

California Bureau of Security and Investigative Services

Performance and Fee Review

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Your Path to Performance

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Executive Summary

The mission of the California Bureau of Security and Investigative Services (Bureau or BSIS) is to protect and serve the public and consumers through effective regulatory oversight of the professions within its jurisdiction. The Bureau licenses and regulates companies and employees in the private security industry. BSIS is one of 40 regulatory entities with the California Department of Consumer Affairs (DCA).

A specific function of the Bureau is to review/set fees levied on applicants for initial and renewal licensure, registrations, certificates or permits, as well as any modifications thereof. The fees are intended to be sufficient to cover the cost of the Bureau's regulatory services.

In November 2016, the Bureau engaged CPS HR Consulting (CPS) to provide performance auditing and consulting services to review Bureau performance and the structure for the 21 license fees collected only within the Private Security Services (PSS) fund for fiscal years 2012-13 through 2015-16, including accomplishing the following objectives:

- Assess and correlate the workload for approximately 65 Bureau employees to the actual activities performed to determine an hourly or unit cost to support licensing, renewal, enforcement, etc.
- Analyze all fees and other revenues collected by the Bureau within the PSS fund and related expenditures (including DCA overhead pro rata expenses), to determine if fee levels are sufficient for the recovery of the actual cost of conducting its programs
- Project fees/revenues and related costs for the next three to five fiscal years.
- Determine a cost basis to fairly increase existing fees to: cover all PSS-related costs, ensure a sufficient PSS fund reserve, and assess other services provided by the Bureau when a separate fee is not provided by statute or regulation.

The project scope does not include auditing the license types and fees collected within the Private Investigator (PI) fund.

Summary of Findings and Recommendations

Based on the review, CPS found the following over the period reviewed that is covered in detail in the body of the report:

- PSS-funded positions increased slightly from 50 to 51 personnel years (PYs). The DCA Budget Office uses an average of 1,776 available hours per PY each fiscal year for workload budget projections. Employees are paid for 2,080 hours per fiscal year.
- PSS-funded staff were found to be working in compliance with their duty statements.
- The Bureau has written standard operating procedures and guides for each functional unit, and applicants have access to a variety of resources and instructions on the Bureau's website (www.bsis.ca.gov).

- PSS licensing trends: initial Baton permits are increasing, but the overall initial licensing/permitting trend is down. The renewal licensing/permitting trend is up slightly.
- On January 19, 2016, the Bureau implemented DCA's BreEZe online licensing and enforcement system which offers one-stop shopping for BSIS licensees, applicants and consumers. The Bureau incurred significant costs to implement BreEZe for its 20 plus licensing types.
- PSS enforcement trends: the number of consumer complaints received, inspections conducted, investigations opened/closed, and disciplinary actions opened/closed appear to have decreased significantly. A portion of the decreases relate to Bureau procedural changes for handling subsequent arrest information and application investigations.
- Fee-schedule income was stable but expenses exceeded revenue the last two fiscal years. Moreover, scheduled fees have not been raised for more than 15 years.
- On average, BSIS Operating Expenses & Equipment costs are more than double Personnel Services expenses, and DCA Departmental expenses for services the Bureau relies on, have accounted for 46.4% of the Bureau's total budget.
- Until FY 2015-16, the PSS fund balance has been falling. One-time financial anomalies temporarily corrected the fund balance. However, conservative revenue and expense projections over the next five fiscal years indicate BSIS will have insufficient revenue to cover operational costs and maintain an acceptable 3 to 6 month fund reserve.

As a result of the above findings, CPS recommends the following:

1. The Bureau should continue to maintain or cut costs wherever possible.
2. To increase productivity and contain costs, the Bureau should strongly encourage new and renewal customers to take full advantage of BreEZe online services.
3. After consultation with DCA and its licensees, BSIS should charge for select scheduled and unscheduled services based on a fully absorbed cost rate of no more than \$135 per hour. Services should be charged accordingly based on the actual time the Bureau consumes to provide the service.
4. BSIS management should develop, approve and implement or introduce legislation (if required) to revise the fee schedule as soon as possible, and inform current and prospective licensees of the changes.
5. If appropriate and applicable, the Bureau should consider implementing a way to get administrative relief in the future in lieu of the lengthy legislative change process.
6. After consultation with DCA and its licensees, BSIS should charge for scheduled and unscheduled services based on a fully absorbed cost rate of no more than \$125 per hour. Services should be charged accordingly based on the actual time the Bureau consumes to provide the service.

Introduction

The mission of the California Bureau of Security and Investigative Services (Bureau or BSIS) is to protect and serve the public and consumers through effective regulatory oversight of the professions within its jurisdiction. The Bureau licenses and regulates companies and employees in the private security industry. The Bureau has jurisdiction over alarm companies and their employees, locksmiths and their employees, repossession companies and their employees, baton and firearm training facilities and their instructors, private investigators, private patrol operators and their employees including security guards, and proprietary private security employers and their officers. The Board is one of 40 regulatory entities within the California Department of Consumer Affairs (DCA).

Background

The following presents background information on the private security industry; the Bureau's history, composition and governance structure; applicable Practice Acts it regulates; licensing history; and general functions and staffing.

Private Security Industry Overview

According to the US Department of Labor's 2015 *Occupational Outlook Handbook*, the private security industry is predicted to grow 5% from 2014 to 2024. This is considered about as fast as the average for all occupations. According to the Handbook, overall job opportunities should be excellent, especially for security guards.

As of May 2015, California had the highest employment level for private security occupations, followed by New York, Texas, Florida and Illinois.

Bureau History, Composition and Governance Structure

Regulatory oversight of the California private security industry began in 1915 with the creation of the Detective Licensing Board. After several name changes, Assembly Bill 936 of the Statutes of 1993 formally renamed the organization as the Bureau of Security and Investigative Services.

The BSIS Bureau Chief reports to the DCA Director and oversees approximately 57 authorized positions plus nearly 17 loaned and permanent intermittent positions. The Bureau has three statutorily-established Disciplinary Review Committees (DRC). Two additional DRCs will go into effect on July 1, 2017. Each DRC is composed of three industry and two public representatives. The DRCs consider appeals of license denials and suspensions as well as assessment of administrative fines. DRC members receive per diem of \$100 for each day spent performing official duties as well as reimbursement for travel and other related expenses to attend DRC meetings. The Bureau also has a voluntary Advisory Committee comprised of seven professional and six public volunteer members. This committee provides policy insight and perspective to the Bureau. The DCA Director appoints the committee members to two-year terms with no salary or benefits.

Applicable Practice Acts

The Bureau regulates the following Practice Acts that are briefly described:

- The **Alarm Company Act** regulates activities relating to selling, installing, maintenance, monitoring, servicing of, or responding to alarm systems. The Act specifies three key license types: alarm company operators (ACO), alarm company qualified managers (ACQ), and alarm agent/employee registrations (ACE). Each ACO license must be associated with an ACQ, which may be the licensee or another individual. The person designated as the ACQ runs the day-to-day activities and must pass the ACO licensing exam. The Act authorizes ACO licensees, qualified managers and agents to obtain a Bureau-issued firearm permit under specified conditions.
- The **Locksmith Act** regulates locksmith activities related to installation, repair, opening or modifying locks, and originating keys for locks. The Act specifies two key license types: locksmiths companies (LCO) and locksmith employee registrations (LOC). Persons who only make duplicate keys from an existing key are exempt under the Act.
- The **Private Investigator Act** regulates activities relating to the performance of private investigations. The Act specifies one key license type: private investigator (PI), which is held only as a company license. Each PI licensee must be associated with a PI qualified manager, which may be the licensee or another person, who runs the licensee's day-to-day activities and who must pass a PI licensing exam. The PI QM does not hold a separate license. Employees of private investigators are not required to register with the Bureau. Pursuant to a cross reference to the Private Security Services Act, the Act authorizes PI licensees and qualified managers to obtain a Bureau-issued firearm permit under specified conditions.
- The **Private Security Services Act** regulates activities relating to contract services to protect persons, property or to prevent theft as well as training required for Bureau-issued firearm permits and baton permits. The Act specifies six key license types: private patrol operators (PPO), security guard registrations (Guard), firearm training facility certificates (TFF), baton training facility certificates (TFB), firearm training instructor certificates (TIF) and baton training instructor certificates (TIB). Each PPO licensee must be associated with a PPO qualified manager, which may be the licensee or another person, who runs the licensee's day-to-day activities and who must pass a PPO licensing exam. The PPO QM does not hold a separate license. The firearm training facility certificate holder must be associated with at least one firearm training instructor certificate holder. Each baton training facility certificate holder must also be associated with at least one baton training instructor certificate holder. The Act authorizes PPO licensees, PPO qualified managers, and security guards to obtain a Bureau-issued firearm permit under specified conditions. The Act also authorizes security guards to obtain a Bureau-issued baton permit under specified conditions.

- The **Proprietary Security Services Act** regulates activities related to specified in-house services to protect property or persons. The Act specifies two key license types: proprietary private security employers (PPSE) and proprietary private security officer (PPSO) registrations. The primary difference between a PPO and PPSE is that a PPSE is not permitted to contract out the services of its PPSOs to any other business, person or entity. Furthermore, PPSOs are not authorized to carry a firearm.
- The **Collateral Recovery Act** regulates activities related to locating and recovering collateral subject to repossession by the legal owner. The Act specifies three key license types: repossession agencies (RA), repossession agency qualified manager certificates (RAQ), and repossession employee/agent registrations (RAE). Each RA license must be associated with a RAQ, which may be the licensee or another individual. The RAQ runs the licensee's day-to-day activities and must pass the RA licensing exam.

License/Renewal Fees and Fee Change History

Due to the various Practice Acts, the Bureau's current licensing/renewal fee schedule has 99 separate fees. Fees range from \$5 to \$825. In 2010, the Proprietary Security Services Act was enacted and established a registration fee for proprietary security officers. In 2011, the Act was amended to add a registration fee for proprietary security employers. However, there have been no fee changes in more than 15 years for most Bureau licenses.

With the exception of licenses specified in the Collateral Recovery Act, the renewal period for licenses, registrations, permits and certifications is two years. The first renewal period for the Collateral Recovery Act is one year. Subsequent renewals are two years. Baton permits do not expire and therefore do not need to be renewed.

Bureau Functions and Staffing

From fiscal year (FY) 2012-13 through 2015-16, the PSS-funded positions appropriated in the Governor's Budget increased slightly from 50 personnel years (PYs) to 51. As a result of Budget Letter 12-03, a FY 2015-16 Budget Change Proposal (BCP) and a FY 2016-17 BCP, the number of permanent positions supported by the PSS fund in FY 2016-17 is 56. The Bureau also has additional permanent intermittent staff to help meet all statutorily-mandated requirements. The DCA Budget Office uses an average of 1,776 available hours per PY for fiscal year workload budgetary projections. Employees are paid for 2,080 hours each fiscal year.

The Bureau Chief is an exempt position and reports to the DCA Director. Two Deputy Chiefs (Staff Services Manager II) report to the Bureau Chief. The Disciplinary Review Unit and Enforcement Unit report to one Deputy Chief, while the Administration & Policy Unit and Licensing Unit report to the other Deputy Chief.

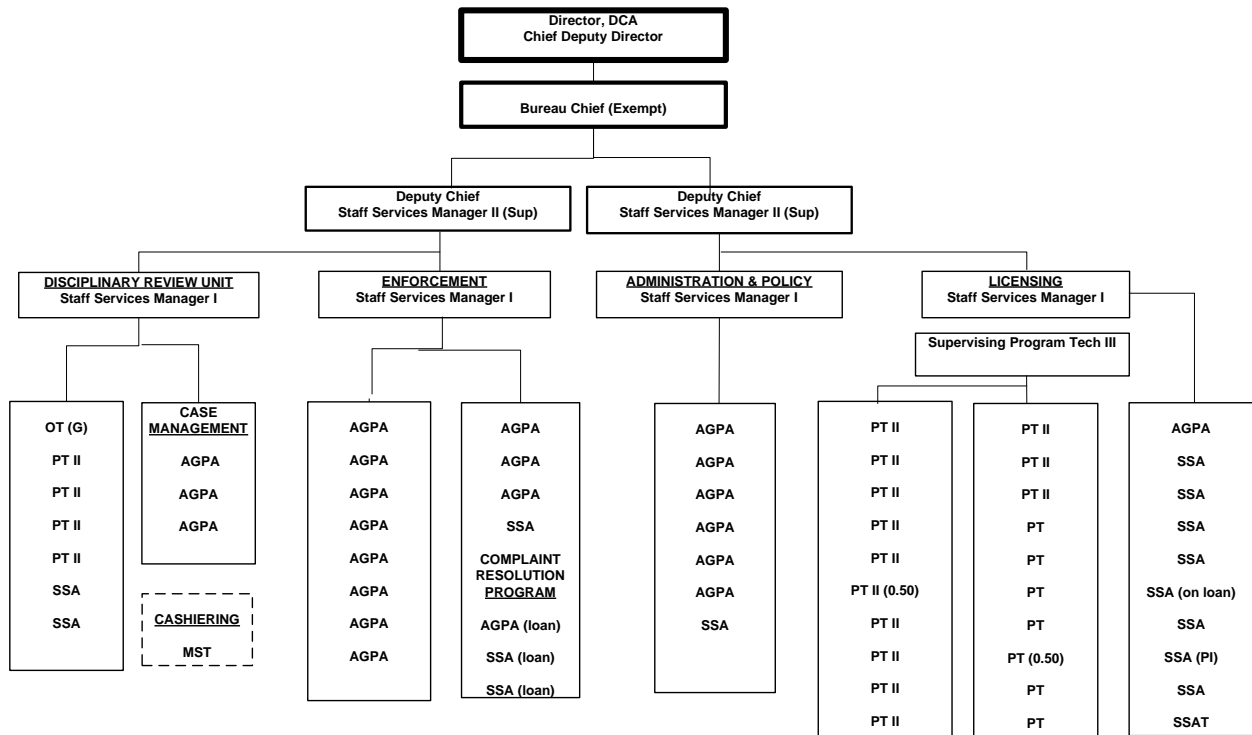
The Bureau's primary civil service classifications include:

- Staff Services Managers (SSM) I and II
- Associate Governmental Program Analyst (AGPA)

- Staff Services Analyst (SSA)
- Program Technician (PT) and PT II
- Office Technician

The Bureau organization chart (Figure 1) was effective April, 2017. During the course of the study, some positions were filled and/or reclassified. The chart also reflects one position in the DCA Cashiering Office that the Bureau directly supports.

Figure 1
Bureau of Security and Investigative Services as April, 2017



Scope, Objectives and Methodology

The scope of this engagement focused on a review of the Bureau’s fee structure and staff workload related solely to the 21 license fees collected within the Private Security Services (PSS) fund, including the following objectives:

- Assess and correlate the workload for approximately 65 Bureau employees to the actual activities performed to determine an hourly or unit cost to support licensing, renewal, enforcement, etc.
- Analyze all fees and other revenues collected by the Bureau within the PSS fund and related expenditures (including DCA overhead pro rata expenses), to determine if fee levels are sufficient for the recovery of the actual cost of conducting its programs.
- Determine a cost basis to fairly increase existing fees to: cover all PSS-related costs, ensure a sufficient PPS fund reserve, and assess other PSS-funded services provided by the Bureau when a separate fee is not provided by statute or regulation.

- Based on the financial analysis, project fees/revenues and related costs for the next three to five fiscal years.
- Prepare a written report of the findings and recommendations.

The study scope **did not** include auditing the license types and fees collected within the Private Investigator (PI) fund.

The CPS methodology included:

- Conducted an on-site kickoff meeting;
- Conducted off-site document reviews of pertinent practice acts, the Bureau strategic plan, 2014 Sunset Review, fee schedule, online forms, multi-year Bureau financial information covering revenues and expenditures for five fiscal years FYs 201-12 through 2015-16, organization chart and current staff duty statements.
- Reviewed pre-BreZE Bureau business process flowcharts.
- Reviewed and applied staff workload time assumptions regarding the processing of initial and renewal paper and online licensing applications, automatic renewal coupons, replacement and delinquent licenses, and Disciplinary Review Unit/Enforcement actions.
- Observed and sampled licensing and disciplinary/enforcement work performed to confirm the completeness and accuracy of Bureau staff duty statements, and staff workload processing time assumptions.
- Analyzed revenues and expenditures for four fiscal years FYs 2012-13 through 2015-16 for various anomalies and trends to serve as the basis for projecting future revenues, expenses and fees required to recover the expenses.
- Prepared draft and final reports with recommendations for improvement.

Constraints and Data Qualifications

CPS relied on information received from Bureau management and staff, the DCA Budget Office and reviews of unaudited data.

Acknowledgment

CPS wishes to thank all participants at the Bureau of Security and Investigative Services and the DCA Budget Office for their significant, invaluable and timely contributions.

Study Results

The following presents information about Bureau PSS fund license types, fees and revenue, staff tasks and workload by function, and operational observations, findings and recommendations. This section also analyzes fee and non-fee schedule revenue, expenses, and PSS fund balance. Finally, this section presents assumptions, hourly rate and license fee revenue projections based on fully absorbed costs to cover future estimated PSS-funded expenses.

License Types

Table 1A displays for Fiscal Years (FYs) 2012-13 through 2015-16 the total number of current licenses for the 21 license types that support the PSS Fund. Types are classified as individual/employee (I) or company-related (C). The table shows the five individual license/permit types that have consistently accounted for 95.8% of all licenses/permits are Security Guard (67.5%), Baton Permits (11.4%), Firearm Permits (10.8%), Alarm Company Employees (4.7%), and Proprietary Private Security Officers (1.4%). In general, the overall number of all licenses/permits increased about 5.9% over the four fiscal-year period. At 65.3% growth, the number of Baton permits increased the most for the period reviewed.

With some exceptions, initial and renewal licenses are good for two years. Biennial renewals occur at the end of the month of their anniversary date, which is typical of most DCA Boards, Bureaus and Commissions. There are some timing exceptions concerning renewal licensing for repossession agencies and baton permits.

Table 1A
BSIS Private Security Services Fund License/Permit Types

Rank	License/Permit Type	Type	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% Total
1	Security Guard	I	138,956	139,976	141,038	139,955	139,981	67.5%
2	Baton Permit (sold to Training Facilities)	I	17,932	21,936	25,217	29,641	23,682	11.4%
3	Firearm Permit	I	23,157	22,734	20,771	23,158	22,455	10.8%
4	Alarm Company Employee Registration	I	8,649	10,020	11,401	9,233	9,826	4.7%
5	Proprietary Private Security Officer	I	3,243	2,838	2,818	2,815	2,929	1.4%
6	Locksmith Company Operator	C	1,409	1,443	1,326	1,401	1,395	0.7%
7	Private Patrol Operator	C	1,375	1,456	1,331	1,319	1,370	0.7%
8	Locksmith Employee Registration	I	1,574	1,203	1,335	993	1,276	0.6%
9	Alarm Company Qualified Manager	C	1,068	1,095	1,020	1,105	1,072	0.5%
10	Alarm Company Operator	C	1,102	1,022	912	1,034	1,018	0.5%
11	Repossession Agency Employee	I	690	698	670	530	647	0.3%
12	Training Instructor - Firearm	I	315	320	305	325	316	0.2%
13	Proprietary Private Security Employer	C	349	245	420	246	315	0.2%
14	Private Patrol Operator - Branch	C	231	170	220	150	193	0.1%
15	Training Facility - Firearm	C	172	184	178	174	177	0.1%
16	Repossession Agency	C	159	183	160	137	160	0.1%
17	Repossession Agency Qualified Manager	C	215	138	190	117	165	0.1%
18	Training Instructor - Baton	I	120	140	111	119	123	0.1%
19	Alarm Company Operator - Branch	C	85	131	76	134	107	0.1%
20	Training Facility - Baton	C	97	98	114	86	99	0.0%
21	Locksmith Company - Branch	C	42	27	20	24	28	0.0%
	Total Active Licenses/Permits		200,940	206,057	209,633	212,696	207,332	100.0%

Sources: BSIS, DCA Annual Reports

For the period reviewed, Table 1B shows the initial licenses/permits issued and indicates an overall decreasing trend of -7.5%. Only Proprietary Private Security Officer licenses experienced positive growth (7.9%) over the period reviewed. In the Trend column, “I” stands for increasing, “D” for decreasing, and “S” for stable.

Table 1B
BSIS Private Security Services Fund Initial Licenses/Permits Issued

LICENSE TYPE	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	Trend
Security Guard Registration	54,396	50,960	53,023	51,994	52,593	D
Firearm Permit	11,768	10,649	11,002	9,950	10,842	D
Baton Permit	6,388	5,275	5,215	5,579	5,614	D
Alarm Company Employee Registration	4,686	5,657	6,542	4,443	5,332	D
Proprietary Private Security Officer	1,526	1,566	1,246	1,647	1,496	I
Repossession Agency Employee	389	368	336	246	335	D
Locksmith Employee Registration	439	351	238	206	309	D
Private Patrol Operator	300	300	198	192	248	D
Locksmith Company Operator	208	233	153	150	186	D
Proprietary Private Security Employer	166	111	120	40	109	D
Alarm Company Operator	153	121	68	91	108	D
Alarm Company Qualified Manager	91	117	60	66	84	D
Training Instructor - Firearm	79	65	55	41	60	D
Private Patrol Operator - Branch	69	40	50	37	49	D
Training Facility - Firearm	49	45	32	15	35	D
Alarm Company Operator - Branch	39	20	16	29	26	D
Training Facility - Baton	32	20	39	5	24	D
Repossession Agency	23	32	19	15	22	D
Training Instructor - Baton	29	26	23	8	22	D
Repossession Agency Qualified Manager	19	20	10	10	15	D
Locksmith - Branch	13	9	0	1	6	D
Total Initial Licenses	80,862	75,985	78,445	74,765	77,514	D

Sources: BSIS, DCA Annual Reports

Also for the period reviewed, Table 1C displays the renewal licenses/permits issued and indicates Baton permits are not renewed, but there is an overall increasing trend of 4.9% with 12 license/permit types experiencing renewal growth. At 128.3%, Alarm Company Operator – Branch licensees experienced the largest renewal growth.

Table 1C
BSIS Private Security Services Fund Renewal Licenses/Permits Issued

LICENSE TYPE	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	Trend
Security Guard Registration	84,560	89,016	88,015	87,961	87,388	I
Firearm Permit	11,389	12,085	9,769	13,208	11,613	I
Alarm Company Employee Registration	3,963	4,363	4,859	4,790	4,494	I
Proprietary Private Security Officer	1,717	1,272	1,572	1,168	1,432	D
Locksmith Company Operator	1,201	1,210	1,173	1,251	1,209	I
Private Patrol Operator	1,075	1,156	1,133	1,127	1,123	I
Alarm Company Qualified Manager	977	978	960	1,039	989	I
Locksmith Employee Registration	1,135	852	1,097	787	968	D
Alarm Company Operator	949	901	844	943	909	D
Repossession Agency Employee	301	330	334	284	312	D
Training Instructor - Firearm	236	255	250	284	256	I
Proprietary Private Security Employer	183	134	300	206	206	I
Repossession Agency Qualified Manager	196	118	180	107	150	D
Private Patrol Operator - Branch	162	130	170	113	144	D
Training Facility - Firearm	123	139	146	159	142	I
Repossession Agency	136	151	141	122	138	D
Training Instructor - Baton	91	114	88	111	101	I
Alarm Company Operator - Branch	46	111	60	105	81	I
Training Facility - Baton	65	78	75	81	75	I
Locksmith - Branch	29	18	20	23	23	D
Baton Permit	0	0	0	0	0	S
Total Renewal Licenses	108,534	113,411	111,186	113,869	111,750	I

Sources: BSIS, DCA Annual Reports

License Fees and Revenues

Due to various Practice Acts, the PSS fund receives fees from approximately 99 license/application/certificate, examination, duplicate license, reinstatement, delinquent and renewal fee types. Fees range from \$5 to \$825. As previously stated, with some exceptions, the renewal period for most licenses, registrations, permits and certifications is two years. In addition, there are some timing exceptions concerning licensing for licenses covered by the Collateral Recovery Act and baton permits.

According to the Bureau's 2014 Sunset Report, law changes in 2009 and 2010 resulted in establishing a new Practice Act, new regulated professions and setting related registration fees. However, there have been no fee changes in more than 15 years for other Bureau licenses.

Table 2 displays partial revenues generated by 11 of 96 potential fee sources that represent 87.0% of the total PSS fund revenue from FY 2012-13 through FY 2015-16. Over the four fiscal years shown in the table, Security Guard initial registration and renewal account for 53.9% of all revenue; followed by 15.5% for firearm applications and renewals; PPO applications, licenses, exams and renewals at 10.9%; alarm company-related renewals at 4.1%; and baton certificates at 2.6%. The other 85 sources combined generated 13% of total revenue. Thus, the type and volume of licenses presented in Table 1 align reasonably well with the revenues displayed in Table 2.

Table 2
BSIS Private Security Services Fund License Partial Revenues

Source	Revenue Sources	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% of Total
125800	Guard Renewal	\$2,990,665	\$3,096,865	\$3,113,546	\$3,015,733	\$3,054,202	28.1%
125700	Guard Registration	2,826,499	2,766,410	2,758,633	2,858,717	2,802,565	25.8%
125700	App - Firearm	1,012,881	929,144	900,860	944,779	946,916	8.7%
125800	PPO Renewal	755,077	836,327	783,892	809,668	796,241	7.3%
125800	Bien Renewal - Firearm	694,355	738,706	690,342	831,652	738,764	6.8%
125800	Bien Renewal - ACO	328,313	314,230	326,918	317,325	321,696	3.0%
125600	Baton Certificate	319,400	263,750	260,750	278,950	280,713	2.6%
125700	App & Exam - PPO	224,000	208,050	189,110	225,040	211,550	1.9%
125700	License Fee - PPO	217,500	205,320	177,805	151,850	188,119	1.7%
125800	Bien Renewal - ACQ	121,210	114,675	108,187	117,878	115,488	1.1%

Source: FM 13 CalSTARS reports, DCA Budget Office

Staff Tasks and Workload Breakdown

As the organization chart displays, Bureau staff tasks and workload are broken down into leadership and four functional operations units: Licensing, Disciplinary Review, Enforcement, and Administration & Policy. The following work distribution charts are based on current duty statements and display the work being performed by each staff member. In some cases, multiple staff in the same or similar classifications perform the same duties. CPS validated workload tasks and processing assumptions through observation and interviews.

CPS found BSIS staff in each functional unit have current written standard operating procedures and guides. In addition, applicants have access to a variety of guides, reference documents and instructions provided on the Bureau’s website (www.bsis.ca.gov).

In general, Bureau management claims all critical and essential function tasks are being performed in a timely manner. They acknowledge the implementation of DCA’s BreZE system has increased processing times but believe the benefits of utilizing relational licensing and enforcement systems outweigh the productivity loss. Staff report BreZE is more comprehensive but contains more data entry steps and operates slower than prior DCA systems.

Following are workload distribution charts for Bureau leadership and discussions about each functional operations unit, and related workload distribution charts by employee classification.

Bureau Leadership Tasks and Workload Breakdown

Bureau Chief

Work distribution chart (WDC) 1 shows the Bureau Chief’s primary duties entail performing managerial oversight of the BSIS functions; setting policy and operational priorities; maintaining relationships with consumer groups, licensees and industry associations; proposing legislative and regulatory changes; budget/fiscal control, administration, legislation and regulations, and working with DCA Public Affairs to educate consumers, the industry and the general public.

WDC 1

Bureau Chief (Exempt)	
Reports to: DCA Director	# Suprv 73
Duties	% Time
Policy: Sets policy, procedures and priorities for the Bureau’s licensing and regulatory activities for seven security-related industries. Provides managerial oversight for the Bureau, directs the work of the Bureau, sets a vision for the Bureau, and allocates resources to meet the Bureau’s priorities and ensure fiscal stability.	40.0%
Liaison: Develops and maintains working relationships with consumer groups, licensees, industry members and associations, represents the Bureau before other governmental agencies, holds regular public meetings to solicit input from consumers and industry members, ensures that licensees and applicant-related issues receive appropriate DCA attention.	20.0%
Laws and Regulations: Proposes legislation and regulatory changes to ensure consumer protection, represents the Bureau at legislative and regulatory hearings.	15.0%
Enforcement/ Disciplinary Actions: Responsible for enforcement and disciplinary actions pertaining to the Bureau’s licensees and registrants, reviews proposed decisions from Administrative Law Judges and recommends adoption, modification or rejection of proposed disciplinary decisions or settlements to the Director.	15.0%
Public Affairs: Works with Public Affairs to develop and maintain an education program for consumers, industry, media and the general public. Directs the preparation of press releases, bulletins and newsletters, participates in media events to promote understanding and compliance with various BSIS laws and regulations.	10.0%
Total Time	100.0%

Bureau Deputy Chiefs

Work distribution chart (WDC) 2 shows the breakdown of duties for the two Bureau Deputy Chiefs. One Deputy Chief (DC) oversees the Licensing Unit and the Administration & Policy Unit. The incumbent’s primary duties include supervising staff, and consulting and advising management, legislative staff and industry groups on key Bureau issues. This DC is also the single point of contract with the DCA BreZE team for system enhancements.

The other DC oversees the Enforcement Unit and Disciplinary Review Unit (DRU). The incumbent’s primary duties entail supervising unit staff and ensuring compliance with BSIS requirements, goals and objectives relating to enforcement and disciplinary activities.

WDC 2

Deputy Bureau Chief - SSM II, Policy/Licensing		Deputy Bureau Chief - SSM II, Enforcement and Disciplinary Review	
Reports to: Bureau Chief - Exempt	# Suprv 41	Reports to: Bureau Chief - Exempt	# Suprv 27
Duties	% Time	Duties	% Time
Supervision: Manages the Licensing and Policy and Administration Units through two subordinate Staff Services Managers I, provides direction on operations, productivity, backlogs and personnel management. Coordinates implementation of policy and procedure changes. Provides oversight and direction to staff on special projects and highly sensitive activities, and participates in recruitment and selection of staff.	45.0%	Supervision: Manages Bureau staff in the Enforcement and Disciplinary Review Units through two Staff Services Managers I, directly supervises three AGPAs in the Case Management Unit.	55.0%
Program Management: Consults and advises various management and legislative staff and industry and interest groups on Bureau policies, legislation and issues that affect the Bureau’s programs. Plans, organizes and coordinates the work of Bureau staff to improve operating efficiency and effectiveness. Assists in developing and implementing the Bureau’s strategic plan. Represents and acts for the Bureau Chief on all matters relating to licensing and policy in her absence.	40.0%	Program Management: manages the Enforcement, Disciplinary Review and Case Management Units’ activities to ensure the Bureau’s compliance with BSIS requirements, goals and objectives. Directs staff in the preparation of enforcement reports, requests for accusations, and citation and fine documents. Provides subject matter expertise on legislation and regulations related to the Bureau’s enforcement and disciplinary programs. Responds to the most complex and sensitive inquiries relating to the Bureau’s enforcement and disciplinary activities. Assists in developing and implementing the Bureau’s strategic plan. Acts for and represents the Bureau on enforcement matters in the Bureau Chief’s absence.	45.0%
BreEZe Single Point of Contact (SPOC): Is the Bureau’s SPOC for the DCA BreEZe team, reviews System Information Requests (SIRS) for system enhancements, responds to program questions. Works with the BreEZe vendor and the DCA BreEZe team to identify causes of defects and potential fixes. Presents work authorizations before the DCA Change Control Board.	15.0%		
Total Time	100.0%	Total Time	100.0%

Licensing Activities

The Bureau’s Licensing function performs licensing activities for two groups of licensees: individuals/employees and companies/facilities. Duties include receipt and processing of initial fee payments, paper applications and online applications via BreEZe and renewal fee payments, paper applications and automatic renewal coupons. In addition, the Bureau receives and processes payments and applications for company change of name, company and employee duplicate/replacement licenses, company/facility and instructor license reinstatements, employee re-examinations, company license assignments, and delinquent renewals for company and employee licenses. Duties related to receipt and processing of fee payments for initial and renewal paper applications and automated coupons are performed by the DCA Cashiering Office and paid from the Bureau’s pro rata costs to DCA.

Bureau management reports many licensees fail to renew on time, resulting in their having to apply for a new license. This is especially true for the renewal of firearm permits which require adherence to a specific range qualification schedule and must be renewed before expiration. Sometimes firearm permit holders apply for a new permit while still holding a current license because they have not completed the required range qualifications in a timely manner.

The licensing staff’s performance measure for completing initial employee paper applications and BreEZe applications with no exceptions is 60 days. The licensing performance measure for completing initial firearm and baton instructor paper and BreEZe applications and firearm permits with no exceptions is 75 days. The license performance measure for completing the

following licenses with no exceptions is 90 days: locksmith company, proprietary private security employer, and firearm/baton training facility. These entities do not have a qualifying examination. For all other company license types, the performance measures for applications with no exceptions are 30 days for initial application, 90 days for initial license, plus the time for Qualified Managers to pass the required exam which varies.

Licensing Workload Assumptions and Task Time Estimates

Based on staff interviews, observation and the development of workload assumptions (Appendices 1A for general licensing tasks and 1B for miscellaneous licensing tasks), the following briefly describes initial and renewal application/coupon and miscellaneous license processing tasks the Licensing Unit performs, and that are built into the costing model.

Initial Paper Application Processing

CPS learned company/facility/qualified manager/instructor applications typically take 90-120 days to process while employee applications usually take 45-60 days. This is because company/facility, qualified manager (QM) and instructor applications undergo additional levels of review from an Analyst, and in some cases, a Manager (5-15% review), where employee applications do not. In addition, QM applicants must pass an examination.

Except for the two levels of review, the tasks for processing initial paper applications are similar for both companies and employees. The Bureau receives paper applications in the mail which are first routed through the DCA Cashiering Office where cursory information is entered into BreZE and fee payments are received and recorded. Next, the applications are routed through interoffice mail to the Bureau where staff enter additional information, including criminal history responses into BreZE, and review the applications for completeness. If the application is not deficient and the applicant has no convictions that would preclude licensure, the license is issued. If the application is deficient, Bureau staff generate and mail a deficiency letter to the applicant. Upon receipt of the deficient information, Bureau staff determine if the deficiencies are satisfied. If the deficiencies are satisfied, Bureau staff issue the license. If not, Bureau staff generate and mail another deficiency letter and the process repeats itself. On average, clean employee and baton and firearm applications take about 30-45 minutes to process from Cashiering to BSIS to review and approve. Clean company/facility/QM/instructor applications take on average from 110 – 140 minutes to process and approve.

CPS was advised that a large number of paper applications are deficient in some way. The most common causes of deficiencies are incomplete or inaccurate information, or applicants fail to meet the education and experience qualifications. In addition, applications received without payment are returned and not processed.

The process for entering baton permit information differs from other application types. Bureau-certified baton training facilities purchase the baton permits from the Bureau. When the facility completes a baton training course, the Bureau-certified baton instructor issues the permit to the

security guard registrant/applicant and completes and submits a training roster to the Bureau. Bureau staff enter the baton information from the rosters into BreEZe. The most common roster deficiencies are illegible handwriting, data transposition, or trainees not yet having submitted their guard registration application and are not in the system.

The Bureau reports an average deficiency rate of 25% for employee applications, with the cleanest applications coming from private security officers (estimated 95% clean). The largest application population, security guard and firearm permit, have a 25% and 35% deficiency rate, respectively. The paper applications with the most deficiencies come from firearm training instructors (estimated 5% clean), private patrol operators, locksmith companies, alarm company operators, and proprietary private security employers (all at estimated 10% clean).

Deficient applications incur more processing time because of the preparation and mailing of one or more deficiency letters, re-receipt of applications and/or fees through the mail, subsequent Cashiering processing and staff review until the application is complete and acceptable for approval. Each time an employee or firearm permit application is deficient, it takes approximately 80 to 90 minutes of additional processing time. The additional processing time for problem entries on a baton training roster is about 90 minutes. However, since company/facility/QM/instructor deficiencies require two levels of review, each deficient application can take an additional 110 to 220 minutes to process.

A process review covering from January 1 through November 30, 2016, revealed 48,544 (74.5%) of initial applications received by the Bureau were submitted on paper.

Initial Online Application Processing

With some exceptions, the Bureau reports the processing of online BreEZe employee applications is significantly faster because the system is designed to prevent deficiencies. If the application information aligns with the applicant information entered by the Live Scan operator and the individual has no criminal history, the license can be issued in three to four days. However, if the information does not align, an “exception” occurs and Bureau staff must manually match the fingerprint responses. The Bureau reports a 15% exception rate with BreEZe employee applications. These applications take about 60 days to process to allow sufficient time to run accurate reports to identify the unmatched applications.

Due to the complexity of company, facility and instructor applications and the need for firearm permit applications to have attestation signatures by both the applicant and the firearm instructor, BreEZe applications for these license types require the applicant to complete the paper application, then scan and upload the document with their BreEZe application. The applicant pays the license fee online which eliminates Cashiering processing time. However, like paper applications, these applications must undergo additional review from an Analyst, and in some cases, a Manager. Processing time for these entities takes from 40 to 140 minutes for a clean application. The online applications with the least deficiencies are from private patrol operator branches (estimated 80% clean). Those with most deficiencies come from firearm training

instructors (estimated 5% clean), locksmith companies, private patrol operators, alarm company operators, repossession agencies, and proprietary private security employers (all at estimated 10% clean).

Processing deficient applications for individuals requires about 35 minutes more processing time. Firearm permits take about 110 minutes more per deficient application. With two levels of review, each Company/facility deficient application can take an additional 190 to 210 minutes to process.

A process review covering from January 1 through November 30, 2016, revealed 16,641 (25.5%) of initial applications received by the Bureau were submitted online through the BreEZe system.

Renewal Paper Application Processing

Due to the Bureau's renewal application processing times, licensees are to submit their renewal application and fee payments to the Bureau at least 60 days, but not more than 90 days, before their license expiration date. For some license types, including security guard, alarm agent, locksmith employee, and firearm permits, the licensee is required by law to submit the renewal applications at least 60 days before expiration.

The Bureau reports, that except for security guards and firearm permits, the processing of renewal paper applications is faster due to fewer deficiencies than initial paper and online applications. The deficiency rate for security guards is the same and for firearm permits higher because of the absence of attestation signatures, incorrect firing range qualification dates and lack of citizenship verification. These employee applications take about 30 minutes to process and approve. Deficiencies are dramatically lower for employee applications with about 95% to 98% clean applications, except for security guard at 75% clean. Renewal firearm permits take 60 minutes to review and approve and average 50% deficiencies.

In general, the company/facility, QM and instructor applications take 30 minutes to process and approve. Most average 95% clean, except private patrol operator at 70% clean.

Deficiencies for both employees and companies can increase processing time by 80 minutes for each subsequent deficient application.

A process review covering from January 1 through November 30, 2016, revealed 18,600 (20.2%) of renewal applications received by the Bureau were submitted on paper.

Online Renewal Application Processing

In general, processing online renewals and payments through BreEZe is an automatic process. It does not require Bureau staff to validate renewal requirements and there are no deficiencies. If the applicant attests to completing the training requirements and pays the renewal fee, the process is automatic.

A process review covering from January 1 through November 30, 2016, revealed 26,636 (29.0%) of renewal applications received by the Bureau were submitted online through the BreEZe system.

Automatic Renewal Coupon Processing

The Bureau reports automatic renewal coupons take a similar amount of time to process as renewal paper applications, but the number of deficiencies is fewer. For example, both employee and company coupons take about 30 minutes to process. Except for private patrol operator (estimated at 70% clean), and security guards (estimated at 75% clean) the other coupons average 90 - 98% clean. This is because the coupon is a small voucher that only requires the applicant to sign the affidavit on its face. The primary cause of private patrol operator deficiencies is that liability insurance is required to be in place when they return the voucher and if not, it results in a deficiency. The primary cause for security guard deficiencies is the lack of a required signature attesting to training completion.

A process review covering from January 1 through November 30, 2016, revealed 46,749 (50.8%) of renewal applications received by the Bureau were submitted by Automated Renewal Coupons.

Miscellaneous Licensing Task Processing

Miscellaneous Licensing tasks that generate fees include change of name, duplicate/replacement license, re-examination, and license reassignments. Except for license reassignments for Alarm and Repossession companies, these applications tend to have fewer deficiencies (90-98% clean) and can all be processed in the same amount of time: 30 minutes for clean applications, 80 minutes for applications with initial deficiencies plus 80 minutes for applications with secondary deficiencies. Following are related tasks and time estimates for each miscellaneous licensing task:

- **Change of name for a Private Patrol Operator:** for clean applications (70%), includes cashiering, mail handling, data entry into BreEZe, and approval in 30 minutes. Applications with initial deficiencies (30%) include cashiering, mail handling, data entry, preparing/sending a deficiency letter, return processing and approval in 80 minutes. Applications with secondary deficiencies (10%) include the same tasks as those with initial deficiencies and approval in 80 minutes.
- **Application for replacement licenses for a baton and firearm permits, all employees/instructors, and all companies and branches:** for clean applications (90%), includes cashiering, mail handling, data entry into BreEZe, and approval in 30 minutes. Applications with initial deficiencies (10%) include cashiering, mail handling, data entry, preparing/sending a deficiency letter, return processing and approval in 80 minutes.
- **Re-examination for Qualified Managers for Repossession Agencies, Private Patrol Operators and Alarm Companies:** for clean applications (95%), includes cashiering, mail handling, data entry into BreEZe, and approval in 30 minutes. Applications with

initial deficiencies (5%) include cashiering, mail handling, data entry, preparing/sending a deficiency letter, return processing and approval in 80 minutes. Processing time can range from 30 minutes for a clean application with an additional 80 minutes for each deficient submission.

- **License reassignment for Alarm and Repossession Companies:** for clean applications (10%), includes cashiering, mail handling, data entry into BreEZe, analyst and manager review (15%) for approval in 80 - 140 minutes. Applications with initial deficiencies (90%) include cashiering, mail handling, data entry, preparing/sending a deficiency letter, return processing, analyst and manager approval (5%) in 145 - 205 minutes. Applications with secondary deficiencies (45%) include the same tasks as those with initial deficiencies and approval in 145 - 205 minutes. Processing time can range from 80 minutes for a clean application with no manager review to 550 minutes for those with two deficient submissions requiring manager review.

Licensing Staff Tasks and Workload Breakdown

The Licensing function contains the following classifications: Staff Services Manager I, Supervising Program Technician III, Associate Governmental Program Analyst, Staff Services Analyst, Program Technician, Program Technician II, and Student Assistant. As previously noted, the Bureau supports one Management Services Technician position in the DCA Cashiering Office. A portion of the Bureau's DCA pro rata costs also support the cashiering services provided to the Bureau.

Staff Services Manager I and Supervising Program Technician III

Work distribution chart (WDC) 3 shows the tasks and workload for the Licensing Manager and Supervising Program Technician III. The Licensing Manager's primary duties include developing policies and procedures and implementing effective program management strategies to support timely licensing activities according to statutory mandates and in alignment with Bureau priorities; conducting complex licensing-related research and analysis; overseeing various statistical reports to monitor production activities and for reporting purposes; and general management activities.

The Supervising Program Technician III trains, schedules, supervises and oversees workload and distribution, and evaluates Program Technician and Program Technician II performance. Other duties performed include handling complex licensing issues, responding to sensitive inquiries and developing monthly workload activity schedules.

WDC 3

Licensing SSM I and Supervising PT III

Staff Services Manager I - Licensing		Supervising Program Technician III	
Reports to: SSM II-Deputy Chief, Policy/Licensing	# Supv: 32	Reports to: SSMI, Licensing	# Supv: 20
Duties	% Time	Duties	% Time
Supervision: Oversees the Bureau's Licensing Unit, directs workload distribution, including BSIS hiring and training; evaluating unit and staff performance, takes corrective action as needed and manages employee relations matters.	45.0%	Supervise and Train: Supervises and trains new licensing staff, evaluates staff, oversees workloads and work distribution, manages online BreEZe and telephone queues, resolves personnel conflicts and disciplinary problems, prepares probationary reports and annual IDPs.	65.0%
Licensing Management: plans, directs and evaluates unit activities to ensure compliance with goals and objectives; recommends legislative positions, directs staff in analyzing Bureau Licensing programs.	20.0%	Licensing Support: Licensing Expert, reviews, and processes complex licenses and permits, researches and resolves complex and sensitive issues and applications, responds to complex and sensitive inquiries, prepares statistical reports, and documents for Bureau Management.	20.0%
Licensing Review: formulates policies and procedures, conducts Quality Control reviews, monitors and manages licensing workflow, identifies and addresses backlogs.	15.0%	Administration Support: Develops efficient employee work schedules to meet service and response time objectives, participates in employee hiring.	15.0%
General Administrative Activities: Prepares monthly and annual statistical reports for performance measures, keeps Management informed of potential issues.	10.0%		
Special Projects: Implements changes to Licensing processes and procedures, oversees special projects.	10.0%		
Total Time	100.0%	Total Time	100.0%

Associate Governmental Program Analyst (AGPA)

Work distribution chart (WDC) 4 shows the tasks and workload for the one Associate Governmental Program Analyst. The AGPA evaluates and reports on licensing workload statistics, updates licensing procedures, assists with the final review on complex company applications, handles the review and approval of powers to arrest trainers, maintains/updates company application procedures, serves as BreEZe liaison and provides training as needed.

WDC 4

Associate Governmental Program Analyst - 1 positions	
Reports to: SSMI, Licensing	#Supv 0
Duties	% Time
Licensing: Creates AdHoc reports on workload statistics and trends. Analyzes and researches reports to discover trends and patterns. Subject Matter Expert for legislative bill analyses and regulations for impact on licensing. Makes recommendations on how to implement new laws, develops/updates licensing processes and procedure manuals. Bureau liaison and consultant on BreEZe and on the online licensing program. Participates in department Licensing user group, assists in implementing licensing changes.	85%
Training and Security: Security Coordinator, prepares and maintains all security agreement forms for new users, updates Violation table for Enforcement, updates security level and access for users as needed. Trains staff on the automated internet application and licensing system.	15%
Total Time	100.0%

Staff Services Analysts (SSA)

Work distribution chart (WDC) 5 shows the tasks and workload for seven Staff Services Analysts (five permanent, one permanent intermittent, and one from the CRP redirection). All of the SSAs primarily focus on resolving cashiering problems, running on-demand license application exception reports, assisting licensing technicians to identify and report application

deficiencies, providing second-level reviews of company and qualified manager applications, approving badge and emblem applications, and reviewing, analyzing and solving application processing problems that result in backlogs. In addition, they serve as liaisons between DCA Cashiering and Accounting Offices.

WDC 5

Staff Services Analyst - 1 position	
Reports to: SSML, Licensing	#Supv 0
Duties	% Time
Licensing: Final review of complex company applications, ensures that all required documentation has been submitted, that the applicant meets the requirements for licensure. Returns deficient applications to licensing technician with detailed explanation of the deficiencies/additional information and documentation needed. Reviews badge/patch emblems to confirm they do not resemble other badge/patch emblems, and that all required elements are included. If the proposed badge/patch does not meet specifications, prepares a letter to the company describing deficiencies. Lead for requests from individuals or companies to provide Power to Arrest and Proprietary Security Skills training. Researches and prepares recommendations on whether the request should be approved.	40%
Administrative Support: Develops and maintains company application processes, procedures, cheat sheets and training manuals, prepares management memos and correspondence, recommends process improvements and unit efficiency and helps implement changes. Backup for DIS iLicensing system, assists with troubleshooting, Bureau contact for Family Support, works to ensure that licenses are issued or put on hold as issues arise or are resolved. Develops and maintains application forms and form letters. Bureau liaison with PSI, the Bureau's exam vendor. Reviews reasonable accommodation requests from examinees, approves special accommodations. Monitors test results ensures candidate handbook contains necessary information for licensing, reviews PSI incident report and addresses as needed.	40%
Data Gathering/ Reporting: Monitors and evaluates company licensing to ensure maximizing service levels and to assist management to make appropriate assignments. Prepares other reports as requested. Ensures liability insurance requirements for PPO, PIs and Alarm Co Operators are met and comply with minimum standards. Prepares correspondence to entities not in compliance informing them of their deficiency. Researches all actions to ensure that license is not suspended erroneously.	20%
Total Time	100.0%

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Staff Services Analyst - 1 position		Staff Services Analyst - 3 positions	
Reports to: SSMI, Licensing	# Supv 0	Reports to: SSMI, Licensing	# Supv 0
Duties	% Time	Duties	% Time
Licensing Application Exception Reports: Runs AdHoc reports to identify license applications that have not issued because of technical system problems, reconciles reports by researching databases and troubleshooting problem license applications to rectify the problem, corrects outstanding problems so licenses will issue.	40%	Rectifies Cashiering Problems: Collaborates with licensing technicians to resolve complex licensing related cashiering issues. Subject Matter Expert for licensing technicians. Coordinates with and advises the department's Cashiering Office on resolutions to problem issues, identifies and corrects misapplied fee payments in the licensing database.	40%
Rectifies Cashiering Problems: Collaborates with licensing technicians to resolve complex licensing related cashiering issues. Subject Matter Expert for licensing technicians. Coordinates with and advises the department's Cashiering Office on resolutions to problem issues, identifies and corrects misapplied fee payments in the licensing database.	35%	Licensing Application Exception Reports: Runs AdHoc reports to identify license applications that have not issued because of technical system problems, reconciles reports by researching databases and troubleshooting problem license applications to rectify the problem, corrects outstanding problems so licenses will issue.	40%
Deficient Applications: Reviews applications deemed deficient by licensing technicians, assists licensing technicians to identify application deficiencies and advises on appropriate courses of action. Prepares correspondence to applicants identifying deficiencies.	20%	Program Liaison: Liaison between the Department's cashiering and accounting offices for various complex cashiering issues and advises on ideal resolutions to the problem issues.	10%
Support Services: Reviews, analyzes and processes applications to reduce backlogs, accesses databases and responds to consumer inquiries. Has knowledge of laws, rules and regulations governing Limited Liability Corporations (LLC).	5%	Support Services: Reviews, analyzes and processes applications to reduce backlogs, accesses databases and responds to consumer inquiries. Has knowledge of laws, rules and regulations governing Limited Liability Corporations (LLC).	10%
Total Time	100.0%	Total Time	100.0%

Staff Services Analyst - 1 position		Staff Services Analyst - 1 position	
Reports to: SSMI, Licensing	# Supv 0	Reports to: SSMI, Licensing	# Supv 0
Duties	% Time	Duties	% Time
Licensing: Final review of complex company applications requiring interpretation and/or clarification of the Bureau's laws and regulations. Review's badge/patch emblems to ensure that they do not resemble those of law enforcement, other government agency or licensed entity and that all required elements are included. Serves as backup for requests for authorization for an individual and/or company to provide Power to Arrest, Proprietary Security Skills and Security Guard Skills training.	40%	Rectifies Cashiering Problems: Collaborates with licensing technicians to resolve complex licensing related cashiering issues. Subject Matter Expert for licensing technicians. Coordinates with and advises the department's Cashiering Office on resolutions to problem issues, identifies and corrects misapplied fee payments in the licensing database.	40%
Administrative Support: Develops and maintains company processes, procedures, cheat sheets and training manuals for the Licensing Unit. Lead contact for OIS for I-Licensing and assists with troubleshooting, and examining errors in the automated licensing system relating to problems with the automated cashiering and telephone and online licensing systems. Develops and maintains application forms and form letters to comply with new laws and regulations. Backup Bureau liaison with PSI the Bureau's exam vendor.	40%	Licensing Application Exception Reports: Runs AdHoc reports to identify license applications that have not issued because of technical system problems, reconciles reports by researching databases and troubleshooting problem license applications to rectify the problem, corrects outstanding problems so licenses will issue.	40%
Data Gathering/Reporting: Generates, evaluates and monitors data on company licensing for maximum service level performance and to assist management in making assignments. Prepares other reports as requested. Ensures that liability insurance requirements for Private Patrol Operators, Private Investigators and Alarm Company Operators are met and comply with minimum standards.	20%	Program Liaison: Liaison between the Department's cashiering and accounting offices for various complex cashiering issues and advises on ideal resolutions to the problem issues.	10%
		Support Services: Reviews, analyzes and processes applications to reduce backlogs, accesses databases and responds to consumer inquiries. Has knowledge of laws, rules and regulations governing Limited Liability Corporations (LLC).	10%
Total Time	100.00%	Total Time	100.0%

Program Technicians

Work distribution chart (WDC) 6 shows the tasks and workload for 12.5 Program Technician II's (PT II) (10.5 permanent and 2 permanent intermittent) and 6.5 Program Technicians (PT) (4.5 permanent and 2 permanent intermittent).

Eleven of the PT II's primarily answer and respond to incoming calls concerning initial and renewal licenses, enter information into BreZE, and process fingerprint rejection notifications. One PT II splits time answering phones, inputting information into BreZE, processing mail, and processing fingerprint rejection notifications. The half-time PT II primarily reviews liability insurance certificates, enters information into BreZE, and conducts research on consumer inquiries.

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Of the six 6 PT's, 4.5 primarily enter information into BreEZe and also answer phones, process fingerprint rejections, and perform general office duties. Two of the PT's primarily process mail, enter information into BreEZe, and process fingerprint rejections.

WDC 6

Program Technician II - 11 positions		Program Technician II - 1 position	
Reports To: Supervising PT III	# Supv: 0	Reports To: Supervising PT III	# Supv: 0
Duties	% Time	Duties	% Time
Telephone Assistance: Answers and responds to incoming telephone calls concerning all types of initial and renewal licenses, uses BreEZe, CAS and ATS systems to research information and respond to inquiries.	50%	Telephone Assistance: Answers and responds to incoming telephone calls concerning all types of initial and renewal licenses, uses BreEZe, CAS and ATS systems to research information and respond to inquiries.	30%
Licensing: Inputs application and licensee information into BreEZe, reviews and processes exception reports, links license and registration clearances through the DOJ interface.	40%	Licensing: Inputs application and licensee information into BreEZe, reviews and processes exception reports, links license and registration clearances through the DOJ interface.	30%
Support Services: Processes Notice of Fingerprint Reject notifications, and performs general office duties.	10%	Mail: Opens, sorts, and forwards all incoming mail, sorts licensing incoming mail, logs for assignment. Accepts, logs and secures all incoming payments.	30%
		Fingerprints: Processes Notice of Fingerprint Reject Certifications, notifies applicants that their fingerprints were not readable by the DOJ system and that they must be resubmitted.	5%
		Support Services: Performs general office duties.	5%
Total Time	100.0%	Total Time	100.0%

Program Technician II - .5 position	
Reports To: Supervising PT III	# Supv: 0
Duties	% Time
Liability Insurance Review: Receives Certificates of Liability Insurance from Private Patrol Operators, enters policy information into Bureau databases for monitoring, maintains spreadsheet to track and maintain policy information, sends Notice of Automatic Suspension, suspends licenses for failure to maintain required coverage and lifts suspensions when compliance is obtained.	55%
Research: Accesses Bureau databases to answer consumer inquiries.	15%
Licensing: Inputs application and licensee information into BreEZe, reviews and processes exception reports, links license and registration clearances through the DOJ interface.	15%
Telephone Assistance: Answers and responds to incoming telephone calls concerning all types of initial and renewal licenses, uses BreEZe, CAS and ATS systems to research information and respond to inquiries.	15%
Total Time	100.0%

Program Technicians - 3.5 positions		Program Technicians - 2 positions	
Reports to: Supervising PT III	# Supv 0	Reports to: Supervising PT III	# Supv 0
Duties	% Time	Duties	% Time
Licensing: Inputs application and licensee information into BreEZe, reviews and processes exception reports, links license and registration clearances through the DOJ interface.	60%	Mail: Receives, opens and sorts all incoming mail, sorts Licensing Unit's mail, logs for assignment and logs, secures all incoming payments.	40%
Telephone Assistance: Answers and responds to incoming telephone calls concerning all types of initial and renewal licenses, uses BreEZe, CAS and ATS systems to research information and respond to inquiries.	30%	Licensing: Inputs application and licensee information into BreEZe, reviews and processes exception reports, links license and registration clearances through the DOJ interface.	25%
Fingerprints: Processes Notice of Fingerprint Reject Certifications, notifies applicants that their fingerprints were not readable by the DOJ system and that they must be resubmitted.	5%	Telephone Assistance: Answers and responds to incoming telephone calls concerning all types of initial and renewal licenses, uses BreEZe, CAS and ATS systems to research information and respond to inquiries.	20%
Reception/Support: Performs general office duties.	5%	Reception/Support: Performs general office duties.	10%
		Fingerprints: Processes Notice of Fingerprint Reject Certifications, notifies applicants that their fingerprints were not readable by the DOJ system and that they must be resubmitted.	5%
Total Time	100.0%	Total Time	100.0%

Student Assistant and Cashiering Management Services Technician

Work distribution chart (WDC) 7 shows the tasks and workload for two Student Assistants (SA), and one Cashiering Management Services Technician (MST).

The two SA’s primarily research and resolve BreEZe license processing issues, prepare deficiency letters, and identify potential issues with BreEZe applications that may require a system change or enhancement.

The Cashiering MST handles Bureau cashiering activities. The incumbent is an employee of the DCA Central Cashiering Unit and reports to the DCA Fiscal Operations Accounting Administrator. In addition, DCA Cashiering staff also perform other Bureau cashiering activities covered by DCA pro rata costs.

WDC 7

Student Assistant - 2 positions		Management Services Technician - 1 position	
Reports to: SSML, Licensing	# Supv 0	Reports to: Accounting Administrator I, Fiscal Operations, DCA Central Cashiering Unit; Licensing Manager oversees Cashiering	# Supv: 0
Duties	% Time	Duties	% Time
BreEZe Licensing Research/Issue Resolution: Analyzes various data to determine the source of problems preventing the issuance of a license, takes corrective action to reconcile the issues. Prepares deficiency correspondence to applicants explaining the problems and specifying what information is needed to issue the license.	70%	Business Processes: Provides support to CCU, handles the most difficult cashiering issues, including: payment discrepancies, dishonored check workload, deposits, refund and transfers. As BSIS liaison, develops cashiering business and technical specifications for BreEZe.	60.0%
Change Control Board: Assists in compiling information needed to support BreEZe Work Authorization requests presented to the Change Control Board.	15%	Data and Information Compliance: As BSIS cashiering liaison assists the BreEZe team implement new workarounds in BreEZe. Attends BSIS meetings, summarizes and communicates information to CCU on cashiering issues.	15.0%
Applications: Recommends changes to Bureau applications forms, revises and/or reformats the Bureau’s application forms.	15%	Managerial Support and Leadership: Trains and assists staff in BreEZe BSIS Cashiering. Reviews cashiering data error reports, analyze errors and corrects records. Acts as lead providing consultation between BSIS staff, and AAI staff to resolve problems and issues pertaining to cashiering.	15.0%
		BSIS Help Desk: Provides support to BSIS clients, licensing staff, CCU staff and accounting office staff in resolving payment related phone calls and emails.	5.0%
		Miscellaneous: Prepares work status reports.	5.0%
Total Time	100.0%	Total Time	100.0%

Enforcement Activities

The Bureau’s Enforcement function consists of complaint resolution and investigations. The Complaint Resolution Program operates within the Enforcement Unit (EU). During the review period, there were minor changes in staff-manager reporting relationships that are reflected in this report.

The EU Complaint Resolution staff receive and attempt to resolve complaints involving Bureau licensees through alternative settlement action. The EU staff receive and investigate complaints from consumers, licensees, law enforcement and other government agencies, and conduct compliance inspections of company licensees which may result in full investigations. EU staff also recommend and issue citations and fines, and recommend disciplinary actions through the California Department of Justice’s (DOJ) Office of Attorney General (OAG).

Table 3 shows that on average most (91.9%) of the consumer complaints the Bureau received from FY 2012-13 through FY 2015-16 were referred for investigation.

Table 3
BSIS Consumer Complaints

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Received	3,543	2,378	2,546	1,536	2,501
Referred for Investigation	3,296	1,952	2,900	1,042	2,298
Closed w/o Investigation	97	203	139	471	228
Pending	200	160	65	127	138

Source: DCA Annual Reports

Table 4 discloses that on average inspections declined significantly over the four fiscal-year period. Beginning January 1, 2016, the Bureau resumed compliance inspection activities and is currently performing about 20 to 30 inspections per month. As a result of enacted legislation effective January 1, 2017, the Bureau is statutorily mandated to inspect newly-licensed Firearm Training Facilities with 120 days of initial licensure.

Table 4
BSIS Inspections

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Conducted	325	61	138	92	154

Source: DCA Annual Reports

Table 5 shows that on average investigations opened and closed over the four fiscal-year period have dropped significantly, with more closed than opened, and pending investigations increased. The decrease relates to a procedural change in the way the Bureau handles DOJ subsequent arrest notifications. Before FY 2013-14, Bureau staff ordered court records for all substantially-related arrests and desk investigations were opened to track the records requests. In FY 2013-14, the Bureau implemented the process change which limited the ordering of court records only for arrests involving serious violations where the Bureau might pursue a Penal Code 23 license restriction through the judicial process. The Bureau continues to request records and initiate cases for all subsequent substantially-related convictions for the purpose of possibly pursuing an automatic suspension or revocation. Additionally, the table includes data related to the handling of applicants with convictions, resulting in the opening and closing of application investigations for the purpose of capturing conviction information. For these reasons, actual investigation caseloads more closely align with the complaint information in Table 3.

Table 5
BSIS Investigations

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Opened	15,544	8,509	6,868	5,761	9,171
Closed	16,052	9,453	6,487	5,383	9,344
Pending	1,748	1,300	1,768	2,272	1,772

Source: DCA Annual Reports

Table 6 indicates citations and fines issued decreased significantly over the four fiscal-year period but almost all citations were issued with fines.

**Table 6
BSIS Citations & Fines**

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Issued	129	96	16	47	72
Issued with Fine	127	96	16	47	72
Withdrawn	3	0	1	0	1
Dismissed	4	2	1	0	2

Source: DCA Annual Reports

Enforcement Workload Assumptions and Task Time Estimates

Due to the repetitive, indefinite nature of handling consumer complaints, inspections, investigations, and issuing citations and fines, there are no specific Enforcement workload assumptions for these addressing the following activities and assigning them to specific license types. There are performance measures for some of these activities. For example, the performance measures for assigning a complaint to an investigator is seven days and 90 days from complaint receipt to closure. The formal discipline performance measure for completing the entire enforcement process, including Bureau intake, investigation and OAG prosecution is 540 days. Due to the lack of time and cost accounting records to allocate these costs to specific license types, the CPS cost model spreads these costs based on the number of Enforcement staff and paid annual hours.

Enforcement Staff Tasks and Workload Breakdown

The Enforcement Unit contains the following classifications: Staff Services Manager I, Associate Governmental Program Analyst, and Staff Services Analyst.

Enforcement Staff Services Manager I

Work distribution chart (WDC) 8 shows the Enforcement Manager’s primary duties entail developing policies and procedures and implementing effective program management strategies to support enforcement activities in accordance with statutory mandates, timely and in alignment with Bureau priorities; performing more complex enforcement-related research and analysis; overseeing statistical reports to monitor production activities and for report purposes; and performing general management activities. The incumbent also attends meetings, and oversees the complaint, investigation, and citation and fine program.

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WDC 8

Staff Services Manager I, Enforcement	1 position
Reports to: SSM II, Deputy Chief, Enforcement and Disciplinary Review	# Suprv 15
Duties	% Time
Supervision: Oversees the Enforcement Unit. Provides guidance and direction to analysts on their complaints, investigations, inspections at initiation, during the complaint resolution, investigatory and inspection processes and at completion in preparing reports and in making determinations for complaint resolutions, disciplinary actions and citations. Monitors complaint, inspection and investigation caseloads to ensure proper and timely processing. Provides technical assistance and direction. Reviews and provides direction for legal actions and for developing and monitoring administrative actions. Supervises enforcement staff including, hiring and training; evaluating unit and staff performance, taking corrective action as needed and managing employee relations matters. Reviews cases with Enforcement Staff to ensure proper investigation planning and provides guidance as needed. Counsels employees about attendance and performance. Develops work schedules to ensure customer services needs are met. Oversees fleet and asset	80.0%
Enforcement: Consults with District Attorneys, the Attorney General's Office and sworn law enforcement officers concerning administrative and criminal investigations and prosecutions of complaints. Provides expertise in drafting budget and strategic planning documents and for cost recovery.	15.0%
Outreach: Speaks at public, industry association and law enforcement meetings, serves as point of contact for BSIS Enforcement inquiries from sworn law enforcement agencies, Department of Insurance, etc., performs special outreach activities as needed.	5.0%
Total Time	100.0%

Associate Governmental Program Analysts (AGPA)

Work distribution chart (WDC) 9 shows that 10 of the 12 EU AGPAs investigate complaints, conduct compliance inspections, and prepare correspondence and reports.

WDC 9

Associate Governmental Program Analyst - 10 positions		Associate Governmental Program Analyst - 1 position	
Reports to: SSM I, Enforcement Unit	# Suprv 0	Reports to: SSM I, Enforcement Unit	# Suprv 0
Duties	% Time	Duties	% Time
Investigations: Investigates complaints from consumers, licensees, law enforcement and other government agencies. Researches, gathers, and documents facts and evidence to support recommendations for enforcement or disciplinary actions. Prepares reports documenting findings.	35.0%	Investigations: Investigates complaints from consumers, licensees, law enforcement and other government agencies. Researches, gathers, and documents facts and evidence to support recommendations for enforcement or disciplinary actions. Prepares reports documenting findings. Corresponds with complainants, subjects and licensees to obtain information and evidence to support Bureau actions or to determine whether the Bureau has jurisdiction over the issue in question. Analyzes the material to determine whether complaint is legitimate.	90.0%
Compliance Inspections: Conducts inspections to determine compliance with or violation of sections of the B & P or CCR, forwards completed inspection report with corresponding evidence to the Enforcement Manager for review and determination if the inspection will result in a full investigation.	25.0%	Correspondence: Responds to technical inquiries regarding laws, statutes, regulations, policies and procedures. Testifies in court.	5.0%
Correspondence: Corresponds with complainants, subjects and licensees to obtain information and evidence to support Bureau actions or to determine whether the Bureau has jurisdiction over the issue in question. Analyzes the material to determine whether complaint is legitimate. Responds to technical inquiries regarding laws, statutes, regulations, policies and procedures.	20.0%	Reports: Tracks case progress and status, prepares case summaries and produces other reports.	5.0%
Administrative/Criminal Hearings: Communicates with DCA Office of Legal Affairs, the Governor appointed Disciplinary Review Committee, DOJ, and other governmental agencies about enforcement records and actions taken against licensees. Testifies in Administrative Hearings and criminal court concerning their investigations.	10.0%		
Reports: Tracks case progress and status, prepares case summaries and produces other reports.	10.0%		
Total Time	100.0%	Total Time	100.0%

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Associate Governmental Program Analyst - 1 position	
Reports to: SSM I, Enforcement Unit	# Suprv 0
Duties	% Time
Program Support: Provides daily oversight of the workload, duties and responsibilities of the EU. Resolves the more difficult issues and provides guidance. Reviews completed investigation reports and amends as needed. Acts as a Subject Matter Expert for applying and interpreting law and regulations. Accompanies AGPAs in the field for annual evaluation and process improvement evaluation. Investigates complaints from consumers, licensees, law enforcement and other government agencies. Researches and prepares reports documenting findings. Corresponds with complainants, subjects and licensees.	65.0%
Administrative Support: Assists in developing, reviewing/updating processes, procedures and related manuals and implementing changes. Provides management with routine workflow updates and assists in making work flow adjustments. Responds to technical inquiries regarding laws, statutes, regulations, policies and procedures. Testifies in court.	25.0%
Data Statistical Support: Assists in preparing and gathering statistical data for monthly and yearly reports. Conducts monthly analysis/review of revoked licenses and researches for revocations and prepares listing for web posting of information. Performs other administrative assignments and special projects/reports as needed. Tracks case progress and status, prepares case summaries and produces other reports.	10.0%
Total Time	100.0%

Complaint Resolution Program AGPA and Staff Services Analysts

Work distribution chart (WDC) 10 shows the tasks CRP staff perform, including complaint intake and resolution, statistical reporting, telephone support, quality control and special projects.

WDC 10

Associate Governmental Program Analyst - 1 position		Staff Services Analyst - 2 positions	
Reports to: SSM I, Enforcement	# Suprv: 0	Reports to: SSM I, Enforcement	# Suprv: 0
Duties	% Time	Duties	% Time
Technical Assistance: Responds to inquiries regarding law and practices of licensees, interprets statutes, regulations, policies and procedures. Responds to requests for complaint information on licensees from the public, licensees and government agencies, applies the Information Practices Act and Public Records Act in releasing information to the public.	40.0%	Complaint Resolution: Resolves complex consumer complaints. Interviews complainants to verify allegations and to understand the issues, jurisdiction and services of the program. Conveys to licensees their customer's issues, verifies if program requirements were met. Attempts to resolve the complaint by presenting the complainant's and respondent's alternative settlement options and discusses possible violations of practices act. Reviews closed complaints for quality control, prepares statistical reports, recommends to SSM I on completeness of complaint reports.	45.0%
Special Projects: Researches programs and policies, evaluates program performance. Prepares written notices, memos, requests for legal opinions, and correspondence pertaining to licensing and regulatory issues.	20.0%	Staff Reports: Compiles data into a statistical report, analyzes and reviews all open complaints to determine status for action and patterns of complaints and recommends workload adjustments.	15.0%
Complaint Resolution: Provides and obtains information concerning complaints and violations against licensees from various law enforcement agencies. Assists in preparing material for subpoenas, provides assistance concerning compliance with various laws and regulations. Resolves complex complaints filed with the Bureau by consumers, determines whether complaints warrant disciplinary action, if so, refers complaints to the Enforcement Unit. Reviews and responds to requests from licensees to discuss probable violations. Receives settlement offers and presents counter offers on behalf of the consumer.	20.0%	Complex Inquiries: Responds to requests for complaint information on licensees. Applies the Information Practices Act and Public Records Act in releasing information to the public.	10.0%
Reports: Prepares statistical reports for the Bureau's Enforcement and Disciplinary Review Units, reviews all open complaints to determine status and patterns of complaints. Informs Enforcement staff when a pattern of complaints has been established.	15.0%	Complete Project: Researches program and policies. Prepares written notices, memos, and requests for legal opinions.	10.0%
Telephone Support: Answers Bureau's phone calls and assists consumers and licensees with their inquiries, complaint questions, etc.	5.0%	Quality Control: Provides feedback for continuous improvement, provides hands on training or recommends appropriate training.	10.0%
		Telephone Support: Answers Bureau's phone calls and assists consumers and licensees with their inquiries, complaint questions, etc.	10.0%
Total Time	100.0%	Total Time	100.0%

Staff Services Analyst (SSA)

Work distribution chart (WDC) 11 shows the tasks performed by the SSA include complaint intake and distribution, managing issued citations, tracking inspection assignments, and serving as point of contact for Violent Incident Reports.

WDC 11

Staff Services Analyst - 1 position	1 position
Reports to: SSM I, Enforcement Unit	# Suprv 0
Duties	% Time
Enforcement Complaint Investigation Case Intake: Reviews complaints to determine whether the Bureau has jurisdiction. Acknowledges receipt of the complaint. Assigns complaint to appropriate Enforcement AGPA based on location, workload and general subject matter. Obtains and reviews information from complainants to substantiate identified violations, collaborates with the Complaint Resolution Program, refers complaint to appropriate agency, or provides educational material to complainant and closes the complaint. Runs statistical reports.	40.0%
Citations: Manages citations issued by Enforcement AGPAs. Serves the citation, codes in the database for tracking, places administrative holds on a license, develops payment plans, monitors payments, sends reminder notices and delinquencies to FTB for further action, maintains citation tracker for payments and correspondence from licensees. Corresponds with licensees.	20.0%
Inspection Program: Researches databases for information needed for inspections, maintains spreadsheet to track assignments and enforcement actions, provides monthly report on inspections, creates and maintains spreadsheet to monitor Enforcement Analysts' case workload and prepares monthly reports.	20.0%
Public Information: Initial receiver and Point of Contact for Violent Incident Reports relating to firearm discharge and violent incidents. Reviews reports and contacts law enforcement to verify the incident. Assigns investigation of the report to an Enforcement AGPA. Provides information about the Bureau's complaint process, and conducts other projects as needed.	20.0%
Total Time	100.0%

Disciplinary Review Unit Activities

The Bureau's Disciplinary Review Unit (DRU) performs the following activities: reviews criminal offender record information (CORI), also known as rapsheets, on applicants; issues denials of license applications; reviews subsequent arrest and conviction information; automatically suspends licenses due to criminal convictions; and coordinates with the Office of the Attorney General (OAG) to take disciplinary actions against licensees. CORI records contain all criminal court appearances in California for a particular individual, including arrests, convictions, dismissals and serious violations. Information about non-California convictions is also received from the FBI via DOJ.

DRU staff run daily BreZE Business Objects A202 reports that produce a CORI for individuals seeking a Bureau license and firearm prohibits for individuals pursuing a Bureau firearms permit.

DRU staff also review and prepare case files and correspondence for appeal hearings for applicants whose license has been denied because of criminal records, or for licensees whose licenses have been automatically suspended due to a subsequent conviction or issued a citation and fine. These appeals may go through the formal administrative hearing process or through

various BSIS Disciplinary Review Committees. DRU Case Management staff also liaise with the OAG on disciplinary cases, and monitor and refer non-compliant probationary licensees to the OAG.

Table 7 reveals the substantial number of subsequent arrest and conviction notifications the Bureau received from the DOJ from FY 2012-13 through FY 2015-16.

Table 7
BSIS Conviction/Arrest Notification Complaints

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Received	19,265	20,413	21,128	21,565	20,593
Closed/Ref for Investigation	16,652	18,826	20,300	20,894	19,168
Pending	92	81	110	671	239

Source: DCA Annual Reports

Table 8 reveals the number of OAG/Disciplinary Actions opened dropped substantially from FY 2012-13 through FY 2014-15, then doubled in FY 2015-16, returning to the level seen in FY 2013-14. In addition, the table shows a large backlog of cases was closed the first four fiscal years within the period. Part of the reduction is attributable to the Bureau re-evaluating and withdrawing some cases pending with the OAG and beginning to use its statutory authority to automatically suspend a security guard registration for a substantially-related conviction instead of pursuing revocation through the administrative process.

Table 8
BSIS OAG/Disciplinary Actions

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Cases Opened	121	92	55	91	90
Cased Closed	660	261	258	27	302
Cases Pending	150	122	101	103	119

Source: DCA Annual Reports

Formal actions filed include Statement of Issues (SOI) and Accusation. A SOI is a legal document formally charging an applicant for initial licensure with a violation(s) of a pertinent Act, and notifying the public a disciplinary action is pending against the applicant. An Accusation is also a legal document formally charging a licensee with a violation(s) of a pertinent Act, and notifying the public a disciplinary action is pending against the licensee.

Table 9 discloses on average over the four fiscal-year period, SOI's filed increased substantially then dropped by 50%. Accusations filed increased, dropped slightly, and then increased again. Withdrawn or dismissed SOI's and accusations declined substantially. As previously noted, the Bureau's re-evaluation and withdrawal of cases, and implementing its authority to automatically suspend security guards attributed to some of the fluctuation.

Table 9
BSIS Formal Actions Filed

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
Statement of Issues (SOI)	18	24	28	14	21
SOI Withdrawn or Dismissed	24	7	5	1	9
Accusations	30	27	24	40	30
Accusations Withdrawn or Dismissed	36	2	9	8	14
Orders Granted	7	7	0	0	3.5

Source: DCA Annual Reports

Table 10 shows Bureau application denials and disciplinary actions taken against licensee over the four fiscal-year period. License revocations over the period declined by 80%. The decline is attributable to the Bureau’s use of its statutory authority to automatically suspend a security guard registration for a criminal conviction which began in FY 2013-14.

Table 10
BSIS Administrative Outcomes/Final Orders

	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg
License Applications Denied	1,776	1,856	2,216	1,349	1,799
License Revocations	501	197	177	102	244
License Surrenders	6	2	2	0	3
Probation with Suspension	1	2	0	0	1
Suspension Only	885	906	805	638	809
Probation Only	37	16	7	7	17
Public Reprimand	1	0	1	0	1
Other Decisions	15	0	29	0	11

Source: DCA Annual Reports

DRU Workload Assumptions and Task Time Estimates

Based on staff interviews, observation and the development of workload assumptions (Appendix 2), the following briefly describes the processing of CORI documents, application denial appeals, receipt of subsequent arrest/convictions information, automatic suspension appeals, and firearm permit revocations, and that are built into the costing model.

Initial Rap Sheet Processing

About 25% of Bureau applicants have a rap sheet. Each day, DRU staff print and review rap sheets received from the DOJ and FBI, primarily for Security Guard (estimated 86%) and Alarm Company employee applications (estimated 10%). Rap sheets received for other license types are negligible. A simple rap sheet has 1-2 convictions while a complex rap sheet has three or more convictions. A simple rap sheet with issuable offenses (e.g., convictions that do not demonstrate the applicant is unfit for licensure) and an application with no deficiencies can be reviewed, entered into BreEZe and approved within 35 minutes. Approval of a complex rap sheet with issuable offenses and application deficiencies can take up to 75 minutes to process,

including reviewing/entering information into BreEZe, and obtaining manager approval. Denial of an application based on a simple rap sheet takes about 65 minutes while denial of an application with a complex rap sheet can take up to 95 minutes with BreEZe data entry, ordering/reviewing court records, and manager approval.

Application Denial Appeals Processing

On average, the Bureau denies approximately 1,800 license applications for individuals each year, primarily due to criminal convictions. Denials average 86% (232) for Security Guards and 10% (27) for Alarm Company employees. Depending on the Practice Act, an applicant may appeal a denial to a Disciplinary Review Committee (DRC), to a Department of General Services Office of Administrative Hearings Administrative Law Judge (ALJ), or to both. Appeals may be made with or without rehabilitation documents. The Private Security Services Act has two DRCs, one for northern California and one for southern California. Each five-member DRC is comprised of three industry members and two public members. Effective July 1, 2017, the Bureau will establish DRCs for the Collateral Recovery Act and the Private Investigator Act.

For appeals made to the DRC without rehabilitation evidence documents, Bureau staff enter information into BreEZe, order and review court records, schedule the hearing, prepare an agenda, prepare case files for the committee, and prepare and mail meeting notice letters to the appellants. After the hearing is held and a decision is rendered, Bureau staff prepare, issue and post letters containing the committee decision, and finalize the records. Total processing time is 225 minutes per appeal. About 15% (270) of denials result in appeals to the appropriate DRC.

For appeals made to the DRC with rehabilitation evidence documents, the DRU manager reviews the documents and either approves the license without DRC involvement, or denies the license and the appeal is forwarded to the DRC. Total processing time for an approval is 45 minutes, including staff time to update the denial in BreEZe, and 270 minutes for a denial because of tasks similar to appeals made directly to the DRC.

If an applicant appeals to a DRC and the Committee upholds the Bureau's denial decision, the applicant may also appeal to an ALJ. Approximately 1% of denials (18) are appealed to both a DRC and ALJ. Bureau staff receive the post-DRC appeal to the ALJ and enter the information into BreEZe, and prepare a memo to the OAG that requests an appeals hearing, certification of the documents, a proposed decision/ stipulated settlement and related tasks. Total post-DRC appeal processing time is 250 minutes per appeal. Total processing time for both the DRC and ALJ appeal process is about 475 minutes.

Around 0.05% of denials (9) result in appeal to the ALJ only. With this appeal, Bureau staff enter information into BreEZe and order and review court records. The DRU manager reviews the evidence of rehabilitation submitted with the appeal, prepares a memo to the OAG to request an appeal hearing and the certification of documents, a proposed decision/stipulated settlement and related tasks. Total processing time is 255 minutes per appeal.

Subsequent Arrest/Conviction Document Processing

On average, there are approximately 75,500 subsequent arrest/conviction (SubRaps) documents received from DOJ by email and processed each year. About 90% (67,950) require no further action, 9% (6,795) will be tracked and 1% of the 9% (68) will require a Penal Code (PC) 23 action (see #3 below). Finally, 1% (755) will result in automatic suspension or filing an accusation with the OAG. SubRaps average 86% (232) for Security Guards and 10% (27) for Alarm Company employees.

Every SubRap is reviewed for the following factors:

1. Interested/not interested: determine whether the arrest/conviction is for a criminal violation that is substantially related to the duties/responsibilities of the applicable license type.
2. License status of the arrested/convicted person: determine whether the person is a current applicant, licensee or registrant and whether the person is subject to reinstatement of an expired/delinquent license or registration.
3. Need to pursue PC 23 action: determine whether the arrest warrants the Bureau pursuing a court order to prohibit the individual from performing the functions of the license pending the outcome of judicial proceedings.

Processing time for SubRaps are estimated as follows:

- SubRaps falling into the not-interested category require no further action and take about 10 minutes per to review and clear.
- Subsequent arrests involving serious offenses require about 10 minutes per to review and 5 minutes per to forward to Enforcement for preparation of a PC 23 request.
- For subsequent arrests referred for PC 23 action, Enforcement staff prepare documents for a PC 23 transmittal to the OAG, enter information into BreEZe, and obtain a police report. A manager reviews and approves the PC 23 and forwards it to the OAG. Total processing time is 150 minutes per PC 23 referral.
- For “interested” convictions, Bureau staff review the SubRap and order court records. Upon receipt of the records, staff review the information and determine whether to pursue disciplinary action. For licenses where the Bureau has automatic suspension authority, staff suspend the license in BreEZe, prepare an auto suspend notification letter for the licensee which the DRU manager reviews. If the manager approves and signs the letter, the letter is uploaded into the BreEZe record, uploaded to the public website, and mailed to the licensee. Total processing time is 165 minutes per auto suspend.

Auto Suspend Appeals Processing

Certain provisions of the Business and Professions Code authorize the Bureau to automatically suspend a license/registration. Based on the specific Act, an automatic suspension may be

imposed based on either a conviction for a substantially-related crime or when the Bureau determines continued licensure/registration presents an undue hazard to public safety which may result in substantial injury to another person.

On average, there are approximately 800 auto suspensions annually. About 14% (112) of the suspensions are appealed. Auto suspend appeals annually average 90% (101) for Security Guards and 10% (11) for Alarm Company employees. Approximately 2% (16) of auto suspends are appealed to both a DRC and the ALJ. Around 1% of appeals (8) are made directly to the ALJ and only guards have this option.

Depending on the Practice Act, licensees are authorized to appeal an automatic suspension to an ALJ, or to a DRC or ALJ, but the first appeal must be to a DRC. Licensees may file their appeals with or without rehabilitation evidence documents. Following are related tasks and time estimates:

- Bureau staff review appeals directly to a DRC, enter information into BreEZe, review court records, schedule the appellant for an upcoming DRC meeting, draft, post and email the DRC meeting agenda, prepare DRC Notice Letters and mail them to the appellants. Staff also prepare and mail case files to committee members. After the hearing is held, staff enter the appeal outcomes into BreEZe, prepare and mail post-hearing letters to appellants, and finalize records. Total processing time is 220 minutes per appeal.
- DRC appeals with rehabilitation documents may result in the suspension being reversed without referral to a DRC hearing. With this process, the DRU manager reviews the court records and rehabilitation documents. If the decision is made to reverse the suspension, the DRU manager provides the Deputy Chief with the information to review. If the suspension is reversed, staff enter the information into BreEZe, prepare a reversal letter, upload it into the BreEZe record, and mail it to the licensee. Total processing time is 70 minutes per appeal.

For those cases where Bureau management do not reverse the suspension, the appeal continues similarly to the activities detailed in the first bullet. Total processing time is 250 minutes per appeal.

- Bureau staff enter post-DRC Appeals to the ALJ into BreEZe and submit the case file to the DRU manager for review. The manager forwards the appeal to the Case Management AGPA who prepares a memo to the OAG, prepares certification documents, reviews proposed decisions/stipulated agreements, prepares letters and updates BreEZe. Total processing time is 250 minutes per appeal.
- For licensees appealing directly to the ALJ, the AGPA prepares a memo to the OAG, prepares certification documents, reviews proposed decisions/stipulated agreements, prepares letters and updates BreEZe. Total processing time is 250 minutes per appeal.

Firearm Permit Revocation and Denial Processing

If the DOJ determines a license holder or applicant is prohibited from owning or possessing a firearm under State or Federal law, the DOJ notifies the Bureau of the prohibition. Prohibits relating to current firearm permit holders are received by mail. The Bureau receives approximately 800 DOJ Firearm Prohibits (pinks) annually. About 75% (600) of these prohibits do not match a current firearm permit holder or applicant. Around 25% (200) of prohibits result in firearm permit revocation. Prohibits for firearm applicants are received by a secured email account and reflected on the BreEZe A202 report. Following are the related tasks and time estimates:

- For DOJ prohibits where the license/application status check verifies there is no match to a current firearm permit holder or applicant, staff return the document to the DOJ Firearm Unit along with a “no longer interested” notice. Total processing time is 15 minutes per prohibit.
- For DOJ prohibits where the license/application status check verifies a match to a current firearm permit holder or applicant, staff enter the revocation information into BreEZe, prepare and mail a revocation letter to the licensee, and upload it into BreEZe. Total processing time is 60 minutes per revocation.

The Bureau receives approximately 600 firearm prohibits annually on the BreEZe A202 report relating to firearm permit applications. About 25% (150) of prohibits do not match a current firearm permit application. Around 75% (450) of prohibits result in the Bureau denying the firearm permit. Following are the related tasks and time estimates for these prohibits:

- For DOJ firearm prohibits where the application status check does not match a current, pending firearm permit application, denials that do not match a firearm permit/application, no further action is taken. Total processing time is 15 minutes per prohibit.
- For DOJ prohibits where the application status check matches a current, pending firearms permit application, staff enter the denial into BreEZe, prepare and mail a denial letter to the applicant, and upload the letter into the BreEZe record. Total processing time is 60 minutes per denial.

Disciplinary Review Unit Staff Tasks and Workload Breakdown

The Disciplinary Review Unit (DRU) contains the following classifications: Staff Services Manager I, Associate Governmental Program Analyst, Staff Services Analyst, Office Technician and Program Technician II.

DRU Staff Services Manager I

Work distribution chart (WDC) 12 shows the DRU Manager’s primary duties include developing policies and procedures and implementing effective program management strategies to support disciplinary activities performed in accordance with statutory mandates, timely and in alignment

with Bureau priorities; performing more complex disciplinary-related research and analysis; overseeing various disciplinary statistical reports to monitor production activities and for reporting purposes; attending Committee meetings; and general management activities.

WDC 12

Staff Services Manager I	
Reports to: Deputy Chief, SSM II Enforcement and Disciplinary Review	# Supv: 10
Duties	% Time
Supervision: Oversees the Bureau's Disciplinary Review Unit, directs staff, monitors workload to ensure timely handling. Evaluates Case Management staffs' performance, reviews staff work and monitors workload for probation cases and those submitted to the AG's Office, coaches, provides and recommends training to Case Management staff. Reviews and ensures all BSIS correspondence relating to denials, suspensions, and revocations reflect current law and provide appropriate information to applicants and licensees. Manages and provides technical assistance to the BSIS Custodian of Records and responds to Public Records Requests. Counsels employees on attendance and work performance deficiencies, takes corrective action as needed, resolves grievances, and initiates adverse or corrective actions if necessary, resolves all issues, concerns or problems for Disciplinary Review Unit, prepares individual evaluations and probation reports.	45.0%
Disciplinary Review Management: Responds to complex technical written inquiries. Ensures the Bureau's disciplinary activities are operating within statutes. Plans, directs and evaluates the Case Management and Disciplinary Review unit staffs' activities. Oversees meeting activities of the three BSIS Disciplinary Review Committees, including meeting room location and reservation, that the meetings comply with the Bagley-Keene Open Meetings Act requirements, ensures staff is issuing Committee related notices to respondents regarding their hearing dates and notices of the Committee's action on their appeals and further appeal rights. Recommends items for information bulletins and consumer education materials, legislative and regulatory, and policy and procedure changes. Evaluates and hires applicants to fill Disciplinary Review Unit vacancies and completes probation reports.	30.0%
General Administration Activities: Prepare statistical reports to provide performance measures and special reports as requested. Assists the Policy Unit with legislation and regulation proposals. Keeps Executive staff apprised of sensitive disciplinary review activities.	15.0%
Special Projects: Implements new or makes changes in Disciplinary Review Unit processes and procedures as needed. Oversees complex special projects. Handles urgent and highly confidential matters on behalf of the Chief and Deputy Chief, ensures that the Disciplinary Review Unit is operating within legislative intent and applicable statutes.	10.0%
Total Time	100.0%

Case Management Associate Governmental Program Analysts (AGPA)

Work distribution chart (WDC) 13 shows the three CMU AGPAs work with the OAG on disciplinary and probationary license cases. These individuals also perform the rap sheet reviews of license applicants.

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WDC 13

Associate Governmental Program Analyst - 1 position		Associate Governmental Program Analyst - 2 positions	
Reports to: SSMI, Disciplinary Review	#Suprv 0	Reports to: SSMI, Disciplinary Review	#Suprv 0
Duties	% Time	Duties	% Time
Attorney General - Case Management: Primary liaison for the Attorney General's Office and the County District Attorney Offices regarding disciplinary cases referred to the AG. Corresponds with all parties concerning case related information. Reviews case background information and documentation to determine whether the Bureau should refer the case to the AG or reconsider and issue the license. Reviews pleadings for accuracy and possible reconsideration. Reviews decisions and stipulations from the AG and recommends whether to adopt or not. Monitors and tracks cases referred to the AG to ensure timely processing. Responsible for the timely serving of proposed decisions and notices of adoption or rejection of proposed decisions to the respondent, their attorneys and the Deputy Attorney General.	80.0%	Probation - Case Management: Maintains the Bureau's probationary licenses, reviews all probationary decisions and stipulations for all licensees except PIs, notifies probationer of requirements, processes Declarations of Compliance and fine payments, notifies probationers of completion of terms, determines non-compliance, refers noncompliant probationers to the AG. Creates and maintains a tickler system to verify compliance, re random drug tests, and proof of completion of required courses/therapy. Reviews revoked licenses with outstanding payments due, and collects and tracks remaining payments, including establishing payment plans or setting up FTB intercepts. Reviews all PI applications with a criminal history report, requests documents from courts, obtains additional information from applicant, recommends course of action, drafts terms and conditions for probation. Reviews Alarm Company Operator cases granted a probationary license, reviews terms and conditions set forth by the ACO DRC to ensure compliance with the Alarm Company Disciplinary Guidelines.	85.0%
Special Projects/Support: Special projects as assigned, including researching policy and procedure issues, writing reports, analyzing data and recommending solutions.	15.0%	Public Relations: Responds to licensee, consumer and legal office questions, represents the Bureau at industry functions and provides information, represents the Bureau in meetings and court hearings.	10.0%
Statistical Reports: Prepares and maintains statistical reports regarding disciplinary cases referred to the AG.	5.0%	Statistical Reports: Prepares and maintains statistical reports on the probation program.	5.0%
Total Time	100.0%	Total Time	100.0%

Staff Services Analysts (SSA)

Work distribution chart (WDC) 14 shows two SSAs. One SSA prepares case files for appeal hearings, corresponds to inquiries, and collects and analyzes statistical appeals data. The other SSA reviews DOJ subsequent arrest and convictions reports and performs the license auto-suspension process primarily for security guards.

WDC 14

Staff Services Analyst

Staff Services Analyst - 1 position		Staff Services Analyst - 1 position	
Reports to: SSM I, Disciplinary Review Unit	# Suprv: 0	Reports to: SSM I, Disciplinary Review Unit	# Suprv: 0
Duties	% Time	Duties	% Time
Disciplinary Case Review: Reviews and prepares case files for appeal hearings for: 1) applicants whose license has been denied because of their criminal offender record information (CORI), 2) licensees with a subsequent CORI arrest record for an offense that would cause the Bureau to begin suspension proceedings, or 3) licensees issued a fine or citation. Ensures all evidence is secured and all Committee Member packets are complete. Completes and analyzes each appeal and documentation to determine eligibility of the applicant/licensee's appeal. Researches complex inquiries regarding the applicants/licensees' appeal rights. Educates the applicant/licensee on their specific due process rights. Recommends reconsideration of a denial or revocation of a registration/license.	50.0%	Automatic Suspensions: Reviews and analyzes rehabilitation information (court documents, letters of recommendation, proof of rehabilitation, etc.) submitted by registrants/licensees appealing the suspension of their registration/license. Determines whether the Bureau should proceed with the suspension. Prepares memo to Bureau management to recommend and provide justification for a specific course of action. Interprets Bureau regulations to review and analyze each subsequent arrest notification. Determines whether the act(s) warrant follow-up monitoring for the purpose of registration/license suspension. Advises Bureau staff to order court records. Reviews and analyzes court records. Recommends whether the Bureau should pursue the suspension of the registration/ application and determines whether the Bureau's action should be an auto suspension or suspension. Prepares correspondence to notify registrants/licensees of their registration/license suspension and their rights to appeal the Bureau's decision. Responds to complex registrants/ applicants seeking additional information about their suspension and appeal rights.	50.0%
Correspondence: Prepares responses to inquiries regarding the status of guard and alarm agent applications, registrants and licensees. Answers questions regarding statutes and the Bureau's policies and procedures. Sends hearing notifications to each applicant/licensee, prepares correspondence to the applicant and entities identifying specific issues.	25.0%	Criminal Information Review: Reviews subsequent arrest and conviction Criminal Offender Record Information (CORI) from DOJ. Reviews and analyzes the act(s)/conviction(s). Determines whether the act/conviction, and pattern of criminal history, is/are substantially related to the qualifications, functions and duties of a licensee under the six Practice Acts. Must be familiar with applicable State laws and their affiliated regulations. Determines if the Bureau needs to continue receiving an individual's (prior applicant or licensee) arrest notifications, and, when appropriate, initiates No Longer Interested (NLI) process to advise the DOJ to cease notifications in connection with that individual. Creates and maintains a tracking log of all incoming subsequent arrest notifications, notifications sent for record ordering, and notifications sent to DOJ as NLI.	25.0%
Statistical Reports and Analysis: Collects, analyzes and interprets statistical data regarding appeals and the Disciplinary Review Committee, logs, tracks and maintains confidential case files and related correspondence. Special Projects as needed.	25.0%	Firearm Prohibits/Denials: Receives and analyzes firearm prohibit and denial notifications from DOJ and determines on appropriate Bureau actions. Researches licensing and application data bases to make determine validity of the license and forwards prohibits to technician for assignment.	20.0%
		Custodian of DOJ Records: Acts as the Bureau designated COR and is responsible for the security, storage, dissemination, and destruction of the CORI criminal records, and also serves as the primary DOJ contact. Provides annual training on CORI policy as needed to staff and trains all new hire employees.	5.0%
Total Time	100.0%	Total Time	100.0%

Program Technicians (PT) and Office Technicians (OT)

Work distribution chart (WDC) 15 shows one OT and three PT IIs prepare denial correspondence, key information into BreEZe, provide telephone assistance, and perform general office duties.

WDC 15

Office Technician (General) - 1 position	
Reports to: SSM I, Disciplinary Review Unit	# Supv: 0
Duties	% Time
Denials Correspondence: Prepares written correspondence to applicants notifying them of the denial of their application for a license due to the applicant's criminal history report, from the DOJ and the FBI. Prepares written correspondence to notify applicants of the Bureau's intent to suspend their application due to an outstanding case listed in their criminal history report.	50.0%
Processing Background Information/Office Functions: Keys applicant information and criminal history information into BreEZe, maintains pending applications and prepares statistical reports for management.	25.0%
Telephone Assistance: Answers incoming calls and responds to inquiries regarding why the application was denied, steps for the applicant to correct incorrect information, steps for the applicant to appeal the license denial and information the applicant needs to provide if their application is suspended.	20.0%
Disciplinary Review: Prepares applicant files to be transferred to the Disciplinary Review staff as needed, and assists in the Disciplinary Review process.	5.0%
Total Time	100.0%

Program Technician II - 2 positions		Program Technician II - 1 position	
Reports to: SSM I, Disciplinary Review Unit	# Supv: 0	Reports to: SSM I, Disciplinary Review Unit	# Supv: 0
Duties	% Time	Duties	% Time
Case Preparation: Assists with generating investigation records using BreEZe. Prepares folders for Accusation and Statement of Issues processing, reviews all case documents to ensure that all required information is included in the files.	85.0%	Processing Background Information/Office Functions: Keys applicant information and criminal history information into BreEZe, maintains pending applications and prepares statistical reports for management.	80.0%
General Office Duties: Prepares cover check sheet list for each Accusation and Statement of Issue file. Transfers files to Analysts for Accusation and Statement of Issues preparation. Maintains monthly workload statistics, open and sort mail, and other duties as assigned.	15.0%	Denials Correspondence: Prepares written correspondence to applicants notifying them of the denial of their application for a license due to the applicant's criminal history report. Prepares written correspondence to notify applicants of the Bureau's intent to suspend their application due to an outstanding case listed in their criminal history report.	15.0%
		Telephone Assistance: Answers incoming calls and responds to inquiries regarding why the application was denied, steps for the applicant to correct incorrect information, steps for the applicant to appeal the license denial and information the applicant needs to provide if their application is suspended.	5.0%
Total Time	100.0%	Total Time	100.0%

Administration & Policy Activities

As the name suggests, the Administration & Policy Unit provides administrative and policy support to all bureau functions and staff. Support functions include, but are not limited to: human resources activities, budgeting, purchasing/contracts, legislation and regulation development, public relations, information technology and telecommunications, web development, public records requests/subpoenas, examination updating, and special projects.

Major accomplishments for this unit during the period reviewed include:

- FY 2013-14: established the BSIS Ombudsman to serve as a single point of contact within the Bureau to improve response times to resolve sensitive and complex issues.
- FY 2014-15: Redesigned the Bureau's public website in December 2014.
- FY 2016-17: Promulgated regulations to update and clarify firearms training and qualification requirements, including the use of firearm simulators. The regulations were effective January 1, 2017.

Administration & Policy Workload Assumptions and Task Time Estimates

The Administration & Policy Unit provides all Bureau functions and staff with mission-critical business support that is repetitive and ongoing. As such, there are no specific unit workload assumptions for addressing the following tasks and workload or assigning them to specific license types. Due to the lack of time and cost accounting records to allocate these costs to specific license types, the CPS cost model spreads these costs based on the number of Unit staff and paid annual hours.

Administration & Policy Staff Tasks and Workload

The Administration & Policy function contains the following classifications: Staff Services Manager I, Associate Governmental Program Analyst, and Staff Services Analyst.

Staff Services Manager I

Work distribution chart (WDC) 16 shows the Admin/Policy Manager’s primary duties including monitoring the Bureau’s budget, human resources, purchasing/contracting, legislative/regulatory development, equipment and telecommunications activities; performing more complex analytical duties relating to legislation, the Bureau’s laws and rulemaking; and representing the Bureau at meetings.

WDC 16

Staff Services Manager I, Administration & Policy	
Reports to: Staff Services Manager II, Deputy Chief, Policy/Licensing	# Supv: 7
Duties	% Time
Supervision: Oversees the Bureau’s Administration and Policy Unit, including BSIS hiring and training; evaluating unit and staff performance, and managing employee relations matters.	40.0%
Administrative and Policy Management: Plans, directs and evaluates unit activities to ensure compliance with goals and objectives; works cooperatively with internal DCA offices; serves as Bureau point of contact; oversees draft rulemaking for regulations.	20.0%
Budget Liaison: Monitors and reports on current and projected fiscal year revenues and expenditures; prepares budget reports, budget change proposals and statistical reports; authorizes BSIS invoices and bills.	20.0%
Statistical Reports: Reviews the monthly statistical and workload revenue reports for accuracy; develops recommendations to management to meet workload demands.	10.0%
Special Projects: Implements new or changes unit procedures as needed; works with BreEZe team to ensure system effectiveness and provides training; oversees complex projects for management; handles confidential matters; responds to complex inquiries concerning applicable statutes, regulations, issues and policies; represents BSIS at meetings and/or conferences.	10.0%
Total Time	100.0%

Associate Governmental Program Analysts (AGPA)

Work distribution chart (WDC) 17 shows the six AGPAs perform a wide variety of administrative support duties, including but not limited to: human resources (recruitment, classification, compensation, benefits, health and safety issues, etc.), budgeting,

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purchasing/contracts, legislation and regulation development, ombudsman, public relations, information technology and telecommunications, web development, public records requests/subpoenas, examination updating, research and analysis, and special projects.

WDC 17

Associate Governmental Program Analyst - 1 position		Associate Governmental Program Analyst - 1 position	
Reports to: SSML, Admin and Policy	# Supv: 0	Reports to: SSML, Admin and Policy	# Supv: 0
Duties	% Time	Duties	% Time
Classification and Compensation: Conducts classification analyses and recruitment and selection, prepares and revises position justifications, duty statements and org charts, processes certification list clearances, conducts reference checks, and provides advice on personnel laws, rules and procedures.	45.0%	Ombudsman: Leads problem resolution efforts for sensitive, most complex conflicts and problematic issues from consumers, applicants and licensees. Explores and determines problem resolution options. Tracks and monitors implementation of problem resolution. Determines when to raise systemic concerns to higher levels.	40.0%
Personnel Consultation: Initial point of contact for advice on recruitment, appointments, performance appraisal, health and safety, and other personnel issues.	20.0%	Public Relations: Leads overall public e-mail inboxes (SIS, PI, PPD, etc.). Researches and responds to the most sensitive, high profile inquiries. Examines trends and patterns of sensitive, high profile complaints and identifies process improvements via the legislative or regulatory process. Works with the Bureau's Policy Unit to determine the impact of new laws and regulations on the Bureau's business processes.	35.0%
Special Projects and Assignments: Conducts special HR projects on employee discipline, health and safety, back up to Exam Coordinator, assists with updating the Qualified Manager Exams.	15.0%	Advisory Committee: Liaison and coordinator for the Bureau's advisory committee. Attends meetings, held two to four times a year, prepares and distributes meeting materials, drafts meeting minutes, researches and writes issue papers on advisory committee questions and concerns, and coordinates logistics (web casting, scheduling meeting room, etc.)	20.0%
Administrative Support: Provides feedback on sensitive employee issues, and provides budget data.	5.0%	Special Projects: Represents the Bureau at Department and industry events.	5.0%
Employee Discipline: Advises Bureau's supervisors and managers on the progressive discipline process, including corrective and/or adverse actions. Assists in preparing various written HR memos.	5.0%		
Research and Analysis: Researches complex HR issues and prepares issue memos, makes recommendations and prepares reports.	5.0%		
Employee Relations: Works with union reps and DCA HR staff to resolve employee relations complaints and issues.	5.0%		
Total Time	100.0%	Total Time	100.0%

Associate Governmental Program Analyst - 1 position		Associate Governmental Program Analyst - 1 position	
Reports To: SSML, Admin and Policy	# Supv: 0	Reports to: SSML, Admin and Policy	# Supv: 0
Duties	% Time	Duties	% Time
Legislation and Regulations: Researches information for regulatory change proposals, prepares data for rulemaking packages, schedules public hearings, responds to comments received, Subject Matter Expert for legislative and	55.0%	Statistics and On-Line Systems: Collects, analyzes and interprets statistical data, designs and implements valid statistical sampling strategies, develops and presents recommendations to assist in meeting workload	40.0%
Web Development: Maintains the BSIS website, including design and updates to information, identifies areas needing improvement, makes recommendations for improvements, manages the ListServ mass email software.	20.0%	Legislation and Regulation: Analyzes proposed legislation, prepares and compiles data for rulemaking packages, works with the Budget Analyst to determine fiscal impacts of pending legislation and regulations	25.0%
Administrative Support: Backup for contracts and procurement, responds to internal IT issues, assists with sensitive employee issues, prepares data for budget projections, and attends various meetings and conferences.	15.0%	Special Projects: Responds to inquiries regarding laws and regulations, performs special projects for implementing new legislation, and other projects as needed.	20.0%
Human Resources (HR) Liaison Backup: Performs complex HR related functions, including preparing duty statements, justifications, and recruitment and hiring, assists with resolving Human Resources issues.	10.0%	Budgets: Monitors and analyzes the Bureau's budget, drafts Budget Change Proposals and responds to inquiries from the Department's Budget Office.	15.0%
Total Time	100.0%	Total Time	100.0%

Associate Governmental Program Analyst - 1 position		Associate Governmental Program Analyst - 1 position	
Reports to: SSML, Admin and Policy	# Supv: 0	Reports to: SSML, Admin and Policy	# Supv: 0
Duties	% Time	Duties	% Time
Contracts: Develops, reviews, analyzes, writes, amends and monitors the contract bid process.	50.0%	Legislation and Regulations: Tracks and analyzes proposed legislation for impact on the Bureau, develops implementation plans, acts as Subject Matter Expert on new laws for Bureau staff, and collaborates on the development of rulemaking packages.	65.0%
Procurement: Researches vendors, prepares and submits purchase orders, reconciles and authorizes purchase order and contract invoices.	25.0%	Special Projects: Researches, analyzes and conducts workload studies and issue papers, back up for web development and maintenance of the Bureau's ListServ mass email software.	35.0%
PC Support/Telecom and BreEze Service Requests: Primary liaison with the DCA Office of Information Services, drafts all Requests for Change, and work authorizations for presentation to the Change Control Board.	20.0%		
Administrative Support: Bureau liaison for facility and cardkey issues, organizes and maintains supply inventory and office supply distribution.	5.0%		
Total Time	100.0%	Total Time	100.0%

Staff Services Analyst (SSA)

Work distribution chart (WDC) 18 shows the SSA is the Bureau’s Custodian of Records and is responsible for handling all public record act requests and subpoenas received by the Bureau. The SSA also performs exam workshop coordination duties and special projects.

WDC 18

Staff Services Analyst - 1 position	
Reports to: SSML, Admin and Policy	# Supv: 0
Duties	% Time
Public Records Requests Coordinator: Receives and responds to Public Records inquiries, assists in development and administration of guidelines for Public Records requests, logs and tracks all incoming requests and subpoenas.	35.0%
Subpoenas: Accepts subpoenas, reviews and determines what data, information, and documents are being requested, determines which documents can be released, notifies employee being subpoenaed and forwards all documents to DCA Subpoena Unit.	15.0%
Exam Workshop Coordinator: Recruits Subject Matter specialists, manages the contracts with the SMEs, coordinates and attends workshops to update the Bureau’s Qualified Manager Exams for Private Patrol Operators, Private Investigators, Alarm Co Operators, and Repossessors, reviews final exams to ensure accuracy.	15.0%
Advisory Committee Backup: Assists and backs up the Advisory Committee liaison, attends meetings, prepares and distributes meeting materials, drafts meeting minutes, researches and writes issue papers on advisory committee questions and concerns, and coordinates logistics (web casting, scheduling meeting room, etc.)	15.0%
Special Projects and Assignments: Researches policies, assists with the implementation of legislative changes and develops outreach materials for licensees and consumers.	10.0%
License Certifications: Receives and processes license certification requests, researches requests and prepares a certification letter responding to the request	10.0%
Total Time	100.0%

Financial Analysis

Based on historical Financial Month (FM) 13 information for FYs 2012-13 through 2015-16, the following presents the Bureau’s existing fee schedule; analyses of historical revenues, expenses, reimbursements, and PSS fund balance; and projections of future revenue/expense requirements and fee projections.

Typically, the analysis of historical financial information, and the resulting averages less anomalies and discontinued practices, are used to project future revenue and expense requirements and fee projections. However, using the Bureau’s historical averages presented in this report would fail to account for expenditure growth the Bureau is experiencing and would not provide an adequate basis to generate sufficient revenue to cover future costs and ensure an adequate PSS fund reserve. The greater expenditures are attributable to: staff growth needed to address additional workload established by new statutory mandates, implementation and maintenance of the BreZze system, increased departmental and inter-agency pro rata costs, and

the Bureau now incurring an online credit card convenience fee. As a result, current and estimated DCA Budget Office revenues and expenses will be used to forecast future revenue, expenses and fees increases.

Bureau Fee Schedule

Table 11 shows the Bureau’s existing schedule of 96 licensing-related fees. As previously indicated, due to law changes in 2006, 2010 and 2012, related registration fees for various Acts were established. However, there have been no fee changes for more than 15 years for most Bureau licenses. As a result, the fees on the schedule do not reflect many years of inflation and cost of living increases that directly impact the cost of the services provided.

Table 11
BSIS Schedule of License, Renewal and Related Fees

Source Code	License, Certificate and Renewal Fee Types	Fee
125600	Certificate of License - Private Patrol Operator (PPO)	\$50.00
125600	Certificate of License - Alarm Company Operator (ACO)	\$50.00
125600	Certificate of License - Locksmith Permit Employee (LOC)	\$20.00
125600	Change of Name - Private Patrol Operator (PPO)	\$25.00
125600	Duplicate - Alarm Company Employee (ACE)	\$10.00
125600	Duplicate - Alarm Company Operator (ACO)	\$10.00
125600	Duplicate - Alarm Company Qualified Manager (ACQ)	\$10.00
125600	Duplicate - Baton Certificate	\$5.00
125600	Duplicate - Facility	\$10.00
125600	Duplicate - Guard (G)	\$10.00
125600	Duplicate - Firearm-PPO/G	\$10.00
125600	Duplicate - Instructor	\$10.00
125600	Duplicate - Locksmith Company (LCO)	\$10.00
125600	Duplicate - LOC	\$10.00
125600	Duplicate - Private Patrol Operator (PPO)	\$10.00
125600	Duplicate - Private Security Officer (PSO)	\$10.00
125600	Duplicate - Private Security Employer (PSE)	\$10.00
125600	Duplicate - Repossession Agency (RA)	\$10.00
125600	Duplicate - Repossession Agency Employee (RAE)	\$10.00
125600	Duplicate - Repossession Agency Qualified Manager (RAQ)	\$10.00
125600	Reinstate ACO with No Qualified Manager	\$502.50
125600	Reinstate Facility Baton	\$750.00
125600	Reinstate Facility Baton	\$750.00
125600	Reinstate Facility Firearm	\$750.00
125600	Reinstate Facility Firearm	\$750.00
125600	Reinstate Facility (TFB & TFF)	\$750.00
125600	Reinstate Instructor Baton	\$375.00
125600	Reinstate Instructor Firearm	\$375.00

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125700	Application - ACE	\$17.00
125700	Application - ACO	\$35.00
125700	Application - LCO	\$30.00
125700	Application - LOC	\$20.00
125700	Application - RAE	\$75.00
125700	Application - Re-register RAE	\$30.00
125700	Application - Facility - Baton	\$500.00
125700	Application - Facility - Firearm	\$500.00
125700	Application - Firearm - Alarm	\$80.00
125700	Application - Firearm - Private Investigator (PI)	\$80.00
125700	Application - Firearm - PPO/Guard	\$80.00
125700	Application - Guard	\$50.00
125700	Application - Instructor - Baton	\$250.00
125700	Application - Instructor - Firearm	\$250.00
125700	Application - Proprietary Private Security Employer	\$75.00
125700	Application - PSO	\$50.00
125700	Application & Exam - ACO	\$35.00
125700	Application & Exam - ACQ	\$105.00
125700	Application & Exam - PPO	\$500.00
125700	Application & Exam - RAQ	\$325.00
125700	Initial License - ACO	\$280.00
125700	Initial License - LCO	\$45.00
125700	Initial License - RA	\$825.00
125700	License Fee - PPO	\$700.00
125700	Initial Branch - ACB	\$35.00
125700	Initial Branch - LCB	\$35.00
125700	Initial Branch - PPB	\$250.00
125700	Guard Registration	\$50.00
125700	Re-Exam Fee - PPO/PPQ	\$40.00
125700	Re-Exam Fee - ACO-QM	\$165.00
125700	Re-Exam Fee - RAQ	\$30.00
125700	Repossession License Assignment	\$125.00
125700	Alarm Company Assignment	\$125.00
125800	Annual Renewal - RAQ	\$450.00
125800	Annual Renewal - RA	\$715.00
125800	Annual Renewal - RAE	\$60.00
125800	Biennial Renewal - ACB	\$35.00
125800	Biennial Renewal - ACO	\$335.00
125800	Biennial Renewal - ACQ	\$120.00
125800	Biennial Renewal - Firearm - Alarm	\$60.00
125800	Biennial Renewal - Firearm - PPO/G	\$60.00
125800	Biennial Renewal - LCB	\$35.00
125800	Biennial Renewal - LCO	\$45.00

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125800	Biennial Renewal - LOC	\$20.00
125800	Biennial Renewal - PPB	\$75.00
125800	Biennial Renewal - RAE	\$60.00
125800	Biennial Renewal - RAQ	\$450.00
125800	Biennial Renewal - RA	\$715.00
125800	Renewal PSO	\$35.00
125800	Biennial Renewal - PPSE	\$35.00
125800	Biennial Renewal - Facility - Baton	\$500.00
125800	Biennial Renewal - Facility - Firearm	\$500.00
125800	Biennial Renewal - Instructor - Baton	\$250.00
125800	Biennial Renewal - Instructor - Firearm	\$250.00
125800	PPO Renewal	\$700.00
125800	Guard Renewal	\$35.00
125900	Delinquent Renewal ACE	\$25.00
125900	Delinquent Renewal ACO	\$167.50
125900	Delinquent Renewal ACQ	\$60.00
125900	Delinquent Renewal Branch ACO	\$25.00
125900	Delinquent Renewal PPO	\$350.00
125900	Delinquent Renewal LCB	\$17.50
125900	Delinquent Renewal LCO	\$22.50
125900	Delinquent Renewal LOC	\$10.00
125900	Delinquent Renewal Guard	\$25.00
125900	Delinquent Renewal Private Patrol Operator Branch (PPB)	\$37.50
125900	Delinquent Renewal RAQ	\$225.00
125900	Delinquent Biennial Renewal RAE	\$30.00
125900	Delinquent Renewal RA	\$357.50
125900	Delinquent Renewal PPSE	\$25.00
125900	Delinquent PSO	\$25.00

Source: BSIS

Historical Revenue Analysis

Table 12 shows the Bureau’s PSS Fund revenue sources include fee schedule and non-fee schedule revenue for the last four fiscal years. Fee schedule income represents approximately 97.8% of all income and has been stable. Non-fee schedule revenues accounted for 2.2% of income over this period. This includes a one-time interest payment of \$764,000 received in FY 2015-16 for repayment of \$8 million for two loans made to the State’s General Fund in prior fiscal years.

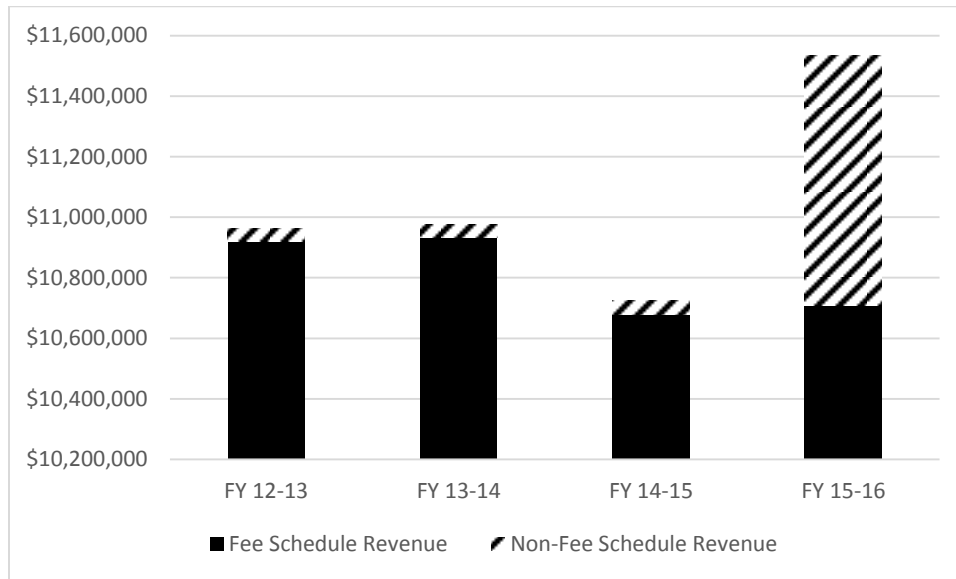
Table 12
BSIS PSS Fund Revenue Sources
FY's 2011-12 through 2015-16

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% Total
Fee Schedule Revenue	\$10,919,396	\$10,933,574	\$10,679,925	\$10,709,017	\$10,810,478	97.8%
Non-Fee Schedule Revenue	43,716	42,224	46,451	825,978	239,592	2.2%
Total Income	\$10,963,112	\$10,975,797	\$10,726,376	\$11,534,995	\$11,050,070	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 2 below graphically displays the Board's PSS Fund revenue sources and trends from FY 2012-13 through FY 2015-16.

Figure 2
BSIS PSS Fund Revenue Sources, Trends & Analysis
FY's 2012-13 through 2015-16



Fee Schedule Revenue

Table 13 details and summarizes the Bureau PSS Fund Fee Schedule revenue for FY's 2012-13 through 2015-16. At 51.8% and 41.8%, respectively, the table shows license renewal and initial license fees have consistently been the Bureau's primary revenue drivers. Other regulatory fees (e.g., name changes, duplicate licenses, license certifications, etc.) and delinquent license renewals account for 6.4% of fee schedule income.

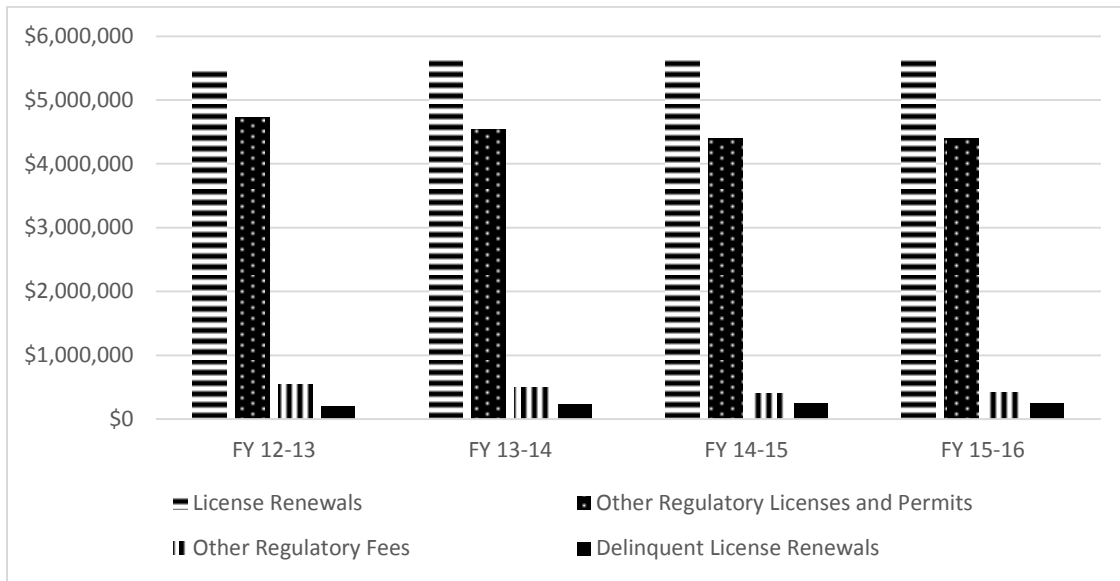
Table 13
BSIS PSS Fund Fee Schedule Revenue Summary
FY's 2012-13 through 2015-2016

Source	Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% Total
125800	License Renewals	\$5,460,663	\$5,669,555	\$5,626,695	\$5,644,733	\$5,600,412	51.8%
125700	Other Regulatory Licenses and Permits	4,720,000	4,540,000	4,405,000	4,405,000	4,517,500	41.8%
125600	Other Regulatory Fees	541,295	500,378	408,273	415,862	466,452	4.3%
125900	Delinquent License Renewals	197,438	223,641	239,957	243,423	226,114	2.1%
	Totals	\$10,919,396	\$10,933,574	\$10,679,925	\$10,709,017	\$10,810,478	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 3 below graphically displays that the Bureau's PSS Fund revenue sources and trends have been relatively stable over the period reviewed.

Figure 3
BSIS PSS Fund Fee Schedule Revenue Sources, Trends & Analysis
FY's 2012-13 through 2015-16



Non-Fee Schedule Revenue

Table 14 details and summarizes the Bureau's PSS Fund Non-Fee Schedule revenue for FY's 2012-13 through 2015-16. Collective income from these sources typically averages \$40,000 a fiscal year, with most income from surplus money invested, miscellaneous revenue collected, and escheat of unclaimed checks and warrants. The remaining 1.0% of non-fee schedule revenue was derived from miscellaneous services to the public and document sales.

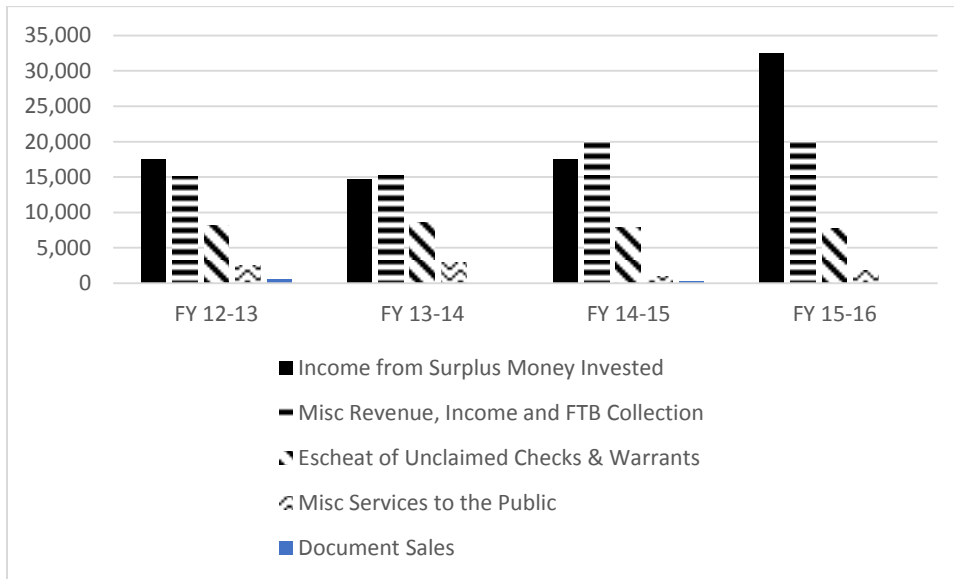
Table 14
BSIS PSS Fund Non-Fee Schedule Revenue Summary
FY's 2012-12 through 2015-2016

Source	Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% Total
150300	Income from Surplus Money Invested	17,445	14,650	17,445	32,479	20,505	42.2%
161400	Misc Revenue, Income and FTB Collection	15,071	15,836	19,982	19,979	17,717	36.5%
161000	Escheat of Unclaimed Checks & Warrants	8,204	8,592	7,811	7,691	8,074	16.6%
142500	Misc Services to the Public	2,515	3,003	894	1,800	2,053	4.2%
141200	Document Sales	482	143	319	29	243	0.5%
	Totals	\$43,716	\$42,224	\$46,451	\$61,978	\$48,592	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 4 below graphically displays that, except for income from surplus money invested in FY 2015-16, the Bureau's revenue sources and trends were relatively stable over the period reviewed. The significant increase in income was due to loan repayment from the General Fund.

Figure 4
BSIS PSS Fund Non-Fee Schedule Revenue Sources, Trends & Analysis
FY's 2012-13 through 2015-16



Historical Reimbursement Analysis

Reimbursements are planned and unplanned revenue that are treated as an offset to actual expenditures rather than as income. As such, total reimbursements are displayed as negative figures below expenses in the BSIS Expense Summary. Reimbursement offset includes charges by the California Department of Justice to process Bureau applicant fingerprint cards and firearm eligibility forms required for renewal of Bureau firearm permits. The Bureau collects fees from applicants and serves as a pass-through for the expenses. The offset also includes the transfer of

expenses associated with processing Private Investigator licenses from the Private Investigator (PI) Fund to the PSS Fund.

Table 15 details and summarizes this category and shows reimbursement for firearm eligibility applications was consistently the highest at 61.9% of reimbursements over the four-fiscal year period. PI Fund transfers, I-Licensing system credit card convenience fees and fingerprint reimbursement were also consistent. However, the I-Licensing system fees are no longer being collected.

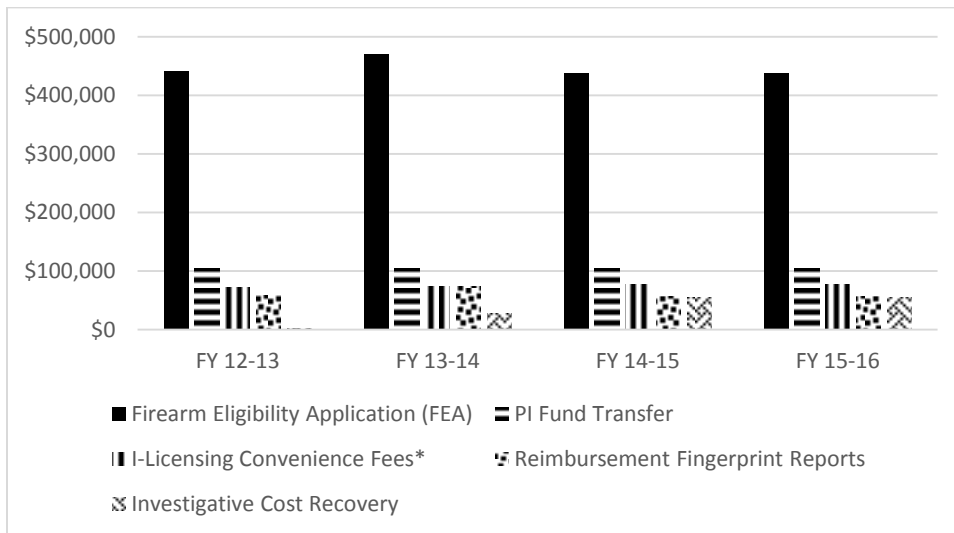
Table 15
BSIS Reimbursement Summary
FY's 2012-13 through 2015-2016

Source	Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4 Yr Avg	% Total
991937	Firearm Eligibility Application (FEA)	\$441,994	\$469,953	\$438,889	\$438,850	\$447,422	61.9%
	PI Fund Transfer	104,000	104,000	104,000	104,000	104,000	14.4%
995987	I-Licensing Convenience Fees*	71,967	73,312	76,423	76,423	74,531	10.3%
991937	Reimbursement Fingerprint Reports	58,940	73,965	57,242	57,242	61,847	8.6%
995988	Investigative Cost Recovery	2,632	27,493	55,087	55,087	35,075	4.9%
	Totals	\$679,533	\$748,723	\$731,641	\$731,602	\$722,875	100.0%
	*Fees no longer collected						

Source: FM 13 CalSTARS reports for BSIS

Figure 5 below graphically reveals that the Bureau's reimbursement sources and trends were relatively stable over the period reviewed. I-Licensing fees were stopped in FY 2015-16.

Figure 5
BSIS PSS Fund Reimbursement Sources, Trends & Analysis
FY's 2012-13 through 2015-16



Historical Expense Analysis

The following expense analysis covers the Bureau’s PSS Fund major budget categories: Personnel Services, Operating Expense and Equipment (OE&E), and offsetting Reimbursements for FYs 2012-13 through 2015-16. Table 16 summarizes and graphically displays that OE&E expenses are more than double the Personnel Services expenses, and DCA Departmental expenses have accounted for 45.5% of the Bureau’s total budget. Departmental expenses encompass those services rendered by the Department to the Bureau and include, but are not limited to, human resources, legal, information technology, call center, cashiering, accounting, budgets, public affairs and the correspondence unit. Reimbursement offset includes charges by the California Department of Justice to process Bureau applicant hard-copy fingerprint cards and firearm eligibility forms required for renewal of a firearms permit. The Bureau collects the fees from applicants and serves as a pass-through for the expenses. The offset also includes the transfer of funds from the Private Investigator (PI) fund to the PSS fund to cover expenses relating to PI licenses.

Table 16
BSIS PSS Fund Expense Summary
FY’s 2012-13 through 2015-2016

Personnel Services	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
Salaries & Wages	\$2,389,213	\$2,525,913	\$2,767,241	\$2,892,665	\$2,643,758	22.3%
Staff Benefits	1,124,120	1,186,242	1,380,063	1,456,891	1,286,829	10.8%
Subtotals	\$3,513,333	\$3,712,155	\$4,147,304	\$4,349,556	\$3,930,587	33.1%
Operating Expenses & Equipment						
DCA Departmental Expenses	\$4,586,763	\$5,121,436	\$5,388,735	\$6,535,989	\$5,408,231	45.5%
General Office Expenses	1,291,193	1,089,083	821,568	750,776	988,155	8.3%
Enforcement Expenses	1,294,123	952,460	559,194	510,987	829,191	7.0%
Interagency Expenses	425,185	675,843	919,522	730,333	687,721	5.8%
Examination Expenses	8,520	53,077	39,405	21,115	30,529	0.3%
Equipment/Other Expenses	7,017	6,881	2,318	2,210	4,607	0.0%
Totals	\$7,612,801	\$7,898,780	\$7,730,742	\$8,551,410	\$7,948,433	66.9%
Total Expenses	\$11,126,134	\$11,610,935	\$11,878,046	\$12,900,966	\$11,879,020	
Reimbursement Offset	(679,534)	(748,773)	(731,641)	(731,602)	(722,888)	
Net Expenses	\$10,446,600	\$10,862,162	\$11,146,405	\$12,169,364	\$11,156,133	

Source: FM 13 CalSTARS reports for BSIS

The following presents more detailed analyses of each major budget category.

Personnel Services Expenses

Table 17 details and summarizes Bureau Personnel Services expenses; the Board’s second largest recurring expense. These expenses have averaged about 33.7% of total costs over the last four fiscal years. This expense category covers civil service, exempt and permanent intermittent employee salaries and wages, overtime, per diem paid to members of the Bureau’s Disciplinary Review Committees, and various employee benefits. At 57.7%, civil service salaries are the

greatest personnel services expense followed by employee benefits at 32.8%. Civil service salaries & wages have increased an average of 6.6% per year over the last three fiscal years, while staff benefits have increased 9.1% per year over the same time period. According to the current Bargaining Unit 1 (professional, administrative, finance and staff services employees) and Unit 4 (office and allied employees) agreements, rate increases are guaranteed annually.

In FY 2015-16, permanent intermittent employee overtime costs spiked significantly over previous years because of additional spending to process applications during the BreZE system implementation. State and federal retirement and health & welfare insurance comprise 27.8% of total Personnel Services expenses. These expenses have consistently increased over the four-fiscal year period, with state retirement experiencing the greatest growth at 45.9%. For projecting other Personnel Services line items, CPS will use the four-year averages.

As a result of the Bureau’s Budget Change Proposals (BCP) for FY 2016-17, the BCP anticipated to be approved for FY 2017-18, and DCA restructuring, BSIS staff will increase by 11 authorized positions in the coming years. The positions and related Personnel Services expenses will be explained further in the financial projection assumptions.

Table 17
BSIS Personnel Services Expense Summary
FY’s 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
Salaries & Wages/Blanket						
Civil Service - Permanent	\$2,116,755	\$2,271,885	\$2,350,038	\$2,332,448	\$2,267,782	57.7%
Temporary Help (907)/Proctors (915)/Other	180,555	131,426	281,787	391,516	246,321	6.3%
Statutory-Exempt	78,207	101,208	106,878	113,573	99,967	2.5%
DRC Committees Member Per Diem (911)	10,000	18,200	23,500	17,900	17,400	0.4%
Overtime	3,696	3,194	5,038	37,228	12,289	0.3%
Subtotals	\$2,389,213	\$2,525,913	\$2,767,241	\$2,892,665	\$2,643,758	67.3%
Staff Benefits						
Retirement	\$471,409	\$515,728	\$632,366	\$687,854	\$576,839	14.7%
Health/Welfare Insurance	333,921	344,693	372,757	396,995	362,092	9.2%
OASDI	138,014	148,308	161,535	170,317	154,544	3.9%
Other Staff Benefits	98,426	95,289	111,397	119,306	106,105	2.7%
Medical Taxation	33,040	34,795	38,459	39,998	36,573	0.9%
Dental Insurance	32,106	29,344	26,419	24,630	28,125	0.7%
Workers' Compensation Insurance	12,568	13,566	15,563	12,861	13,640	0.3%
Vision Care	4,346	4,208	4,303	4,545	4,351	0.1%
Nonindustrial Disability Leave	0	0	16,872	0	4,218	0.1%
Life Insurance	290	311	392	385	345	0.0%
Subtotals	\$1,124,120	\$1,186,242	\$1,380,063	\$1,456,891	\$1,286,829	32.7%
TOTALS	\$3,513,333	\$3,712,155	\$4,147,304	\$4,349,556	\$3,930,587	100.0%

Source: FM 13 CalSTARS reports for BSIS

Operating and Equipment Expenses

As table 16 on page 50 displays, the Bureau’s operating and equipment (OE&E) expenses include DCA Departmental (45.5% of total expenses), General Office (8.3%), Enforcement (7.0%), Interagency Services (5.8%), Examinations (0.3%), and Equipment/Other expenses (0.0%).

DCA Departmental Expenses

Table 18 summarizes and Figure 6 displays the Bureau’s DCA Departmental Expenses for FYs 2012-13 through 2015-16. At a four fiscal-year average of 45.5% of total expenditures, these activities are the Bureau’s largest recurring expense and include all of DCA services charged to the Bureau (e.g., human resources, legal, information technology, call center, cashiering, accounting, budgets, public affairs and correspondence unit) charged to the Bureau. Depending on the service or DCA department or division charging the service, DCA allocates or charges these expenses to BSIS annually on the basis of authorized positions or workload units consumed (i.e., license transactions).

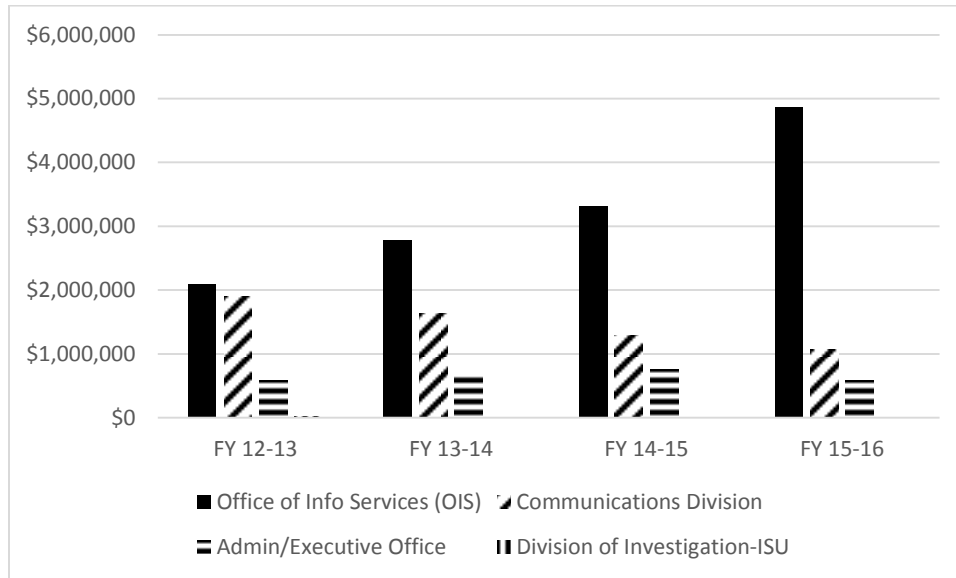
Costs that have routinely represented 99.7% of BSIS’s DCA Departmental costs are for the Office of Information Services (OIS) (60.4%), Communications Division (27.2%), and the Administration/Executive Office (12.1%). OIS costs relate to the DCA’s support of all the Bureau’s information technology activities relating to computers, software, network servers, telephones and online licensing systems (previous Online Professional Licensing System and currently BreEZe). Over the period reviewed, OIS expenses increased significantly due to the costs associated with the Bureau’s implementation of the BreEZe system. Given the Bureau’s large licensee population, the Bureau relies significantly on DCA’s Call Center, Cashiering Office, Complaint Resolution Program (CRP) and Correspondence Unit to assist with the workload associated with these related areas. These costs are reflected in the Department’s pro rata costs for the Administrative /Executive Office and Communication Division. The decentralization of the CRP in FY 2016-17 will eliminate the Department’s pro rata costs for this program effective FY 2017-18 but the Bureau’s personnel expenses will increase as four staff will be redirected from the CRP to the Bureau. The transition from pro rata to personnel expenses will result in a minor change in overall expenses and, accordingly, does not have a material effect on these audit efforts. The Division of Investigation (DOI) costs relate to the DOI’s review of fingerprint responses of Bureau staff. By law, Bureau staff with access to Department of Justice (DOJ) criminal history record information (CORI) must have CORI clearance.

Table 18
BSIS DCA Departmental Expense Summary
FY’s 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
Office of Info Services (OIS)	\$2,089,065	\$2,785,972	\$3,321,803	\$4,866,308	\$3,265,787	60.4%
Communications Division	1,901,491	1,628,114	1,292,656	1,065,572	1,471,958	27.2%
Admin/Executive Office	578,093	692,043	759,974	588,379	654,622	12.1%
Division of Investigation-ISU	18,114	15,307	14,302	15,730	15,863	0.3%
Totals	\$4,586,763	\$5,121,436	\$5,388,735	\$6,535,989	\$5,408,231	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 6
BSIS DCA Departmental Expense Trend & Analysis
FY's 2012-13 through 2015-16



General Office Expenses

General Office expenses comprise the Bureau’s fourth largest recurring cost. Table 19 reveals facilities operations (33.8%), postage (23.9%), and C&P SVCS-External (12.3%) account for 70.0% of all BSIS General Office expenses. Facility operations expenses have remained stable. C&P SVCS-External costs primarily relate to the \$1.00 convenience fee associated with paying a license fee by credit card through an online system. Before the Bureau implemented BreEZe on January 19, 2016, security guard initial and renewal applicants had access to the Online Professional Licensing (OLPL) system. The OLPL credit card convenience fee was added on to the license fee; consequently, the credit card vendor costs charged to the Bureau represented a pass-through expense. There is still a credit card convenience fee charged for using BreEZe, but the amount is no longer passed onto the applicant/licensee so the Bureau is now incurring the charges in C&P Services-External expenses. The increase in FY 15-16 reflects the expansion of online licensing transaction access that BreEZe provides to essentially all Bureau license types. The remainder of the Bureau’s General Office expenses have been relatively stable over the past four fiscal years.

Table 19
BSIS General Office Expense Summary
FY's 2011-12 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
Facilities Operations	\$247,971	\$253,334	\$260,597	\$260,747	\$255,662	33.8%
Postage	196,286	192,047	206,490	128,898	180,930	23.9%
C & P SVCS. - External	75,953	82,639	90,285	122,194	92,768	12.3%
General Expense	51,769	94,201	94,727	42,670	70,842	9.4%
Printing	141,607	48,539	25,693	44,261	65,025	8.6%
Travel In-State	63,517	67,227	41,300	47,218	54,816	7.2%
Minor Equipment	5,614	23,318	29,497	25,755	21,046	2.8%
Communication	12,920	14,449	15,056	15,396	14,455	1.9%
Insurance	370	344	770	1,151	659	0.1%
Training	381	158	0	715	314	0.0%
Totals	\$796,388	\$776,256	\$764,415	\$689,005	\$756,516	100.0%

Source: FM 13 CalSTARS reports for BSIS

Enforcement Expenses

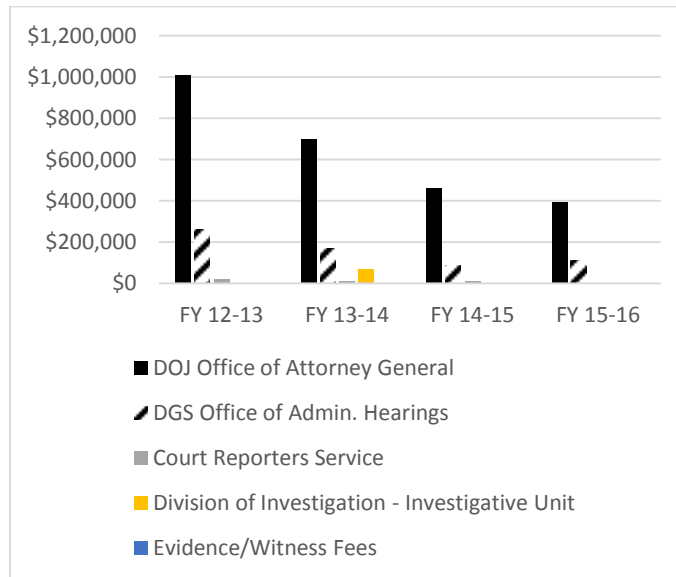
Table 20 summarizes and Figure 7 graphically displays expenses for Enforcement activities for FYs 2012-13 through 2015-16, the Bureau's third largest recurring cost. Collectively, at 96.4% of total enforcement expenses, services from the DOJ's Office of Attorney General (OAG) and the Department of General Services' (DGS) Office of Administrative Hearings (OAH) account for most spending. DOJ, OAH and court reporter service costs declined significantly over the period reviewed, while evidence/witness fees remained stable. The decrease in costs for the OAG and OAH relates to the Bureau's implementation of authority in the Private Security Services Act to automatically suspend a guard registration for a conviction of a substantially related crime instead of pursuing a disciplinary action through the administrative hearing process. The Bureau's costs for the Division of Investigation (DOI), DCA's law enforcement branch, relate to investigations of Bureau licensees and are part of the Department's pro rata costs. DOI costs reflected in FY 2013-14 were assessed using a two-year roll forward methodology. DOI costs are budgeted each fiscal year based on the number of investigative hours worked on enforcement cases in the prior year. Based on FY 2015-16 investigative workload, the Bureau will be budgeted for DOI Investigations in FY 2017-18 at \$183,000. This annual expense more appropriately reflects the Bureau's current and projected ongoing usage of DOI as the Bureau expects to refer more cases because of the growing need for law enforcement to perform more investigations.

Table 20
BSIS Enforcement Expense Summary
FY's 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
DOJ Office of Attorney General	\$1,009,390	\$699,388	\$462,840	\$394,837	\$641,614	77.4%
DGS Office of Admin. Hearings	262,588	169,767	87,114	110,573	157,511	19.0%
Court Reporters Service	21,606	13,052	8,841	5,427	12,232	1.5%
DCA DOI - Investigative Unit	0	70,148	0	0	17,537	2.1%
Evidence/Witness Fees	539	105	399	150	298	0.0%
Totals	\$1,294,123	\$952,460	\$559,194	\$510,987	\$829,191	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 7
BSIS Enforcement Expense Trends & Analysis
FY's 2012-13 through 2015-2016



Interagency Services Expenses

Table 21 summarizes expenses for Interagency Services, the Bureau's fifth largest recurring expense. At 100% of interagency services, statewide pro rata represents the Bureau's share of indirect costs incurred by central services agencies such as the Department of Finance, State Controller's Office, and the State Personnel Board. The Department of Finance allocates the costs of providing central administrative services to all state departments that benefit from the services. This apportioned amount is further allocated to each state department's funding sources based on the percentage of total expenditures in each special fund. These expenses varied substantially over the period reviewed and are projected to be \$952,000 in calendar year 2016-17

and \$883,000 for FY 2017-18 and beyond, significantly more expensive than the four-year historical average.

Table 21
BSIS Interagency Service Expense Summary
FY's 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg
Statewide Pro Rata (DOF)	\$372,085	\$630,913	\$881,527	\$643,147	\$631,918

Source: FM 13 CalSTARS reports for BSIS

Examination Expenses

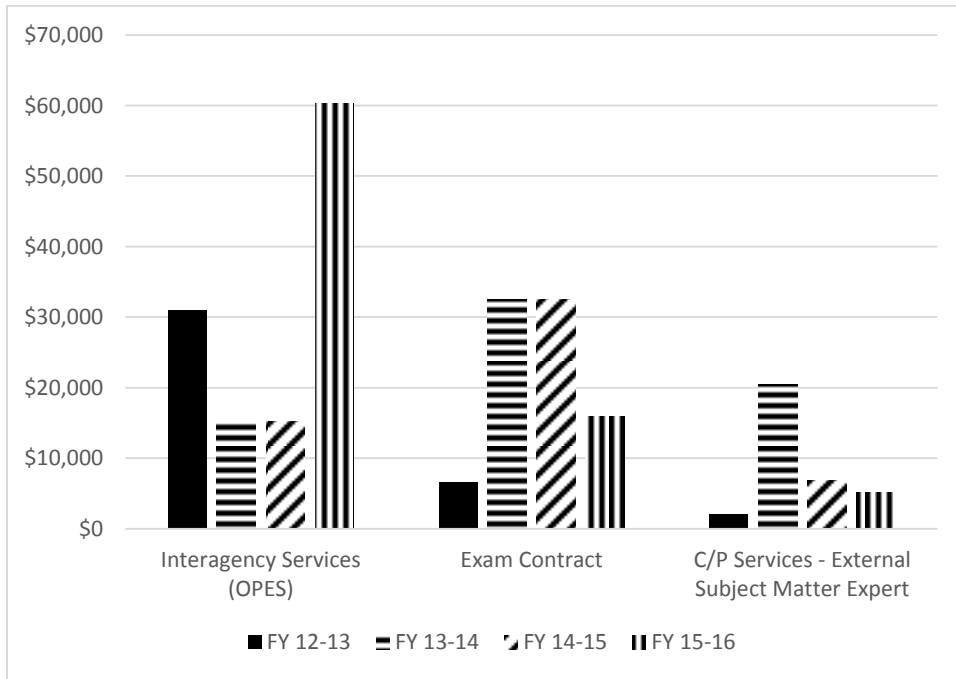
Table 22 summarizes and Figure 8 displays expenses for Examinations, the Bureau's sixth largest recurring expense. The exam contract with the DCA Office of Examination Services (OPES) and outside vendor PSI accounts for 85.8% of these expenses. The increase in FY 15-16 relates to the Bureau holding workshops for multiple exams. Over the period reviewed, exam contract expenses varied depending on whether occupational analyses and exam workshops for a Bureau license exam were carried out in that fiscal year.

Table 22
BSIS Examination Expense Summary
FY's 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
Interagency Services (OPES)	\$30,936	\$15,289	\$15,289	\$60,266	\$30,445	49.9%
Exam Contract	6,520	32,530	32,530	15,985	21,891	35.9%
C/P Services - External Subject Matter Expert	2,000	20,547	6,875	5,130	8,638	14.2%
Totals	\$39,456	\$68,366	\$54,694	\$81,381	\$60,974	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 8
BSIS Examination Expense Trends & Analysis
FY's 2012-13 through 2015-2016



Equipment/Other Expenses

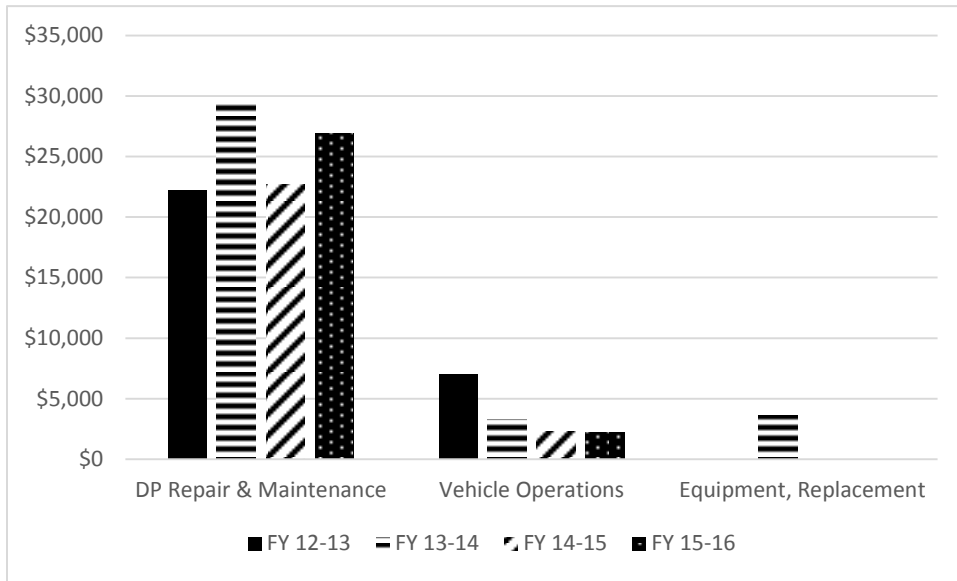
Table 23 summarizes and Figure 9 displays expenses for Equipment/Other Expenses, the Bureau's seventh, final and smallest recurring expense. At 84.6%, DP Repair & Maintenance costs for the Bureau's copier and printer contracts, has remained stable over the period reviewed. Vehicle operations charges have also remained relatively stable. FY 2013-14 is the only fiscal year the Bureau purchased replacement equipment.

Table 23
BSIS Equipment/Other Expense Summary
FY's 2012-13 through 2015-2016

Description	FY 12-13	FY 13-14	FY 14-15	FY 15-16	4-Yr Avg	% Total
DP Repair & Maintenance	\$22,164	\$29,641	\$22,706	\$26,920	\$25,358	84.6%
Vehicle Operations	7,017	3,278	2,318	2,210	3,706	12.4%
Equipment, Replacement	0	3,603	0	0	901	3.0%
Totals	\$29,181	\$36,522	\$25,024	\$29,130	\$29,964	100.0%

Source: FM 13 CalSTARS reports for BSIS

Figure 9
BSIS Equipment/Other Expenses Trends & Analysis
FY's 2012-13 through 2015-2016



Recommendations

1. The Bureau should continue to maintain or cut costs wherever possible.
2. To increase productivity and contain costs, the Bureau should strongly encourage new and renewal customers to take full advantage of the BreEZe online licensing system.

Revenue, Expense and Fund Balance Projections

The following presents the assumptions used by the DCA Budget Office to project estimated revenue and expenses for FYs 2016-17 through 2021-22, and the results.

Table 24 displays the DCA Budget revenue and expense projections for FYs 2016-17 through 2021-22 based on DCA Budget Office guidelines. Revenue is projected to remain flat (0% increase) each fiscal year over the projection period. Expenses include paying for development, implementation and use of the Financial Information System for California (FI\$Cal). FI\$Cal combines accounting, budgeting, cash management and procurement operations into a single financial management system. Also included are statewide general administrative pro-rata expenses which the Bureau pays as its apportioned share for central service agencies such as the Department of Finance, State Treasurer, State Controller and the Legislature. Central services are budgeting, banking, accounting, auditing, payroll and other services used by all state departments.

Finally, the DCA Budget Office allocates a large program expenditure amount to the Bureau to cover all operations, including projected staffing increases and other Operating & Equipment expenses analyzed in this report. For example, staffing levels and related expenses are assumed

to increase over the projection period by 11 authorized positions. The assumed increase begins in FY 2016-17 due to a Bureau Budget Change Proposal (BCP) that adds the following four positions during the fiscal year: one (1) Services Manager II, one (1) Associate Governmental Program Analyst, one (1) Staff Services Analyst, and one (1) Program Technician II. Additionally, in FY 2017-18, assuming another Bureau BCP Proposal to implement SB 1196 (Chapter 800, Statutes of 2016¹) is approved, the following three authorized positions will be added: one (1) Staff Services Analyst and two (2) Program Technician II. Finally, as a result of DCA decentralizing the Complaint Resolution Program (CRP) in FY 2016-17 (and the change reflected in the FY 2017-18 budget), the Bureau will increase by the following four authorized positions: three (3) Staff Services Analysts and one (1) Associate Governmental Program Analyst. The former DCA staff were allocated to the Bureau based on complaint volume received.

The total disbursement amount represents the annual appropriation which the DCA Budget Office assumes the Bureau will fully spend. Therefore, to ensure sufficient fee revenue to cover the annual appropriation, CPS used the annual appropriation to derive a fully absorbed hourly cost to estimate fee revenue increases as displayed in table 25.

Table 24 shows a growing net loss starting in FY 2016-17 and continuing over the projected remaining fiscal years, with a cumulative loss of \$22.9 million in FY 2020-21.

Table 24
BSIS Projected Revenues and Expenses by the DCA Budget Office
FY's 2016-17 through 2020-21

	FY 2016-17	FY 2017-18	FY 2018-19	FY 2019-20	FY 2020-21
Revenues					
125600 Other regulatory fees	\$ 417,000	\$ 429,000	\$ 429,000	\$ 429,000	\$ 429,000
125700 Other regulatory licenses & permits	4,623,000	4,742,000	4,742,000	4,742,000	4,742,000
125800 Renewal fees	5,666,000	5,824,000	5,824,000	5,824,000	5,824,000
125900 Delinquent fees	255,000	273,000	273,000	273,000	273,000
141200 Sales of documents	0	0	0	0	0
142500 Misc. services to the public	1,000	1,000	1,000	1,000	1,000
150300 Income from surplus money investments	12,000	15,000	4,030	0	0
150500 Interest from interfund loans	0	0	0	0	0
160400 Sales of fixed assets	0	0	0	0	0
161000 Escheat of unclaimed checks & warrants	6,000	7,000	7,000	7,000	7,000
161400 Misc. revenues	12,000	15,000	15,000	15,000	15,000
Total Revenues	\$ 10,992,000	\$ 11,306,000	\$ 11,295,030	\$ 11,291,000	\$ 11,291,000
Expenditures					
8880 FISCAL	\$ 18,000	\$ 21,000	\$ 21,000	\$ 21,000	\$ 21,000
9900 Statewide Gen Admin ProRata expenses	952,000	883,000	883,000	883,000	883,000
1111 Program Expenditures (State Operations)	15,051,000	14,439,000	14,727,603	15,022,155	15,322,598
Total Disbursements	\$ 16,021,000	\$ 15,343,000	\$ 15,631,603	\$ 15,926,155	\$ 16,226,598
Net Gain/Loss	\$ (5,029,000)	\$ (4,037,000)	\$ (4,336,573)	\$ (4,635,155)	\$ (4,935,598)
Cumulative Net Gain/Loss	\$ (5,029,000)	\$ (9,066,000)	\$ (13,402,573)	\$ (18,037,728)	\$ (22,973,326)

Source: DCA Budget Office

¹ SB 1196 adds additional licensing and enforcement responsibilities that were enacted in 2016 and will go into effect on January 1, 2018.

Bureau Private Security Services Fund Balance

The California Business and Professions Code (BPC) requires DCA to maintain a separate Private Security Services Fund with a discrete budget and distinct expenditure and revenue statements to account for all money derived from and spent for licensing and regulating private security services. If, at the end of any fiscal year, the amount in the fund equals or is greater than two years of reserves, licenses or other fees shall be reduced during the following fiscal year. However, this condition has never been present. There is no mandated minimum reserve amount, but DCA and Bureau management agree that a three to six-month reserve is the desired range.

Fund Balance Projection

Tables 24 and 25 below show there is a significant fund solvency problem. Table 25 displays months in reserve decline rapidly from 7.6 to (6.0) months by the end of the projection period, well below the desired safety range.

Table 25
0239 - BSIS Projected Fund Balance Projection
FY's 2016-17 through 2020-21

	2016-17	2017-18	2018-19	2019-20	2020-21
Beginning Balance	\$ 14,750,000	\$ 9,721,000	\$ 5,684,000	\$ 1,347,427	\$ (3,287,728)
Prior Year Adjustment	0	0	0	0	0
Adjusted Beginning Balance	\$ 14,750,000	\$ 9,721,000	\$ 5,684,000	\$ 1,347,427	\$ (3,287,728)
Revenues and Transfers					
Total Revenues & Transfers	\$ 10,992,000	\$ 11,306,000	\$ 11,295,030	\$ 11,291,000	\$ 11,291,000
Total Resources	\$ 25,742,000	\$ 21,027,000	\$ 16,979,030	\$ 12,638,427	\$ 8,003,272
Expenditures					
Total Disbursements	\$ 16,021,000	\$ 15,343,000	\$ 15,631,603	\$ 15,926,155	\$ 16,226,598
Fund Balance					
Reserve for economic uncertainties	\$ 9,721,000	\$ 5,684,000	\$ 1,347,427	\$ (3,287,728)	\$ (8,223,326)
Months in Reserve	7.6	4.4	1.0	(2.4)	(6.0)

Source: DCA Budget Office

Based on this analysis, CPS has determined the current PSS fee structure is insufficient to recover actual PSS-related costs and will ultimately reduce the Bureau's reserve unless action is taken now. PSS licensing revenue is expected to cover all Bureau PSS-funded costs, including enforcement, disciplinary review, administration and Bureau overhead. Given the staffing levels, workload and operating costs are expected to grow substantially, the Bureau must either decrease expenses, increase revenue or achieve a combination of both to ensure the PSS fund is solvent with a sufficient reserve.

Hourly Rate and Fee Projections

A study objective is to establish a cost basis to fairly assess services the Bureau provides for a scheduled fee and for services that lack statutory scheduled fees. Without an accurate cost accounting system, the most convenient and fairest way to charge for services is to determine an hourly charge based on full absorption costing that accounts for all Bureau PSS-funded staff, operating and overhead costs. By dividing the Bureau’s appropriation for the next five fiscal years by total staff paid hours, a fully absorbed hourly (and minute) cost rate can be derived to cover the cost of current scheduled fees and non-fee schedule tasks/services not covered by statute.

Table 26 shows the DCA Budget Office annual appropriation dips in FY 2017-18 then gradually increases through FY 2020-21. The number of licensing transactions per fiscal year remains stable, while the number of authorized budgeted positions (PYs – personnel years) increase over time. The cost per transaction increases 1.3% over the projection period, but the fully absorbed annual hourly cost decreases 10.1% to an average of \$135/hour (\$2.25/minute). Fully absorbed hourly cost is the result of dividing total net expenditures by the annual paid PY hours per fiscal year. Cost per minute is the result of dividing the hourly cost by 60. The cost per minute is applied to Bureau workload assumptions to determine the fully absorbed cost for a scheduled fee task or non-fee scheduled task.

For cost projection purposes, CPS recommends using a maximum of the 5-year average of \$135 per hour (or \$2.25/minute) to avoid excessive charges in the early years of the projection period.

Table 26
Fully Absorbed Cost using DCA Budget Office Appropriation
FY’s 2016-17 through 2020-21

	Estimated FY 2016-17	Estimated FY 2017-18	Estimated FY 2018-19	Estimated FY 2019-20	Estimated FY 2020-21	5 Yr Avg
Total Annual Appropriation	\$16,021,000	\$15,343,000	\$15,631,603	\$15,926,155	\$16,226,598	\$15,829,671
Total Licensing Transactions per FY (issued + renewed)	183,720	183,720	183,720	183,720	183,720	183,720
Cost per Transaction	\$87	\$84	\$85	\$87	\$88	\$86
Budgeted PSS PYs	51.4	57.9	57.9	57.9	57.9	56.6
Annual paid hours per PY	2,080	2,080	2,080	2,080	2,080	2,080
Annual PY Hours per FY	106,912	120,432	120,432	120,432	120,432	117,728
Fully absorbed annual hourly cost per FY	\$150	\$127	\$130	\$132	\$135	\$135
Fully absorbed cost per minute	\$2.50	\$2.12	\$2.16	\$2.20	\$2.25	\$2.25

Sources: DCA Budget Office

Fee and Non-Fee Schedule Rates

As previously noted, with the exception of fees for proprietary security employers and officers, the Bureau’s licensing/permitting fees have not been increased for more than 15 years and do not accurately reflect the time it takes staff to provide the services. Consequently, the BSIS fee schedule displayed as Table 11 on page 43 does not accurately reflect all the potential costs for

which the Bureau may charge. Table 27 summarizes the fees for initial licenses, applications, renewal licenses, duplicate licenses, delinquent renewals, and other miscellaneous activities. Training facilities order and purchase the permits from the Bureau for \$50 apiece and then issue the permits to their security guard applicant and registrant trainees after successful completion of their training. However, permits are not valid until the Bureau enters the baton information into BreZE based on training rosters the baton training facilities submit.

Table 27
License Fee Summary

License Type	Initial	App	Renewal	Duplicate	Delinquent	Other1*	Other2**
Baton Permits	\$50.00		\$0.00	\$ 5.00			
Security Guard Registration	50.00		35.00	10.00	25.00		
Firearm Permit	80.00		60.00	10.00			
Alarm Company Employee Registration	17.00		7.00	10.00	25.00		
Proprietary Private Security Officer	50.00		35.00	10.00	25.00		
Repossession Agency Employee	75.00		60.00	10.00	30.00	30.00	
Locksmith Employee Registration	20.00		20.00	10.00	10.00		
Private Patrol Operator	700.00	500.00	700.00	10.00	350.00	40.00	25.00
Locksmith Company Operator	45.00	35.00	45.00	10.00	22.50		
Proprietary Private Security Employer	75.00		35.00	10.00	25.00		
Alarm Company Operator	280.00	35.00	335.00	10.00	167.50		125.00
Alarm Company Qualified Manager	105.00		120.00	10.00	60.00	165.00	
Training Instructor - Firearm	250.00		250.00	10.00		375.00	
Private Patrol Operator - Branch	250.00		75.00		37.50		
Training Facility - Firearm	500.00		500.00	10.00		750.00	
Alarm Company Operator - Branch	35.00		35.00		25.00		
Training Facility - Baton	500.00		500.00	10.00		750.00	
Repossession Agency	825.00		715.00	10.00	357.50		125.00
Training Instructor - Baton	250.00		250.00	10.00		375.00	
Repossession Agency Qualified Manager	325.00		450.00	10.00	225.00	30.00	
Locksmith - Branch	35.00		35.00		17.50		
*Other1 consists of fees for re-registration, re-examination, and re-instatement.							
**Other2 consists of fees for name change and license assignment.							

Source: BSIS

Table 28 compares the financial impact of the current initial and replacement license fees at the four fiscal-year average licensing frequency with fees at \$135 per hour (\$2.25/minute). The table multiplies the new estimated unit fees by the four fiscal-year average. The table shows that, for the most part, the Bureau is not recovering its costs with the current fee structure. The \$135/hour rate increases revenue from these fees by almost 100%.

Table 28
Financial Impact of Current Initial License Fee Comparison

LICENSE TYPE	Current	Initial Licenses & App Fees			
	Unit Fee	4 Yr Avg	Current	\$135/hour	
Security Guard Registration	\$50	52,593	\$2,629,663	\$76	\$3,997,087
Firearm Permit	\$80	10,842	867,380	172	1,864,867
Application for Replacement Licenses - all types	\$10	6,724	67,240	61	410,164
Baton Permits	\$50	5,614	280,700	91	510,874
Alarm Company Employee Registration	\$17	5,332	90,644	208	1,109,056
Proprietary Private Security Officer	\$50	1,496	74,813	175	261,844
Repossession Agency Employee	\$75	335	25,106	181	60,590
Locksmith Employee Registration	\$20	309	6,170	146	45,041
Private Patrol Operator license fee	\$700	248	173,250	700	173,250
Private Patrol Operator application fee	\$500	248	123,750	500	123,750
Locksmith Company Operator license fee	\$45	186	8,370	556	103,416
Locksmith Company Operator application fee	\$35	186	6,510	35	6,510
Proprietary Private Security Employer	\$75	109	8,194	403	44,028
Alarm Company Operator license fee	\$280	108	30,310	487	52,718
Alarm Company Operator application fee	\$35	108	3,789	35	3,789
Alarm Company Qualified Manager	\$105	84	8,768	431	35,989
Training Instructor - Firearm	\$250	60	15,000	768	46,080
Private Patrol Operator - Branch	\$250	49	12,250	275	13,475
Training Facility - Firearm	\$500	35	17,625	500	17,625
Alarm Company Operator - Branch	\$35	26	910	275	7,150
Training Facility - Baton	\$500	24	12,000	500	12,000
Repossession Agency	\$825	22	18,356	825	18,356
Training Instructor - Baton	\$250	22	5,375	801	17,222
Repossession Agency Qualified Manager	\$325	15	4,794	431	6,357
Locksmith - Branch	\$35	23	805	275	6,325
Total Initial Licenses/Permits		84,797	\$4,491,770		\$8,947,561

Table 29 compares the financial impact of the renewal license fees at the four fiscal-year average licensing frequency with fees at \$135 per hour (\$2.25/minute). The table multiplies the new estimated unit fees by the four fiscal-year average. This table also shows that, for the most part, the Bureau is not recovering its costs with the current fee structure. The \$135/hour rate increases revenue from these fees by 93.5%.

Table 29
Financial Impact of Current Renewal License Fee Comparison

LICENSE TYPE	Current	Renewals			
	Unit Fee	4 yr Avg	Current	\$135/hour	
Security Guard Registration	\$35	87,388	\$3,058,580	\$61	\$5,330,668
Firearm Permit	\$60	11,613	696,765	275	3,193,506
Alarm Company Employee Registration	\$7	4,494	31,456	62	278,613
Delinquency Renewals - Guard	\$35	3,594	125,790	51	183,294
Proprietary Private Security Officer	\$35	1,432	50,129	94	134,632
Locksmith Company Operator	\$45	1,207	54,315	73	88,111
Private Patrol Operator	\$700	1,123	786,100	700	786,100
Alarm Company Qualified Manager	\$120	989	118,680	120	118,680
Locksmith Employee Registration	\$20	968	19,360	95	91,960
Alarm Company Operator	\$335	909	304,515	335	304,515
Repossession Agency Employee	\$60	312	18,720	83	25,896
Training Instructor - Firearm	\$250	256	64,000	250	64,000
Proprietary Private Security Employer	\$35	206	7,210	73	15,038
Repossession Agency Qualified Manager	\$450	150	67,500	450	67,500
Private Patrol Operator - Branch	\$75	144	10,800	75	10,800
Training Facility - Firearm	\$500	142	71,000	500	71,000
Repossession Agency	\$715	138	98,670	715	98,670
Training Instructor - Baton	\$250	101	25,250	250	25,250
Alarm Company Operator - Branch	\$35	81	2,835	53	4,293
Training Facility - Baton	\$500	75	37,500	500	37,500
Locksmith - Branch	\$35	8	280	53	424
Baton Permits	\$0	0	0	0	0
Total Renewal Licenses/Permits		115,330	\$5,649,455		\$10,930,449

Closing the Gap

Table 30 demonstrates that at a 45% increase in revenue from select initial licensing fees is required to close the revenue gap and meet or exceed total expenditures. This assumes that, except for the selected fee increases, the Bureau retains the current initial and renewal license fee structure, maintains costs within its control, and does not incur significant increases on costs beyond its control, like Departmental, inter-service agency and pro rata costs.

In addition, the Bureau must also be sensitive to, and consider the impact on: licensees, the PSS fund balance to ensure an adequate reserve, and avoid triggering the BPC provision that requires lowering fees when the PSS fund has 24 months in reserve. How much the Bureau actually increases select PSS fees is a judgement call that should be based on consultation with the DCA Budget Office and its licensee customer base.

The table shows that beginning in FY 2017-18, a 45% revenue increase generates approximately \$4.9 million and will ensure an adequate fund reserve through FY 2020-21. However, the Bureau could elect to consider increasing fees less and taking advantage of the current fund balance. Assuming non-urgency legislation was enacted in 2017, the revised fees would go into effect on January 1, 2018.

Table 30
Financial Impact of Selected License Fee Increases on the PSS Fund

	Est. FY 2016-17	Est. FY 2017-18	Est. FY 2018-19	Est. FY 2019-20	Est. FY 2020-21
Beginning Fund Balance	\$14,750,000	\$9,721,000	\$10,316,400	\$10,623,197	\$10,635,442
Prior Year Adjustment	0	0	0	0	0
Adjusted Beginning Balance	\$14,750,000	\$9,721,000	\$10,316,400	\$10,623,197	\$10,635,442
<i>Revenue Increase @ X%/year</i>		1.45	1.00	1.00	1.00
Revenues and Transfers					
Total Revenues	\$10,992,000	\$15,938,400	\$15,938,400	\$15,938,400	\$15,938,400
Total Resources	\$25,742,000	\$25,659,400	\$26,254,800	\$26,561,597	\$26,573,842
Expenditures					
Total Expenditures	\$16,021,000	\$15,343,000	\$15,631,603	\$15,926,155	\$16,226,598
Ending Fund Balance	\$9,721,000	\$10,316,400	\$10,623,197	\$10,635,442	\$10,347,244
Months in Reserve	7.6	7.9	8.0	7.9	7.5
Revenue increases per FY at 16%		\$4,946,400	\$0	\$0	\$0
Average revenue increase for 5 FYs	\$1,236,600				

Administrative Relief

If appropriate and applicable, the Bureau may wish to consider implementing an administrative relief strategy in lieu of a lengthy legislative process to change future license fees. For example, the California Department of Public Health benefits from Health and Safety Code section 100425 which allows special fund fees to be adjusted on an annual basis if the fund condition statement for a fund projects a reserve less than ten percent (10%) of estimated expenditures, and the revenues projected for the next fiscal year are less than the appropriation contained in the Budget Act. By enabling this administrative strategy through legislation now, the Bureau would save time and expense revising fees in the future.

Recommendations

3. After consultation with the DCA Budget Office and its licensees, BSIS should charge for select scheduled and unscheduled services based on a fully absorbed cost rate of no more than \$135 per hour. Services should be charged accordingly based on the actual time the Bureau consumes to provide the service.

4. BSIS management should develop, approve and implement or introduce legislation (if required) to revise the fee schedule as soon as possible, and inform current and prospective licensees of the changes.
5. If appropriate and applicable, the Bureau should consider implementing a way to get administrative relief in the future in lieu of the lengthy legislative change process.

Appendix 1A: BSIS General Licensing Workload Assumptions

Initial paper application processing

Licensee				
Alarm company employee (ACE) (% of total applications received overall 77.9%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (70%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	30.0%	30	Cashiering, mail, data entry,
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency
Second deficiency (% of the 30% population)	PT	10.0%	30	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter/SIS Box
			35	Return processing, approval
			80	Total for secondary deficiency

Locksmith company employee (LOC) (% of total applications received overall 57.9%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (85%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	15.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Private security officer (PSO) (% of total applications received overall 55.9%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Security guard (Guard) (% of total applications received overall 23%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (75%)	PT	0.0%	35	Cashiering, mail, data entry, approval
Initial deficiency	PT	25.0%	35	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			40	Return processing, approval
			90	Total for initial deficiency
Second deficiency	PT	10.0%	35	Cashiering, mail, data entry, approval
			15	Prepare and send 2nd deficiency letter/SIS Box
			40	Return processing, approval

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90 Total for secondary deficiency

Repossession agency employee (RAE) (% of total applications received overall 100%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (40%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	60.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter/Emails
			35	Return processing, approval
			80	Total for initial deficiency
Second deficiency	PT	40.0%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 2nd deficiency letter
			35	Return processing, approval
			80	Total for secondary deficiency

Baton permit (BAT) (% of total applications received overall 100%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0.0%	35	Cashiering, mail, data entry
Initial deficiency	PT	10.0%	35	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			40	Per line follow-up and return processing
			90	Total for initial deficiency

Firearm permits (FQ) (% of total applications received overall 88%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (70%)	PT	0.0%	45	Cashiering, mail, data entry, approval
Initial deficiency	PT	30.0%	45	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			50	Return processing, approval
			110	Total for initial deficiency
Second deficiency	PT	50.0%	45	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter/SIS Box
			50	Return processing, approval
			110	Total for secondary deficiency

Private Patrol Qualified Manager (PPQ) (% of total applications received overall 100%) Alarm Company Qualified Manager (ACQ) (% of total applications received overall 50.1%) Repossession Agency Qualified Manager (RAQ) (% of total applications received overall 66.2%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (20%)	PT II	0.0%	40	Cashiering, mail, data entry, approval

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	Analyst Review	SSA	0.0%	30	Review, approval
		SSM			
	Management Review (15%)	I	15.0%	60	Review
				130	Total for initial applications requiring management review
Initial deficiency/Information Clarification Efforts	PT II		80.0%	40	Cashiering, mail, data entry
				15	Prepare and send 1st deficiency letter
				45	Return processing
	Analyst Review	SSA		30	Review, approval
		SSM			
	Management Review (5%)	I	5%	60	Review, approval
				190	Total for initial deficiency requiring management review
Second deficiency/Information Clarification Efforts	PT II		40.0%	40	Cashiering, mail, data entry
				15	Prepare and send 2nd deficiency letter/email
				60	Return processing/Follow-up assistance
	Analyst Review	SSA		30	Review, approval
		SSM			
	Management Review (5%)	I	5%	60	Review, approval
				205	Total for secondary deficiency requiring management review

Private Patrol Operator (PPO)(% of total applications received overall 84%) Alarm Company Operator (ACO)(% of total applications received overall 75.1%) Repossession Agency (RA)(% of total applications received overall 87.1%)	Class	% Def	Time (Min)	Task Description & Assumptions	
Clean app (10%)	PT II		50	Cashiering, mail, data entry, approval	
Analyst Review	SSA		30	Review	
	SSM				
Management Review (15%)	I	15.0%	60	Review, approval	
				140	Total for initial applications requiring management review
Initial deficiency/Information Clarification Efforts	PT II	90.0%	50	Cashiering, mail, data entry	
			15	Prepare and send 1st deficiency letter	
			60	Return processing/Follow-up assistance	
	Analyst Review	SSA	20	Review, approval	
		SSM			
Management Review (5%)	I	5%	60	Review, approval	
				205	Total for initial deficiency requiring management review
Second deficiency	PT II	45.0%	50	Cashiering, mail, data entry	
			15	Prepare and send 2nd deficiency letter	
			60	Return processing/Follow-up assistance	
	Analyst Review	SSM	20	Review, approval	

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I	Management Review (5%)	5%	60	Review, approval
			205	Total for Return processing/Follow-up assistance requiring management review

Firearm Training Facility (TFF) (% of total applications received overall 77.3%) Baton Training Facility (TFB) (% of total applications received overall 77.3%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (60%)	PT II		35	Cashiering, mail, data entry, approval
Analyst Review	SSA SSM		30	Review
Management Review (15%)	I	15.0%	60	Review
			125	Total for initial applications requiring management review
Initial deficiency	PT II	40.0%	35	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing/Follow-up assistance
Analyst Review	SSA SSM		30	Review, approval
Management Review (5%)	I	5.0%	60	Review, approval
			200	Total for initial deficiency requiring management review
Second deficiency/correspondence	PT II	20.0%	35	Email/phone call, data entry
			15	Prepare and send correspondence
			60	Return processing/Follow-up assistance
Analyst Review	SSA SSM		30	Review, approval
Management Review (5%)	I	5.0%	60	Review, approval
			200	Total for Return processing/Follow-up assistance requiring management review

Firearm Training Instructor (TIF) (% of total applications received overall 61.9%) Baton Training Instructor (TIB) (% of total applications received overall 81.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (5%)	PT II		45	Cashiering, mail, data entry
Analyst Review	SSA SSM		15	Review, approval
Management Review (15%)	I	15.0%	60	Review, approval
			120	Total for initial applications requiring management review
Initial deficiency	PT II	95.0%	45	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing/Follow-up

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					assistance
	Analyst Review	SSA		30	Review, approval
		SSM			
	Management Review (5%)	I	5%	60	Review, approval
				210	Total for initial deficiency requiring management review
	Second deficiency/correspondence	PT II	95.0%	45	Email/phone call, data entry
				15	Prepare and send 1st deficiency letter
				60	Return processing/Follow-up assistance
	Analyst Review	SSA		30	Review, approval
	Management Review (5%)		5%	60	Review, approval
				210	Total for Return processing/Follow-p assistance requiring management review

Locksmith Company (LCO) (% of total applications received overall 83.2%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		45	Cashiering, mail, data entry
Analyst Review	SSA		20	Review
	SSM	15.0%		
Management Review (15%)	I		60	Review
			125	Total for initial applications requiring management review
Initial deficiency	PT II	90.0%	45	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
	SSM	5.0%		
Management Review (5%)	I		60	Review, approval
			200	Total for initial deficiency requiring management review
Second deficiency/correspondence	PT II	40.0%	45	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
	SSM	5.0%		
Management Review (5%)	I		60	Review, approval
			200	Total for Return processing/Follow up assistance requiring management review

Proprietary Private Security Employer (PSE) (% of total applications received overall 61.7%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		30	Cashiering, mail, data entry
Analyst Review	SSA		20	Review, approval
Management Review (15%)	SSM	15.0%	60	Review, approval

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I				
Total for initial applications requiring management review				
				110
Initial deficiency	PT II	90.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
Total for initial deficiency requiring management review				
				185
Second deficiency/correspondence	PT II	40.0%	30	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
Total for Return processing/Follow up assistance requiring management review				
				185

Private Patrol Operator Branch (PPB) (% of total applications received overall 78.9%) Alarm Company Operator Branch (ACB) (% of total applications received overall 87.3%) Locksmith Company Branch (LCB) (% of total applications received overall 100%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (80%)	PT II		30	Cashiering, mail, data entry, approval
Initial deficiency	PT II	10%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing
Analyst Review	SSA		10	Review, approval
			90	Total for initial deficiency

**Initial online application processing via
BreZE
Versa Online (VO)**

Licensee				
Alarm company employee (ACE) (% of total applications received overall 22.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Exception Report	PT	15.0%	10	Research/locate fingerprints
Exception Report deficiency (% of the 30% population)	PT	5.0%	10	Research/locate fingerprints
			15	Prepare and send letter
			10	Return processing
			35	Total for initial deficiency

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Locksmith company employee (LOC) (% of total applications received overall 42.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Exception Report	PT	15.0%	10	Research/locate fingerprints
Exception Report deficiency (% of the 30% population)	PT	5.0%	10	Research/locate fingerprints
			15	Prepare and send letter
			10	Return processing
			35	Total for initial deficiency

Private security officer (PSO) (% of total applications received overall 44.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Exception Report	PT	15.0%	10	Research/locate fingerprints
Exception Report deficiency (% of the 30% population)	PT	5.0%	10	Research/locate fingerprints
			15	Prepare and send letter
			10	Return processing
			35	Total for initial deficiency

Security guard (Guard) (% of total applications received overall 77%)	Class	% Def	Time (Min)	Task Description & Assumptions
Exception Report	PT	15.0%	10	Research/locate fingerprints
Exception Report deficiency (% of the 30% population)	PT	5.0%	10	Research/locate fingerprints
			15	Prepare and send letter
			10	Return processing
			35	Total for initial deficiency

Firearm permits (FQ) (% of total applications received overall 22%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (70%)	PT	0.0%	25	Review, data entry, approval
Initial deficiency	PT	30.0%	45	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			50	Return processing
			110	Total for initial deficiency
Second deficiency	PT	50.0%	45	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter/SIS Box
			50	Return processing
			110	Total for secondary deficiency

Alarm Company Qualified Manager (ACQ) (% of total applications received overall 49.9%) Repossession Agency Qualified Manager (RAQ) (% of total applications received overall 33.8%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (20%)	PT II	0.0%	20	Review, data entry

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Analyst Review	SSA	0.0%	30	Review, approval
			50	Total for Initial Clean App
Management Review (15%)	SSM I	15.0%	60	Review, approval
			110	Total for initial applications requiring management review
Initial deficiency/Information Clarification Efforts	PT II	80.0%	40	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			45	Return processing
Analyst Review	SSA		30	Review
			130	Total for initial deficiency
Management Review (5%)	SSM I	5%	60	Review - manager must verify online or call applicant
			190	Total for initial deficiency requiring management review
Second deficiency/Information Clarification Efforts	PT II	40.0%	40	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter/email
			60	Return processing/Follow-up assistance
Analyst Review	SSA		30	Review, approval
			145	Total for secondary deficiency
Management Review (5%)	SSM I	5%	60	Review, approval
			205	Total for second deficiency requiring management review

Private Patrol Operator (PPO) (% of total applications received overall 16%) Alarm Company Operator (ACO) (% of total applications received overall 24.9%) Repossession Agency (RA) (% of total applications received overall 12.9%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		30	Review, data entry
Analyst Review	SSA		30	Review, approval
Management Review (15%)	SSM I	15.0%	60	Review, approval
			120	Total for initial applications requiring management review
Initial deficiency/Information Clarification Efforts	PT II	90.0%	50	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing/Follow-up assistance
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5%	60	Review, approval
			205	Total for initial deficiency

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					requiring management review
Second deficiency	PT II	45.0%	50	Cashiering, mail, data entry	
			15	Prepare and send 2nd deficiency letter	
			60	Return processing/Follow-up assistance	
Analyst Review	SSM I		20	Review, approval	
Management Review (5%)		5%	60	Review, approval	
			205	Total for second deficiency, Return processing/Follow-p assistance requiring management review	

Firearm Training Facility (TFF) (% of total applications received overall 22.7%) Baton Training Facility (TFB) (% of total applications received overall 22.7%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (60%)	PT II		15	Review, data entry
Analyst Review	SSA		30	Review, approval
Management Review (15%)	SSM I	15.0%	60	Review, approval
			105	Total for initial applications requiring management review
Initial deficiency	PT II	40.0%	35	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing/Follow-up assistance
Analyst Review	SSA		30	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
			200	Total for initial deficiency requiring management review
Second deficiency/correspondence	PT II	20.0%	35	Email/phone call, data entry
			15	Prepare and send correspondence
			60	Return processing/Follow-up assistance
Analyst Review	SSA		30	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
			200	Total for second deficiency, Return processing/Follow-p assistance requiring management review

Firearm Training Instructor (TIF) (% of total applications received overall 38.1%) Baton Training Instructor (TIB) (% of total applications received overall 18.9%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (5%)	PT II		20	Cashiering, mail, data entry,

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					approval
	Analyst Review	SSA		15	Review, approval
		SSM	15.0%		
	Management Review (15%)	I		60	Review, approval
				120	Total for initial applications requiring management review
	Initial deficiency	PT II	95.0%	45	Cashiering, mail, data entry
				15	Prepare and send 1st deficiency letter
				60	Return processing/Follow-up assistance
	Analyst Review	SSA		30	Review, approval
		SSM			
	Management Review (5%)	I	5%	60	Review, approval w
				210	Total for initial deficiency requiring management review
	Second deficiency/correspondence	PT II	95.0%	45	Email/phone call, data entry
				15	Prepare and send 1st deficiency letter
				60	Return processing/Follow-up assistance
	Analyst Review	SSA		30	Review, approval
	Management Review (5%)		5%	60	Review, approval
				210	Total for second deficiency, Return processing/Follow-p assistance requiring management review

Locksmith Company (LCO) (% of total applications received overall 16.8%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		25	Review, data entry
Analyst Review	SSA		20	Review, approval
	SSM	15.0%		
Management Review (15%)	I		60	Review, approval
			105	Total for initial applications requiring management review
Initial deficiency	PT II	90.0%	45	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
	SSM	5.0%		
Management Review (5%)	I		60	Review, approval
			200	Total for initial deficiency requiring management review
Second deficiency/correspondence	PT II	40.0%	45	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval

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Management Review (5%)	SSM I	5.0%	60	Review, approval
			200	Total for second deficiency, Return processing/Followup assistance requiring management review

Proprietary Private Security Employer (PSE) (% of total applications received overall 38.3%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		10	Review, data entry
Analyst Review	SSA		20	Review, approval
Management Review (15%)	SSM I	15.0%	60	Review, approval
			90	Total for initial applications requiring management review
Initial deficiency	PT II	90.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
			185	Total for initial deficiency requiring management review
Second deficiency/correspondence	PT II	40.0%	30	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			60	Return processing
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5.0%	60	Review, approval
			185	Total for second deficiency, Return processing/Followup assistance requiring management review

Private Patrol Operator Branch (PPB) (% of total applications received overall 21.1%) Alarm Company Operator Branch (ACB) (% of total applications received overall 12.7%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (80%)	PT II		30	Cashiering, mail, data entry, approval
Analyst Review	SSA		10	Review
			40	Total for initial applications
Initial deficiency	PT II	10.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing
Analyst Review	SSA		10	Review, approval
			90	Total for initial deficiency

Renewal paper application processing

Except for Firearm permits, online renewals do not require staff work.

If the applicant attests to completing the training requirements and pays the renewal fee, the process is automatic.

Licensee				
Firearm permits (FQ)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (50%)	PT	0.0%	60	Cashiering, mail, data entry, approval
Initial deficiency	PT	50.0%	60	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			65	Return processing, approval
			140	Total for initial deficiency
Second deficiency	PT	50.0%	60	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			65	Return processing, approval
			140	Total for secondary deficiency

ARP Renewal application processing - automatic renewal coupons - easier than initial app processing

System sends out 45 days before expiration

Licensee				
Alarm company employee (ACE) (% of total applications received overall 49.8%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (98%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	2.0%	30	Cashiering, mail, data entry,
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Locksmith company employee (LOC) (% of total applications received overall 61.5%)	Class	% Def	Time (Min)	Task Description & Assumptions
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Clean app (98%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	2.0%	30	Cashiering, mail, data entry,
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Private security officer (PSO) (% of total applications received overall 52.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (98%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	2.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Security guard (Guard) (% of total applications received overall 40.5%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	10.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Repossession agency employee (RAE) (% of total applications received overall 50.5%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (98%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	2.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter

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	35	Return processing, approval
	80	Total for initial deficiency

Private Patrol Operator (PPO) (% of total applications received overall 58.8%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (70%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	30.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Alarm Company Operator (ACO) (% of total applications received overall 72.9%) Repossession Agency (RA) (% of total applications received overall 55.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Alarm Company Qualified Manager (ACQ)(% of total applications received overall 66%) Repossession Agency Qualified Manager (RAQ)(% of total applications received overall 59.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial

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deficiency

Firearm Training Facility (TFF) (% of total applications received overall 60.2%) Baton Training Facility (TFB) (% of total applications received overall 53.5%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Firearm Training Instructor (TIF) (% of total applications received overall 46.9%) Baton Training Instructor (TIB) (% of total applications received overall 53.3%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Locksmith Company (LCO) (% of total applications received overall 75.2%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

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Proprietary Private Security Employer (PSE) (% of total applications received overall 74.1%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Private Patrol Operator Branch (PPB) (% of total applications received overall 39.2%) Alarm Company Operator Branch (ACB) (% of total applications received overall 44.2%) Locksmith Company Branch (LCB) (% of total applications received overall 54.4%)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0.0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5.0%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Appendix 1B: BSIS Miscellaneous Licensing Workload Assumptions

Change of Name and Duplicate License Replacement

Change of Name - PPO	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (70%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	30%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency
Second deficiency (% of the 30% population)	PT	10%	30	Cashiering, mail, data entry, approval
			15	Prepare and send 2nd deficiency letter/SIS Box
			35	Return processing, approval
			80	Total for secondary deficiency

Application for Replacement License: Baton	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Application for Replacement License: All Companies & Branches	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	10%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

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Application for Replacement License: All Employees/ Instructors	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	10%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Application for Replacement License: Firearm permit	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (90%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	10%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Re-Examination and Assignment

Re-exam Fee: RAQ	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Re-exam Fee: PPO/PPQ	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Re-exam Fee: ACQ/QM	Class	% Def	Time	Task Description &
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			(Min)	Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

License Assignment: Alarm & Repossession Companies	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (10%)	PT II		50	Cashiering, mail, data entry, approval
Analyst Review	SSA		30	Review, approval
Management Review (15%)	SSM I	15.0%	60	Review, approval
			140	Total for initial applications requiring management review
Initial deficiency/Information Clarification Efforts	PT II	90.0%	50	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			60	Return processing/Follow-up assistance
Analyst Review	SSA		20	Review, approval
Management Review (5%)	SSM I	5%	60	Review, approval
			205	Total for initial deficiency requiring management review
Second deficiency	PT II	45.0%	50	Cashiering, mail, data entry
			15	Prepare and send 2nd deficiency letter
			60	Return processing/Follow-up assistance
Analyst Review	SSM I		20	Review, approval
Management Review (5%)		5%	60	Review, approval
			205	Total for second deficiency

Delinquent Renewals

Delinquent Renewal: ACE & ACO Branch	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

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Delinquent Renewal: ACO	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: PPO	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: LCB, LCO, LOC	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: Guard	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (75%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	25%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: PPO Branch (PPB)	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: RAQ	Class	% Def	Time (Min)	Task Description & Assumptions
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Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: RA	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Biennial Renewal: RAE	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (98%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	2%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Delinquent Renewal: PPSE, PSO	Class	% Def	Time (Min)	Task Description & Assumptions
Clean app (95%)	PT	0%	30	Cashiering, mail, data entry, approval
Initial deficiency	PT	5%	30	Cashiering, mail, data entry
			15	Prepare and send 1st deficiency letter
			35	Return processing, approval
			80	Total for initial deficiency

Appendix 2: BSIS DRU Workload Assumptions

Rap Review

All Registration types	Class	%	Time (Min)	Task Description & Assumptions
Rapsheet Reviews		25% of apps have Rap. Estimated breakdown of raps by license type Guard: 86% ACE: 10% LOC: 1% PPSO: 2% RAE: 1%		NOTE: Data does not include company applications or training facility or instructor applications. Workload associated with this license types is negligible Simple Rapsheet: 1 or 2 convictions/Complex Rapsheet: More than 2 convictions requiring review
Simple Rap -- Issuable	AGPA	15%	20	Review Rapsheet/Issue License, if applicable
	PT II	15%	15	Open/Close Breeze Activities
			35	Total Simple Rap -- Issuable
Simple Rap -- Application Denied	AGPA	5%	15	Review Rapsheet/Indicate Rap Denied in BreEze
	PT II	5%	50	Initiate and Enter Denial Info into Breeze
			65	Total Simple Rap -- Denied
Complex Rap -- Issuable	AGPA	3%	25	Review Rapsheet/Issue License, if applicable
	SSM I Review	3%	20	Management Validation
	PT II	3%	30	Open/Close, Order Records,
			75	Total Complex Rap - Issuable
Complex Rap -- Application Denied	AGPA	2%	25	Review Rapsheet/Indicate Rap Denied in BreEze
	SSM I Review	2%	20	Management Validation
	PT II	2%	50	Initiate. Order records,
			95	Total Complex Rap -- Denied

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Denial Appeals to DRC				
All Registration types	Class	%	Time (Min)	Task Description & Assumptions
Appeals of Denial to DRC & DRC/ALJ		15% of denials result in appeal to DRC or DRC/ALJ. Estimated appeal breakdown Guard: 86% ACE: 10% LOC: 1% PPSO: 2% RAE: 1%		NOTE: Data does not include company applications or training facility or instructor applications. Workload associated with this license types is negligible Average of 1,800 denials per year
Appeal Directly to DRC	PT II	11%	30	Enter appeal in BreEZe, only Rosa orders ct. records, receive ct records
	SSA	11%	190	Schedule hearings, review ct. records, draft/post/email agenda, issue drc notice letters, prepare committee files, attend/facilitate hearing, enter outcomes, post hearing letters and record management.
	SSM1	11%	5	Review/approve schedules, agendas.
			225	Total Appeals Directly to DRC
DRC Appeal with rehabilitation documents - BSIS reviews documents and grants license without DRC (Recon by Manager)	PT II	0.5%	15	Enter appeal in Breeze, provide to manager for review, issue license
	SSM I	0.5%	30	Review of evidence of rehabilitation submitted w/appeal
			45	Total Rehab Doc Review -- BSIS Grants
DRC Appeal with rehabilitation documents - BSIS reviews documents and denies license; goes to DRC	PT II	2.5%	45	Enter appeal in Breeze, provide to manager for review, transfer to SSA, only Rosa

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				orders/receive court records
	SSM I	2.5%	35	Reconsideration review of evidence of rehabilitation submitted w/appeal. Review/approve schedules, agendas.
	SSA	2.5%	190	Schedule hearings, review ct. records, draft/post/email agenda, issue DRC notice letters, prepare committee files, attend/facilitate hearing, enter outcomes, post hearing letters and record management.
			270	Total Rehab Doc Review-- BSIS Denies & to DRC
		Approximately 1% of denials are appealed to DRC and ALJ. Estimated appeal breakdown Guard: 86% ACE: 10% LOC: 1% PPSO: 2% RAE: 1%		
ALJ Appeal Post DRC	SSA	1.0%	35	Enter appeal in BreEZe, only Rosa orders ct. records, receive ct records
	AGPA	1.0%	215	Memo to DAG, preparation of certification docs, post-hearing activities, proposed decisions/stipulated settlements review & processing (Breeze, letters, etc.)
			250	Total Post DRC Appeal to ALJ

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ALJ Appeal Post DRC with Rehab Docs -- Manager Review Documents and License Granted or Denied and to ALJ				This is a negligible amount so not reported
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Denial Appeals to ALJ

All Registration types	Class	%	Time (Min)	Task Description & Assumptions
Denial Appeals		0.05% of denials result in appeal to ALJ. Estimated appeal breakdown Guard: 86% ACE: 10% LOC: 1% PPSO: 2% RAE: 1%		NOTE: Data does not include company applications or training facility or instructor applications. Workload associated with this license types is negligible Average of 1,800 denials per year
Appeals with rehabilitation documents/no rehab documents	PT II	0.50%	10	enter appeal in Breeze, provide to manager for review, transfer to AGPA
	SSM I	0.50%	15	reconsideration review of evidence of rehabilitation submitted w/appeal
	AGPA	0.50%	200	Memo to DAG, preparation of certification docs, post-hearing activities, proposed decisions/stipulated settlements review & processing (Breeze, letters, etc.)
			225	Total ALJ Appeal -- BSIS Denies and to ALJ

Subsequent Arrest/Conviction Docs from DOJ

All Registration types	Class	%	Time (Min)	Task Description & Assumptions
SubRaps Received		Sub Raps by population Guard: 86% ACE: 10% LOC: 1% PPSO: 2% RAE: 1%		Approximately 75,500 subsequent arrest or subsequent conviction documents received annually. -- 90% no further action (does not meet criteria for discipline, or no current licensee or applicant). -- 9% sub-arrests will be tracked; 1% of the 9% will require PC 23

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				actions -- 1% result in automatic suspension or filing of accusation with AG
Sub Arrests & Sub Convictions -- No Matching License/No Action Required	SSA	90%	10	SubRap Review, Research, etc. check in Breeze, CAS, ATS
			10	Total Rap Review Time for Simple Rap Issued
Sub Arrests -- Interested	SSA	9%	10	SubRap Review, Research, etc.
DUIs are not of interest	PT II	9%	5	Separate interested arrests for PC 23 to Russell in Enforcement
			15	Total SubArrest Review-ID for PC 23
SubArrests: Process for PC 23 - arrest but no conviction	SSA	1%	120	Enforcement prepares documents for PC 23 transmittal to AG; Rosa initiates case; SSA enters Breeze information, obtains police report, contacts DA Office
	SSM I	1%	30	Review, edit, & sign PC 23 transmittal memo to AG Office
			150	Total PC 23 referral
Subsequent Convictions Interested -- Auto Suspend	SSA	1%	90	SubRap Review, suspend license in BreEZe, generate auto suspend letter, upload letter to Breeze licensee record, scan A/S document to upload to public website
	PT II	1%	45	Rosa initiates auto suspend case, orders/receive records
	SSM I	1%	30	Review, edit, sign auto suspension letter
			165	Total time: Rap Review through Suspension
Subsequent Convictions Interested- ALJ				This is a negligible amount so not reported; data for Auto Suspend increased slightly to capture this time

Auto Suspend Appeal DRC/DRC & ALJ

All Registration types	Class	%	Time (Min)	Task Description & Assumptions
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Auto Suspend DRC Appeals		14% of suspensions appealed to DRC Population appealed to DRC Guard: 90% ACE: 10%		Avg 800 Auto Suspensions Annually
Appeals Directly to DRC	SSA	5%	215	DRU SSA: Jill (10) receives/review appeal, update Breeze, transfer to DRC DRC SSA: Jasmine (205) schedules hearings, review ct. records, draft/post/email agenda, issue DRC notice letters, prepare committee files, attend/facilitate hearing, enter outcomes, post hearing letters and record management.
	SSM1	5%	5	Review/approve schedules, agendas.
			220	Total Appeal Directly to DRC
DRC Appeals with rehabilitation documents - BSIS reviews documents and reinstates license	SSA	1%	40	Enter appeal in Breeze, order court records, Receive/review rehab/court docs update Breeze, provide to Dep. Ch. for review, reverse suspension (letter to applicant)
	SSM I	1%	30	Review of evidence of rehabilitation submitted w/appeal
			70	Total Appeal Review Time for reconsidered/issued denial
DRC Appeals with rehabilitation documents - BSIS Review additional documents & upholds auto suspend; to DRC	SSA	8%	215	DRU SSA: Jill (15) receives/review appeal, update Breeze, provides to Dep. Ch. for review, transfers to DRC. DRC SSA: Jasmine (200) schedules hearings, review ct. records,

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				draft/post/email agenda, issue drc notice letters, prepare committee files, attend/facilitate hearing, enter outcomes, post hearing letters and record management.
	SSM I	8%	35	Reconsideration review of evidence of rehabilitation submitted w/appeal. Review/approve schedules, agendas.
			250	Total Rap Review Time for Simple Rap Denied
	2% of auto suspends appealed to DRC and ALJ.			
ALJ Appeal Post DRC	SSA	2.0%	30	Enter appeal in Breeze, provide to manager for review, transfer to SSA
	SSM I	2.0%	20	reconsideration review of evidence of rehabilitation submitted w/appeal
	AGPA	2.0%	200	Josie prepares memo to DAG, preparation of certification docs, post-hearing activities, proposed decisions/stipulated settlements review & processing (Breeze, letters, etc.); Inez does case follow-up.
			250	Total A/S post DRC appeal, Recons denied by Mgr. to ALJ
ALJ Appeal Post DRC -- Manager Review Reconsideration Documents and License Granted/Denied				This is a negligible amount so not reported

Auto Suspend Appeal ALJ

All Registration types	Class	%	Time (Min)	Task Description & Assumptions
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Auto Suspend ALJ Appeals		1% of appeals to ALJ/DRC Only guards have option to go to ALJ		Avg 800 Auto Suspensions Annually
Appeals Directly to ALJ	AGPA	1.0%	230	Josie prepares memo to DAG, preparation of certification docs, post-hearing activities, proposed decisions/stipulated settlements review & processing (Breeze, letters, etc.); Inez does case follow-up.
	SSM I	1.0%	20	reconsideration review of evidence of rehabilitation submitted w/appeal
			250	Total Rap Review Time for Simple Suspension
Appeals Appeal -- Manager Review Reconsideration Documents and License Granted or Denied & to ALJ				This is a negligible amount so not reported