

Annual Report
Fiscal Year 2013

BOARD OF PUBLIC ACCOUNTANCY

July 2013



**DIVISION OF CORPORATIONS, BUSINESS
AND PROFESSIONAL LICENSING**

This Annual Performance Report is presented in accordance with Alaska Statute 08.01.070(1) and Alaska Statute 37.07.080(b). Its purpose is to report the accomplishments, activities, and the past and present needs of the licensing program.

**ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT**

TABLE OF CONTENTS

| | <u>Page #</u> |
|---|----------------------|
| IDENTIFICATION OF BOARD..... | 1 |
| IDENTIFICATION OF STAFF..... | 2 |
| NARRATIVE STATEMENT..... | 3 |
| BUDGET RECOMMENDATIONS..... | 4-5 |
| PROPOSED LEGISLATIVE RECOMMENDATIONS..... | 6-7 |
| REGULATION RECOMMENDATIONS..... | 8 |
| GOALS AND OBJECTIVES..... | 9-13 |
| SUNSET AUDIT RECOMMENDATIONS..... | 14 |
| STATISTICAL OVERVIEW..... | 15-17 |

**ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
IDENTIFICATION OF BOARD**

| <u>Board Member</u> | <u>Date Appointed</u> | <u>Term Expires</u> |
|------------------------------|------------------------------|----------------------------|
| Jeffrey L. Johnson, CPA/PA | March 1, 2011 | March 1, 2015 |
| Carla J. Bassler, CPA/PA | March 14, 2005 | March 1, 2013 |
| Kathleen Thompson, CPA/PA | October 16, 2008 | March 1, 2014 |
| Elaine R. Williamson, CPA/PA | October 18, 2005 | March 1, 2013 |
| Andre Horton, Public | March 1, 2011 | March 1, 2015 |
| Karen Brewer-Tarver, CPA/PA | March 1, 2012 | March 1, 2016 |
| Wayne Don, Public | March 1, 2012 | March 1, 2016 |
| Donovan Rulien II, CPA/PA | March 1, 2013 | March 1, 2017 |
| Craig Chapman, CPA/PA | March 1, 2013 | March 1, 2017 |

ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
IDENTIFICATION OF STAFF

Cori Hondolero, Executive Administrator

Department of Commerce Community and Economic Development
Division of Corporations, Business and Professional Licensing
550 West 7th Avenue, Suite 1500
Anchorage, AK 99501-3567
Work: (907) 269-4712
Fax: (907) 269-8156

Al Kennedy, Investigator

Department of Commerce Community and Economic Development
Division of Corporations, Business and Professional Licensing
550 West 7th Avenue, Suite 1500
Anchorage, AK 99501-3567
Work: (907) 269-0056
Fax: (907) 269-8195

ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
NARRATIVE STATEMENT

The Board continued with its normal business activities of reviewing and approving applications and supporting documents to license Certified Public Accountants, reviewing and approving applications for reinstatements and Out-of-State permits to practice, approving candidates to sit for the Uniform CPA Examination, and auditing CPE. Disciplinary matters were dealt with in accordance to Alaska State statutes and all regulatory matters were accomplished following established procedures.

Some of the significant issues arising in fiscal year 2013 were:

- Sunset Audit – The Division of Legislative Audit authorized a sunset performance review of the Board of Public Accountancy during Fiscal Years 2010-2012. The audit recommended the termination date of the Board be extended to June 30, 2021 and the 2013 legislature and the Governor approved the extension.
- The Board continued to experience long delays when waiting for travel approval of Out-of-State trips to attend Board approved functions. In one case, the delay resulted in the investigator being unable to attend the one NASBA training during FY13 that was specifically geared for investigative staff. In addition, travel funds were limited with some requests being denied.
- At the close of FY13 there are many pending CPE compliance cases with the Division paralegal (18 months after renewal date). The board has raised the issue repeatedly throughout the year. CPA licensees are up for renewal this year. The unresolved cases need to be resolved as soon as possible!
- The Board reviewed a fee proposal from the Division and suggested modifications. Licenses are up for renewal this year and a fee increases are necessary for the future year operating budgets. Our licensees have not had a fee increase in over 10 years. At the close of FY13, the Board was awaiting the Division's final proposed fee package and related scheduling for public notice.
- The regulation project for 12 AAC 04.255 regarding firm ownership was finalized.

Submitted by Jeffrey L. Johnson, Chair
For Fiscal Year Ended June 30, 2013

ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY

FY 2013 ANNUAL REPORT

BUDGET RECOMMENDATIONS FOR FY 2014

TRAVEL REQUESTS: All travel requests must be ranked in order of the board's priority. Provide the best estimates based on past actuals and seasonal trends in travel, such as summer hotel rooms or increased fuel costs. Calculate on full costs and note any third-party fiscal offsets. Expand the tables below as needed.

Board Meetings

| Rank | Date | Location | # of Board Members | # of Staff | Total Estimated Cost (total of airline, hotel, mileage, M&IE, parking, rental car, taxi, etc.) |
|------|---------|-----------|--------------------|------------|---|
| 1 | 8/2013 | Fairbanks | 7 | 1 | \$5,500.00 |
| 2 | 11/2013 | Anchorage | 7 | 1 | \$2,850.00 |
| 3 | 2/2014 | Juneau | 7 | 1 | \$6,000.00 |
| 4 | 5/2014 | Anchorage | 7 | 1 | \$2,850.00 |

Travel Required to Perform Examination Site Reviews

| Rank | Date | Location | # of Board Members | # of Staff | Total Estimated Cost (total of airline, hotel, mileage, M&IE, parking, rental car, taxi, etc.) |
|------|--------|---|--------------------|------------|---|
| 1 | 8/2013 | Fairbanks - Prometric | 3-5 | 1 | Visit usually conducted in conjunction with Board meeting |
| | | Description of meeting and its role in supporting the mission of the board: Board conducts site visits in conjunction with Board meetings or as necessary. Unannounced visits are completed to assure that the test site is meeting all accommodation and security requirements. | | | |
| 2 | 4/2014 | Anchorage - Prometric | 3-5 | 1 | Visit usually conducted in conjunction with Board meeting |
| | | Description of meeting and its role in supporting the mission of the board: Board conducts site visits in conjunction with Board meetings or as necessary. Unannounced visits are completed to assure that the test site is meeting all accommodation and security requirements. | | | |

Out-Of-State Meetings and Additional In-State Travel

| Rank | Date | Location | # of Board Members | # of Staff | Total Estimated Cost (total of airline, hotel, mileage, M&IE, parking, rental car, taxi, etc.) | Total Potential Third-Party Offset |
|------|-------------|---|--------------------|------------|---|------------------------------------|
| 1 | 10/2013 | Maui, HI | 3 | 1 | \$9,600 | |
| | | Description of meeting and its role in supporting the mission of the board: NASBA annual meeting - Participation required to keep Board up to date with industry standards and national trends. | | | | |
| 2 | Spring 2014 | Unknown at this time | 0 | 2 | \$5,000 | \$2,500 |
| | | Description of meeting and its role in supporting the mission of the board: NASBA ED/Legal counsel conference – special conference specifically for Board Executive Directors and Investigative/legal staff. Investigator may be eligible for a scholarship for first time attendance at the conference. | | | | |
| 3 | June 2014 | St. Louis, MO | 3 | 1 | \$10,000 | \$2,500 |
| | | Description of meeting and its role in supporting the mission of the board: NASBA Western Regional Meeting. Participation required to keep the Board up to date with industry standards and national trends. Possibility that new Board member will be eligible for a scholarship for first time NASBA meeting attendance. | | | | |

NON-TRAVEL BUDGET REQUESTS

Dues/Memberships/Resources/Online Training/Teleconferences

Provide details of the budgetary request. Break down into specific events, where applicable.

| | | | |
|---|--|---------------------------|--|
| 1 | Product or service: Membership dues – due annually | Provider: NASBA | Cost per event: \$3200.00 *based on FY12 billing |
| | Description of item and its role in supporting the mission of the board: National Association of State Boards of Accountancy (NASBA) is the national association that was established to help enhance the effectiveness of State Boards of accountancy and to help protect the public. | | |
| 2 | Product or service: Teleconference | Provider: GCI | Cost per event: \$500.00 |
| | Description of item and its role in supporting the mission of the board: Board will hold teleconferences as necessary to complete Board business. Average cost per occurrence includes public noticing as necessary and call in/per line fees. Board will typically need to hold at least 1-2 teleconferences per year. | | |

Other Items with a Fiscal Impact: N/A

| | | | |
|---|--|------------------|------------------------|
| 1 | Product or service: | Provider: | Cost per event: |
| | Description of item and its role in supporting the mission of the board: | | |
| 2 | Product or service: | Provider: | Cost per event: |
| | Description of item and its role in supporting the mission of the board: | | |

Summary of FY14 fiscal requests

| | |
|--|-----------------------------|
| Board Meetings | \$17,200.00 |
| Travel for Exam site reviews | *done in conjunction w/mtgs |
| Out-Of-State and Additional In-State Travel | \$24,600.00 |
| Dues/Memberships/Resources/Online Training/Teleconferences | \$4,200.00 |
| Total Potential Third-Party Offset | -\$5,000.00 |
| Other | |
| Total Requested: | \$41,000.00 |

Additional information:

ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
RECOMMENDATIONS FOR PROPOSED LEGISLATION FOR FY 2014

Focus Area (Check all that apply)

- Economic Development
- Government Within Our Means
- National Regulatory/Industry Changes
- Enhance Public Protection

1. Subject and Proposed Language (include intent and statutory reference)

AS 08.04.080 – *repeal*

AS 08.04.680(15) – “practice of public accounting” means the offering to perform or the performance as a person holding a license, practice privilege, or permit for a client under this chapter of a service involving the use of accounting or auditing skills; in this paragraph, “accounting or auditing skills” includes preparing financial statements, issuing reports on financial statements, furnishing management services, furnishing financial advisory services, providing consulting services, preparing tax returns, advising on tax matters, or consulting on tax matters”

AS 08.04.680(21) – “client” means a person or entity other than the licensee’s employer, that engages a licensee or a licensee’s firm to perform professional services or a person or entity with respect to which professional services are performed”

2. Explain the benefits the proposed legislation would provide.

AS 08.04.080 – will allow notice of changes to be in line with Division guidelines (30 days notice) instead of the 60 days that is listed currently.

AS 08.04.680(15) – seeks to further clarify existing language.

AS 08.04.680(21) – seeks to further clarify existing language.

3. Explain the consequences, if any, of not implementing the proposed statutory change.

AS 08.04.080 – Board will continue to have requirements that are not the same as most programs within the Division.

AS 08.04.680(15) – Board has received questions about the definition of ‘practice of public accounting’ and has found that the existing language is not clear enough. If the change is not made, the Board can anticipate additional questions/problems.

AS 08.04.680(21) – Board has received questions about the definition of ‘practice of public accounting’ and has found that the existing language is not clear enough. If the change is not made, the Board can anticipate additional questions/problems.

4. Describe any potential negative impacts of this legislation and how they would be minimized.

AS 08.04.080 - None known.

AS 08.04.680(15) – None known.

AS 08.04.680(21) – None known.

5. Who do you anticipate will support the bill and why? Include municipalities, groups, etc...

AS 08.04.080 – The Board does not anticipate any comments in support or opposition to the repeal.

AS 08.04.680(15) – AK Society of Public Accountants representative in attendance when the Board discussed this issue and was not opposed to the clarification.

AS 08.04.680(21) - AK Society of Public Accountants representative in attendance when the Board discussed this issue and was not opposed to the clarification.

6. Who do anticipate will oppose the bill and why?

AS 08.04.080 – None known.

AS 08.04.680(15) – None known.

AS 08.04.680(21) – None known.

7. What other state departments will be affected by this legislation? Have you discussed the impact with the affected departments, and if so who and do they support this bill?

AS 08.04.080 – None known.

AS 08.04.680(15) – None known.

AS 08.04.680(21) – None known.

8. Identify and describe any previous state or federal legislation or similar efforts in other states which affect or relate to this proposal.

AS 08.04.080 – None known.

AS 08.04.680(15) – None known.

AS 08.04.680(21) – None known.

9. Has this bill topic been previously introduced in the legislature? If so, what was the final outcome and why?

AS 08.04.080 – No

AS 08.04.680(15) – No

AS 08.04.680(21) – No

10. In the event questions should be raised during review of this request, please indicate below which board member should be contacted:

Jeffrey L. Johnson, CPA and Chair of the Board.

ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
REGULATION RECOMMENDATIONS FOR FY 2014

The Board took action during FY13 to public notice the following regulations and anticipates that they will be adopted during FY14.

12 AAC 04.033 – *repeal*

Change will repeal the accounting principles section.

12 AAC 04.036 – *repeal*

Change will repeal the auditing standards section.

12 AAC 04.130 – “the board will hold at least four meetings each year at times and places designated by the board.”

Change will remove the 30 day meeting notice requirement; this will allow the Board to notice their meetings in compliance with Division standards (10 days)

12 AAC 04.185(e)(3)(C) – “NASBA International Evaluation Services (NIES)”

Change will allow for the acceptance of credential evaluations prepared by NIES.

12 AAC 04.440(a) – “an individual whose license to practice has been lapsed for less than one year may apply for reinstatement of the license by submitting the applicable renewal fee and, if the license has been lapsed for more than 60 days, the delayed renewal fee required in 12 AAC 02.340 and a complete renewal application on a form provided by the department. The renewal application must include certification that the applicant...”

Change will add a penalty fee for those who choose to renew late

12 AAC 04.440(b)(2) – “the license renewal fees for the entire period during which the license has been lapsed and the delayed renewal fee required under 12 AAC 02.340; and...”

Change will add a penalty fee for those who choose to renew late.

The Division will amend 12 AAC 02.340 if the late renewal penalty fee listed above is implemented.

12 AAC 02.340(12) – delayed renewal fee \$100

The Board also submitted additional fee increase recommendations to the Division for section 12 AAC 02.340 on May 22, 2013.

**ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
GOALS AND OBJECTIVES**

FY13 goals and objectives and how they were met:

Goal 1. Monitor legislation, evaluate and review statutory/regulatory changes needed to:

- a. Mentor executive administrator and assist administrator in developing procedures and goals for timely response to CPA and CPA candidate requests.**
- b. Monitor and evaluate semi or autonomous Board and develop legislation if deemed desirable.**
- c. Monitor other statutory/regulatory changes that may need to be reviewed.**
 - 1. Implement late filing fee regulation.**
 - 2. Continue to review and implement sections of the UAA through a coordinated effort with the ASCPA including developing an approach to the use of the CPA title by inactive or retired licenses.**

The Executive Administrator attended the NASBA administrator training during the fiscal year and also attended the NASBA annual meeting. The administrator training provided the opportunity to interact with executive administrators from other States as well as NASBA staff. Information on changes and topics affecting the industry was discussed at both meetings and staff had the opportunity to attend breakout sessions. The annual meeting provided an opportunity to come up to speed on current and anticipated events impacting regulating the attest function and providing protection to the public. The Board authorized sending the investigator to training, but the request was not approved by the Division in time for the investigator to attend.

The Board left semi or autonomous status on the agenda for possible discussion in the future.

The Board is hopeful that the Division will implement the requested late fee regulation and is waiting for guidance from the Uniform Accountancy Act (UAA) in regards to suggested language for retired/inactive license status.

Goal 2. Review and evaluate National Association of State Board of Accountancy (NASBA) services.

In 2007, the Board outsourced the processing of its CPA exam application activities to NASBA's CPA Exam Services (CPAES). The Board has continued to monitor this service and finds that it is fulfilling the Board's goals.

The Board approved a regulation change to 12 AAC 04.185(e)(3)(C), which will allow examination candidates to use NASBA's foreign credential evaluation services in addition to the other services that are already approved.

Goal 3. Ensure Alaska CPA candidates have positive examination opportunities.

- a. Monitor testing experiences by visiting sites and using the post-testing survey for all candidates testing at the Anchorage and Fairbanks sites. Monitor that the surveys are delivered timely.**
- b. Follow-up on concerns indicated in the surveys.**
- c. Keep the ASCPA and the public abreast of new developments.**

CPA examinations in Alaska are conducted by a contractor, Prometric Incorporated. The Board monitors the CPA exam experience by reviewing the post-exam questionnaire that is mailed to each

candidate. The Board reviews feedback about each Alaska exam site via questionnaires sent to exam candidates at the close of each quarter and is engaging in on-going dialogue with Prometric and NASBA about these results. The Board visited both the Anchorage and Fairbanks test sites during the fiscal year. The Board has found that NASBA and Prometric continue to provide an acceptable exam experience to Alaska's CPA candidates.

Goal 4. Evaluate and address changes in the professional environment to continue to fulfill our mission to protect public interests.

- a. Review new rules proposed by NASBA and the AICPA, for impact on Alaska CPAs and make changes to Alaska statutes and regulations as needed.**
- b. Represent Alaska CPA concerns at regional, annual, and special meetings and support NASBA committee participation.**
 - 1. Promote attendance by staff and new Board members at regional, special and annual meetings to provide understanding of current regulatory issues being dealt with at a national level and a state-by-state level.**
 - 2. Promote attendance of continuing Board members at regional and annual meetings to provide input and to obtain information at both national and state levels regarding matters impacting Alaska CPAs.**

The Board has participated in national and regional meetings but not at its desired level. The opportunity to participate in these conferences and meetings has allowed the Board the ability to have input in the national regulatory aspect of our profession and provide Board member and staff exceptional educational opportunities. The Board has continued to endeavor to participate in and actively monitor NASBA activities. In doing so, Board members volunteer for NASBA committees and attend NASBA regional, annual and special meetings. During FY13, Jeffrey Johnson participated as a member of the Effectiveness & Legislative Support Committee, Elaine Williamson participated as a member of the CPE Committee and Carla Bassler participated in the Enforcement Practices Committee. The Board encourages staff and Board members to participate in NASBA and to attend both regional and annual meetings in order to stay abreast of the quickly changing accounting environment.

During fiscal year 2013 the Boards travel was restricted, with some Board approved requests being denied or not being reviewed in a timely fashion. The inability of the Board to travel to attend NASBA meetings can be detrimental to the Board and the Board's mission to protect the public. The accounting profession is constantly changing, new laws are implemented and jurisdictions throughout the nation are experiencing a wide range of issues. By not attending these meetings and conferences, our Board is not able to keep up to the pace of changes regulating the industry. The Board feels that it is extremely important for its members to attend the regional, national/annual, and special NASBA meetings. These meetings are very informative and educational to Board members. They are the only practical way for the Board to stay informed on issues regarding how Boards administer their duties, and changes that other Boards are facing. Much of what a Board does is determining the licensure of out-of-state candidates. The conferences provide technical education for new Board members which assist the Board with their duty of protection of the public. These conferences provide the information needed to stay abreast in regard to the ever-changing accounting environment; members are able to interact with NASBA staff and request a wide range of assistance from NASBA for legislative drafting to services that they provide.

The executive administrator and Board members Johnson and Thompson attended the Alaska society of CPAs annual meeting to speak about licensing issues and to notify attendees about the upcoming fee increase that is anticipated to be in place before the next renewal.

Goal 5. Work with the Division regarding

- a. Future licensee fee structure;**
- b. Board and staff travel and participation on NASBA meetings including:**

1. **Executive Administrator will attend NASBA annual and regional meetings and the NASBA Executive Director conference.**
2. **No less than three (3) Board members will attend the NASBA regional conference and three (3) Board members will attend the annual NASBA meeting.**
3. **One Board member or the Executive Administrator will attend any special NASBA meeting as they arise.**

c. Ongoing maintenance of the Board website.

The Board provided the Division with its recommended fee updates after the April 2013 meeting and awaits the final fee schedule which needs to be enacted on in early FY14 as licensees' will start submitting applications for 2014 and 2015 in the fourth quarter of 2013.

The Board continued to submit requests for staff/Board member travel with some requests being denied during FY13.

The Board has a goal to post website updates at least on a quarterly basis. In FY 2013 updates were posted on a quarterly basis and the site was also updated following Board action on investigative or audit matters.

Goal 6. Pursue public awareness of enforcement activities.

- a. **Timely update of open and closed investigative information and statistics on the Board web site.**
- b. **Interact with the investigative unit regarding consistency and monitoring of cases.**
- c. **Continue participation with the NASBA Enforcement Practices Committee.**
- d. **Executive Administrator to provide enforcement decisions to the general public.**

The Board was pleased with the activities of the investigator during FY13 and took action on items that were presented. The Board designated a new liaison to work with the investigator as needed.

The executive administrator uses the NASBA/ALD system to search for all new applicants as a part of the application checklist that is presented to the Board for review with each application. The ALD system will show any past licensing issues for all participating states.

License action information is updated on the Boards website as necessary, but typically at least on a quarterly basis.

FY14 goals and objectives:

Goal 1. Monitor legislation, evaluate and review statutory/regulatory changes needed to:

- a. Complete implementation of statute/regulation projects:
 - AS 08.04.080
 - AS 08.04.680(15)
 - AS 08.04.680(21)
 - 12 AAC 04.033
 - 12 AAC 04.036
 - 12 AAC 04.130
 - 12 AAC 04.185(e)(3)(C)
 - 12 AAC 04.440(a)
 - 12 AAC 04.440(b)(2)
 - 12 AAC 04.340 – various Division fees

- b. Continue to review and implement sections of the UAA through a coordinated effort with the ASCPA including developing an approach to the use of the CPA title by inactive or retired licenses.
- c. Review and implement (if needed) sections of the UAA as modified for “attest” functions.
- d. Review license period and renewal cycle.

Goal 2. Review and evaluate National Association of State Board of Accountancy (NASBA) services.

- a. Continue to monitor NASBA CPA Exam Services (CPAES).
- b. Evaluate and analyze other services offered by NASBA.

Goal 3. Ensure Alaska CPA candidates have positive examination opportunities.

- a. Monitor testing experiences by visiting sites and using the post-testing survey for all candidates testing at the Anchorage and Fairbanks sites. Monitor that the surveys are delivered timely.
- b. Follow-up on concerns indicated in the surveys.
- c. Keep the ASCPA and the public abreast of new developments.

Goal 4. Evaluate and address changes in the professional environment to continue to fulfill our mission to protect public interests.

- a. Review new rules proposed by NASBA and the AICPA, for impact on Alaska CPAs and make changes to Alaska statutes and regulations as needed.
- b. Represent Alaska CPA concerns at regional, annual, and special meetings and support NASBA committee participation.
 - 1. Promote attendance by staff and new Board members at regional, special and annual meetings to provide understanding of current regulatory issues being dealt with at a national level and a state-by-state level.
 - 2. Promote attendance of continuing Board members at regional and annual meetings to provide input and to obtain information at both national and state levels regarding matters impacting Alaska CPAs.
- c. Mentor executive administrator in developing procedures and goals for timely response to public, CPAs and CPA candidate requests.

Goal 5. Work with the Division regarding

- a. Future licensee fee structure;
- b. Board and staff travel and participation on NASBA meetings including:
 - 1. Executive Administrator attendance at NASBA annual and regional meetings and the NASBA Executive Director conference.
 - 2. No less than three (3) Board members will attend the NASBA regional conference and three (3) Board members will attend the annual NASBA meeting.
 - 3. One Board member or the Executive Administrator will attend any special NASBA meeting as they arise.
 - 4. Investigator will attend NASBA ED/Legal counsel conference.
- c. Ongoing maintenance of the Board website.
- d. Timely review and resolution of CPE audits.

Goal 6. Pursue public awareness of enforcement activities.

- a. Timely update of investigative information and statistics on the Board website.
- b. Interact with the investigative unit regarding consistency and monitoring of cases.
- c. Continue participation with the NASBA Accountancy Licensee Database (ALD).
- d. Executive Administrator to provide enforcement decisions to the general public.

**ALASKA STATE BOARD OF PUBLIC ACCOUNTANCY
FY 2013 ANNUAL REPORT
SUNSET AUDIT RECOMMENDATIONS**

Date of last Legislative Audit: Occurred during FY13

Board sunset date: June 30, 2021

Audit Recommendation #1: DCBPL's Director should continue to address deficiencies in the investigative case management system.

Action taken:

A task force of investigative staff and IT professionals was formed to identify weaknesses and propose solutions.

Next Steps:

Continue to monitor the case management system.

Date completed:

Ongoing, but some items have been fixed.

FISCAL YEAR 20____ STATISTICAL OVERVIEW

Program: _____

AS 08. _____

12 AAC _____

Name of Individual Completing Report: _____

Date: _____

| FY13 LICENSEES | NEW-ISSUED FY 20____ | TOTAL AS OF 6/30/____ |
|----------------|----------------------|-----------------------|
| | | |

A. Current Active Licenses, Endorsements, Permits

List type and if issued by examination or credential, as applicable.

| LICENSE TYPE & PROGRAM CODE | Lic. Type Code | Status Code | NEW-ISSUED FY 20____ | TOTAL AS OF 6/30/____ | LICENSURE BASIS |
|-------------------------------|----------------|-------------|----------------------|-----------------------|---------------------------|
| Example: Civil Engineer - AEL | C | AA | 10 | 250 | Exam: 6 Credentials: 4 |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| 5. | | | | | |
| 6. | | | | | |
| 7. | | | | | |
| 8. | | | | | |
| 9. | | | | | |
| 10. | | | | | |
| 11. | | | | | |
| 12. | | | | | |
| 13. | | | | | |
| TOTAL | | | | | |

B. Temporary Licenses

| LICENSE TYPE & PROGRAM CODE | Lic. Type Code | Status Code | NEW-ISSUED FY 20____ | TOTAL AS OF 6/30/____ | NOTES |
|-----------------------------------|----------------|-------------|----------------------|-----------------------|-------|
| Example: Physical Therapist - PHY | R | AA | 4 | 24 | |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| 4. | | | | | |
| TOTAL | | | | | |

C. Current Licenses Issued as Inactive (not lapsed licenses)
 (Only Medical, Chiropractic, CPA, and Real Estate)

| LICENSE TYPE & PROGRAM CODE | Lic. Type Code | Status Code | TOTAL AS OF 6/30/____ |
|-----------------------------|----------------|-------------|-----------------------|
| Example: Salesperson - REC | S | II | 64 |
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| TOTAL | | | |

D. Retired Licenses

| CATEGORY & PROGRAM CODE | Lic. Type Code | Status Code | RETIRED DURING FY 20____ | TOTAL AS OF 6/30/____ | NOTES |
|--------------------------|----------------|-------------|--------------------------|-----------------------|-------|
| Example: Osteopath - MED | O | RR | 1 | 8 | |
| 1. | | | | | |
| 2. | | | | | |
| 3. | | | | | |
| TOTAL | | | | | |

E. Examination Detail

(List each examination administration separately. Write "See Attached" and attach a separate sheet if necessary.)

| EXAM TYPE | LOCATION | DATE | CANDIDATES | NO. PASSED | NO. FAILED |
|----------------------------------|----------|------|------------|------------|------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Number of Postponed Exams | | | | | |
| Number of Exam Reviews | | | | | |

F. Miscellaneous Program Activity

List all instances of fee-related work performed under Centralized Regulations per 12 AAC 02.105 (tracked by each program's fee ticker)

| DESCRIPTION | TOTAL |
|-------------------------------|-------|
| Example: License Verification | 62 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

G. Miscellaneous Program Activity

List all instances of fee-related work performed under the licensing program's regulations that is not included above

| DESCRIPTION | TOTAL |
|--------------------------|-------|
| Example: Course Approval | 16 |
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |

H. Board Meetings and Teleconferences

| DATE | LOCATION (<i>indicate if teleconference</i>) |
|------|--|
| | |
| | |
| | |
| | |
| | |
| | |
| | |
| | |