

Report on the

**Board of Licensure for Professional
Engineers and Land Surveyors
State of Alabama**

Montgomery, Alabama

October 1, 2013 through September 30, 2015

Filed: September 16, 2016



**Department of
Examiners of Public Accounts**

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Ronald L. Jones, Chief Examiner



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Honorable Ronald L. Jones
Chief Examiner of Public Accounts
Montgomery, Alabama 36130

Dear Sir:

Under the authority of the *Code of Alabama 1975*, Section 41-5-21, I submit this report on the results of the examination of the Board of Licensure for Professional Engineers and Land Surveyors for the period October 1, 2013 through September 30, 2015.

Sworn to and subscribed before me this
the 8th day of Sept., 2016.

Sandra E Shirley
Notary Public

Respectfully submitted,

Gerald Dedon

Gerald Dedon
Examiner of Public Accounts

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Department of
Examiners of Public Accounts

SUMMARY

**Board of Licensure for Professional Engineers and Land Surveyors
October 1, 2013 through September 30, 2015**

The Board of Licensure for Professional Engineers and Land Surveyors (the "Board") operates under the authority of the *Code of Alabama 1975*, Sections 34-11-1 through 34-11-37. By law, the Board licenses and regulates the professional practice of engineering and land surveying in the State of Alabama.

This report presents the results of an examination of the Board and a review of compliance by the Board with applicable laws and regulations of the State of Alabama. This examination was conducted in accordance with the requirements of the Department of Examiners of Public Accounts under the authority of the *Code of Alabama 1975*, Section 41-5-14. Our examination was performed for the purpose of determining whether the public officers, agents, and employees of the Board properly and lawfully accounted for all money and other public assets or resources received, disbursed, or in the custody of the Board. Our examination included determining compliance by the Board with state laws and regulations that pertain to financial transactions; personnel; safeguarding of state-owned assets, property, and resources; information dissemination, processing, and retention; and official actions, rulemaking procedures, and meetings. As a part of our examination, we also reviewed internal control policies and procedures relating to the areas listed above. Our examination did not encompass managerial and operational matters, such as whether the Board accomplished its mission or its regulatory, enforcement, investigative, or other oversight activities in an efficient, fair, timely, or legal manner.

Tests performed during the examination did not disclose any significant instances of noncompliance with applicable laws and regulations.

An exit conference was held August 8, 2016. Individuals in attendance were: Regina Dinger, Rick Huett, and Bonnie Kelley, along with Maria Catledge and Gerald Dedon from the Department of Examiners of Public Accounts.



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COMMENTS

**Board of Licensure for Professional Engineers and Land Surveyors
October 1, 2013 through September 30, 2015**

The Board of Licensure for Professional Engineers and Land Surveyors (the "Board") operates under the authority of the *Code of Alabama 1975*, Sections 34-11-1 through 34-11-37. By law, the Board licenses and regulates the professional practice of engineering and land surveying in the State of Alabama.

The Board consists of five professional engineers and two professional land surveyors who serve five-year terms. Members are required to be US citizens, residents of Alabama, and must have an Alabama Professional Engineer/Land Surveyor license in active status. Engineering members are appointed by the Governor from a list of three persons provided by a nominating committee. The nominating committee consists of one professional engineer selected by each of the major professional engineering organizations in Alabama, as established by Board Rule 330-X-1-.13. Two land surveyor members are appointed by the Governor from a list of three persons nominated by the Alabama Society of Professional Land Surveyors. Any organization with active chapters in the State having membership qualifications comparable to those organizations named in Rule 330-X-1-.13 may petition the Board for membership on the committee, and the Board may grant the membership.

The Board appoints an executive director who serves in the unclassified service within the State's Merit System.

The Board operates from Special Revenue Fund 0359 in the State Treasury. The Board's operating funds consist of licensing fees and fines. The Board is subject to the State's normal budget procedures and cannot expend funds without a legislative appropriation. At the end of each fiscal year, the Board retains funds that do not exceed 25% of the prior fiscal year's budget. Any funds that exceed 25% of the prior fiscal year's budget are required to be transferred to the General Fund.

The Board owned nonconsumable personal property consisting of office furniture, computers and equipment. I compared nonconsumable personal property in the custody of the Board with property records maintained by the Property Inventory Division of the State Auditor's Office. No discrepancies were noted.

Schedule of Cash Receipts, Disbursements and Balances
For the Period October 1, 2013 through September 30, 2015

	2014-2015	2013-2014
<u>Receipts</u>		
License Fees	\$ 1,076,388.00	\$ 1,089,648.50
Administrative Penalties	15,793.75	13,551.89
Salvage Equipment	72.45	16.76
Total Receipts	<u>1,092,254.20</u>	<u>1,103,217.15</u>
<u>Disbursements</u>		
Personnel Costs	417,086.31	385,292.48
Employee Benefits	150,703.98	137,007.90
Travel, In-State	13,874.63	13,484.10
Travel, Out-of-State	25,961.31	36,587.16
Repair and Maintenance	1,751.07	6,555.43
Rentals and Leases	109,331.66	120,882.43
Utilities and Communications	27,533.21	25,819.08
Professional Services	59,683.97	204,608.80
Supplies, Materials and Operating Expenses	55,073.99	57,331.43
Transportation Equipment Operations	2,596.09	2,232.01
Transportation Equipment Purchases	21,029.00	
Other Equipment Purchases	15,724.54	50,998.75
Transfer to the General Fund	129,186.88	31,104.81
Total Disbursements	<u>1,029,536.64</u>	<u>1,071,904.38</u>
Excess of Receipts Over Disbursements	62,717.56	31,312.77
Cash Balances at Beginning of Year	<u>568,037.73</u>	<u>536,724.96</u>
Cash Balances at End of Year	630,755.29	568,037.73
Reserved for Unpaid Obligations	<u>(196,401.86)</u>	<u>(149,058.76)</u>
Unreserved Cash Balances at End of Year	<u>\$ 434,353.43</u>	<u>\$ 418,978.97</u>

Board Members and Official
October 1, 2013 through September 30, 2015

Board Members		Term Expires
Hon. Marc S. Barter	Chairperson	2016
Hon. Richard G. Grace	Member	2019
Hon. Arthur Frazier Christy	Member	2018
Hon. Martha Elisabeth Hyde	Member	2019
Hon. Nathan G. Johnson	Member	2019
Hon. Randall Whorton	Member	2020
Hon. Earl Foust	Member	2015
Hon. Phillip Santora	Member	2014
Hon. Daniel S. Turner, Ph.D.	Member	2014
Hon. Charles P. Willis	Member	2017

Official

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