# State of California Office of Administrative Law

In re: Board for Professional Engineers, Land Surveyors and Geologists

**Regulatory Action:** 

Title 16, California Code of Regulations

Adopt sections: Amend sections: 416, 418, 3060, 3061 Repeal sections: NOTICE OF APPROVAL OF REGULATORY ACTION

**Government Code Section 11349.3** 

OAL Matter Number: 2020-1202-04

OAL Matter Type: Regular (S)

This action by the Board for Professional Engineers, Land Surveyors and Geologists adopts criteria to be used in determining whether a crime, act, or professional misconduct is substantially related to the qualifications, functions, or duties of an applicant or licensee, or when a licensee has made a showing of rehabilitation related to a crime, act, or professional misconduct when considering denial, suspension, or revocation of a license. The proposed amendments implement amendments to the Business and Professions Code made by Assembly Bill 2138 (Stats. 2018, Ch. 995).

OAL approves this regulatory action pursuant to section 11349.3 of the Government Code. This regulatory action becomes effective on 5/17/2021.

Date: May 17, 2021

7 Peggy J. Gibson Senior Attorney

For: Kenneth J. Pogue Director

Original: Richard B. Moore, Executive Officer Copy: Nancy Eissler

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		2020 DE	C-2 P4:55	MAY 1 7 2021
			FICE OF TRATIVE LAW	1 : 16 P.M.
NOTICE			REGULATIONS	
AGENCY WITH RULEMAKING AUTHORITY				AGENCY FILE NUMBER (If any)
Board for Professional Engine	ers, Land Surveyor	s, and Geologist	S	
A. PUBLICATION OF NOTICI				·
1. SUBJECT OF NOTICE Substantial Relationship/Reha 3. NOTICE TYPE	1	ITLE(S) 16	FIRST SECTION AFFECTED 416 TELEPHONE NUMBER	2. REQUESTED PUBLICATION DATE March 13, 2020 FAX NUMBER (Optional)
Notice re Proposed     Regulatory Action     Other	Nancy Eissle		(916) 263-2241	(916) 263-2221
OAL USE ACTION ON PROPOSED NOT ONLY Approved as Submitted	ICE Approved as Modified	Disapproved/ Withdrawn	NOTICE REGISTER NUMBER	PUBLICATION DATE
B. SUBMISSION OF REGULA			a regulations)	
1a. SUBJECT OF REGULATION(S)				OAL REGULATORY ACTION NUMBER(S)
Substantial Relationship/Reha	bilitation Criteria			
2. SPECIFY CALIFORNIA CODE OF REGULATIO	ONS TITLE(S) AND SECTION(S)	(including title 26, if toxic	cs related)	· · · ·
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## BOARD FOR PROFESSIONAL ENGINEERS, LAND SURVEYORS, AND GEOLOGISTS DEPARTMENT OF CONSUMER AFFAIRS CALIFORNIA CODE OF REGULATIONS, TITLE 16, DIVISIONS 5 AND 29.

## ORDER OF ADOPTION

## 416. Substantial Relationship Criteria.

(a) For the purpose of denial, suspension, or revocation of the <u>certification of an</u> <u>engineer-in-training or a land surveyor-in-training or license of a professional engineer</u> or a land surveyor pursuant to <u>Section 141</u>, Division 1.5 (commencing with Section 475), <u>subdivision (a) of Section 6775</u>, <u>subdivision (a) of Section 6775.1</u>, <u>Section 6779</u>, <u>subdivision (e) of Section 8780</u>, <u>subdivision (a) of Section 8780.1</u>, or <u>Section 8783</u> of the Business and Professions Code, a crime, <u>professional misconduct</u>, or act shall be considered substantially related to the qualifications, functions, and duties of a professional engineer or land surveyor if, to a substantial degree, it evidences present or potential unfitness of a professional engineer or land surveyor to perform the functions authorized by his or her the license in a manner consistent with the public health, safety, or welfare. Such crimes or acts shall include, but not be limited to, those involving the following:

(b) In making the substantial relationship determination required under subdivision (a) for a crime, the Board shall consider all of the following criteria:

(1) The nature and gravity of the offense.

(2) The number of years elapsed since the date of the offense.

(3) The nature and duties of a professional engineer or land surveyor.

(c) For purposes of subdivision (a), substantially related crimes, professional misconduct, or acts shall include, but are not limited to, the following:

(a) (1) For <u>engineers-in-training and professional engineers</u>, any violations of the provisions of the Professional Engineers Act or other state or federal laws governing the practice of professional engineering or aiding and abetting any person in such a violation;

(b) (2) For land surveyors-in-training and professional land surveyors, any violations of the provisions of the Professional Land Surveyors' Act <u>or other state or</u> federal laws governing the practice of land surveying or aiding and abetting any person in such a violation;

(c) (3) A conviction of a crime arising from or in connection with the practice of professional engineering or land surveying.

Note: Authority cited: Sections <u>481,</u> 6716, and 8710, Business and Professions Code. Reference: Sections <u>141,</u> 480, 481, 490, <u>493,</u> 6706.3, 6710, 6732, 6775, 6775, 6779, 8780, <u>8780.1</u>, and 8783, Business and Professions Code.

#### 418. Criteria for Rehabilitation.

(a) When considering the denial of an application for certification as an engineerin-training or a land surveyor-in-training, or for licensure as a professional engineer, or for licensure as a professional land surveyor, or for authority to use the title "structural engineer," or for authority to use the title "geotechnical engineer," under Section 480, <u>Section 6779, or Section 8783</u> of the Code on the ground that the applicant has been convicted of a crime, the Board shall consider whether the applicant made a showing of rehabilitation if the applicant completed the criminal sentence at issue without a violation of parole or probation. In making this determination, the Board shall consider the following criteria:, the Board will consider the following criteria in evaluating the rehabilitation of the applicant and his or her present eligibility for such a licensure or authority:

(1) The nature and gravity of the crimes(s).

(2) The length(s) of the applicable parole or probation period(s).

(3) The extent to which the applicable parole or probation period(s) was shortened or lengthened and the reason(s) the period(s) was modified.

(4) The terms or conditions of parole or probation and the extent to which they bear on the applicant's rehabilitation.

(5) The extent to which the terms or conditions of parole or probation were modified and the reason(s) for modification.

(b) When considering the denial of an application for certification as an engineerin-training or a land surveyor-in-training, for licensure as a professional engineer or a professional land surveyor, or for authority to use the title "structural engineer" or "geotechnical engineer" under Section 480, Section 6779, or Section 8783 of the Code, if the Board determines that the applicant has not completed the criminal sentence at issue without a violation of parole or probation or did not make the showing of rehabilitation based on the criteria in subdivision (a) if the denial is based on the ground that the applicant has been convicted of a crime, or, if the denial is based on the ground that the applicant has been subject to formal discipline by another licensing board for professional misconduct, then the Board shall consider whether the applicant made a showing of rehabilitation by applying the following criteria in evaluating the applicant's rehabilitation:

(1) The nature and severity gravity of the act(s), professional misconduct, or crime(s) under consideration as grounds for denial.

(2) Evidence of any act(s), professional misconduct, or crime(s) committed prior to or subsequent to the act(s), professional misconduct, or crime(s) under consideration as grounds for denial which could also be considered as grounds for denial under Section 480 of the Code.

(3) The time that has elapsed since commission of the act(s), professional misconduct, or crime(s) referred to in subdivision (1) or (2).

(4) The extent to which the applicant has complied with any terms of parole, probation, restitution, or any other sanctions lawfully imposed against the applicant.

(5) Any evidence of rehabilitation submitted by the applicant.

(6) Total criminal record.

(7) If applicable, evidence of expungement proceedings that the conviction has been dismissed pursuant to Section 1203.4, 1203.4a, 1203.41, or 1203.42 of the Penal Code; evidence that the applicant has obtained a certificate of rehabilitation under Chapter 3.5 (commencing with Section 4852.01) of Title 6 of

Part 3 of the Penal Code; or evidence of a comparable dismissal or expungement.

(8) The criteria in subdivision (a)(1) through (a)(5), as applicable.

(b) (c) When considering the suspension or revocation of the certification of an engineer-in-training or a land surveyor-in-training, or the license of a professional engineer or a professional land surveyor, or the authority to use the title "structural engineer," or the authority to use the title "geotechnical engineer" under Section 490, subdivision (a) of Section 6775, subdivision (a) of Section 6775.1, Section 6779, subdivision (e) of Section 8780, subdivision (a) of Section 8780.1, or Section 8783 of the Code on the ground that the license holder has been convicted of a crime, the Board shall consider whether the license holder made a showing of rehabilitation if the license holder completed the criminal sentence at issue without a violation of parole or probation. In making this determination, the Board shall consider the following criteria:, the Board will consider the following criteria in evaluating the rehabilitation of such person and his or her present eligibility to retain his or her license:

(1) The nature and gravity of the crimes(s).

(2) The length(s) of the applicable parole or probation period(s).

(3) The extent to which the applicable parole or probation period(s) was shortened or lengthened and the reason(s) the period(s) was modified.

(4) The terms or conditions of parole or probation and the extent to which they bear on the license holder's rehabilitation.

(5) The extent to which the terms or conditions of parole or probation were modified and the reason(s) for modification.

(d) When considering the suspension or revocation of the certification of an engineer-in-training or a land surveyor-in-training, the license of a professional engineer or a professional land surveyor, or the authority to use the title "structural engineer" or "geotechnical engineer" under Section 490, subdivision (a) of Section 6775, subdivision (a) of Section 6775.1, Section 6779, subdivision (e) of Section 8780, subdivision (a) of Section 8780.1, or Section 8783 of the Code on the ground that the license holder has been convicted of a crime, if the Board determines that the license holder has not completed the criminal sentence at issue without a violation of parole or probation or did not make the showing of rehabilitation based on the criteria in subdivision (c), then the Board shall consider whether the license holder made a showing of rehabilitation by applying the following criteria in evaluating the license holder's rehabilitation:

(1) The nature and severity gravity of the act(s) or crime(s) under consideration as grounds for suspension or revocation.

(2) Evidence of any  $\frac{\operatorname{act}(s)}{\operatorname{act}(s)} \frac{\operatorname{crime}(s)}{\operatorname{crime}(s)}$  committed prior to or subsequent to the  $\frac{\operatorname{act}(s)}{\operatorname{act}(s)} \frac{\operatorname{or}}{\operatorname{crime}(s)}$  under consideration as grounds for suspension or revocation which could also be considered as grounds for suspension or revocation  $\frac{\operatorname{under}}{\operatorname{Section} 490}$  of the Code.

(3) The time that has elapsed since commission of the act(s) or crime(s) referred to in subdivision (1) or (2).

(4) The extent to which the <u>licensee license holder</u> has complied with any terms of parole, probation, restitution, or any other sanctions lawfully imposed against the license <u>holder</u>.

(5) Any evidence of rehabilitation submitted by the licensee license holder.

(6) Total criminal record.

(7) If applicable, evidence of expungement proceedings that the conviction has been dismissed pursuant to Section 1203.4, 1203.4a, 1203.41, or 1203.42 of the Penal Code; evidence that the license holder has obtained a certificate of rehabilitation under Chapter 3.5 (commencing with Section 4852.01) of Title 6 of Part 3 of the Penal Code; or evidence of a comparable dismissal or expungement.

(8) The criteria in subdivision (c)(1) through (c)(5), as applicable.

(c) (e) When considering a petition for reinstatement of the certification of an engineer-in-training or a land surveyor-in-training, or the license of a professional engineer or a professional land surveyor, or the authority to use the title "structural engineer," or the authority to use the title "geotechnical engineer," the Board shall evaluate evidence of rehabilitation submitted by the petitioner, including but not limited to the following:

(1) Educational courses, including college-level courses, seminars, and continuing professional development courses, completed after the effective date of the Board's decision ordering revocation.

(2) Professional engineering or land surveying work done under the responsible charge of a <u>licensee license holder</u> in good standing or under the <u>direction responsible</u> <u>charge</u> of a person legally authorized to practice.

(3) Payment of restitution to the consumer(s) by the petitioner.

(4) Actual or potential harm to the public, client(s), employer(s), and/or employee(s) caused by the action(s) that led to the revocation or that could be caused by the reinstatement of the certificate, license, or authority.

(5) The criteria specified in subsection (b) subdivision (d)(1) through (7) (8), as applicable.

(6) Disciplinary history, other than criminal actions, after the revocation.

(7) Recognition by the petitioner of his or her own actions and/or behavior that led to the revocation.

(8) Correction of the petitioner's actions and/or behavior that led to the revocation.

(f) As used in this section, "license" means certification as an engineer-intraining or a land surveyor-in-training, licensure as a professional engineer, licensure as a professional land surveyor, authority to use the title "structural engineer," or authority to use the title "geotechnical engineer."

Note: Authority cited: Sections <u>481</u>, <u>482</u>, 6716, and 8710, Business and Professions Code. Reference: Sections <u>480</u>, <u>481</u>, <u>482</u>, <u>488</u>, <u>490</u>, <u>493</u>, <u>6706.3</u>, <u>6710</u>, <u>6732</u>, 6775, 6775.1, 6777, 6779, <u>6780</u>, <u>8780</u>, 8780.1, 8783, <u>and 8784</u>, <u>and 8785</u>, Business and Professions Code; and Section <u>1203.4</u>, <u>Penal Code</u>.

### 3060. Substantial Relationship Criteria.

(a) For the purpose of denial, suspension, or revocation of the <u>certification of a</u> <u>geologist-in-training or registration license</u> of a geologist, specialty geologist, geophysicists, or specialty geophysicists pursuant to <u>Section 141</u>, Division 1.5

(commencing with Section 475), subdivision (b)(1) of Section 7860, subdivision (a) of Section 7860.1, or Section 7863 of the Business and Professions Code, a crime, professional misconduct, or act shall be considered substantially related to the qualifications, functions, and duties of a geologist, specialty geologist, geophysicists, or specialty geophysicists if to a substantial degree it evidences present or potential unfitness of such geologist or geophysicists to perform the functions authorized by his registration the license in a manner consistent with the public health, safety, or welfare. Such crimes or acts shall include, but not be limited to, the following:

(b) In making the substantial relationship determination required under subdivision (a) for a crime, the Board shall consider all of the following criteria:

(1) The nature and gravity of the offense.

(2) The number of years elapsed since the date of the offense.

(3) The nature and duties of a professional geologist or geophysicist.

(c) For purposes of subdivision (a), substantially related crimes, professional misconduct, or acts shall include, but are not limited to, the following:

(a) (1) Any violation of the provisions of Chapter 12.5 of Division 3 of the Business and Professions Code or other state or federal laws governing the practice of geology or geophysics or aiding and abetting any person in such a violation;

(2) A conviction of a crime arising from or in connection with the practice of geology or geophysics.

Note: Authority cited: Sections 481, and 7818, Business and Professions Code. Reference: Sections <u>141</u>, <u>480</u>, <u>481</u>, <u>490</u>, <u>493</u>, <del>and</del> 7860</u>, <u>7860.1</u>, <u>and</u> <u>7863</u>, Business and Professions Code.

#### 3061. Criteria for Rehabilitation.

(a) When considering the denial of an application for <u>certification as a geologist-in-training or</u> licensure as a professional geologist, <u>a specialty geologist</u>, <u>a</u> specialty geologist, <u>a</u> specialty geophysicist, <u>or geologist-in-training</u> under Section 480 <u>or Section 7863</u> of the Code, <u>on the ground that the applicant has been convicted of a crime, the Board shall consider whether the applicant made a showing of rehabilitation if the applicant completed the criminal sentence at issue without a violation of parole or probation. In making this determination, the Board shall consider the following criteria: the Board, in evaluating the rehabilitation of the applicant and his or her present eligibility for such a license or certification, will consider the following criteria:</u>

(1) The nature and gravity of the crimes(s).

(2) The length(s) of the applicable parole or probation period(s).

(3) The extent to which the applicable parole or probation period(s) was shortened or lengthened and the reason(s) the period(s) was modified.

(4) The terms or conditions of parole or probation and the extent to which they bear on the applicant's rehabilitation.

(5) The extent to which the terms or conditions of parole or probation were modified and the reason(s) for modification.

(b) When considering the denial of an application for certification as a geologistin-training or licensure as a professional geologist, specialty geologist, professional geophysicist, or specialty geophysicist under Section 480 or Section 7863 of the Code if the Board determines that the applicant has not completed the criminal sentence at issue without a violation of parole or probation or did not make the showing of rehabilitation based on the criteria in subdivision (a) if the denial is based on the ground that the applicant has been convicted of a crime, or, if the denial is based on the ground that the applicant has been subject to formal discipline by another licensing board for professional misconduct, then the Board shall consider whether the applicant made a showing of rehabilitation by applying the following criteria in evaluating the applicant's rehabilitation:

(1) The nature and severity gravity of the act(s), professional misconduct, or crime(s) under consideration as grounds for denial.

(2) Evidence of any act(s), professional misconduct, or crime(s) committed prior to or subsequent to the act(s), professional misconduct, or crime(s) under consideration as grounds for denial which also could be considered as grounds for denial under Section 480 of the Code.

(3) The time that has elapsed since commission of the act(s), professional misconduct, or crime(s) referred to in subdivision (1) or (2).

(4) The extent to which the applicant has complied with any terms of parole, probation, restitution, or any other sanctions lawfully imposed against the applicant.

(5) Evidence, if any, Any evidence of rehabilitation submitted by the applicant.

(6) Total criminal record.

(7) If applicable, evidence of expungement proceedings that the conviction has been dismissed pursuant to Section 1203.4, 1203.4a, 1203.41, or 1203.42 of the Penal Code; evidence that the applicant has obtained a certificate of rehabilitation under Chapter 3.5 (commencing with Section 4852.01) of Title 6 of Part 3 of the Penal Code; or evidence of a comparable dismissal or expungement.

(8) The criteria in subdivision (a)(1) through (a)(5), as applicable.

(b) (c) When considering the suspension or revocation of the <u>certification of a</u> <u>geologist-in-training or the</u> license of a professional geologist, a <u>specialty geologist</u>, or <u>a</u> professional geophysicist, or <u>certification of a specialty geologist</u>, <u>a</u> specialty geophysicist, or <u>geologist-in-training</u> under Section 490, <u>subdivision (b)(1) of Section 7860</u>, <u>subdivision (a) of Section 7860.1</u>, or <u>Section 7863</u> of the Code on the ground that the license holder has been convicted of a crime, the Board shall consider whether the license holder made a showing of rehabilitation if the license holder completed the criminal sentence at issue without a violation of parole or probation. In making this determination, the Board shall consider the following criteria: the Board will consider the following criteria in evaluating the rehabilitation of such person and his or her present eligibility to retain his or her license:

(1) The nature and gravity of the crimes(s).

(2) The length(s) of the applicable parole or probation period(s).

(3) The extent to which the applicable parole or probation period(s) was shortened or lengthened and the reason(s) the period(s) was modified.

(4) The terms or conditions of parole or probation and the extent to which they bear on the license holder's rehabilitation.

(5) The extent to which the terms or conditions of parole or probation were modified and the reason(s) for modification.

(d) When considering the suspension or revocation of the certification of a geologist-in-training or the license of a professional geologist, a specialty geologist, a professional geophysicist, or a specialty geophysicist under Section 490, subdivision (b)(1) of Section 7860, subdivision (a) of Section 7860.1, or Section 7863 of the Code on the ground that the license holder has been convicted of a crime, if the Board determines that the license holder has not completed the criminal sentence at issue without a violation of parole or probation or did not make the showing of rehabilitation based on the criteria in subdivision (c), then the Board shall consider whether the license holder's rehabilitation:

(1) <u>Nature The nature</u> and <u>severity gravity</u> of the <u>act(s) or offense(s)</u> <u>crime(s)</u> under consideration as grounds for suspension or revocation.

(2) Evidence of any act(s) crime(s) committed prior to or subsequent to the act(s) or offense(s) crime(s) under consideration as grounds for suspension or revocation under Section 490 of the Code.

(3) The time that has elapsed since commission of the  $\frac{act(s) \text{ or offense}(s)}{crime(s)}$  referred to in subdivision (1) or (2).

(4) The extent to which the <u>licensee</u> <u>license</u> <u>holder</u> has complied with any terms of parole, probation, restitution, or any other sanctions lawfully imposed against the <u>licensee</u> <u>licensee</u> <u>holder</u>.

(5) If applicable, evidence of expungement proceedings pursuant to Section 1203.4 of the Penal Code.

(6) (5) Evidence, if any, Any evidence of rehabilitation submitted by the licensee license holder.

(7) (6) Total criminal record.

(7) If applicable, evidence that the conviction has been dismissed pursuant to Section 1203.4, 1203.4a, 1203.41, or 1203.42 of the Penal Code; evidence that the license holder has obtained a certificate of rehabilitation under Chapter 3.5 (commencing with Section 4852.01) of Title 6 of Part 3 of the Penal Code; or evidence of a comparable dismissal or expungement.

(8) The criteria in subdivision (c)(1) through (c)(5), as applicable.

(c) (e) When considering a petition of reinstatement of the certification as a geologist-in-training, specialty geologist, or specialty geophysicist, or the license of a professional geologist or professional geophysicist, the Board shall evaluate evidence of rehabilitation submitted by the petitioner, including, but not limited to, the following:

(1) Educational courses, including college-level courses, seminars, and continuing professional development courses, completed after the effective date of the Board's decision ordering revocation.

(2) Professional geological or geophysical work done under the responsible charge of a licensee license holder in good standing or under the direction responsible charge of a person legally authorized to practice.

(3) Payment of restitution to the consumer(s) by the petitioner.

(4) Actual or potential harm to the public, client(s), employer(s), and/or employee(s) caused by the action(s) that led to the revocation or that could be caused by the reinstatement of the certificate, license, or authority.

(5) The criteria specified in subsection (b) subdivision (d)(1) through (7) (8), as applicable.

(6) Disciplinary history, other than criminal actions, after the revocation.

(7) Recognition by the petitioner of his or her own actions and/or behavior that led to the revocation.

(8) Correction of the petitioner's actions and/or behavior that led to the revocation.

(f) As used in this section, "license" means certification as a geologist-in-training or licensure as a professional geologist, a specialty geologist, a professional geophysicist, or a specialty geophysicist.

Note: Authority cited: <u>Section Sections 481, 482, and</u> 7818, Business and Professions Code. Reference: Sections 475, 480, 481, 482, 488, 490, 493, 7860, 7860, 7860, and 7862, 7863, and 7864, Business and Professions Code.