of this effort, the Board's delegation of authority documentation was also updated. The Board adopted the updated procedures and delegation of authority documents in May 2013. Updated procedures were implemented immediately thereafter.

The Administrator also worked with the Board to complete a review of written Board policies. This resulted in Board revisions to numerous existing policies and the creation and adoption of some new policies. The policy areas addressed included contracting and procurement, investments, accounting, reimbursement of expenses, stipends, and records management and retention. Counsel was engaged as necessary. The State Archivist also reviewed and approved the records management and retention policy prior to final Board adoption. In addition to the policy work, the Board also reviewed and made some adjustments to Board committee procedures. Collectively, this work served to help manage risks, update and memorialize business practices, and create a clear written record of Board policies and procedures for the benefit of future Board members and staff.

III. BUDGET INFORMATION

The following budget information is enclosed in **Appendix 5**:

- adopted budgets for the 2011-2013 and 2013-2015 biennia
- actual (final) figures for the 2011-2013 biennium;
- actual (preliminary) figures for the 2013-2015 biennium, through December 31, 2013
- balance sheet as of June 30, 2013 supporting the ending fund balance for the 2011-2013 biennium;
- forecasted balance sheet for the 2013-2015 biennium with an estimated ending fund balance for the 2013-2015 biennium*;
- fund analysis showing side-by-side comparison of the beginning and ending balances for the 2009-2011 and 2011-2013 biennia

(*The 2013-2015 ending fund balance is a projection based on budgeted amounts. A copy of the actual financial information through December 31, 2013 compared to the approved budget is also included.)

Income: The primary income for the Board comes from annual registration fees paid by individuals and businesses providing landscape architecture services. To a lesser extent, the Board acquires income from application fees paid in association with new business registrations, Landscape Architect-in-Training registrations, initial Landscape Architect registrations, reciprocity Landscape Architect registrations, and examinations. The Board has the statutory authority to impose civil penalties as part of disciplinary proceedings but rarely reaches this point in its compliance investigations. Therefore, civil penalties are not generally anticipated as revenue when formulating budget projections as can be seen in the budgets for the 2011-2013 and 2013-2015 biennia (**Appendix 5**). The Board operates entirely off these incomes sources; the Board does not receive any general, lottery, federal, or other funds.

The Board previously collected examination fees for some national examinations and administered these examinations through the Board office. However, examination fees were always passed on to the national office of the Council of Landscape Architectural Registration Boards (CLARB). CLARB is the organization responsible for the preparation, administration and scoring of the Landscape Architect Registration Examination (L.A.R.E.). Passage of this multi-part examination is a key determinant of whether an applicant for registration is able to provide landscape architectural services without endangering the health, safety and welfare of the public. During the 2011-2013 biennium, CLARB converted the entire examination to computer format. This changed the role for state boards, with candidates now going to test centers to complete all examinations via computer. As a result, OSLAB stopped administering examinations after June 2012, which means that it also stopped collecting examination fees and sending them to CLARB. The Board's fee rule was updated to clarify that examination fees must be sent directly to CLARB. The 2013-2015 budget does not contain revenue or expense line items for examination fees.

Actual revenues for the 2011-2013 biennium were down slightly compared to projected revenues in the adopted budget. However, when adjusted to account for exam fees no longer collected in year 2 of the biennium, the difference is less than \$8,000. The majority of the unrealized revenue was in business renewals. While the economic downturn had an impact on those in the profession, the overwhelming majority of individuals and many businesses continued to renew registrations. In addition, as some businesses closed and did not renew, others were started with OSLAB seeing more business registration applications in 2011-2013 than projected. Aspiring Landscape Architects continued to apply for Board approval to sit for the national examinations needed for licensure but the total number of applications was less than projected for 2011-2013. The Board hypothesizes that this reduction was related to the changes in the LARE (discussed previously) resulting in some candidates holding off to apply after the exam transition was complete. In addition, the Board continued to see a steady stream of applications by individuals for registration by reciprocity, i.e. for individuals licensed in another state and able to demonstrate education, examination, and work experience qualifications substantially equivalent to those of OSLAB.

As shown in the Funds Analysis included in **Appendix 5**, the Board projects a modest increase in fee revenues in the 2013-2015 biennium compared to the previous biennium. The increase is primarily tied to continued but slow growth of individual and business registrations, which results in more annual renewals. The Board used multi-year averages to project renewals and application fees as year-to-year trends are too hard to predict. The Board also identified a combination of carryover funds from 2011-2013 and reserves as part of the revenue targeted for expenditure in 2013-2015. More specific details on changes in revenue line items can be found in the budget comparisons found in Appendix 5.

Overall, the Board did not encounter any significant, unanticipated increases or decreases in revenues either in the 2011-2013 biennium or within the first six months of the current biennium. The Board reviews budget to actual reports on a quarterly basis to monitor revenues so that planned expenditures can then be adjusted if necessary.

Expenses: Personal services expenses remain the largest expense for OSLAB. As mentioned in the Introduction section of this report, the Board secures staffing services through an interagency agreement with OSBGE. The administration fee is based on personnel costs (salary and benefits) for a 0.5 FTE (PEM-D) Board Administrator and a 0.5 FTE (Executive Assistant/Accounting Tech. III) Board Registration Specialist. The personnel costs for the positions are projected at the start of the biennium, memorialized in the interagency agreement and then adjusted through mutual agreement as necessary during the biennium. OSBGE maintains personnel policies and position descriptions for the two positions. Even though also a semi-independent agency with the ability to set its own compensation package, OSBGE generally has followed state compensation packages in terms of employee benefits and class and compensation as set by the Department of Administrative Services (DAS) for executive service employees.

Other Board expenses are for office services and supplies and professional services. The types of expenses have not changed substantially. The Board adjusts expense estimates from biennium to biennium based on emerging needs (e.g., computer hardware/software needs to

be replaced), known cost increases (e.g., various state government charges) and a modest inflation factor.

One expense not reflected in the last several budgets but nonetheless impacting the Board has been an insurance charge owed to the DAS Risk Management Division. The insurance charge stems from legal action taken by the State of Oregon against a past administrator for financial mismanagement. DAS agreed to allow the Board to pay off this insurance charge over three biennia. The last payment was made early in the 2013-2015 biennium. This expense was paid out of reserve funds as it is not a standard expense and thus has been tracked separate from the Board budget.

Actual 2011-2013 expenses were less than budgeted and only one to two percent higher than the actual expenses for the previous (2009-2011) biennium. In 2011-2013, the Board spent less than projected in numerous areas including board member stipends, out of state travel, newsletter services, communication services, database development, training, and insurance costs. The most substantial changes between projected and actual expenses came in exam purchases (as previously explained), professional investigator services, and audit services. The Board's compliant caseload did not warrant full expenditure of the budget for a professional investigator, and the financial review cost was less than anticipated at the time the budget was set. The Board did see its rent increase during 2011-2013 as it relocated the Board office in July 2012 to a larger space that provides a more functional work environment for Board staff. The rent increase was offset by a reduction in rental of offsite space for exams considering the Board stopped proctoring the national exams in 2012, as was previously discussed.

The adopted budget for 2013-2015 projects a modest increase in expenses compared to the 2011-2013 budget. Most of the increase is in personal services, professional investigator, professional services, and travel-related costs. The Board also applied a modest inflation factor. The projected expenditures reflect a certain amount of contingency planning with respect to enforcement activities as a complicated compliance investigation or another complex legal matter could easily result in significant expense to the Board depending on what arises during the biennium. Should expenses be less than projected during the 2013-2015 biennium and result in the Board having a greater ending balance on the revenue side, the Board will evaluate implications for fees and other expenses in the 2015-2017 biennium.

The Board did not encounter any significant, unanticipated expenses in either the 2011-2013 biennium or within the first six months of the current biennium. The Board reviews budget to actual reports on a quarterly basis to monitor for such expenses. This is done to ensure there is no danger of exceeding the adopted budget expenditure limit. Should there be a need to revise the expenditure limit, the Board would adopt a draft revised budget and proceed through the administrative rulemaking process with public hearing.

Budget Hearing Process: The Board adopts its budgets through the formal rulemaking process pursuant to ORS 182.462(2). The public rulemaking hearing dates and Board

meeting dates when budget adopted occurred were as follows:

- April 18, 2013 hearing for the 2013-2015 budget, May 10, 2013 adopted by Board
- May 6, 2011 hearing for the 2011-2013 budget, May 13, 2011 adopted by Board

Rulemaking notices are now routinely sent to all registrants plus to other interested parties on a list maintained in the Board office. Notices are sent by a combination of email and posted mail. The Board also posts all rulemaking notices and draft rules on the Board website. Despite efforts to broadly disseminate not just budget rules but all rule notices, the Board does not generally receive a significant amount of public comment. The Board does find those limited comments received to generally be helpful and considers such comments prior to final adoption of rules. The Board approves its draft budgets and associated authorization to issue rulemaking notices and final budgets in public meetings through motion of the Board.

For specifics on the budget hearings and public comment, see also the Budget Hearing Reports included in **Appendix 6**.

Investments: The Board maintains limited investments as authorized by ORS 182.470(2) and ORS 294.035-145. The investments serve as reserve funds to cover unanticipated expenses or revenue declines. The Board has taken this prudent action in realization of its need to operate without any general, lottery, federal, or other funds. The Board must have revenue on hand to address emergencies or other unanticipated issues as it does not have a path to request assistance from the Legislative Emergency Board or the full Legislative body per ORS 182.462(1). The Board also cannot turn to the Executive Branch to fund services or other needs.

During the 2011-2013, the Board adopted an investment policy to memorialize business practices for management of investment accounts. The Board also started work on a formal reserves policy with the goal of providing more guidance on long-term management of reserves. The work on the reserves policy continues into the 2013-2015 biennium.

IV. FEES

Board fees are listed in OAR 804-0040-0000. See **Appendix 7**. Any revisions to the fee schedule must be processed through a formal rulemaking hearing pursuant to ORS 182.466(4). The Board follows the rulemaking procedures generally described in the Budget Hearing Process section of this report.

The Board did not increase any fees in the 2011-2013 biennium. The Board has neither changed fees thus far nor made plans to change fees in the 2013-2015 biennium. As was addressed under the Income section of this report, the Board did update the fee rule to address the change in the examination process, where the Board no longer collects examination fees to pass along to the national examination provider, i.e. CLARB. The fee rule now states that exam candidates need to pay CLARB directly for exam costs.

V. RULEMAKING

The Board completed updates to sixteen (16) individual rules over the course of the 2011-2013 biennium. Work on a few rules carried over into the early part of the 2013-2015 biennium. See **Appendix 8** and the following overview for details.

One of the Board's major rulemaking efforts was triggered by changes in the national examination that went into effect in late 2012. (See the Income section of this report for a description of the changes.) In order to bring Board standards and procedures into line with the examination changes, numerous rules needed to be revised. Nine (9) of the sixteen (16) rules amended by the Board were part of this rulemaking effort.

The Board also completed an overhaul of its rules for initial and reciprocity registration. While the Board had amended these rules not long before to increase clarity, implementation experience showed that there continued to be confusion about the rules and further need to work on clarifications. This time, the Board opted to entirely scrap the original rule language and replaced it with better organized and more explicit details on the standards and paths to registration. Registrants who commented on the revised rules agreed that the new versions are good improvements. Staff has found the revised rules easier to work with when reviewing applications and communicating with customers about licensure standards.

Another important rules project involved re-tooling the rule that addresses registrant requests for continuing education exemptions due to issues such as military service or medical/health challenges. In relation to this, the Board also clarified that such individuals can request a switch to inactive status and redefined what it takes for a registrant to be in good standing to request inactive status.

The Board sends most proposals for rule revisions to its Administrative Rules Committee for review and comment. The Administrative Rules Committee worked diligently in providing review and input to many rule revisions completed throughout the reporting period. The Board does not have any statutory or other mandates to utilize a rules committee but generally finds the process to be beneficial.

VI. CONSUMER PROTECTION

The Board addressed consumer protection primarily through the following forums:

Continuing Education: The Board has now fully implemented its auditing system for continuing education over the course of three biennia. The continuing education requirements are designed to ensure that registrants remain informed and educated about health, safety, and welfare issues so that the consumer can be better protected. Each Landscape Architect is required to complete twelve professional development hours (PDH) of continuing education annually. Of the twelve PDH required, nine hours must relate to health, safety, and welfare issues. At renewal time, each Landscape Architect must be prepared to validate continuing education information, unless the LA has been exempted as listed under OAR 804-025-

0010(1). OSLAB audits approximately 5% of registrants on an annual basis, with individuals randomly drawn for audit each quarter.

Complaint Investigations: The Board regulates the practice of landscape architecture as defined in ORS 671.310 to 671.459. The Board also oversees the use of the title Landscape Architect, Registered Landscape Architect, and variations thereof as is limited by statute. The Board responds to cases of suspected advertisement as a Landscape Architect or business offering landscape architecture services by non-registered individuals and businesses. The Board also handles cases of suspected violation of the practice side of the landscape architecture statutes. The Board's Code of Professional Conduct for its registrants is found in rule at OAR 804 Division 50. The Code outlines the responsibilities all registrants have to the profession, employers, and the Board.

The Board has authority to refuse to register or renew any applicant and may also suspend registration for a person found to have violated ORS 671.310-459 or the Code of Professional Conduct. The Board can take disciplinary actions as authorized under ORS 671.408 and impose civil penalties. For details on actions taken by the Board during the reporting period, see the Enforcement Activities section of this report and **Appendix 9**.

The Board added a Complaints page to its website, adopted a new complaint form, issued a request for qualifications to technical reviewers, and started work on a compliance manual during the reporting period. The compliance manual is intended to assist the Board and staff with complaint processing by gathering pertinent information about the Board's authorities, procedures, and legal precedents in an organized fashion. The Board also identified a need to secure the services of a part-time professional investigator to assist with complaint case reviews. The Board budgeted for this and negotiated an interagency agreement with the Oregon Board of Architect Examiners to share an investigator starting in the 2013-2015 biennium.

Newsletters: The Board publishes a quarterly newsletter which is posted on the Board's website and thus available for citizens and others considering the services of a Landscape Architect or interested in the profession to view. The Board currently maintains newsletters from 2005 to present on the website. The newsletter is used to communicate issues relevant to the regulation of the profession. As of late 2011, the newsletters are sent electronically to all registrants with e-mail addresses on file with the Board office. The newsletter is also issued by email to all cities and counties in Oregon to keep them aware of the regulation of the practice of landscape architecture and to regional universities where future Landscape Architects are trained. (See <http://www.oregon.gov/LANDARCH/newsletter.shtml>.)

Website: The Board website is maintained within the Oregon.gov infrastructure and contains information related to the practice and regulation of landscape architecture, including relevant laws, rules, applications, publications, and links to related organizations. The Board also maintains a listing of all current individual and business registrations on the website. This listing is updated monthly, and consumers have access to this information 24/7. (See <http://www.oregon.gov/LANDARCH/index.shtml>.) The Board worked in 2011-2013

on a license lookup feature for the website and hopes to implement this in early 2014. The Board website was also migrated into a new SharePoint platform.

VII. LICENSURE ACTIVITIES:

The Board administers three types of registrations: Landscape Architect, Landscape Architect-in-Training, and Business. See **Appendix 10 and 11** for details about registrations issued in the last five biennia.

Registration applications from the two last biennia reveal a couple of things. First, there has been a decrease in new applications for individual and business registrations. Neither decrease reaches a level of alarm for the Board. Second, there has been a larger change for individual registrations compared to business registrations. This suggests that the Board needs to monitor the individual registration application pattern in 2013-2015 to determine if this is a response to the economic downturn of the last several years. However, the numbers of individuals and businesses registered remained stable, indicating that the Board gained enough new registrants to offset non-renewals. New applications for Landscape Architect-in-Training have remained low, as candidates continue to show little interest in this optional, title-only registration. The Board may want to re-evaluate whether there is sufficient cause to maintain the Landscape Architect-in-Training registration.

For many years, the Board was responsible for administering two sections of the multipart national examination. These exams were administered twice each year with each administration for a two-day period. Changes in the national examination ended the Board's role in exam administration. As of December 2012, CLARB (i.e., the national examination provider) had converted the two examination sections that were previously administered by state licensing boards to a computerized format. The last examinations administered through OSLAB were held in June 2012. However, OSLAB continued to process applications for these two examination sections, now referred to as Sections 3 and 4. This entails evaluating qualifications to sit for the exams and following up with deficiencies of the applicants. Sixty-five (65) such applications were processed in the 2011-2013 biennium, which was a drop from the number of such applications processed in the 2009-2011 and 2007-2009 biennia.

OSLAB also continued to review requests by individuals for pre-approval to sit for the remaining sections of the national examination, now referred to as Sections 1 and 2. These sections have been computerized for some time. The Board does not require a formal application and does not charge for this pre-approval process. The process allows the Board to confirm that the degree requirement of OAR 804-010-0000 has been met by any individual seeking to sit for Sections 1 and 2. Although the Board charges no fees for the pre-approval process, there is a staff workload associated with processing these requests, reviewing transcripts, entering information in the database, providing written notification to each individual, and notifying CLARB when individuals have been pre-approved. Fifty-four (54) pre-approvals were processed in the 2011-2013 biennium, which was a substantial increase compared to the 2009-2011 biennium but similar to the total in the 2007-2009 biennium.

The examination-related numbers for 2011-2013 may simply be a reflection of where the particular batch of examination candidates was in the exam process and not any larger trend. A review of the data for the last several biennium does not lead to a definitive cause and effect finding. The Board will have to continue its tracking of examination candidates to see if longer-term trends become evident.

VIII. ENFORCEMENT ACTIVITIES

Through a combination of complaints submitted to the Board and those otherwise initiated by the Board, OSLAB opened eighteen (18) new complaint cases in the 2011-2013 biennium. The Board closed a total of fifteen (15) complaint cases in the 2011-2013 biennium, with seven (7) of those opened in the 2009-2011 biennium and eight (8) opened in the 2011-2013 biennium. Seven (7) additional cases opened in the 2011-2013 biennium were closed within the first six months of the 2013-2015 biennium. One case opened in 2011-2013 remains open but on hold pursuant to advice from legal counsel. See **Appendix 9** for more details about compliance cases.

Traditionally, the Board has not received many complaints from citizens about registered Landscape Architects. Most compliance cases opened by the Board stem from either complaints or inquiries submitted by registrants self-policing the profession or items that otherwise have come to the attention of Board members or staff. The most common types of compliant cases historically have involved advertisement (print or online) by non-registered individuals, other use of title by non-registrants, and businesses not-registered offering landscape architecture services. The Board also has the occasional case looking at whether a registrant acted in accordance with practice side of the landscape architecture statutes and the Board's Code of Professional Conduct. This last type of case can be rather complex and sometimes requires the use of an outside technical reviewer to help evaluate the technical aspects of the complaint.

Advertisement cases sometimes involve phone book publishers including yellow page advertisements under the title Landscape Architects for non-registered individuals or businesses. The Board has communicated with many individuals and businesses about the need to monitor advertising through the compliance process, and various publishers have been informed of the dilemma they have created. Monitoring advertisements on the internet is another concern of the Board but has remained largely outside the ability of the Board to effectively police.

In addition to advertisements, the Board monitors business registrations through its database. The Board is able to identify business registrations that have expired and contacts these businesses to determine if they are still offering landscape architecture services. This is particularly important if an individual registrant has listed a business as his or her place of employment but the business has not maintained the required registration. Businesses are generally sent two letters asking for updated business information. Failure to respond to these letters results in the Board opening a complaint case. The Board has found that

sometimes the step of opening a formal complaint case is what it takes to compel businesses to take the time to respond and renew registrations where necessary.

The Compliance Committee continues to strive to reduce the average number of days to resolve cases. The Board's quarterly meeting schedule presents some challenges as this limits the opportunities for the Board to be briefed on investigations, and all cases must ultimately be acted on by the full Board. The Compliance Committee is not authorized to make recommendations or decisions on behalf of the Board. Another constraint during the reporting period in terms of the speed at which investigations could proceed was the Board's lack of a professional investigator. This limited the Board's capacity to conduct investigatory work and otherwise process cases. The Board identified this as a short-coming and decided to hire a part-time investigator for the 2013-2015 biennium. The Board investigated several possible approaches and ultimately entered into an interagency agreement with the Oregon Board of Architect Examiners to share an investigator.

As was addressed under the Consumer Protection section of this report, OSLAB has statutory authority to refuse to register or renew any applicant and may also suspend registration for a person found to have violated ORS 671.310-459 or the Code of Professional Conduct. The Board is also authorized under ORS 671.408 to impose civil penalties. The Board's overarching goal is to educate first through the compliance process, and thus the Board has not viewed disciplinary action or imposition of civil penalties as routine outcomes. The Board first and foremost works to educate as a way to ensure future compliance. However, the Board recognizes that disciplinary action or imposition of civil penalties is sometimes necessary in cases where the actions of a respondent have potentially serious implications for the health, safety, and welfare of consumers and the general public or to address repeat offenders. The Board did not need to take any disciplinary actions or issue civil penalties during the 2011-2013 reporting period.

IX. OTHER ACTIONS/INFORMATION

CLARB Participation: OSLAB is a member of CLARB as the national examination provided by CLARB is the national and even increasingly international standard for evaluation of Landscape Architect candidates. Traditionally, the Board would send the Administrator and a Board Member(s) to spring and fall national meetings of the Council of Landscape Architectural Boards (CLARB). These meetings were valuable to the Board as they provided opportunities for training, discussions on regional and national issues, and convocations. The networking with other states at these national meetings broadened the Board's knowledge of the national examination development process, the grading of the national examination, practice issues faced by other states, and regional issues. In the last several years however, the Board reduced participation to no more than one meeting per year. This occurred both as a cost cutting measure and out of concerns that the spring meeting was no longer as valuable due to continually decreasing participation by other state licensure boards. During the 2011-2013 reporting period, the Board was represented by the Administrator and a Board member at the fall 2011 and fall 2013 CLARB meetings. The

Administrator also participated in regional teleconference meetings held by CLARB each year.

Oral Examinations: The Board continues its quarterly meeting practice of oral examinations with all individuals seeking initial registration as Landscape Architects. This process allows new registrants to grasp the concept of OSLAB as the regulatory board for the profession. It also allows each Board Member the opportunity to direct questions to new registrants about the laws and rules under which they will work. In turn, new registrants get a chance to ask questions of the Board.

ASLA-OSLAB Communications: The American Society of Landscape Architects (ASLA) is the professional trade organization for Landscape Architects operating on a national scale. OSLAB periodically communicates with the ASLA Oregon Chapter Officers and Regional Chairs through meetings and other forums. Oregon ASLA representatives joined the Board for discussion at the August 2011 and February 2013 quarterly meetings of the Board. Board officers also periodically communicated with ASLA representatives in person or by phone and e-mail on issues of concern to the industry where related to licensing and the practice and title law. The Board incorporated some announcements and other information about the role of Landscape Architects received from the from the ASLA Oregon Chapter's public awareness representative into Board newsletters.

Technical Assistance to Cities/Counties: The Board periodically receives requests from local governments for advice on whether or when Landscape Architects should be required to complete various types of reports required via local land use ordinances. Sometimes local governments also ask for clarification about the role of Landscape Architects compared to other licensed professionals commonly engaged on project teams. The Board works with any jurisdictions interested in updating ordinances to offer advice about qualifications to complete various project elements.

Coordination with Other Licensing Boards: The Board coordinated on specific issues with the Oregon Board of Architect Examiners (ORBAE), Oregon Landscape Contractors Board (OLCB), and Oregon State Board of Examiners for Engineering and Land Surveying (OSBEELS) during the reporting period. This coordination occurred through a variety of venues including participation in board meetings, e-mail exchanges, via the respective board administrators, and having OSLAB members appointed as liaisons to these boards.

Primary issues of discussion with ORBAE included (a) naming conventions for businesses offering landscape architecture services in relation to statutory limitations applicable to the use of the name Architects or Architecture and (b) opportunity to have information on the role of Landscape Architects included in the next update of the Manual for Building Officials co-published by ORBAE and OSBEELS.

Primary issues of discussion with the OLCB included (a) practice overlap in relation to development of construction plans and specifications by Landscape Contractors and Landscape Architects, (b) general coordination on matters related to the practice of

Landscape Designers, which have not traditionally been regulated by either Board and (c) other general compliance matters related to registrant practice in the overlap between the two professions.

OSLAB reviewed a few requests from OSBEELS or other interested parties regarding practice overlap between Landscape Architects and Professional Engineers. Most of this work was handled directly by the Board Administrators but with consultation with the Board as prudent.

During the reporting period, OSLAB also continued its contractual relationship with OSBGE for staffing services. (See the Budget – Expenses section for a description of this unique relationship.) The Board Chairs work cooperatively on oversight of the Administrator, including completion of annual performance reviews. The two boards continued to find administrative efficiencies and other benefits in this relationship and elected to enter into a new interagency agreement for the 2013-2015 biennium.

Semi-Independent Boards Association (SIBA): The Board continued to have its Administrator actively participate in SIBA. With a few exceptions, SIBA met every other month during the report period. Through these meetings, the Administrator gathered information on business practices and lessons learned that could be shared with OSLAB and also requested feedback from other SIBA members on issues germane to OSLAB operations. SIBA participation also offers professional development and networking opportunity to the Board Administrator.

Design Professionals: During this reporting period, OSLAB participated in the Oregon Design Professionals Day at the Capitol events in 2011 and 2012. The purpose of these events is to share with Oregon Legislators information about the work of design professionals (Architects, Engineers, Landscape Architects, and Land Surveyors) and what they as practicing professionals in Oregon see as issues influenced by existing legislation or areas of concern that may warrant consideration by the Legislature. The Board Chair served as the point of contact. The Board participated in response to the group's request for input on landscape architecture to fill a vacuum created by having no other group with expertise on landscape architecture engaged. The Board has since identified the need to have the ASLA Oregon Chapter engage in this process as the Board role is limited to addressing health, safety, and welfare aspects of regulation.

Other: See Appendix 11 for a summary table of Board operations data requested by the Legislative Fiscal Office.

Oregon State Landscape Architect Board Biennial Report, April 1, 2014

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Appendix 1: Board Roster

Oregon State Landscape Architect Board

707 13th Street SE, Suite 114, Salem, OR 97301

Phone (503) 589-0093; Fax (503) 485-2947

Email oslab.info@state.or.us

<i>Authorization</i>	ORS 671.459
<i>Members</i>	7 (includes 3 public members)
<i>Term Length</i>	4 years
<i>Limit</i>	None

BOARD MEMBER	BUSINESS	CONTACT	TERM(S)
Everhart, Gregg S. <i>Landscape Architect</i>	gseverhart@gmail.com Everhart Landscape Architecture 4014 SE Taylor Street Portland, OR 97214-4440	W 503-396-9229	07/01/2013-06/30/2017
L'Amoreaux, Lauri <i>Landscape Architect</i>	lauri.lamoreaux@portofportland Port of Portland 7200 NE Airport Way Portland OR 97218	W 503-415-6463 C 503-367-3107	07/01/2012 – 06/30/2016
O'Brien, Michael <i>Landscape Architect</i>	michael@aaieng.com Afghan Associates, Inc. 4875 SW Griffith Dr., Suite 300 Beaverton, OR 97005	W 503-620-3030 F 503-620-5539	04/08/2013 – 06/30/2014
Olsen, Kathy <i>Public Member</i>	kathyocpa@gmail.com	Use e-mail for contact	07/01/2012 – 06/30/2016
Ray, Stephen <i>Landscape Architect</i>	sray.oslab@gmail.com Place Studio 735 NW 18 th Avenue Portland, OR 97209	C 206-295-0477 W 503-334-2080	07/01/2012– 06/30/2016
Smith, Susan A. <i>Public Member</i>	sasmith55@msn.com	H 503-393-8674	07/01/2013-06/30/2017
Wright, Susan <i>Public Member</i>	vista-house@comcast.net	W 503-703-7406	05/14/2007 - 06/30/2010 07/01/2010 - 06/30/2014

Appendix 2 – Board Meetings

Oregon State Landscape Architect Board

Meetings Held July 1, 2011 – June 30, 2013

2011

08/12/2011

11/18/2011

2012

02/17/2012

05/11/2012

08/24/2012

11/09/2012

2013

02/08/2013

03/06/2013*

05/10/2013

06/20/2013*

*=Special Meetings called in addition to regular, quarterly meetings.

Appendix 3 – Officers and Committee Assignments

Oregon State Landscape Architect Board

OFFICERS AND COMMITTEE ASSIGNMENTS

(as of November, 2013)

BOARD OFFICERS:

Stephen Ray, RLA, Chair

Michael O'Brien, RLA, Vice Chair

Kathleen Olsen, Public Member, Treasurer

BOARD COMMITTEES:

ADMINISTRATIVE RULES COMMITTEE

Michael O'Brien, RLA, Chair

Board Registrants

CONTINUING EDUCATION COMMITTEE

Gregg Everhart, RLA, Chair

COMPLIANCE COMMITTEE

Susan Wright, Public Member, Chair

Susan Smith, Public Member (In Training)

INVESTMENT COMMITTEE

Kathleen Olsen, Public Member, Chair

LICENSURE REVIEW COMMITTEE

Lauri L'Amoreaux, RLA, Chair

OTHER BOARD ASSIGNMENTS

Board Liaison to the Oregon Board of Architect Examiners

Lauri L'Amoreaux, RLA

Board Liaison to the Oregon Landscape Contractors Board

Chair/Vice Chair

Board Liaison to American Society of Landscape Architects – OR Chapter

Stephen Ray, RLA

Appendix 4 – Financial Review/Risk Assessment Reports

Contents:

2009-2011 Financial Review

OSLAB Response to Financial Review

DAS IT Assessment



Valerie A. Wicklund, CPA, LLC

Oregon State Landscape Architect Board
Agreed Upon Procedures Report
Financial Review

Report No. 07-13
October 7, 2013



Valerie A. Wicklund, CPA, LLC

742 Hawthorne Ave, NE
Salem OR 97301

vwicklundcpa@comcast.net
503-851-4435

**INDEPENDENT ACCOUNTANT'S REPORT
ON APPLYING AGREED-UPON PROCEDURES**

To the Oregon State Landscape Architect Board:

The Oregon State Landscape Architect Board (OSLAB) is a semi-independent agency of the State of Oregon that operates under Oregon Revised Statutes (ORS) Chapters 671.310 to 671.459, 671.992, 671.995, and 182.454 to 182.472. OSLAB's objective is to safeguard the public health, safety, welfare and property in Oregon by providing qualifying criteria for the practice of landscape architecture. OSLAB regulates the practice of landscape architecture by setting education, examination, and experience requirements; issuing certificates to those who qualify for registration; and disciplining those who violate the law. The Board is concerned with providing safeguards in the practice of landscape architecture as it relates to engineering, architecture, ground water, land use planning, landscape hazards and the further development of the practice of landscape architecture.

The Board is composed of seven members, appointed by the governor for four-year terms. Four are Registered Landscape Architects and three are public citizens. In addition to the Board, OSLAB operations are carried out by a staff of one Administrator and one employee through an interagency agreement with the Oregon State Board of Geologist Examiners (OSBGE). Under the terms of the agreement, which has renewed each biennium since 2004, two OSBGE employees work half-time on business of the OSLAB and half-time on the business of the OSBGE. The prior Administrator retired in December 2010 after six years with OSLAB. The current Administrator was hired in March 2011 and the Registration Specialist has been with the Board since 2005.

Oregon Revised Statute 182.464 requires the OSLAB to undergo an audit or financial review according to schedules set by the Secretary of State. We performed the procedures, as described below, which were agreed to by the OSLAB and the Secretary of State, for the two years ending June 30, 2013. The Board is responsible for the establishment of and compliance with its financial, licensing, and budgeting processes and internal controls. The procedures agreed to were solely to assist management and the Secretary of State in evaluating the financial and licensing operations of the OSLAB. This agreed-upon procedures engagement was conducted in accordance with attestation standards established by the American Institute of Certified Public Accountants. The sufficiency of the procedures is the sole responsibility of those specified in this report. Consequently, we make no representation regarding the sufficiency of the procedures described below.

Agreed Upon Procedures Performed

1. We reviewed internal controls related to handling cash, recording revenues and disbursements, and administering licensing activities. We obtained and reviewed the adequacy of agency policies, procedures, and desk manuals related to (1) receiving, recording, and reporting transactions; (2) handling cash; and (3) registration processes. We performed process walk-throughs to determine compliance with procedures and perform testing as determined necessary.
2. We reviewed and evaluated cash controls. We confirmed investment and bank balances with financial institutions, reviewed bank reconciliations, and reviewed cash handling and related internal controls.
3. We examined revenues and expenses. We obtained accounting and subsidiary records related to revenues and expenses. We selected samples of revenues and expense transactions and evaluated supporting documentation to determine if the transactions were appropriate and properly classified in the accounting records.
4. We compared budgeted revenues and expenses to actual revenues and expenses.

Results of Procedures

1. Our evaluation of internal controls related to handling cash, recording revenues and disbursements, and administering registration activities found that, generally, adequate controls were in place at the end of the biennium. However, we also identified opportunities to strengthen internal controls.

Internal Controls Related to Cash and Recording Revenues and Expenses

Financial and accounting internal controls in place during the biennium were generally well designed and appropriately implemented. We identified key controls in the cash receipts and cash disbursements processes and our tests showed these controls were working as intended by management. For example, registrants were instructed to send registration renewal fees to a bank lockbox. Daily receipts of licensing fees as recorded in the bank were reconciled to the licensing system on a daily basis. The Administrator reviewed and approved invoices and supporting documentation prior to check preparation and again as she signed the checks. The Board performed a quarterly review and approval of disbursements.

We identified opportunities to improve internal controls by documenting a new procedure related to check scanning, establishing new policies requiring the Board Treasurer to sign checks payable to or printed by the Administrator, and establishing a procedure for the Administrator's review of all journal entries.

In response to a recommendation made in the prior financial review, OSLAB began depositing checks in the bank using a check scanner during the period under review. The

bank imposes certain requirements including shredding checks within 60 days of receipt. Procedures for scanning checks for deposit and complying with bank requirements are not documented in a desk manual.

In such a small agency, where the loss of an employee can severely affect delivery of service, the ability to transfer knowledge of policies and procedures to new employees or temporary employees is critical. Complete and up-to-date documented policies and procedures provide guidance for employees, allowing them to understand their roles and responsibilities.

We recommend the agency document processes for depositing checks through the bank scanner and complying with bank requirements, including shredding checks within 60 days of receipt.

The Administrator pays for certain expenses, such as travel and office supply expenses, with personal funds. Reimbursement requests are reviewed and approved by the Board Chair and checks are normally prepared by the Registration Specialist. Checks reimbursing the Administrator for these expenses are then signed by the Administrator. The Administrator also prints checks when the Registration Specialist is out of the office for more than two weeks. The Administrator signs the checks she prints. The Board reviews all disbursements, including checks payable to the Administrator, quarterly.

Generally accepted good business practices call for checks to be signed by someone other than the individual printing the check or the individual to whom the check is payable to. Such a segregation of duties ensures an independent review of the check for accuracy and appropriateness.

We recommend checks made payable to the Administrator or printed by the Administrator be signed by the Board Treasurer. The Board Treasurer can provide the proper authorization in the absence of an adequate number of employees to properly segregate duties.

The Registration Specialist properly prepares journal entries to record financial activities such as interest earned on certificates of deposit, checks returned for non-sufficient funds, or to correct bank errors. With the exception of journal entries related to investments, there is no review and approval of journal entries.

The OSLAB Financial Policy requires journal entries to be presented to the Administrator quarterly for review. Employees understand the requirement for Administrator review applies only to journal entries related to investments.

The review and approval of journal entries is a key control to prevent errors such as adjusting the wrong accounts or transposing numbers. It also helps protect against fraud by ensuring there is a valid reason for the journal entry.

We recommend the agency ensure all journal entries are reviewed and approved by the Administrator and that the review is documented.

The agency took action on recommendations related to cash and accounting controls presented in the 2009-2011 financial review. It completed updates and documentation of contracting and procurement policies and procedures. It prepared written procedures for paying and approving invoices and updated mail opening and logging procedures. The agency ensured that each employee performs work in QuickBooks and Filemaker under their own a unique user id and password. The agency developed a records retention policy.

Registration Controls

Individuals and businesses practicing landscape architecture in the state of Oregon must qualify before the OSLAB and obtain a certificate of registration. Certificates are renewed every year in the anniversary month of the initial date of issuance. Controls over initial qualification, exam administration, and renewal of registrations are generally working, although there is an unavoidable lack of segregation of duties in this agency related to registration activities performed by two individuals. The same person is responsible for receiving and recording applications and renewals, reviewing applications to ensure criteria are met, and printing and mailing the certificates. Risks are offset by Administrator and Board review and approval of each applicant's file prior to granting initial registration. The agency also uses a bank lockbox for renewal payments. The OSLAB has provided for a segregation of duties to the extent practical with its limited resources.

The agency took action on a recommendation related to registration controls presented in the 2009-2011 financial review by setting up a control to ensure registration fees have been received and recorded in the system before initial registration certificates are issued.

2. We confirmed investment and bank balances directly with the bank and determined June 30, 2013 investment and bank account balances are properly recorded in the accounting records. We identified key controls over cash and investments, including the requirement for the Board Treasurer's review of monthly bank reconciliations and the Board Investment Committee's management of OSLAB investments. The agency has established good controls over its receipting processes and the results of our testing showed those controls were working as intended by management. We have recommendations to improve the Board Treasurer's review of the bank reconciliations and the authorization of electronic funds transfers.

Our testing showed all monthly bank reconciliations were prepared timely, by the end of the month for the preceding month. The Board Treasurer initialed and dated all reconciliations as evidence of his review and approval of the reconciliation except for four reconciliations, where there was no evidence of review. With the exception of the

reconciliations previously discussed, the Board Treasurer completed his review of the reconciliations in a timely manner. OSLAB has an undocumented policy calling for preparation of bank reconciliations within the month the bank statement is received and for the Board Treasurer to review the bank reconciliation within the month after preparation of the reconciliation.

Until January 2012, as part of the bank reconciliation review, the Board Treasurer reviewed all check copies of checks that cleared the bank. He was also provided invoices and supporting documentation for the transactions. This practice was discontinued when the bank stopped sending check copies with the monthly bank statement. Employees were unaware the check images could be printed from the bank website.

We recommend the Board document in policy its timelines for the preparation and review of bank reconciliations.

We recommend the Board implement the prior Board Treasurer's review of cleared checks and supporting documentation as part of the monthly bank reconciliation review. We recommend the process be documented in a Board policy.

In February 2012, the agency set up electronic funds transfers for two regular recurring payments, one for rent expense and one for staff administration expense. The Board Treasurer authorized the bank to set up the initial recurring monthly payments as well as a subsequent increase in the monthly rent payment.

In May 2012 the Board adopted the Electronic Funds Transfer Policy which authorizes the Board Administrator to approve the establishment of electronic funds transfers when specific criteria are met. The Policy does not require Board approval to set up the transfers.

To ensure continuation of the good business practice of the Board Treasurer authorizing the bank to implement electronic funds transfers, *we recommend* the Board revise its Electronic Funds Transfer Policy to require the Treasurer or another Board member to authorize the bank to set up electronic funds transfers. We recommend the Board instruct the bank to ensure Board member approval is required for all electronic funds transfers.

The agency took action on recommendations from the 2009-11 financial review designed to strengthen internal controls over banking and investments. The duty of preparing the monthly bank reconciliation was transferred from the Registration Specialist to the Administrator, to better segregate duties. The agency prepared an investment policy to guide investment practices and define the duties of the Investment Committee. The investment policy includes the requirement that two signatures are required for transactions on investment accounts. The agency obtained a check scanner for daily deposit of checks received in the mail.

3. Our examination of revenues and expenditures found the transactions to be appropriate, properly classified, and accurately recorded in the accounting records.

We examined supporting documentation for selected transactions from three revenue accounts; 4003.1 RLA Annual Renewal Fee, 4003.4 Initial LA Renewal Fee and 4009.2 Annual Firm Renewal Fee. Our testing of these transactions found deposits were made timely, revenues were appropriately classified in the accounting records, and registration renewal criteria was met.

We examined supporting documentation for selected transactions from three expense accounts; 6017 Space, Office Lease, 7013 Board Administration, 7007.2 Attorney General Fees, Misc. Board. We found the expenses were properly recorded and classified in the accounting records, appropriate to further the business of the OSLAB, and generally processed in alignment with OSLAB policy procedure.

4. We compared adjusted budgeted revenues and expenditures to actual revenues and expenditures for the two years ending June 30, 2013. We noted budget variances were reasonable and actual net income of \$31,292 was \$30,781 higher than the budgeted net income of \$511.

Total actual revenues of \$314,543 were 8% lower than budgeted revenues of \$341,035. Actual firm renewal fees were \$6,327 lower or 12% less than provided for in the budget. The variance was due mainly to errors in calculating budgeted firm renewal fees that overstated budgeted revenues by \$5,400. The collection of examination fees on behalf of individuals sitting for architectural examinations was discontinued during the biennium. The national examination provider, CLARB, changed the method of administering the examination and, as a result, applicants were required to pay exam fees directly to the organization instead of to the Board. As a result, actual examination fees collected were \$19,512 or 56% lower than budgeted.

Total actual expenses of \$282,478 were \$58,046 or 17% lower than budgeted expenditures. Actual professional investigator expenses of \$3,645 were \$16,355 or 82% lower than budgeted expenditures of \$20,000 as circumstances requiring professional investigator services were less than anticipated. Examination service expenses were \$21,002 or 61% lower than budgeted expenditures of \$34,560 because the Board discontinued the practice of collecting and passing along examination fees on behalf of architects sitting for architect examinations, as discussed above.

We were not engaged to and did not conduct an examination, the objective of which would be the expression of an opinion on the adequacy of financial operations or compliance with laws, rules, regulations or standards. Accordingly, we do not express such an opinion. Had we performed additional procedures, other matters might have come to our attention that would have been reported to you.

This report is intended solely for the information and use of the OSLAB and the Secretary of State and is not intended to be and should not be used by anyone other than the specified parties.

VALERIE A. WICKLUND, CPA, LLC



Valerie Wicklund, CPA

October 7, 2013



Oregon

John A. Kitzhaber, MD, Governor

Landscape Architect Board

707 13th Street SE, Suite 114

Salem, OR 97301

Phone: 503-589-0093 Fax: 503-485-2947

Email: oslab.info@state.or.us

Web: www.oregon.gov/LANDARCH/index.shtml

November 19, 2013

V. Dale Bond, CPA, CISA, CFE
Audit Manager
Secretary of State - Audits Division
255 Capitol St NE, Suite 500
Salem, OR 97310

Re: **Oregon State Landscape Architect Board**
Recommendations from 2011-2013 Financial Review

Dear Ms. Bond,

At the November 8, 2013 meeting of the Oregon State Landscape Architect Board (OSLAB), the Board reviewed with staff the recommendations resulting from the financial review conducted for the 2011-2013 biennium by Valerie A. Wicklund, CPA, LLC. An electronic copy of the review report has been separately provided to you. This letter provides a brief summary of the Board's response to the review. In general, the Board is pleased to have received a very positive review and finds the limited recommendations related to Board business practices to be reasonable. The Board expects that the five recommendations can be readily addressed with minor updates in procedures and policies. Staff has already started the process of implementing changes to address the recommendations.

Following is a summary of the recommendations and Board response:

Document procedures for depositing checks via bank check scanner: Staff will prepare written procedures to memorialize current practices and add these to the desk manual.

Checks payable or printed by the Administrator to be signed by the Board Treasurer: The Board has been requiring that any reimbursement checks paid to the Administrator first be supported by an expense claim reviewed and signed by the Board Chair and then listed on a quarterly expense log reviewed and approved by motion of the full Board. However, the Board agrees that the additional step of requiring the Treasurer to sign such checks is a reasonable addition to the existing controls. The Administrator generally does not print checks, as this duty is assigned to the Board's Registration Specialist. But since the Administrator could be required to print checks in an emergency situation such as the unexpected absence or departure of the Registration Specialist, the Board will adopt the recommended procedures for Administrator prepared checks.

All journal entries reviewed and approved by Administrator and approval documented: Journal entries for investment interest have been reviewed and approved by the Administrator quarterly; this process will be maintained. Other journal entries have generally been reviewed by the Administrator as part of the monthly bank reconciliation process but without formal



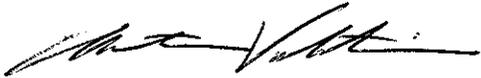
documentation of approval. Staff will prepare revised procedures to require that these other journal entries are reviewed and approved in a timely manner with approval documented.

Document bank reconciliation procedures: Staff will prepare written procedures to memorialize current practices regarding preparation, review, and timeframes for bank reconciliations and add these to the desk manual.

Board Treasurer review of signed checks as part of bank reconciliation procedures: Staff will return to this former procedure of including copies of cancelled checks with the bank reconciliation materials provided to the Board Treasurer. This will be included in the desk manual procedures discussed above. The Board may also investigate providing the Treasurer with online access to view check copies via the bank in lieu of providing printed copies.

In closing, I am available to discuss this letter and the Board's financial review should you have questions or need additional information. I can be reached at christine.valentine@state.or.us or 503-589-0093.

Sincerely,



Christine Valentine
Board Administrator

cc. Steve Ray, RLA, Board Chair
Kathleen Olsen, Board Treasurer

Security Assessment: Oregon State Board of Geologist Examiners and Oregon State Landscape Architects Board

January 2014

DAS Enterprise Security Office

Summary

Several semi-independent boards received a recommendation from legislative audits that they have a security assessment performed of their operations and IT infrastructure. In response to this, a group of these boards, including the Oregon State Board of Geologist Examiners (OSBGE) and Oregon State Landscape Architects Board (OSLAB), approached the Enterprise Security Office (ESO) and requested assessments of their agencies. Because they share infrastructure and resources and their business practices are same, the ESO conducted a joint assessment of OSBGE and OSLAB. The assessment included business operations and technical infrastructure and practices. This report details the findings of that assessment.

The ESO feels OSBGE/OSLAB's small size, small client base, and particularly their simple business needs are an asset for protecting their data. Because there is little need for complicated web interfaces, extensive data handling requirements, or complex customer interactions, it has not been necessary to develop large, complex solutions with their inherent security problems. In the case of OSBGE and OSLAB, small, simple solutions mean that securing their data is much easier.

We found that the boards' data protection practices were good and mostly sufficient for their security needs with only a couple exceptions that we've outlined below. Following the few recommendations we've outlined should bring the boards into compliance with state security standards and provide better protection for their data.

Methodology

The ESO began by requesting pre-assessment business and technical security surveys from OSBGE and OSLAB, which we evaluated to determine what additional information we needed. We then conducted an interview and tour with Christine Valentine, administrator for both OSBGE and OSLAB, to gain understanding of the two boards' purposes, business functions and office environment. The ESO also interviewed Werner Brandt of NetForest, the consultant that provides OSBGE/OSLAB's webserver and web application support, to gain an understanding of the boards' web presence, and we had email conversations with Grant Moyle of Confuzer to follow up on technical survey information he provided. Following these interviews, the ESO performed a technical security assessment of OSBGE/OSLAB's license lookup web applications.

The ESO's assessment activities were intended to discover the following types of information:

- Threat assessment to determine agency data and value for potential abuse
- Adequacy of business practices to secure data against threats
- Security of IT infrastructure and adequacy of its protections
- IT security practices as they relate to protecting agency data

Findings

General Awareness

OSBGE/OSLAB have a good understanding of which of their data is sensitive. They have designed their business and technical processes to adequately segregate sensitive from non-sensitive, avoiding unnecessary exposure and risk. One example of this is the assignment of a non-SSN identifier for all new applicants, eliminating the need to expose SSN on subsequent interactions.

Physical Security

The OSBGE/OSLAB office space is small, consisting of three rooms in a rental office space. All rooms have windows contiguous with either outside or with the building internal space. There is no internal closet or room without access out of the office space. There is a security alarm for their space and the building owner maintains security for the building.

The OSBGE/OSLAB file server, where client data, including Social Security Number and other personal information is stored, is placed out of view in a back room but there is a large sliding-glass door to the outside. Paper document copies, including ones containing SSNs and personal information, are stored in unlocked file cabinets in the same room. Although we assess the risk of the office being burglarized and sensitive information being stolen as low, there have been several cases of file servers being stolen from other agency offices. The impact to the boards and state if this were to happen would be medium or high, requiring that affected people be notified and potentially also requiring expensive ID theft protection.

Recommendation: Statewide Information Security Standards (Section 2.1.3 – Protection of Information Assets, Level 3) specify that Level 3 information, if it is not encrypted, must be protected behind a minimum of two locked doors. Because the office space has no isolated back room or closet that can be secured, we recommend that full-disk encryption be employed on the board file server to ensure that information is not recoverable in the event of theft. We further recommend that the file cabinets containing sensitive information be kept locked when not in use. Although there is low risk, the impact if this vulnerability were exploited would be high, which we feel justifies the low cost of remediation.

Office IT Infrastructure

Most of the IT infrastructure and maintenance is outsourced by OSBGE/OSLAB to Confuzer, Inc., an Illinois-based IT consulting company whose customers include many Oregon state board. Based upon the pre-assessment technical survey, ESO's previous experiences with Confuzer, and the small size of the boards' infrastructure, the ESO chose not to perform a technical assessment to confirm status of the boards' IT infrastructure but instead relied on the pre-assessment IT security survey completed by Confuzer on behalf of OSBGE/OSLAB.

Based on prior experience with Confuzer, we are comfortable with their information security expertise and are confident that they will provide the boards with high quality security advice. In general, we feel that the IT infrastructure and practices as described by Confuzer are adequate to OSBGE/OSLAB's needs and provide good security. The

only recommendation we have with regard to the technical architecture is to proceed with a planned upgrade as described below.

Recommendation: In the pre-assessment IT survey we noted that OSBGE/OSLAB's laptop is still running Windows XP and also that Confuzer plans to replace the machine. Microsoft support for Windows XP ends on April 8th, 2014, after which time no more security updates will be available for it. The ESO recommends that OSBGE/OSLAB proceed with plans to replace the laptop, or at least to upgrade it to a supported operating system.

Web Applications

The ESO performed an assessment of OSBGE/OSLAB's license lookup web applications, developed by NetForest and hosted by Linksky, a web hosting provider. The assessment was two-pronged: an analysis of application source code provided by NetForest, and a series of scans and probes against both the hosted copy of the application and a copy we built on an ESO server.

Although the ESO found a few minor vulnerabilities in the web application, there were none that pose a threat given the simplicity of the web application and the lack of data sensitivity. The web applications are well designed and provide adequate protection; we have no recommendations for application code change.

A positive finding related to the web application assessment is that the hosting provider, Linksky, operates intrusion prevention technology to prevent the type of scanning we were doing. Part of our testing involved hundreds of high speed repeated probes to find vulnerabilities. During this portion of testing, the web application stopped responding to our testing machine but continued to respond to other web activity from other machines, a characteristic of a selective block on traffic. In order to perform that portion of the testing we had to install the web application on our own servers – every time we started high speed tests the hosting provider would block the activity. This is an effective feature to help prevent attackers from trying to crack into OSBGE/OSLAB's web applications.

Additional Assessments

The OSBGE/OSLAB's administrator requested that we include a recommendation for when, or under what circumstances, additional security review is advisable.

Recommendation: Given the simple nature of OSBGE/OSLAB's business and IT transactions and the limited use of small amounts of sensitive information, we recommend another security assessment after four years time unless there is a major change in business, office or IT practices. Example changes where an assessment would be appropriate could be development of further web interfaces to board data, addition of a new business line, or a major change to IT infrastructure. We do request that OSBGE/OSLAB follow up this assessment by informing ESO of actions taken in response to our recommendations.

Conclusion

From an information security point of view, OSBGE and OSLAB are in an enviable position. Their small size, business scope, and limited sensitive data enable them to

avoid complex infrastructure and practices that carry inherent security risk. They appear to be receiving good security support from their IT contractors and their security practices are mostly sufficient. Implementing the small recommendation we've suggested should adequately mitigate what little security risk they have.

Credits

The testing team consisted of the following people:

- ESO: John Ritchie and Shaun Gatherum
- OSBGE/OSLAB: Christine Valentine
- Confuzer: Grant Moyle
- NetForest: Werner Brandt. Special thanks for providing a copy of NetForest's proprietary application source code – this was a big help to us.

The assessment couldn't have happened without the assistance and cooperation of OSBGE/OSLAB and their technical consultants Confuzer and NetForest. The ESO thanks OSBGE and OSLAB for the opportunity to assess their agency security practices and infrastructure.

Appendix 5(A), OSLAB 2011-2013 Adopted Budget

Oregon State Landscape Architect Board						
2011- 2013 Budget, As Revised and Approved for Public Notice 2/4/2011						
Final budget rule adopted 5/13/2011						
Item				07/01/11 -6/30/12	7/01/12-6/30/13	
	REVENUE	Fee Amount		Year 1	Year 2	Biennium
1	Application Fee, Registration	100	25	2500	2500	\$5,000
2	Application Fee, Examination	50	60	3000	3000	\$6,000
3	Application Fee, Firm	100	10	1000	1000	\$2,000
4	Examination Fee	288	60	17280	17280	\$34,560
5	LA Renewals	250	434	108500	114750	\$223,250
6	Emeritus Renewals	25	10	250	250	\$500
7	LAIT Renewals	50	8	400	400	\$800
8	Initial LA Registrations	250	25	6250	6250	\$12,500
9	Firm Renewals	112.5	194	21825	22950	\$47,025
10	Initial Firm Registrations	112.5	10	1125	1125	\$5,400
11	Late Fees	Varies		1700	1700	\$3,400
12	Other Income	Varies		100	100	\$200
13	Interest	0	0	200	200	\$400
14	Civil Penalty			0	0	\$0
15	Total Revenue			\$ 164,130	\$ 171,505	\$341,035
16						
17	EXPENSES					
18	Personal Services					
19	Board Member Stipend	50	60	3000	3000	\$6,000
20	Total Personal Services			3000	3000	\$6,000
21						
22	Services and Supplies					
23	Rental, Office space	494	12	5928	5928	\$11,856
24	Rental, Exam Site	325	4	1300	1300	\$2,600
25	Instate Meals and Lodging			1200	1200	\$2,400
26	Instate Ground Transportation & Miscellaneous Exp	0.51	0	1500	1500	\$3,000
27	Out of State Meals and Lodging			2000	2000	\$4,000
28	Out of State Travel & Miscellaneous			2250	2250	\$4,500
29	Conference Registration	425	4	1700	1700	\$3,400
30	Office Supplies	70		800	800	\$1,600
31	Photocopies	32		384	384	\$768
32	Postage	140		1700	1700	\$3,400
33	Printing Office Forms			300	300	\$600
34	Bank Lock Box Charges	75		900	900	\$1,800
35	Bank Analysis	25		300	300	\$600
36	Newsletter	0		2480	480	\$2,960
37	Communications Email			50	50	\$100
38	Communications Phone			2000	2000	\$4,000
39	Computer Hardware/Software upgrades			2500	2500	\$5,000
40	Total Services and Supplies					\$52,584
41						
42	Professional Services					
43	Attorney General Fees	1000	12	10000	10000	\$20,000
44	Other Govt Assessmnt					
45	Board Administration	7200	12	86400	86400	\$172,800
46	Bookkeeping			300	300	\$600
47	CLARB Membership Dues			5020	5020	\$10,040
48	Computer Support, Software	100	16	1600	1600	\$3,200
49	Computer Support, Hardware	62.5		750	750	\$1,500
50	DAS/RMD General Liability Insurance			2000	0	\$2,000
51	DAS/RMD Repay Fraud Billing		0	0	0	\$0
52	Examination	288	60	\$ 17,280	\$17,280	\$34,560
53	Financial Audit			10000	0	\$10,000
54	Payroll Services	35		420	420	\$840
55	Professional Services, Other			2000	2000	\$4,000
56	Professional Investigator			10000	10000	\$20,000
57	Training			600	600	\$1,200
58	Website support	50		600	600	\$1,200
59	Total Professional Services					\$281,940
60						
61	TOTAL EXPENSES					\$340,524
62	TOTAL REVENUES					\$341,035
63	Net Projected 2011-2013 Revenue					\$511

**Appendix 5(B) Line Item Comparison of Revenues
and Expenditures, 2011-2013, 2013-2015**

	Adopted Budget	YTD Actual	\$ Change 2011-2013	% Change 2011-2013	2013-2015 Adopted Budget	\$ change Adopted Budget	% change Adopted Budget
	2011-2013	2011-2013	Budget vs. Actual	Budget vs. Actual	Budget	2011-13 vs. 2013-15	2011-13 vs 2013-15
Income:							
Carry Over	\$ -				\$ 66,000.00	\$ 66,000.00	n/a
Examination Fee	\$ 34,560.00	\$ 15,048.00	\$ (19,512.00)	-56.46%	0.00	\$ (34,560.00)	-100%
Registrant Renewal Fee	\$ 237,050.00	\$ 236,200.00	\$ (850.00)	-0.36%	\$ 254,250.00	\$ 17,200.00	7%
Application Fee, Exam	\$ 6,000.00	\$ 4,145.00	\$ (1,855.00)	-30.92%	\$ 5,700.00	\$ (300.00)	-5%
Application Fee, LA	\$ 5,000.00	\$ 4,900.00	\$ (100.00)	-2.00%	\$ 5,200.00	\$ 200.00	4%
Application Fee, Firm	\$ 2,000.00	\$ 3,300.00	\$ 1,300.00	65.00%	\$ 4,800.00	\$ 2,800.00	140%
Firm Renewal Fee	\$ 52,425.00	\$ 46,097.50	\$ (6,327.50)	-12.07%	\$ 52,313.00	\$ (112.00)	0%
Late Fee	\$ 3,400.00	\$ 3,800.00	\$ 400.00	11.76%	0.00	\$ (3,400.00)	-100%
Other Income	\$ 200.00	\$ 250.00	\$ 50.00	25.00%	\$ 200.00	0.00	0%
Rental Income	0.00	\$ 500.00	\$ 500.00	n/a	0.00	0.00	n/a
Interest	\$ 400.00	\$ 302.04	\$ (97.96)	-24.49%	\$ 200.00	\$ (200.00)	-50%
Gross Income	\$ 341,035.00	\$ 314,542.54	\$ (26,492.46)	-7.77%	\$ 388,663.00	\$ 47,628.00	14%
Refunds	0.00	\$ (3,285.00)	\$ (3,285.00)	n/a	\$ -	\$ -	n/a
Total Income	\$ 341,035.00	\$ 311,257.54	\$ (29,777.46)	-9%	\$ 388,663.00	\$ 47,628.00	14%
Expense:							
Personal Services:							
Administration of Board Contract	\$ 172,800.00	\$ 172,800.00	0.00	0.00%	\$ 192,000.00	\$ 19,200.00	11.11%
Board Member Stipend	\$ 6,000.00	\$ 3,750.00	\$ (2,250.00)	-37.50%	\$ 10,000.00	\$ 4,000.00	66.67%
Social Security Taxes	0.00	\$ 286.93	\$ 286.93	n/a	0.00	0.00	0.00%
Total Personal Services	\$ 178,800.00	\$ 176,836.93	\$ (1,963.07)	-1.10%	\$ 202,000.00	\$ 23,200.00	12.98%
Services and Supplies:							
Instate Travel Meals & Lodging	\$ 2,400.00	\$ 1,004.17	\$ (1,395.83)	-58.16%	\$ 2,950.00	\$ 550.00	22.92%
Instate Travel Misc Exp	\$ 3,000.00	\$ 3,232.92	\$ 232.92	7.76%	\$ 4,305.00	\$ 1,305.00	43.50%
OS Travel Misc. Exp	\$ 4,500.00	\$ 1,194.15	\$ (3,305.85)	-73.46%	\$ 4,100.00	\$ (400.00)	-8.89%
OS Travel Meals & Lodging	\$ 4,000.00	\$ 1,695.90	\$ (2,304.10)	-57.60%	\$ 6,150.00	\$ 2,150.00	53.75%
Office Supplies	\$ 1,600.00	\$ 2,065.63	\$ 465.63	29.10%	\$ 7,431.00	\$ 5,831.00	364.44%
Postage	\$ 3,400.00	\$ 4,151.51	\$ 751.51	22.10%	0.00	\$ (3,400.00)	-100.00%
Freight Cartage	0.00	\$ 392.40	\$ 392.40	n/a	0.00	0.00	n/a
Photocopies	\$ 768.00	\$ 627.85	\$ (140.15)	-18.25%	0.00	\$ (768.00)	-100.00%
Printing Office Forms	\$ 600.00	\$ 243.36	\$ (356.64)	-59.44%	0.00	\$ (600.00)	-100.00%
Shredding	0.00	\$ 58.00	\$ 58.00	n/a	0.00	0.00	n/a
Conference Registrations	\$ 3,400.00	\$ 1,600.00	\$ (1,800.00)	-52.94%	\$ 4,000.00	\$ 600.00	17.65%
Subscriptions	0.00	\$ 10.67	\$ 10.67	n/a	0.00	0.00	n/a
Lease - Office Space	\$ 11,856.00	\$ 13,530.66	\$ 1,674.66	14.13%	\$ 15,960.00	\$ 4,104.00	34.62%
Rental - Exam Room	\$ 2,600.00	\$ 675.00	\$ (1,925.00)	-74.04%	0.00	\$ (2,600.00)	-100.00%
Analysis Charge	\$ 600.00	\$ 750.44	\$ 150.44	25.07%	\$ 3,075.00	\$ 2,475.00	412.50%
Lock Box Fee	\$ 1,800.00	\$ 1,800.00	0.00	0.00%	0.00	\$ (1,800.00)	-100.00%
Newsletter	\$ 2,960.00	\$ 740.61	\$ (2,219.39)	-74.98%	\$ 3,500.00	\$ 540.00	18.24%
Telephone	\$ 4,000.00	\$ 2,911.97	\$ (1,088.03)	-27.20%	\$ 3,875.00	\$ (125.00)	-3.13%
Email	\$ 100.00	\$ -	\$ (100.00)	-100.00%	0.00	\$ (100.00)	-100.00%
Computer Hardware/Software Upgrade	\$ 5,000.00	\$ 3,977.54	\$ (1,022.46)	-20.45%	\$ 3,000.00	\$ (2,000.00)	-40.00%
Total Services and Supplies	\$ 52,584.00	\$ 40,662.78	\$ (11,921.22)	-22.67%	\$ 58,346.00	\$ 5,762.00	10.96%
Professional Services:							
Membership Dues - CLARB	\$ 10,040.00	\$ 10,495.00	\$ 455.00	4.53%	\$ 10,916.00	\$ 876.00	8.73%
Website	\$ 1,200.00	\$ 1,200.00	0.00	0.00%	0.00	\$ (1,200.00)	-100.00%
Computer Support Specialist	\$ 1,500.00	\$ 2,887.50	\$ 1,387.50	92.50%	\$ 4,920.00	\$ 3,420.00	228.00%
Professional Services, Others	\$ 4,000.00	\$ 3,150.00	\$ (850.00)	-21.25%	\$ 34,000.00	\$ 30,000.00	750.00%
Training	\$ 1,200.00	\$ 717.50	\$ (482.50)	-40.21%	\$ 3,000.00	\$ 1,800.00	150.00%
Payroll Services	\$ 840.00	\$ 956.04	\$ 116.04	13.81%	\$ 923.00	\$ 83.00	9.88%
Atty General Legal Fees	\$ 20,000.00	\$ 20,706.53	\$ 706.53	3.53%	\$ 33,600.00	\$ 13,600.00	68.00%
Professional Investigator	\$ 20,000.00	\$ 3,645.00	\$ (16,355.00)	-81.78%	\$ 24,000.00	\$ 4,000.00	20.00%
Insurance - RMD	\$ 2,000.00	\$ 582.00	\$ (1,418.00)	-70.90%	\$ 2,000.00	0.00	0.00%
Financial Audit	\$ 10,000.00	\$ 3,200.00	\$ (6,800.00)	-68.00%	\$ 10,000.00	0.00	0.00%
Bookkeeping	\$ 600.00	0.00	\$ (600.00)	-100.00%	\$ 3,000.00	\$ 2,400.00	400.00%
Government Assessment	0.00	\$ 1,406.25	\$ 1,406.25	n/a	\$ 700.00	\$ 700.00	n/a
Examination Service	\$ 34,560.00	\$ 13,557.60	\$ (21,002.40)	-60.77%	0.00	\$ (34,560.00)	-100.00%
Database Design Contract	\$ 3,200.00	\$ 2,475.00	\$ (725.00)	-22.66%	\$ 1,230.00	\$ (1,970.00)	-61.56%
Total Professional Services	\$ 109,140.00	\$ 64,978.42	\$ (44,161.58)	-40.46%	\$ 128,289.00	\$ 19,149.00	17.55%
Total Expense	\$ 340,524.00	\$ 282,478.13	\$ (58,045.87)	-17.05%	\$ 388,635.00	\$ 48,111.00	14.13%
Net Ordinary Income	\$ 511.00	\$ 28,779.41	\$ 28,268.41		\$ 28.00	\$ (483.00)	
Other Income:							
Interest from CD	0.00	\$ 2,512.38	\$ 2,512.38		\$ 1,500.00	\$ 1,500.00	
Net Income	\$ 511.00	\$ 31,291.79	\$ 30,780.79		\$ 1,528.00	\$ 1,017.00	

Appendix 5(C), OSLAB 2013-2015 Adopted Budget

Oregon State Landscape Architect Board 2013-2015 Biennium

(Approved for Public Notice 03/06/13, Final rule adopted 05/11/13)

2013-2015				Budget	Budget	TOTALS
Line Item #	***NO FEE INCREASES PROPOSED***	Initial	# Per	07/01/13 -6/30/14	07/01/14-6/30/15	for
	REVENUE	Fee	Year	Year 1	Year 2	Biennium
0	Carryover/Other Cash Reserves	N/A	N/A	40,000	26,000	66,000
1	Application Fee, Registration	100	26	2,600	2,600	5,200
2	Application Fee, Examination (Sections 3 & 4)	50	57	2,850	2,850	5,700
3	Application Fee, Firm	100	24	2,400	2,400	4,800
4	LA Renewals	250	475	118,750	121,500	240,250
5	Emeritus LA Renewals	25	10	250	250	500
6	Initial LA Registrations	250	26	6,500	6,500	13,000
7	LAIT Renewals	50	5	250	250	500
8	Firm Renewals	113	200	22,500	24,413	46,913
9	Initial Firm Registrations	113	24	2,700	2,700	5,400
10	Late Fees	1555*	1	-	-	-
11	Other Income	100	1	100	100	200
12	Bank Account Interest	100	1	100	100	200
13	Total Revenue			199,000	189,663	388,663
14						
15	EXPENSES					
16	Personal Services					
17	Board Administration	8,000	12	96,000	96,000	192,000
18	Board Member Stipend	50	50	5,000	5,000	10,000
19	Total Personal Services			101,000	101,000	202,000
20						
21	Services and Supplies					
22	Rental, Office space	varies	12	7,884	8,076	15,960
23	Instate Meals and Lodging	varies	6	1450	1500	2,950
24	Instate Ground Transportation & Misc. Expenses	0.555/m	N/A	2100	2205	4,305
25	Out of State Meals and Lodging	varies	2	3,000	3,150	6,150
26	Out of State Travel & Misc. Expenses	varies	2	2,000	2,100	4,100
27	CLARB Mtg. Registration	500	2	2,000	2,000	4,000
28	Office Supplies/Services (+copy, print, post, freight)	3500	1	3,625	3,806	7,431
29	Bank Charges (Lock Box, Analysis, RDC)	125	12	1,500	1,575	3,075
30	Newsletter Development/Printing	200	1	1,750	1,750	3,500
31	Communications (Phone, Internet, Fax)	150	12	1,890	1,985	3,875
32	Computer Hardware/Software Upgrades	varies	varies	1,000	2,000	3,000
33	Total Services and Supplies			28,199	30,147	58,346
34						
35	Professional Services					
36	Attorney General Fees	1400	12	16,800	16,800	33,600
37	Other Govt Assessment (includes SOS Rules, Ethics)	700	N/A	350	350	700
38	CLARB Membership Dues	5325	1	5,325	5,591	10,916
39	Computer Support (Server, Desktop, Laptop, Website)	200	12	2,400	2,520	4,920
40	Computer Support (Database)	100	6	600	630	1,230
41	DAS/Risk Service Charge (Liability Insurance)	2000	N/A	1,000	1,000	2,000
42	Financial Review/Audit	10,000	N/A	10,000	-	10,000
43	Payroll Services (quarterly processing Stipends)	450	1	450	473	923
44	Professional Services, Other	17,000	1	17,000	17,000	34,000
45	Records Management (intern/temp.)	1500	1	1,500	1,500	3,000
46	Training (Board Members/Staff)	1000	N/A	1,500	1,500	3,000
47	Professional Investigator	12,000	1	12,000	12,000	24,000
48	Total Professional Services			68,925	59,364	128,289
49						
50	TOTAL EXPENSES			198,124	190,511	388,635
51	TOTAL REVENUES			199,000	189,663	388,663
52	Net Projected 2013-2015 Revenue			876	(848)	28
53						
54	Interest from CD			750	750	1,500
55	Total Income			1,626	(98)	1,528

Appendix 5(D) 2013-2015 Adopted vs. Actuals (12/31/2013)

	Adopted Budget 2013-2015	Actual as of 12/31/2013
Ordinary Income/Expense:		
Income		
Carryover/Other Cash Reserves	66,000.00	0.00
Examination Fee	0.00	0.00
Civil Penalty	0.00	0.00
Registrant Renewal Fee	254,250.00	60,175.00
Application Fee, Exam	5,700.00	450.00
Application Fee, LA	5,200.00	1,400.00
Application Fee, Firm	4,800.00	390.00
Firm Renewal Fee	52,313.00	10,687.50
Late Fee	0.00	1,500.00
Other Income	200.00	50.00
Rental Income	0.00	600.00
Interest	200.00	127.62
Gross Income	388,663.00	75,380.12
Refunds		
Late Fee	0.00	(500.00)
Examination Fee	0.00	0.00
Renewal	0.00	(1,525.00)
Reciprocity	0.00	0.00
Application Fee	0.00	0.00
Firm Renewal	0.00	0.00
	0.00	(2,025.00)
Total Income	\$ 388,663.00	\$ 73,355.12
Expense		
Personal Services:		
Board Member Stipend	\$10,000.00	\$550.00
Board Administration	\$192,000.00	\$45,600.00
Unemployment	n/a	n/a
PERS Contribution	n/a	n/a
Work Comp	n/a	n/a
Social Security Taxes	0.00	42.09
Total Personal Services	\$202,000.00	\$46,192.09
Services & Supplies:		
Instate Travel Meals & Lodging	2,950.00	167.10
Instate Travel Misc Exp	4,305.00	490.92
OS Travel Misc. Exp	6,150.00	1,008.62
OS Travel Meals & Lodging	4,100.00	1,429.97
Office Supplies/Services	7,431.00	1,244.16
Conference Registrations	4,000.00	1,800.00
Subscriptions	0.00	0.00
Lease - Office Space	15,960.00	3,942.00
Rental of Bldg's & Land - Exam	0.00	0.00
Bank Charges	3,075.00	692.81
Newsletter	3,500.00	228.84
Communications	3,875.00	735.15
Computer Upgrades	3,000.00	148.00
Total Services & Supplies	58,346.00	11,887.57
Professional Services:		
CLARB Membership Dues	10,916.00	5,485.00
Computer Support	4,920.00	725.00
Professional Services, Others	34,000.00	0.00
Training	3,000.00	90.00
Payroll Services	923.00	284.84
Atty General Legal Fees	33,600.00	4,467.90
Professional Investigator	24,000.00	3,760.00
DAS/Risk Service Charge (liability Ins.)	2,000.00	1,993.00
Financial Review/Audit	10,000.00	6,520.00
Bookkeeping	0.00	0.00
Records Management (intern/temp)	3,000.00	0.00
Government Assessment	700.00	323.50
Examination Service	0.00	0.00
Database Design Contract	1,230.00	1,500.00
Total Professional Services	128,289.00	25,149.24
Total Expense	388,635.00	83,228.90
Net Ordinary Income	28.00	-9,873.78
Interest from CD	1,500.00	314.17
NET INCOME	1,528.00	-9,559.61

Appendix 5(E), OSLAB Balance Sheet, 6.30.2013

OR State Landscape Architect Board

Balance Sheet

As of June 30, 2013

June 30, 2013

ASSETS	June 30, 2013
Current Assets	
Checking/Savings	
1001 · Pioneer Trust Bank	\$ 156,246.13
Total Checking/Savings	\$ 156,246.13
Other Current Assets	
1900 · CD Investments - Pioneer Trust	
1901 · 18 Month - #5312707, 8/13/13	
1901.1 · 18 Month CD Interest	\$ 3,003.63
1901 · 18 Month - #5312707, 8/13/13 - Other	\$ 20,000.00
Total 1901 · 18 Month - #5312707, 8/13/13	\$ 23,003.63
1902 · 18 Month - #5312708, 02/13/14	
1902.1 · 18 Month CD Interest	\$ 2,640.68
1902 · 18 Month - #5312708, 02/13/14 - Other	\$ 20,000.00
Total 1902 · 18 Month - #5312708, 02/13/14	\$ 22,640.68
1903 · 18 Month - #5312709, 08/13/14	
1903.1 · 18 Month CD Interest	\$ 3,010.94
1903 · 18 Month - #5312709, 08/13/14 - Other	\$ 20,000.00
Total 1903 · 18 Month - #5312709, 08/13/14	\$ 23,010.94
1904 · 18 Month - #5312974, 12/09/13	
1904.1 · 18 Month CD Interest	\$ 1,346.49
1904 · 18 Month - #5312974, 12/09/13 - Other	\$ 25,000.00
Total 1904 · 18 Month - #5312974, 12/09/13	\$ 26,346.49
1905 · 18 Month - #5312975, 03/09/14	
1905.1 · 18 Month CD Interest	\$ 1,345.91
1905 · 18 Month - #5312975, 03/09/14 - Other	\$ 25,000.00
Total 1905 · 18 Month - #5312975, 03/09/14	\$ 26,345.91
Total 1900 · CD Investments - Pioneer Trust	\$ 121,347.65
Total Other Current Assets	\$ 121,347.65
Total Current Assets	\$ 277,593.78
TOTAL ASSETS	\$ 277,593.78
LIABILITIES & EQUITY	
Liabilities	
Current Liabilities	
Accounts Payable	
2000 · Accounts Payable	\$ 4,386.54
Total Accounts Payable	\$ 4,386.54
Total Current Liabilities	\$ 4,386.54
Long Term Liabilities	
2230 · Due to Other Governmen	\$ 25,928.00
Total Long Term Liabilities	\$ 25,928.00
Total Liabilities	\$ 30,314.54
Equity	
3900 · Retained Earnings	\$ 232,782.75
Net Income	\$ 14,496.49
Total Equity	\$ 247,279.24
TOTAL LIABILITIES & EQUITY	\$ 277,593.78

Appendix 5(F), OSLAB Forecasted Balance Sheet, 6.30.2015

ASSETS	6/30/2013 Actual	6/30/2015 Forecasted
Current Assets		
Checking/Savings		
1001 · Pioneer Trust Bank	\$ 156,246.13	\$ 127,459.59
Total Checking/Savings	<u>\$ 156,246.13</u>	<u>\$ 127,459.59</u>
Other Current Assets		
1900 · CD Investments - Pioneer Trust		
Total 1901 · 18 Month - #5312707, 8/13/13	23,003.63	23,003.63
Total 1902 · 18 Month - #5312708, 02/13/14	22,640.68	22,640.68
Total 1903 · 18 Month - #5312709, 08/13/14	23,010.94	23,010.94
Total 1904 · 18 Month - #5312974, 12/09/13	26,346.49	26,346.49
Total 1905 · 18 Month - #5312975, 03/09/14	26,345.91	26,345.91
Total 1900 · CD Investments - Pioneer Trust	121,347.65	121,347.65
Total Other Current Assets	121,347.65	121,347.65
Total Current Assets	<u>277,593.78</u>	<u>248,807.24</u>
TOTAL ASSETS	<u>\$ 277,593.78</u>	<u>\$ 248,807.24</u>
LIABILITIES & EQUITY		
Liabilities		
Current Liabilities		
Accounts Payable		
2000 · Accounts Payable	\$ 4,386.54	\$ -
Total Accounts Payable	<u>4,386.54</u>	
Total Current Liabilities	4,386.54	0.00
Long Term Liabilities		
2230 · Due to Other Governmen	25,928.00	0.00
Total Long Term Liabilities	<u>25,928.00</u>	<u>0.00</u>
Total Liabilities	30,314.54	0.00
Equity		
3900 · Retained Earnings	232,782.75	247,279.24
Net Income	14,496.49	1,528.00
Total Equity	<u>247,279.24</u>	<u>248,807.24</u>
TOTAL LIABILITIES & EQUITY	<u>\$ 277,593.78</u>	<u>\$ 248,807.24</u>

Appendix 5 (G) - Fund Analysis (covering three biennia)

Biennium Budgets

Fund Analysis

Source	2009-2011 Biennium Actual	2011-2013 Actual	2013-2015 Projected/Adopted
Beginning Fund Balance	\$ 183,261.47	\$ 215,987.30	\$ 247,279.09
Total Revenue	313,368.95	313,769.92	390,163.00
Total Funds Available	496,630.42	529,757.22	\$ 637,442.09
Total Expenditure	280,643.12	282,478.13	388,635.00
Ending Fund Balance	<u>\$ 215,987.30</u>	<u>\$ 247,279.09</u>	<u>\$ 248,807.09</u>

Appendix 6(A) – 2011-2013 Budget Hearing

2011-2013: Oregon State Landscape Architect Board

Copy of Presiding Officer's Report to Agency on Rulemaking Hearing

Date: May 13, 2011
To: Members of the Oregon State Landscape Architect Board
From: Christine Valentine, Board Administrator
Subject: Report on Rulemaking Hearing and Public Comments, 2011-2013 Budget

Hearing Date:	May 6, 2011, 10 AM
Comment Deadline:	May 6, 2011, 5 PM
Hearing Location:	Assoc. Center, 707 13 th St. SE, Conference Room Salem, Oregon
Title of Proposed Rules:	OAR 804-001-0002, Operating Budget
Staff Present:	Christine Valentine, Administrator Marilou Arrobang, Licensing Specialist
Guests Present:	<i>NONE</i>

The rulemaking hearing on OAR 804-001-0002, Operating Budget convened at 10:05 AM and was closed at 10:10 AM. A copy of the hearings script is maintained in the Board's office, with a hard copy in the rule file and an electronic copy in the OSLAB computer files for administrative rules.

Summary of Hearing and Public Comments

The purpose of the hearing was to provide an opportunity for public comment on the Board's budget for the 2011-2013 biennium. The budget was approved by the Board at its quarterly Meeting convened February 4, 2011. The proposed effective date for the budget rule is July 1, 2011.

Notification of this rulemaking and hearing was published in the April 2011 Oregon Bulletin. Notice to interested parties, including all registrants, occurred April 8, 2011. The proposed rule was also posted on the Board's website. All notices explained that written comments would be accepted until 5:00 PM today, May 6, 2011.

For the record, *no one other than staff attended the hearing; thus no oral or written comments about the proposed budget rule were received at the hearing*. Prior to the hearing date, the office responded to one request received via e-mail for a copy of the budget. This request was addressed by providing an electronic copy of the budget detail via reply to the received e-mail. No other requests for a copy of the budget or written comments about the budget were received prior to the close of the comment period on the May 6, 2011, 5:00 PM.

Appendix 6(B) – 2013-2015 Budget Hearing

2013-2015: Oregon State Landscape Architect Board

Copy of Presiding Officer's Report to Agency on Rulemaking Hearing

Date: May 10, 2013
To: Members of the Oregon State Landscape Architect Board
From: Christine Valentine, Board Administrator
Subject: Report on Rulemaking Hearing and Public Comments, 2013-2015 Budget

Hearing Date: April 18, 2013, 9 AM
Comment Deadline: April 18, 2013, 5 PM
Hearing Location: Assoc. Center, 707 13th St. SE, Salem, Oregon
Title of Proposed Rules: OAR 804-001-0002, Operating Budget
Staff Present: Christine Valentine, Administrator
Guests Present: *NONE*

The rulemaking hearing on OAR 804-001-0002, Operating Budget convened at 09:05 AM and was closed at 09:07 AM. A copy of the hearings script is maintained in the Board's office, with a hard copy in the rule file and an electronic copy in the OSLAB computer files for administrative rules.

Summary of Hearing and Public Comments

The purpose of the hearing was to provide an opportunity for public comment on the Board's budget for the 2013-2015 biennium. The budget was approved by the Board at a special budget review meeting convened March 6, 2013. The proposed effective date for the budget rule is July 1, 2013.

Notification of this rulemaking and hearing was published in the April 2013 Oregon Bulletin. Notice to interested parties, including all registrants, occurred on March 28, 2013 through a combination of email and US Mail. The proposed rule was also posted on the Board's website. All notices explained that written comments would be accepted until 5:00 PM April 18, 2013.

For the record, *no one other than staff attended the hearing; thus no oral or written comments about the proposed budget rule were received at the hearing.* Prior to the hearing date, staff responded to one request received via e-mail for a copy of the budget. This request was addressed by providing an electronic copy of the budget document via reply to the received e-mail. That same individual asked a few questions about specific line items, and staff responded with the requested information. One other request was received for a copy of the administrative rule language, and this was provided by email. No other requests or written comments about the budget were received prior to the close of the comment period on the April 18, 2013, 5:00 PM.

Appendix 7 – Board Fees

Oregon State Landscape Architect Board

The Board's fee schedule is in OAR Chapter 804 Division 40. Actual rule language is provided with underlining added.

804-040-0000

Fees

The following are fees established by the board:

(1) Examination Fees:

- (a) Application fee for examination Section 3 or 4: \$50.00.
- (b) Landscape Architect Registration Examination (LARE): the cost for each section of the LARE is set by the Council of Landscape Architectural Boards (CLARB) and must be paid directly to CLARB.

(2) Registration Fees:

- (a) Initial Landscape Architect in Training registration: \$50.00.
- (b) Annual renewal for Landscape Architect in Training: \$50.00.
- (c) Application fee for initial Landscape Architect registration: \$100.00.
- (d) Application fee for Landscape Architect registration by reciprocity: \$100.00.
- (e) Initial Landscape Architect registration: \$250.00.
- (f) Annual renewal for Landscape Architect: \$250.00.
- (g) Emeritus Annual fee: \$25.00.

(3) Business Fees:

- (a) Application fee for business registration: \$100.00.
- (b) Initial certification as an Authorized Business Entity in Landscape Architecture: \$112.50.
- (c) Annual renewal fee for an Authorized Business Entity in Landscape Architecture: \$112.50.

(4) Miscellaneous Fees:

- (a) Late fee: \$100.00 for each delinquent year.
- (b) Duplicate certificate: \$50.00.
- (c) Fee for registrant list: \$50.00.

Stat. Auth.: ORS 671.415

Stats. Implemented: ORS 671.365

Appendix 8, Summary of Completed Rulemaking - 07/01/2011 – 06/30/2013

Oregon State Landscape Architect Board								
Administrative Rule Amendments Adopted 07/01/2011-6/30/2013⁺								
#	Rule Citation	Description of Change	Type (Perm, Temp, Delete)	Notice in OR Bulletin	Board Public Hearing Date	Board Adoption	SOS Filing Date	LC Filing Date
1	804-001-0002	Adopt biennial budget for 2013-2015	Perm	04/2013	04/18/2013	05/10/2013	06/03/2013	06/05/2013
2	804-001-0005	Adopt 2012 version AG Model Rules for APA	Perm	N/A (technical change)	N/A (technical change)	05/11/2012	05/22/2012	05/22/2012
3	804-003-0000 <i>Adoption of Permanent rules concluded in 2013-2015 biennium.</i>	Amended definition of “in good standing” to provide Board more flexibility in working with registrants pursuing a switch to inactive registration status	Temp <i>Perm</i>	N/A <i>08/2013</i>	N/A <i>N/A</i>	06/20/2013 <i>12/12/2013</i>	06/20/2013 <i>12/12/2013</i>	06/21/2013 <i>12/13/2013</i>
4	804-010-0000	Update exam qualifications rule to reference new exam structure	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
5	804-020-0001	Update exam rule to reflect change to Board no longer having a role in exam administration	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
6	804-020-0003	Update exam application and prior approval rule to reference new exam structure and clarify distinctions between pre-approval and application processes	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
7	804-020-0010	Update deadlines rule to reference new exam structure and revise deadlines to give candidates longer to apply	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
8	804-020-0015	Update exam refund rule to no longer refer to refunds of exam fees since those fees are no longer paid to the Board and also retain that application fees paid to Board are non-refundable	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
9	804-020-0030	Update date of exam rule due to change in exam administration procedures	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
10	804-020-0040	Update exam grading rule to no longer use only acronyms for name of exam and exam provider	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
11	804-020-0045	Update notice of exam score rule to	Temp,	N/A	N/A	08/24/2012	09/5/2012*	08/30/2012

Appendix 8, Summary of Completed Rulemaking - 07/01/2011 – 06/30/2013

		reflect that all scores are now distributed by the exam provider and not the Board	Perm	10/2012	10/24/2012	11/09/2012	11/16/2012	11/16/2012
12	804-020-0065	Update revoked registration rule to increase clarity	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
13	804-022-0005	Update work experience requirements and date of registration as specified in the initial registration rule	Perm	04/2012	04/19/2012	05/11/2012	05/17/2012	05/17/2012
	<i>Adoption of Permanent rules concluded in 2013-2015 biennium.</i>	Rewrite of rule to better clarify application contents and various paths to licensure with respect to exams, education, and work experience requirements	Temp Perm	N/A 08/2013	N/A N/A	06/20/2013 12/12/2013	06/20/2013 12/12/2013	6/21/2013 12/13/2013
14	804-022-0010	Update work experience requirements and date of registration as specified in the reciprocity registration rule	Perm	04/2012	04/19/2012	05/11/2012	05/17/2012	05/17/2012
	<i>Adoption of Permanent rules concluded in 2013-2015 biennium.</i>	Rewrite of rule to better clarify application contents and specific additional paths to licensure similar to initial registration (804-022-0005) with respect to exams, education, and work experience requirements	Temp Perm	N/A 08/2013	N/A N/A	06/20/2013 12/12/2013	06/20/2013 12/12/2013	06/21/2013 12/13/2013
15	804-025-0010 <i>Adoption of Permanent rules concluded in 2013-2015 biennium.</i>	Clarify in the continuing education rule that a registrant may request inactive status in relation to a request for a continuing education exemption; also specifies parameters related to inactive status.	Temp Perm	N/A 08/2013	N/A N/A	06/20/2013 12/12/2013	06/20/2013 12/12/2013	06/21/2013 12/13/2013
16	804-040-0000	Update fee rule to specify that exam candidates now pay the national exam provider directly for the exam	Temp, Perm	N/A 10/2012	N/A 10/24/2012	08/24/2012 11/09/2012	09/5/2012* 11/16/2012	08/30/2012 11/16/2012
<p>[†] OSLAB neither adopted any new rules nor suspended or deleted any existing rules during the reporting period. All rules projects involved revisions to existing rules.</p>								
<p>* Rule was filed with the Secretary of State's Office on 08/30/2012. Due to a minor error in the filing, an administrative correction was required, and the Secretary of State's Office required resigning to acknowledge the correction. This led that office to reset the official filing date to 09/05/2012 (i.e., date of 2nd signature). A copy of the rules had already been filed with Legislative Counsel before the Secretary of State's decision to change the filing date was known. The language provided to Legislative Counsel on 08/30/2012 was the final language.</p>								

Appendix 9: Enforcement Activities
ORS 182.472 Section 5 (e) - (f)
Compliance Cases Opened, 07/01/2011-06/30/2013

ORS 182.472(5)	2011-2013 Biennium Total	7/1/2013- 12/31/13	Breakdown by Fiscal Year		7/1/2013 to 12/31/2013
			7/1/2011 to 6/30/2012	7/1/2012 to 6/30/2013	
(e) The number/types of complaints about persons holding licenses; (Note: # of cases involving RLAs or OSLAB registered businesses.)	8	0	4	4	0
(f) The number and types of investigations conducted;* (NOTE: # of cases opened within specified time period)	18	0	10	8	0
Unregistered individual representing self through use of title or advertisement as LA	7	0	4	3	0
Unregistered business offering LA services through advertisement or other action	3	0	2	3	0
Lapsed business registration & failure to verify that business no longer offering LA services	1	0	1	0	0
Business representing employees as Landscape Architects	0	0	0	0	0
Failure of a city to secure services from a Landscape Architect	0	0	0	0	0
Citizen complaint of poor work product by registrant or non-registrant	2	0	2	0	0
Other, Including Professional Conduct	5	0	1	4	0
*One case opened in 2011-2013 remains on-hold per advice from counsel.					

Appendix 9: Enforcement Activities
ORS 182.472 Section 5 (g) - (i)
Cases Closed, 07/01/2011 - 06/30/2013

ORS 182.472(5)	Opened 2009-2011 Biennium & Closed 2011-2013 Biennium	Opened & Closed 2011-2013 Biennium	Opened 2011-2013 Biennium & Closed 7/1/2013 - 12/31/2013
(g) The number and types of resolutions of complaints; *			
	7	8	9
Case Dismissed, Allegations Unfounded	1	0	1
Closed with No Action or Issue Resolved Without Action	2	5	0
Outreach Letter Issued	3	3	0
Letter of Concern Issued	1	0	8
Notice of Intent Issued	0	0	0
Settlement Agreement	0	0	0
Penalty Imposed	0	0	0
(h) The number and type of sanctions imposed;			
	0	0	0
Disciplinary action (reprimand, probation, cont. educ., peer review, restricted scope, suspension, revocation)	0	0	0
Civil Penalty	0	0	0
(i) The number of days between beginning an investigation and reaching a resolution.			
	211*	149*	255*

* One case opened in 2011-2013 remains on hold per advice from counsel. *Average for all cases reported closed is 207 days. Range of days/case was 18 to 575.

Appendix 10 - OSLAB Licensure Activities Reported per ORS 182.472 Section 5 (a)-(d)

ORS 182.472 (5)	7/1/2007 to 6/30/2009	7/1/2009 to 6/30/2011	7/1/2011 to 6/30/2013	Total # Change	% Change (Rounded)
(a) The number of license applications;	129	116	88	-28	-24%
New LAIT applications for registration	4	4	2	-2	-50%
New RLA application for registration	61	66	47	-19	-29%
New Business Certificate application	64	46	39	-7	-15%
(b) The number of licenses issued; (total**)	1016	1102	1218	116	11%
New RLA	58	64	46	-18	-28%
New LAIT	4	4	2	-2	-50%
New Business Certificates Renew RLA registration (959 released 11-13 biennium)	62	46	39	-7	-15%
Renew LAIT registration	821	852	917	65	8%
Renew Business Certificate (<i>See Note Below</i>)	11	14	5	-9	-64%
	60	122	209	87	71%
<i>Note: Business renewal changed from biennial to annual in 2009-2011 biennium.</i>					
(c) The number of examinations conducted;					
(total) (<i>See Notes Below</i>)	8	8	8	0	0%
Number of LARE Section C/3 Exams	4	4	4	0	0%
Total Candidates for LARE Section C/3	46	37	28	-9	-24%
Number of LARE Section E/4 Exams	4	4	4	0	0%
Total Candidates for LARE Section E/4	54	66	37	-29	-44%
Candidates approved for Section A, B, D (1, 2)	49	24	54	30	125%
<i>Note: Exam section names changed during 2011-2013 from letter to numerical (i.e., A-E to 1-4). The Board proctored 2 "C" and 2 "E" exams in 2011-2013. All exam were sections computerized after that and given in Sections 1-4.</i>					
(d) The average time between application for and issuance of licenses;	2-3 weeks	2-3 weeks	3-4 weeks	1-2 weeks	N/A

** Total is the total # of registrations issued by OSLAB during the biennium, which is more than the total # of registrants at the end of the biennium given that registrations must be renewed annually. The registrant count as of 6/30/13 was 477 registered individuals and 209 registered businesses.

Appendix 11, Operations Data (6 biennia)

Oregon State Landscape Architect Board

Biennia	Positions	FTE	Board Meetings	Approximate # Registrants on June 30 close of biennium		Board Stipend	Administrator Salary \$/Month on 6/30 close of biennium
				Individuals	Firms/ Business		
2003-2005	1	1.00	11	368	88	0	n/a
2005-2007	Contract with OSBGE	n/a	10	427	158	0	n/a
2007-2009	Contract with OSBGE	n/a	12	489	220	\$30/day	n/a
2009-2011	Contract with OSBGE	n/a	15	471	201	\$50/day	n/a
2011-2013	Contract with OSBGE	n/a	10	477	209	\$50/day	n/a
<i>#s in italics are estimates</i> 2013-2015	Contract with OSBGE	n/a	<i>10</i>	<i>516</i>	<i>225</i>	\$50/day	<i>n/a</i>

Notes: OSLAB receives administrative services via contractual agreement with Oregon State Board of Geologist Examiners (OSBGE). Registrants must renew their registrations annually.