

Report on the

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

October 1, 2011 through September 30, 2013

Filed: February 14, 2014



**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, we 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, 2011 through September 30, 2013.

Sworn to and subscribed before me this
the 31 day of January, 2014.

Yail Taylor
Notary Public

Sworn to and subscribed before me this
the 31 day of January, 2014.

Gerie M. Gore
Notary Public

Respectfully submitted,

Daniel Dupree
Examiner of Public Accounts

Rodney Wagstaff
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, 2011 through September 30, 2013**

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

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. The 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. The examination was performed to determine compliance with applicable laws and regulations of the State of Alabama and whether the public officers, agents, and employees of the Board properly and lawfully accounted for money and other public assets or resources received, disbursed, or in the custody of the Board.

The examination included determination of compliance 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 the examination, internal control policies and procedures relating to these areas were also reviewed.

The examination did not include 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, or timely manner.

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



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COMMENTS

**Board of Licensure for Professional
Engineers and Land Surveyors
October 1, 2011 through September 30, 2013**

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

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. Each member is appointed by the Governor from a list of three persons provided by a nominating committee. The nominating committee consists of one professional engineer or one professional land surveyor selected by each of the major professional engineering and land surveying associations in Alabama, as established by Board Rule 330-X-1-.13. 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.

Non-consumable personal property in the custody of the Board was compared with the property records maintained by the Property Inventory Control Division of the State Auditor's Office. No discrepancies were found.

On January 6, 2014, this report was presented to the Board of Licensure for Professional Engineers and Land Surveyors. The following persons attended: Board of Licensure for Professional Engineers and Land Surveyors: Regina Dinger, Executive Director; William R. Huett, Assistant Executive Director; and from the Department of Examiners of Public Accounts: Rodney Wagstaff, Examiner; Daniel Dupree, Examiner In-charge; and Maria Catledge, Audit Manager.

***Schedule of Cash Receipts, Disbursements and Balances
For the Period October 1, 2011 through September 30, 2013***

	2012-2013	2011-2012
<u>Receipts</u>		
License Fees	\$ 1,046,730.50	\$ 1,252,751.00
Administrative Penalties	7,981.53	7,598.72
Salvage Equipment		113.11
Total	<u>1,054,712.03</u>	<u>1,260,462.83</u>
<u>Disbursements</u>		
Personnel Costs	406,830.23	428,064.07
Employee Benefits	134,824.80	143,163.87
Travel in State	21,178.59	25,099.94
Travel Out of State	27,278.02	21,169.06
Repairs and Maintenance	2,902.78	2,455.52
Rentals and Leases	123,597.18	120,902.10
Utilities and Communications	34,686.56	32,808.84
Professional Services	67,859.41	345,361.49
Supplies, Materials, and Operating Expenses	66,787.58	46,659.15
Transportation Equipment Operation	1,848.33	2,155.16
Other Equipment Purchases	10,060.00	14,587.00
Total	<u>897,853.48</u>	<u>1,182,426.20</u>
Excess of Receipts Over Disbursements	156,858.55	78,036.63
Cash Balances at Beginning of Year	<u>379,866.41</u>	<u>301,829.78</u>
Cash Balances at End of Year	536,724.96	379,866.41
Reserved for Unpaid Obligations	<u>(78,095.97)</u>	<u>(69,712.68)</u>
Unreserved Cash Balances at End of Year	<u>\$ 458,628.99</u>	<u>\$ 310,153.73</u>

Board Members and Official
October 1, 2011 through September 30, 2013

Board Members		Term Expires
Hon. Phillip E. Santora, Chair (09/30/2013)	Dothan, AL	July 2014
Hon. Marc S. Barter	Mobile, AL	April 2016
Hon. Arthur Frazier Christy	Birmingham, AL	April 2018
Hon. Earl Foust	Birmingham, AL	April 2015
Hon. Daniel S. Turner, Ph.D.	Tuscaloosa, AL	July 2014
Hon. W. Gerald Wilbanks	Trussville, AL	April 2014
Hon. Charles P. Willis	Brookwood, AL	April 2017
Hon. Don T. Arkle	Prattville, AL	April 2011 (1)
Hon. C. Michael Arnold	Fairhope, AL	April 2013
Hon. William C. Ulrich, Jr.	Decatur, AL	April 2012

Official

Regina A. Dinger,
Executive Director

Alabama State Board of
Licensure for Professional
Engineers and Land Surveyors
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(1) Served until May 2012