



Regulated Industries Complaints Office

235 S. Beretania Street, Ninth

Floor Honolulu, Hawaii 96813

cca.hawaii.gov/rico

Compliance Tips for Professional and Vocational Licensees

- General

- Make every effort to resolve client and customer concerns and disputes
- Keep good paperwork; the documentation may come in handy if a complaint is filed against you and your conduct is investigated by RICO
- Take time to review the laws and rules that govern your profession or trade
- Attend one of your board's meetings when time permits
- Do not help or assist others with performing unlicensed work

- Concerning information provided to the licensing board, commission or program

- Answering questions on Board application, certification and renewal forms
 - Read and re-read the form carefully
 - Read and re-read every question that is asked
 - Be honest; answer truthfully
 - If you don't know what is being asked, call the board staff to try to get clarification
 - When in doubt, disclose
 - Re prior disciplines, out-of-state discipline, judgments, liens, criminal convictions, and so forth – when a question asks about them, disclose and explain

- Timely submissions to the Board
 - Complete and timely submit your license renewal application
 - Complete and timely submit continuing education verification
 - Timely submit address changes
- Affirmative obligation to report certain adverse decisions and actions
 - Every licensee in every industry is obligated to comply with this requirement
 - Civil and criminal judgments and other decisions and awards, that determined you were liable for damages caused by your conduct as a professional, must be reported
 - The judgment or adverse decision must be reported in writing to the licensing board, and not RICO, within 30 days of entry of the judgment or decision
- Concerning a RICO complaint that is pending against you
 - Report the RICO complaint on your renewal application
 - Be courteous and cooperate; please do not ignore the RICO investigator's questions
 - Facts, information, arguments in your favor, and mitigating circumstances matter; include them in your response to the RICO investigation
- Concerning disciplinary action that has been imposed against your license
 - Read & understand every provision in the Final Order so that you can timely comply with all obligations
 - If you are required to pay a fine, pay it on or before the due date
 - If you are paying a fine in installments, calendar the due date for every installment and pay them on time; RICO does not generate invoices or reminders
 - If you are required to take continuing education courses, carefully read and re-read that section of the Final Order so that you are able to comply with all obligations, including notice requirements and deadlines
 - Read, understand and comply with every term in a Final Order; a failure to can result in your license being revoked automatically

- Concerning the aftermath of a RICO complaint
 - If you were disciplined, please keep your copy of the Final Order so that you remember to report the matter at renewal
 - If no action is taken on the RICO complaint, please keep the last letter that RICO sends you because you may have to tell the board how the complaint ended on your license renewal application