

NASBA
2009 REGIONAL MEETINGS

Oklahoma City, OK
Indianapolis, IN



**COORDINATING REGULATORY
EFFORTS**

WEST

KEN L. BISHOP, HARRY O. PARSONS, CPA

EAST

LINDA L. BIEK, CPA, KEN L. BISHOP, MICHAEL WEINSHEL, CPA

ENFORCEMENT PRACTICES COMMITTEE

CHAIR

HARRY O. PARSONS, CPA

CO-CHAIRS

**MICHAEL WEINSHEL, CPA
KENNETH R. ODOM, CPA**



MEMBERS

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GREG NEWINGTON
LEONARD M. ROMANIELLO, CPA
SANDRA A. SURAN, CPA PATRICK M. THORNE, CPA**

NASBA COMMITTEE LIAISONS

LINDA L. BIEK, CPA

KEN L. BISHOP

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COMMITTEE CHARGE

- Examine and evaluate enforcement practices of state boards.
- Develop best practices relating to evaluation of the effectiveness of state boards' enforcement efforts, including coordination efforts with other boards.
- Develop resource material including expert witnesses for special areas.
- Provide resources for advice and resources on enforcement issues to state boards.

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SUB-COMMITTEE ACTIVITIES

- Referrals and communications between organizations
- Development of an enforcement manual
- Development of a resource bank
- Development of process for multistate investigations

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REFERRALS & COMMUNICATION

- ❑ **Harry O. Parsons, CPA – Chair**
 - ❑ Federal
 - ❑ AICPA
 - ❑ State Societies
 - ❑ SEC
 - ❑ State Boards
 - ❑ Other

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ENFORCEMENT MANUAL

- ❑ **Michael Weinschel, CPA – Chair**
 - ❑ Determine current enforcement efforts of boards.
 - ❑ Development of best practices manual to assist boards with enforcement issues.
 - ❑ Assist boards with implementation of best practices.
 - ❑ Raise awareness level between boards as to what each is doing.

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RESOURCE BANK



- ❑ **Michael Skinner, CPA – Chair**
 - ❑ Identify those states that need assistance in staffing and funding.
 - ❑ Develop a pool of investigators and specialists for boards to draw from.
 - ❑ Provide assistance for inter-state board investigations.
 - ❑ Share resources among state boards.

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MULTISTATE INVESTIGATIONS



- ❑ **Kenneth R. Odom, CPA – Chair**
 - ❑ Development of procedures for shared investigations by boards in different states.
 - ❑ Notifications between state boards.
 - ❑ Enforcement policies for multistate violations.
 - ❑ Improve and promote the use of interstate compacts.
 - ❑ Development of regional compacts.
 - ❑ Encourage input from multistate firms.

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MOBILITY



- ❑ Increases the need to participate in Accounting Licensee Database (ALD)
- ❑ Increases the need for communications between boards
- ❑ Increases the need to move toward uniformity of enforcement
- ❑ Increases the need for state boards to trust and rely on each other for enforcement
- ❑ Increases the need for communications between Executive Directors
- ❑ Increases the need for communications from other agencies (e.g. HUD, PEEC, HHS)
- ❑ Strengthened by regional and inter-regional compacts
- ❑ Increases NASBA participation as a facilitator to accomplish all of these

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