The NORTH CAROLINA REGISTER

IN THIS ISSUE

EXECUTIVE ORDERS

ADMINISTRATIVE ORDERS

PROPOSED RULES
  Administration
  Agriculture
  Human Resources
  Labor
  NR & CD

FINAL RULES
  Corrections

LIST OF RULES AFFECTED

ISSUE DATE: MARCH 16, 1987
Volume 1 • Issue 12 • Pages 807-847
INFORMATION ABOUT THE NORTH CAROLINA REGISTER AND ADMINISTRATIVE CODE

NORTH CAROLINA REGISTER

The North Carolina Register is published monthly and contains information relating to agency, executive, legislative and judicial actions required by or affecting Chapter 150B of the General Statutes. All proposed administrative rules and amendments filed under Chapter 150B must be published in the Register. The Register will typically comprise approximately one hundred pages per issue of legal text.

State law requires that a copy of each issue be provided free of charge to each county in the state and to various state officials and institutions. The North Carolina Register is available by yearly subscription at a cost of ninety-five dollars ($95.00) for 12 issues.

Requests for subscription to the North Carolina Register should be directed to the Office of Administrative Hearings, P. O. Drawer 11666, Raleigh, N. C. 27604, Attn: Subscriptions.

ADOPTION, AMENDMENT, AND REPEAL OF RULES

An agency intending to adopt, amend, or repeal a rule must first publish notice of the proposed action in the North Carolina Register. The notice must include a reference to the Statutory Authority for the action; the time and place of the public hearing and a statement of how public comments may be submitted to the agency either at the hearing or otherwise; the text of the proposed rule or amendment; and the proposed effective date.

The Director of the Office of Administrative Hearings has authority to publish a summary, rather than the full text, of any amendment which is considered to be too lengthy. In such case, the full text of the rule containing the proposed amendment will be available for public inspection at the Rules Division of the Office of Administrative Hearings and at the office of the promulgating agency.

Following publication of the proposal in the North Carolina Register, at least 60 days must elapse before the agency may take action on the proposed adoption, amendment or repeal.

When final action is taken, the promulgating agency must file any adopted or amended rule with the Office of Administrative Hearings. If it differs substantially from the proposed form published as part of the public notice, the adopted version will again be published in the North Carolina Register.

A rule, or amended rule, cannot become effective earlier than the first day of the second calendar month after the adoption is filed.

Proposed action on rules may be withdrawn by the promulgating agency at any time before final action is taken by the agency.

TEMPORARY RULES

Under certain conditions of an emergency nature, some agencies may issue temporary rules. A temporary rule becomes effective when adopted and remains in effect for the period specified in the rule or 120 days, whichever is less. An agency adopting a temporary rule must begin normal rule-making procedures on the permanent rule at the same time the temporary rule is adopted.

NORTH CAROLINA ADMINISTRATIVE CODE

The North Carolina Administrative Code (NCAC) is a compilation and index of the administrative rules of 25 state agencies and 38 occupational licensing boards. The NCAC comprises approximately 15,000 letter size, single spaced pages of material of which approximately 35% is changed annually. Compilation and publication of the NCAC is mandated by G.S. 150B-63(b).

The Code is divided into Titles and Chapters. Each state agency is assigned a separate title which is further broken down by chapters. Title 21 is designated for occupational licensing boards.

The NCAC is available in two formats:

1. In looseleaf pages at a minimum cost of two dollars and 50 cents ($2.50) for 10 pages or less, plus fifteen cents ($0.15) per each additional page.

2. On microfiche. The microfiche edition is revised semi-annually (March and October) and can be purchased for forty dollars ($40.00) per edition. Due to the volume of the Code, the complete copy can only be purchased on microfiche. The NCAC on microfiche is updated monthly by publication of a "List of Rules Affected", which sets out rules filed the previous month, the action taken, and the effective date of the change. This list is published in the North Carolina Register.

Requests for looseleaf pages of rules or the NCAC on microfiche should be directed to the Office of Administrative Hearings.

NOTE

The foregoing is a generalized statement of the procedures to be followed. For specific statutory language, it is suggested that Articles 2 and 5 of Chapter 150B of the General Statutes be examined carefully.

CITATION TO THE NORTH CAROLINA REGISTER

The North Carolina Register is cited by volume, issue, page number and date. 1:1 NCR 101-201, April 1, 1986 refers to Volume 1, Issue 1, pages 101 through 201 of the North Carolina Register issued on April 1, 1986.

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ISSUE CONTENTS

I. EXECUTIVE ORDERS
   Executive Orders 32-33 . . . 807

II. ADMINISTRATIVE ORDERS
   Appointment of
   Delores Del Gaudio Nesnow. 809

III. PROPOSED RULES
   Administration
   Clean Water Bond Act . . . 810
   Agriculture
   Food and Drug . . . . . . . 810
   Pesticide Board . . . . . . . 811
   Human Resources
   Health Services . . . . . . . 811
   Labor
   Elevator Division . . . . . . 816
   NR&CD
   Community Assistance . . . 831

IV. FINAL RULES
   Corrections
   Prisons . . . . . . . . . . . . 836

V. LIST OF RULES AFFECTED
   Volume 11, No. 5 . . . . . . 840
   (March 1, 1987)

VI. CUMULATIVE INDEX . . . . . 844
## NORTH CAROLINA REGISTER
Publication Deadlines and Schedules
(April 1986 - March 1987)

<table>
<thead>
<tr>
<th>Issue Date</th>
<th>Last Day for Filing</th>
<th>Last Day for Electronic Filing</th>
<th>Earliest Date for Public Hearing</th>
<th>Earliest Date for Adoption by Agency</th>
<th>Earliest Effective Date</th>
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<td>11/25/86</td>
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* The "Earliest Effective Date" was considering the agency files the rules with The Administrative Rules Review Commission the same calendar month as adoption by agency and ARRC approves the rules at the next calendar month meeting.
EXECUTIVE ORDERS

EXECUTIVE ORDER NUMBER 32
GOVERNOR'S LITERACY COUNCIL

By authority vested in me as Governor by the Constitution and laws of North Carolina, it is ORDERED:

Section 1. ESTABLISHMENT
There is hereby established in the Office of the Governor, the Governor's Literacy Council. The Council shall be composed of not less than eleven (11) members appointed by the Governor to serve at the pleasure of the Governor. The Governor shall designate one (1) of the members as chairman. The members appointed by the Governor shall include the following:

The President of the Community College System,
The Superintendent of Public Instruction,
The Secretary of the Department of Cultural Resources,
A Representative from the Employment Security Commission,
A Representative from the North Carolina Literacy Council,
A Representative from the North Carolina University System,
A Representative from business and industry in North Carolina,
The President of the North Carolina Association of Independent Colleges and Universities,
Two Representatives from the Governor's Office, and
A Cabinet Officer from the Governor's Cabinet.

Section 2. FUNCTIONS
(a) The Council shall meet regularly at the call of the chairman and will hold special meetings at any time at the call of the chairman or the Governor. The Council is authorized to conduct public hearings.
(b) The Council shall have the following duties:
(1) To serve as a forum for constituencies concerned with adult literacy.
(2) To facilitate coordination of programs and linkages between agencies, organizations and groups concerned with literacy.
(3) To identify issues, problems, and solutions for increasing literacy in North Carolina.
(4) To serve as an advisory group to the Governor on problems and recommendations for eliminating illiteracy in North Carolina.
(5) To issue a report on or proposed solutions to state of literacy in North Carolina.
(6) Other duties as assigned by the Governor.

Section 3. ADMINISTRATION
(a) Support for the Council shall be provided by such departments and agencies as the Governor from time to time shall direct.
(b) Members of the Council shall be reimbursed for necessary travel and subsistence expenses authorized by General Statute 138-5. Reimbursements of such expenses shall be paid by such departments and agencies as the Governor from time to time shall direct.

Section 4. IMPLEMENTATION AND DURATION
(a) This order shall be effective immediately.
(b) The Council shall dissolve at the pleasure of the Governor but no later than February 1, 1989.

This order is effective this 16th day of February, 1987.

EXECUTIVE ORDER NUMBER 33
AMENDING EXECUTIVE ORDER NUMBER ONE (1)

EXTENDING EXPIRATION DATE OF EXECUTIVE ORDER NUMBER 1 TO JANUARY 29, 1989

Executive Order Number 1 issued on January 31, 1985, and amended by Executive Order Number 30 expires on January 31, 1987. It has been made to appear that this Executive Order should continue in effect.

NOW, THEREFORE, IT IS
ORDERED that Executive Order Number 1 dated January 31, 1985, is extended for two years up to and through January 29, 1989.

This action is effective this the 30th day of January, 1987.
ADMINISTRATIVE ORDER

STATE OF NORTH CAROLINA

Office of Administrative Hearings

TO ALL TO WHOM THESE PRESENTS SHALL COME - GREETING:

I, Robert A. Melott, Reposing special trust and confidence in the integrity and knowledge of DOLORES DEL GAUDIO NESNOW, now, by virtue of the authority vested in me by law I do hereby appoint her Administrative Law Judge and confer upon her all of the rights, privileges and powers useful and necessary to the just and proper discharge of her duties.

In Witness Whereof, I have hereunto signed my name and affixed the Seal of the Office of Administrative Hearings of the State of North Carolina, at Raleigh, North Carolina, this the 1st day of March 1987.

s/Robert A. Melott
Chief Administrative Law Judge
Director
PROPOSED RULES

TITLE 1 - DEPARTMENT OF ADMINISTRATION

Notice is hereby given in accordance with G.S. 150B-12 that the Department of Administration intends to amend regulation cited as 1 NCAC 22 0201.

The proposed effective date of this action is July 1, 1987.

Statutory Authority: S.L. 1977, Ch. 677.

The public hearing will be conducted at 10:00 a.m. on April 16, 1987 at Ground Floor Hearing Room, Archdale Building, 512 N. Salisbury St., Raleigh, NC 27611.

Comment Procedures: All persons interested in this matter are invited to attend. Comments, statements, data, and other information may be submitted in writing prior to, during, or within thirty (30) days after the hearing or may be presented orally at the hearing. Oral statements may be limited to five (5) minutes at the discretion of the hearing officer. For further information or the submission of written comments, contact Patty Johnson, DNRC, P.O. Box 27687, Raleigh, NC 27611 (919) 733-6376.

CHAPTER 22 - CLEAN WATER BOND ACT

SECTION .0200 - GRANTS

.0201 GENERAL
Subject to the provisions governing annual allocation of funds set forth in the act, grants may be made from the pollution control account by the Environmental Management Commission and from the water supply systems account by the Division of Health Services to assist units of government in financing the cost of construction of new or the improvement or expansion of existing wastewater treatment works, wastewater collection systems and water supply systems during the period July 1, 1977, through June 30, 1982. If the funds allocated for any of these fiscal years are insufficient, upon recommendation of the Environmental Management Commission or the Division of Health Services and the Department of Administration, additional funds may be made available to the Environmental Management Commission or the Division of Health Services from the contingency account of the Clean Water Fund if the Advisory Budget Commission determines that there are sufficiently compelling reasons for providing funds for grants, or any portion thereof, from the contingency account. Grant payments and New grants from any uncommitted funds which exist as of June 30, 1982, may be made through June 30, 1987.

TITLE 2 - AGRICULTURE

Notice is hereby given in accordance with G.S. 150B-12 that the N.C. Pesticide Board intends to amend and repeal regulations cited as 2 NCAC 9L 0501, 0517; 27A .0001-.0003; 27B .0001-.0002; 27C .0001-.0002; 28A .0001-.0003; 28B .0001-.0002; 28C .0001-.0002.

The proposed effective date of this action is July 1, 1987.

Statutory Authority: G.S. 143-434 to 143-470.

The public hearing will be conducted at 1:00 p.m. on April 24, 1987 at Board Room, Agriculture Building, One Edenton Street, Raleigh, NC 27611.

Comment Procedures: Data, opinion, and argument concerning these rules must be submitted to the North Carolina Pesticide Board by or on April 24, 1987. Written comments may be mailed directly to Mr. John L. Smith, Secretary, North Carolina Pesticide Board, P.O. Box 27647, Raleigh, NC 27611.

CHAPTER 9 - FOOD AND DRUG PROTECTION DIVISION

SUBCHAPTER 9L - PESTICIDE LICENSES

SECTION .0500 - PESTICIDE DEALER LICENSES

.0501 CRITERIA FOR PESTICIDE DEALER (REPEALED)

.0517 PASSING GRADES
Passing grade for the examinations will be grade 70 and can be changed at the discretion of the board.
CHAPTER 27 - PESTICIDE BOARD

SUBCHAPTER 27A - ORGANIZATION

.0001 FUNCTION OF BOARD (REPEALED)
.0002 POWER AND DUTIES OF COMMISSIONER OF AGRICULTURE (REPEALED)
.0003 BOARD MEMBERS (REPEALED)

SUBCHAPTER 27B - MEETINGS

.0001 MEETING DATE (REPEALED)
.0002 PLACE OF MEETING (REPEALED)

SUBCHAPTER 27C - REGULATION ADOPTION

.0001 AUTHORITY OF BOARD (REPEALED)
.0002 CITATION OF RULES AND REGULATIONS (REPEALED)

CHAPTER 28 - PESTICIDE ADVISORY COMMITTEE

SUBCHAPTER 28A - ORGANIZATION

.0001 BOARD MEMBERS (REPEALED)
.0002 TERMS OF BOARD MEMBERS (REPEALED)
.0003 PER DIEM OF MEMBERS (REPEALED)

SUBCHAPTER 28B - FUNCTIONS

.0001 ADVISORY CAPACITY (REPEALED)
.0002 ADVISORY CAPACITY: SCOPE (REPEALED)

SUBCHAPTER 28C - MEETINGS

.0001 SCHEDULING OF MEETINGS (REPEALED)
.0002 LOCATION OF MEETINGS (REPEALED)

TITLE 10 - DEPARTMENT OF HUMAN RESOURCES

Notice is hereby given in accordance with G.S. 150B-12 that the Division of Health Services intends to adopt and amend regulations cited as 10 NCAC 40 .0302; 8B .0311 and .0610; 8G .0705; 10D .0903 and .0906; 10F .0001; .0029-.0034; .0041 and .0042.

The proposed effective date of this action is August 1, 1987.

Statutory Authority: G.S. 130A-5(3); 130A-124; 130A-127; 130A-177; 130A-205; 130A-294(c); 130A-315; 130A-317; 143B-193; and P.L. 93-523.

The public hearing will be conducted at 1:30 p.m. on April 15, 1987 at Highway Building, Auditorium (First Floor), 1 South Wilmington Street, Raleigh, North Carolina.

Comment Procedures: Any person may request information or copies of the proposed rules by writing or calling John P. Barkley, Agency Legal Specialist, Division of Health Services, P. O. Box 2091, Raleigh, North Carolina 27602-2091, (919) 733-3131. Written comments on these subjects may be sent to Mr. Barkley at the above address. Written and oral (for no more than ten minutes) comments on these subjects may be presented at the hearing. Notice should be given to Mr. Barkley at least three days prior to the hearing if you desire to speak.

CHAPTER 4 - HEALTH SERVICES: OFFICE OF THE DIRECTOR

SUBCHAPTER 4C - PAYMENT PROGRAMS

SECTION .0300 - ELIGIBILITY PROCEDURES

.0302 AUTHORIZATIONS AND CLAIMS PROCESSING TIME FRAMES

The following time frames shall apply to all payment programs:

1. Requests for authorization must be received by the division within 30 days after initiation of services.
2. A completed request for authorization shall include a completed authorization form, and a completed eligibility form and any documentation required by this Subchapter.
3. The division shall approve or deny an authorization request or request additional information within 45 days after receipt of the authorization request.
4. If additional information is requested this information must be received by the division within 30 days of the request or the authorization request will be automatically denied.
5. The division shall approve or deny an authorization request within 45 days after receipt of the necessary information.
6. A claim for payment must be submitted to the division within 60 days after...
(5) All claims for payment must be received by the division within 180 days after the date of service or within 45 days after the date of authorization approval, whichever is later. Corrections to claims and requests for payment adjustment must be received by the division within one year after the date of service or within 45 days after the date the claim is paid or returned for additional information, whichever is later.

(6) A claim must show payments by other third party payors or it must show that all other payors have denied payment or that there are no other payors. Once another payor has been billed, if no response has been received within 90 days after the date of service, the payor may bill the division, but the claim must indicate that the other payor has been billed and no response has been received. Providers of pharmacy outpatient services are not required to wait 90 days before billing the division but are required to refund the division if other third party payments are received.

(7) The division shall make payment to the provider within 45 days after receipt of a completed claim for payment for authorized services.

(8) Requests for authorization and claims for payment shall be submitted on forms approved by the division.

CHAPTER 8 - HEALTH: PERSONAL HEALTH

SUBCHAPTER 8B - MATERIAL AND CHILD HEALTH

SECTION .0300 - LOCAL HEALTH DEPARTMENT PROGRAM AND FUNDING

.0311 CLIENT ELIGIBILITY

to be eligible for maternal and child health ambulatory services provided by MCH program funds, clients must meet the eligibility requirements established by the local provider. Financial eligibility requirements, however, may not be more restrictive than those established by the General Assembly for non-Medicaid and non-kidney medical programs the official poverty line issued
annually by the United States Department of Health and Human Services.

SECTION .0600 - PEDIATRIC PRIMARY CARE PROGRAM

.0610 CLIENT ELIGIBILITY
To be eligible for pediatric primary care services provided by pediatric primary care program funds, clients must meet the eligibility criteria established by the local provider. Financial eligibility requirements may not be more restrictive than those established by the General Assembly for non-medicaid and non-kidney medical programs the official poverty line issued annually by the United States Department of Health and Human Services.

SUBCHAPTER 8G - PERINATAL CARE

SECTION .0700 - HIGH RISK MOTHER CLINIC FUNDS AND HIGH RISK MOTHER CLINIC REIMBURSEMENT FUNDS

.0705 CLIENT ELIGIBILITY
(b) To be eligible for services provided by a perinatal program high risk maternity clinic, clients must meet the following:

(1) financial eligibility requirements, if any, established by the clinic. These requirements shall not be more restrictive than those in Title 46. These financial eligibility requirements may not be more restrictive than the official poverty line issued annually by the United States Department of Health and Human Services; and

(2) medical eligibility requirements established by the clinic.

SUBCHAPTER 10D - WATER SUPPLIES

SECTION .0900 - SUBMISSION OF PLANS: SPECIFICATIONS; AND REPORTS

.0903 SUBMISSIONS REQUIRED BY ENGINEER AND WATER SUPPLIER
Detailed plans and specifications for community water system facilities systems shall be prepared by a professional engineer licensed to practice in the State of North Carolina. The plans shall bear an imprint of the registration seal of the engineer. Upon completion of the construction or modification of the community water system the water supplier shall submit a statement signed by a registered professional engineer and affixed with his professional engineering seal stating that construction was completed in accordance with approved plans and specifications and revised only in accordance with the provisions of .0906 of this Section. The statement shall be based upon periodic observations during and upon completion of construction by the engineer or a representative of the engineer's office who is under the engineer's supervision to insure the truth of statement.

.0906 CHANGES IN PLANS OR SPECIFICATIONS AFTER APPROVAL
No deviation Any deviations from the approved plan or and specifications shall be made unless amended plans showing such proposed changes shall have been submitted to and approved by the Department of Human Resources affecting capacity, hydraulic conditions, operating units, the functioning of water treatment processes, the quality of water to be delivered, or any provisions stipulated in the department's original and subsequent letters of approval must be approved by the department before any deviations are made. Revised plans and specifications shall be submitted to the department in time to permit the review and approval of such plans or specifications by the department before any construction work affected by such deviations is begun. Failure to comply with this requirement shall invalidate any previous approval of plans and specifications.

SUBCHAPTER 10F - HAZARDOUS WASTE MANAGEMENT

.0001 GENERAL
(c) 45 Fed Reg. 33,073 (1980) [to be codified in 40 CFR 260.1 to 260.3] (Subpart A) "General," has been adopted by reference as amended by 51 Fed Reg. 28,682 and 40,636 (1986).

.0029 IDENTIFICATION AND LISTING OF HAZARDOUS WASTES - PART 261
(a) The general provisions contained in 45 Fed. Reg. 33,119 to 33,121 (1980) [to be codified in 40 CFR 261.1 to 261.6

NORTH CAROLINA REGISTER 813

.0030 STANDARDS FOR HAZARDOUS WASTE GENERATORS - PART 262


(f) The following shall be substituted for the provisions of 40 CFR 262.40 which were not adopted by reference: "262.40 Recordkeeping.

(a) A generator must keep a copy of each manifest signed in accordance with Section 262.23(a) for three years or until he receives a signed copy from the designated facility which received the waste. This signed copy must be retained as a record for at least three years from the date the waste was accepted by the initial transporter.

(b) A generator must keep a copy of each Biennial Report and Exception Report for a period of at least three years from the due date of the report.

(c) A generator must keep records of any test results, waste analyses, or other determinations made in accordance with Section 262.11 for at least three years from the date that the waste was last sent to on-site or off-site treatment, storage, or disposal.

(d) The periods or retention referred to in this section are extended automatically during the course of any unresolved enforcement action regarding the regulated activity or as requested by the administrator.

(e) A generator must keep records and results of inspections as required by Section 262.34 for at least three years from the date of the inspection.

.0031 STANDARDS FOR HAZARDOUS WASTE TRANSPORTERS - PART 263


.0032 STANDARDS FOR OWNERS/OPERATORS OF HWMF'S - PART 264


.0033 INTERIM STATUS STANDARDS FOR HWMF's - PART 265


(1) The following shall be substituted for the provisions of 40 CFR 265.174 which were not adopted by reference:

265.174 Inspections.

The owner or operator must inspect areas where containers are stored at least weekly, looking for leaks and for deterioration caused by corrosion or other factors. A log of the weekly inspections must be kept for at least three years from the date of the inspection.

[Comment: As required by Section 265.15(c), the owner or operator must remedy any deterioration or malfunction he finds.]


(1) The following shall be substituted for the provisions of 40 CFR 265.194 which were not adopted by reference:

265.194 Inspections.

(a) the owner or operator of a tank must inspect, where present:

(1) discharge control equipment (e.g., waste feed cut-off systems, by-pass systems, and drainage systems), at least once each operating day, to ensure that it is in good working order;

(2) data gathered from monitoring equipment (e.g., pressure and temperature gauges), at least once each operating day, to ensure that the tank is being operated according to its design;

(3) the level of waste in the tank, at least once each operating day, to ensure compliance with Section 265.192(e);

(4) the construction materials of the tank, at least weekly, to detect corrosion or leaking of fixtures or seams; and

(5) the construction materials of, and the area immediately surrounding discharge confinement structures (e.g., dikes), at least weekly, to detect erosion or obvious signs of leakage (e.g., wet spots or dead vegetation).

(b) a log of the weekly inspections must be kept for at least three years from the date of the inspection.

[Comment: As required by Section 265.15(c), the owner or operator must remedy any deterioration or malfunction he finds.]

.0034 INTERIM STATUS STANDARDS FOR PERMITTING - PART 270


.0041 REQUIREMENTS: HAZARDOUS WASTE PROGRAM - PART 271


.0042 LAND DISPOSAL RESTRICTIONS - PART 268

(a) The "General" provisions contained in 51 Fed. Reg. 40,638 to 40,641 (1986) [to be codified in 40 CFR 268.1 to 268.7 (Subpart A)] have been adopted by reference.

(b) The "Prohibitions on Land Disposal" provisions contained in 51 Fed. Reg. 40,640 to 40,642 (1986) [to be codified in 40 CFR 268.30 to 268.31 (Subpart C)] have been adopted by reference.

(c) The "Treatment Standards" provisions contained in 51 Fed. Reg. 40,642 (1986) [to be codified in 40 CFR 268.40 to 268.44 (Subpart D)] have been adopted by reference.

(d) The "Prohibitions on Storage" provisions contained in 51 Fed. Reg. 40,642 and 40,643 (1986) [to be codified in 40 CFR 268.50 (Subpart E)] have been adopted by reference.

(e) The "Appliances I and II" contained in 51 Fed. Reg. 40,643 to 40,653 (1986) have been adopted by reference.

TITLES 13 - DEPARTMENT OF LABOR

Notice is hereby given in accordance with G.S. 150B-12 that the Department of Labor intends to repeal regulations cited as 13 NCAC 5 .0101-.0104, .0201-.0207, and .0209-.0212, .0301-.0304, .0401-.0402, .0501-.0506, .0508-.0531.

The proposed effective date of this action is August 1, 1987.

Statutory Authority: G.S. 95-110.5, 95-111.4, 95-120.

The public hearing will be conducted at 2:00 p.m. on April 15, 1987 at Room 614, Cooper Memorial Building, 225 N. McDowell Street, Raleigh, North Carolina.

Comment Procedures: People wanting to present oral testimony at the hearing, or who want to have written testimony read at the hearing, should provide a written summary of the proposed testimony to the department by April 15, 1987. Oral presentations will be limited to 15 minutes each. Written statements not presented at the hearing will be accepted by the department until April 27, 1987. All correspondence should be directed to Sam Wagoner, N.C. Dept. of Labor, Elevator & Amusement Device Division, 214 W. Jones St., Raleigh, N.C. 27603. Interpreters for the hearing impaired will be made available if requested 24 hours in advance.

CHAPTER 5 - ELEVATOR DIVISION

SECTION .0100 - PURPOSE: DEFINITIONS

.0101 NAME: ADDRESS (REPEALED)

.0102 PURPOSE: RESPONSIBILITIES (REPEALED)

.0103 ORGANIZATION (REPEALED)

.0104 DEFINITIONS (REPEALED)

SECTION .0200 - PROCEDURES

.0201 APPLICABILITY (REPEALED)

.0202 RESPONSIBILITY (REPEALED)

.0203 EXCEPTIONS AND SPECIAL DEVICES (REPEALED)

.0204 CONSTRUCTION PERMITS (REPEALED)

.0205 NUMBERING (REPEALED)

.0206 DESIGN INSTALLATION ALTERATIONS AND
.0207 REPAIRS (REPEALED)
  .0522 EMERGENCY BRAKES AND
  ACCEPTANCE  ANTI-ROLLBACK DEVICES
  INSPECTION (REPEALED) (REPEALED)
  .0209 CERTIFICATES OF  .0523 SIGNAL SYSTEMS
  OPERATION (REPEALED) (REPEALED)
  .0210 MAINTENANCE AND  .0524 PUBLIC PROTECTION
  PERIODIC INSPECTIONS REPEALED)
  AND TESTS (REPEALED)
  .0211 UNSAFE EQUIPMENT  .0525 GUARDING OF
  (REPEALED) MACHINERY (REPEALED)
  .0212 ACCIDENTS (REPEALED)  .0526 SPEED-LIMITING

SECTION .0300 - CODES AND
STANDARDS

.0301 ELEVATOR SAFETY  .0527 PASSENGER-CARRYING
CODE (REPEALED) DEVICES (REPEALED)
  .0302 WORKMAN’S HOIST  .0528 ELECTRICAL SAFETY
CODE (REPEALED) REQUIREMENTS
  .0303 STAIRWAY INCLINED  (REPEALED)
  LIFT CODE (REPEALED)
  .0304 VERTICAL WHEELCHAIR  .0529 AIR COMPRESSORS AND
  LIFT CODE (REPEALED) EQUIPMENT (REPEALED)

SECTION .0400 - AERIAL
PASSENGER TRAMWAYS

.0401 STATE TRAMWAY  .0530 FIRE PREVENTION
CODE (REPEALED) AND PROTECTION
  .0402 REGISTRATION FORM REPEALED)
(REPEALED)

SECTION .0500 - AMUSEMENT
DEVICES

.0501 DEFINITIONS (REPEALED) Statutory Authority: G.S.
.0502 RESPONSIBILITY FOR  95-110.5; 95-111.4; 95-120.
COMPLIANCE (REPEALED)
.0503 DEVICES NOT IN  The public hearing will be
COMPLIANCE (REPEALED) conducted at 2:00 p.m. on April
.0504 LOAD TESTS (REPEALED) 15, 1987 at Room 614, Cooper
.0505 LOCATION NOTICES Memorial Building, 225 N.
(REPEALED) McDowell Street, Raleigh, North
.0506 INSPECTIONS Carolina.
(REPEALED)
.0508 UNSAFE DEVICES  Comment Procedures: People
(REPEALED) wanting to present oral
.0509 ACCIDENTS (REPEALED) testimony at the hearing, or who
.0510 IDENTIFICATION AND want to have written testimony
PUTTING PLATES read at the hearing, should
(REPEALED)
.0511 REBUILT AND MODIFIED provide a written summary of the
DEVICES (REPEALED) proposed testimony to the
.0512 ASSEMBLY AND department by April 15, 1987.
DISASSEMBLY (REPEALED) Oral presentations will be
.0513 DAILY INSPECTION limited to 15 minutes each.
AND TEST (REPEALED)
.0514 PROHIBITED USE Written statements not presented
(REPEALED) at the hearing will be accepted
.0515 CONTROL OF OPERATION by the department until April
(REPEALED) 27, 1987. All correspondence
.0516 OVERLOADING AND should be directed to Sam
OVERSPEEDING Wagoner, N.C. Dept. of Labor,
(REPEALED) Elevator & Amusement Device
.0517 WIND AND STORM Division, 214 W. Jones St.,
HAZARDS (REPEALED) Raleigh, N.C. 27603.
.0518 LIGHTING (REPEALED) Interpreters for the hearing
.0519 DESIGN AND impaired will be made available
CONSTRUCTION if requested 24 hours in
REQUIREMENTS advance.
(REPEALED)
.0520 EXITS (REPEALED)
.0521 ACCESS AND EGRESS 
(REPEALED)

NORTH CAROLINA REGISTER 817
.0101 ELEVATOR AND AMUSEMENT DEVICE DIVISION
The main office of the Elevator and Amusement Device Division, which administers the provisions of Article 14, Article 14A, Article 14B and Article 15 of Chapter 95 of the North Carolina General Statutes, is located in the Raleigh office of the Department of Labor at the corner of Edenton and Salisbury Streets. The mailing address and telephone number are:

Elevator and Amusement Device Division
North Carolina Department of Labor
4 West Edenton Street
Raleigh, North Carolina 27601
(919) 733-7394

.0102 APPLICABILITY
The requirements of this Chapter shall be applicable to the design, construction, installation, plans, review, testing, inspection, certification, operation, use, maintenance, alteration, and relocation of, and investigation of accidents involving devices and equipment subject to Articles 14, 14A, 14B and 15 of the North Carolina General Statutes, as hereinafter specified.

.0103 DEFINITIONS
(a) The definitions found in G.S. 95-110.3, 95-111.3 and 95-117 are applicable throughout this Chapter unless a different meaning is plainly required by the context.
(b) The following definitions also apply throughout this Chapter.
(1) The term "alteration" means any change made to an existing device or piece of equipment other than the repair or replacement of damaged, worn or other parts necessary for operation.
(2) The term "division" means the Elevator and Amusement Device Division of the North Carolina Department of Labor.
(3) The term "elevator safety code" means the edition of the American National Standard Safety Code for Elevators and Escalators, currently in effect with addenda and modifications as provided in Rule .0201 of this Chapter.
(4) The term "existing installation" means any device or equipment, the application for the installation of which was filed with the department or the installation of which was completed before the effective date of the rules and regulations which are currently in effect.
(5) The term "new installation" means any device or equipment, the application for the installation or relocation of which is filed with the department on or after the effective date of these rules and regulations.

.0104 NOTIFICATION OF DECISION BY OWNER OR OPERATOR
(a) Whenever the owner or operator of any device or equipment has received an order from the commissioner that the use of the device or equipment should be stopped or limited pursuant to G.S. 95-110.6, 95-111.6, or 95-123, he shall notify the director in writing within 15 days of receipt of such order:

1) certifying that the device or equipment has been repaired or altered in compliance with the commissioner's specifications;
2) indicating his intention to comply with the standards of safety for such devices or equipment with the understanding that:
   (A) the use of the device or equipment will be limited as specified by the commissioner's order;
   (B) the certificate of operation is suspended until the device or equipment has been repaired or altered in compliance with the commissioner's specifications; or
   (C) the certificate of operation has been permanently revoked; or
3) requesting a hearing pursuant to Chapter 150B of the General Statutes.
(b) Where the owner or operator fails to notify the director within 15 days of receipt of the order or refuses to discontinue or limit operation of the device or equipment, the director may obtain injunctive relief on behalf of the commissioner.

.0105 NOTIFICATION OF SUSPENSION OR REVOCATION
Upon suspension or revocation
of a certificate of operation, an authorized inspector shall affix to a prominent place on the device or equipment, a card with substantially the following language:

The certificate of operation for this device or equipment is revoked (suspended indefinitely/permanently revoked). Further use of this device or equipment is prohibited.

This card shall be signed by the director of the Elevator and Amusement Device Division. In addition the inspector shall place seals upon the device or equipment to ensure that it is not used without the permission of the director.

.0106 OCCURRENCE REPORTING FOR TRANWAYS
(a) The owner of any aerial passenger tramway shall within 24 hours notify the director of every occurrence involving such device or equipment when:

(1) The occurrence results in death or injury requiring medical treatment, other than first aid, by a physician. First aid means the one-time treatment or observation of scratches, cuts not requiring stitches, burns, splinters and contusions or a diagnostic procedures, including examination and x-rays, which does not ordinarily require medical treatment even though provided by a physician or other licensed personnel; or

(2) The occurrence results in a damage to the device indicating a substantial defect in design, mechanics, structure or equipment, affecting the future safe operation of the device. No reporting is required in the case of normal wear and tear.

(b) The director, without delay, after notification and determination that an occurrence involving injury or damage as specified in subsection (a) has occurred, shall make a complete and thorough investigation of the occurrence. The report of the investigation shall be placed on file in the office of the division and shall give in detail all facts and information available. The owner may submit for inclusion in the file results of investigations independent of the department's investigation.

(c) No person, following an occurrence as specified in subsection (a), shall operate, attempt to operate, use or move or attempt to move such device or equipment, or part thereof, without the approval of the director, unless so as to prevent injury to any person or persons.

(d) No person, following an occurrence as specified in subsection (a), shall remove or attempt to remove from the premises any damaged or undamaged part of such device or equipment or repair or attempt to repair any damaged part necessary to a complete and thorough investigation. The department must initiate its investigation within 24 hours of being notified.

.0107 EXCEPTIONS AND SPECIAL DEVICES
The director may at his discretion grant exceptions from the requirements of this Chapter or permit the use of other devices. Requests for exceptions or use of special devices shall contain specific information detailing how the exception or use of a special device will provide equivalent safety as the original design or device. Exceptions or the use of special devices shall be considered only when made by written request. All requests for exceptions or use of special devices shall be given due consideration by the director and a decision rendered within 10 days of receipt of such request whenever possible. Where the investigation of such requests makes it impossible to render a decision within the time specified, the person making the request shall be notified of the delay within 10 days.

SECTION .0200 - CODES AND STANDARDS

.0201 ELEVATOR SAFETY CODE
(a) The design, construction, installation, alteration, repair, replacement, inspection, maintenance and operation of all new installations of elevators, dumbwaiters, escalators, moving walks, inclined, stairway chairlifts, and inclined and vertical wheelchair lifts shall conform to these Rules and the American National Standard Safety Code for Elevators and Escalators, A17.1-1984 with addenda A17.1a-1985, A17.1b-1985 and A17.1c-1986 which is hereby
adopted by reference subject to
the modifications provided in
(b) of this Rule.

(b) The provisions of the
American National Standard
Safety Code for Elevators and
Escalators, A17.1 shall be
subject to the following
modifications:

1. Rule 100.1c(1) --
Observation Elevators With
Enclosed Hoistways. Change
the last sentence in the
same paragraph to read as
follows: Hoistways of
observation elevators may be
enclosed with glass,
provided it is laminated
glass conforming to the
requirements of ANSI Z97.1.

2. Rule 101.1c(2) --
Observation Elevators Not
Fully Enclosed. Change the
rule to read as follows:
For observation elevators
which are not fully
enclosed, protection at
landings shall be provided
as follows:
(A) An enclosure shall be
provided which shall
extend a minimum of 10
feet above the floor.
(B) The enclosure shall be
constructed of
unperforated material.
(C) Enclosures shall be
located in the general
line of the hoistway.
Horizontal clearance shall
be the same as stated in
Section 108.

3. Rule 110.2a -- For
Passenger Elevators and
Freight Elevators Authorized
to Carry Passengers.
(A) Delete from the title
the words: "and freight
elevators authorized to
carry passengers."
(B) Delete items (4) and
(5) of the contents.

4. Rule 111.10 -- Access to
Hoistways for Emergency
Purposes. In the first
sentence change the word
"may" to "shall."

5. Rule 204.2d -- Side
Emergency Exits. Side
emergency exits shall not be
permitted in elevator cars.

6. Rule 300.3d -- Top Car
 Clearance. Change the rule
to read as follows:
The top car clearance shall be not
less than the sum of the
following two items:
(A) the top car runby;
(B) The largest of the
following:
(i) Two feet (610 mm)
above the car crosshead
where a crosshead is
provided;
(ii) In no case shall
there be less than 2
feet clearance (610 mm)
above the car crosshead
when the car has reached
its maximum upward
movement.

(c) The rules of this Chapter
shall control when any conflict
between these rules and the ANSI
Code exists.

d) Copies of the American
National Standard Safety Code
for Elevators and Escalators are
available for public inspection
in the office of the division,
and may be obtained from the
American Society of Mechanical
Engineers, United Engineering
Center, 345 East 47th Street,
New York, New York 10017. The
cost is seventy five dollars
($75.00) per copy for non-ASME
members and sixty dollars
($60.00) for members.

.0202 EXISTING INSTALLATIONS
AND EXCEPTIONS

(a) Existing Installations.
Existing installations of
elevators, escalators,
dumbwaiters, and moving walks
shall be maintained under the
departmental standards (if any)
in effect at the time of their
installation. Existing
installations shall also meet
the following standards whether
or not there were departmental
standards in effect at the time
of their installation:

1. Electrically-powered
elevator driving machines
shall be equipped with a
friction brake applied by a
spring or springs or by
gravity and released
electrically.

2. The car of every
elevator suspended by wire
ropes shall be provided with
one or more safety devices.
The safeties shall be
attached to the car frame
and one safety shall be
located within or below the
lowest members of the car
frame (safety plant). All
safeties shall be designed
and installed in accordance
with Section 205 of the
Elevator Safety Code, unless
otherwise approved by the
director.

3. Operating devices for
electrically-powered or
electrically-controlled
elevators shall be of the
enclosed electric type.
Rope or rod operating
devices activated directly
by hand, or rope operating
devices activated by wheels,
(4) Elevator hoistways shall be enclosed throughout their height and all hoistway landing openings shall be protected with doors or gates. Hoistway enclosures shall be constructed to have a fire resistive rating of not less than one hour.

(5) Hoistway enclosure doors or gates shall be equipped with electric interlocks.

(6) Each elevator car shall be permanently enclosed on all sides and the top, except the sides for entrance and exit. Car side enclosures shall be of such strength and so designed and installed that when subjected to a pressure of 75 pounds applied horizontally at any point on the walls of the enclosure, the deflection will not exceed one inch.

(7) Car top enclosures shall be so designed and installed as to be capable of sustaining a load of not less than 100 pounds at any one point.

(8) An emergency exit with a cover shall be provided in the top of all elevator cars. The exit opening shall have an area of not less than 400 square inches and shall not measure less than 16 inches on any side. The exit shall be so located as to provide a clear unobstructed passage through it. The exit cover shall open outward and be hinged or otherwise attached to the car top and arranged to be opened from the top of the car only.

(9) A door or gate shall be provided at each entrance to the car.

(10) Doors shall be of the horizontally or vertically sliding type. Gates shall be of the vertically sliding or horizontally sliding collapsible type located not more than 1-3/4 inches from the car sill. Gates shall extend from a point not less than one inch above the car floor to not less than six feet above the car floor.

(11) Vertically sliding gates when in the fully opened position shall provide an entrance of not less than six feet in height. Such gates shall be provided with pull straps to facilitate closing of the gate.

(12) Each car door shall be equipped with a car door or gate electric contact so located as to be inaccessible from inside the car door and shall stop the car when the gate is opened a maximum of two inches.

(b) Exceptions. Existing elevators in warehouses of not more than two floors that are not accessible to the general public shall be exempt from Subdivisions (4) through (12) of paragraph (a) of this Rule providing that all of the following conditions are met:

(1) The warehouse shall be used solely for the purpose of storing materials and products.

(2) Hoistways shall be provided with adequate guards as approved by the director.

(3) All capabilities of operating the elevator from the car or platform shall be removed.

(4) Riders shall not be permitted to ride the car or platform.

(5) A sign stating "Absolutely No Riders Permitted" in letters no less than one inch high on a contrasting background shall be posted at each entrance to the elevator.

(c) If an existing installation meets the requirements of paragraph (a) of this Rule, it shall be issued a regular certificate of operation pursuant to Rule 0.0306 of this Chapter. If an existing installation is maintained under the departmental standards (if any) in effect at the time of its installation and is not exposing the public to an unsafe condition likely to result in serious personal injury or property damage, but does not meet the twelve standards specifically set out in paragraph (a) of this Rule, it shall be issued a certificate of operation containing the following statement:

"Warning: This elevator has been inspected and found to be in a reasonably safe condition; however, it is not equipped with some of the safety features now required by the Department of Labor."

If the existing installation is not in compliance with the requirements of paragraph (a) of this Rule by January 1, 1991, the following sign in letters no less than one inch high on a
hoists shall conform to these Rules and the American National Standard Safety Requirements for Personnel Hoists, ANSI A10.4-1981 which is hereby adopted by reference.

(b) The rules of this Chapter shall control when any conflict between these rules and the ANSI Code exists.

(c) Copies of the American National Standard Safety Requirements for Personnel Hoists are available for inspection at the offices of the division and may be obtained from the American National Standard Institute, Inc., 1430 Broadway, New York, New York 10018 at a cost of ten dollars ($10.00) per copy.

.0205 TRAMWAY REQUIREMENTS

The construction, operation and maintenance of all tramways shall conform to the American National Standards Safety Requirements for Aerial Tramway Tramways, B77.1-1982 as supplemented by B77.1a-1986 which is hereby adopted by reference. Copies of the requirements are available for inspection at the offices of the division and may be obtained from the American National Standards Institute, Inc., 1430 Broadway, New York, New York 10018 at a price of twelve dollars ($12.00) per copy.

.0206 NATIONAL ELECTRICAL CODE

(a) All devices and equipment subject to this Chapter shall be designed, constructed, installed, maintained and operated in accordance with these Rules and the requirements of the 1987 edition of the National Electrical Code, NFPA 70-1987 which is hereby adopted by reference.

(b) The rules of this Chapter shall control when any conflict between these rules and the National Electrical Code exists.

(c) Copies of the National Electrical Code are available for inspection in the offices of the division and may be obtained from the National Electrical Code, NFPA 70-1987 which is hereby adopted by reference.

SECTION .0300 - ELEVATORS AND RELATED EQUIPMENT

.0301 SECTION APPLICABILITY
The requirements of this section are applicable to all devices and equipment within the scope of Article 14A of the General Statutes.

.0302 RESPONSIBILITY
Responsibility for the installation, alteration, operation, maintenance, and reporting of accidents for elevators, dumbwaiters, escalators, moving walks, personnel hoists, and special equipment shall be as follows:
(1) The equipment manufacturer shall be responsible for designing and manufacturing equipment in compliance with the applicable code.
(2) The person or firm installing or altering elevators, dumbwaiters, escalators, moving walks, personnel hoists, and special equipment shall be responsible for obtaining all permits and approvals. He shall be responsible for the safe operation of equipment during the installation until a certificate of operation has been issued and for conducting all tests required by these rules.
(3) The owner, his duly appointed agent, or the lessee shall be responsible for the proper maintenance of elevators, dumbwaiters, escalators, moving walks, personnel hoists, and special equipment after the installation has been approved and a certificate has been issued. He shall be responsible for conducting all periodic or maintenance tests required by these rules.

.0303 CONSTRUCTION PERMITS
(a) Before erecting or constructing a new elevator, dumbwaiter, workman's hoist, escalator, moving walk, stairway inclined lift, or vertical wheelchair lift, or before moving such an apparatus from one location to another, or before making alterations to existing equipment, the owner or his authorized agent shall obtain a permit from the director. The owner or his authorized agent shall submit an application for a permit accompanied by duplicate plans and drawings showing the proposed construction, type of equipment and mode of operation. The application to install which consists of the original and three copies shall include the following information:
(1) name and address of architect, owner, and installer;
(2) type and design of equipment;
(3) pertinent information as to the location of the equipment and such specifications as required by the Elevator Safety Code;
(4) a permit from the local building inspector that the planned stairway inclined lift or vertical wheelchair lift will not hinder egress or ingress from the building required by the North Carolina Building Code. If no local building inspector is available, the permit must be obtained from the engineering division of the North Carolina Department of Insurance.
(b) Upon finding that the application is in compliance with the regulations of this Chapter, the director will issue a permit, subject to final field inspection.
(c) The permit shall be posted in a conspicuous place on the job site prior to the start of any work to be done.
(d) Upon receiving information indicating violation of this Rule, the director may cause the stoppage of all work on that job until a hearing, pursuant to the provisions of the Administrative Procedure Act, N.C. General Statutes, Chapter 150B Article 3 can be held to determine the reason for the violation.
(e) The purchase or use of any new, altered, or relocated equipment subject to the Elevator Safety Code other than by the installer acting under the authority of a construction permit is prohibited until such equipment has passed tests and inspections as required by Rule .0305 of this Section and a certificate to this effect has been issued in accordance with Rule .0306 of this Section.

.0304 NUMBERING
All new devices and equipment shall have a registration number assigned by the division painted on or attached in plain view to the elevator car, to the escalator or moving walk balustrade, or to the driving mechanism of all other equipment. This registration number also shall be shown on the certificate of operation. The owner or operator is responsible for having the
registration number painted on or attached to the device or equipment.

.0305 ACCEPTANCE INSPECTION
(a) Notification. The person or firm installing, moving or altering any device or equipment shall notify the director at least five days before the inspection is desired. The notification shall be in writing and shall include the following:
(1) name and address of the contractor,
(2) name and address of the owner,
(3) location of the device or equipment,
(4) date of request for inspection.

If the person or firm installing, moving or altering the device or equipment will not be ready for inspection on the date requested, he shall immediately notify the director so that an inspector will not be required to make an unnecessary trip.

(b) Inspections. The director or an inspector of the division shall inspect all new, altered or relocated devices or equipment subject to this Chapter for conformity with the requirements of these regulations. The inspection shall be made, when practicable, within two days of the date requested.

(c) Elevators, Dumbwaiters, Escalators and Moving Walks. The person or firm installing, moving or altering an elevator, dumbwaiter, escalator, moving walk, inclined stairway chairlift, or inclined or vertical wheelchair lift, shall, in the presence of the director or an inspector, subject the new, moved or altered portions of the equipment to an acceptance test as required by the Elevator Safety Code.

(d) Special Equipment. The person or firm installing, moving or altering any special equipment shall, in the presence of the director or an inspector, subject the new, moved or altered portion of the equipment to such tests as may be required by the director to insure safe operation.

(e) Violations. If, after inspecting and performing tests on the equipment, the inspector determines that the condition of the equipment is not in full compliance with the rules of this Chapter, the inspector will inform the person or firm installing, moving or altering the device of any violations and will require compliance before a certificate for operation, as prescribed in Rule .0306 of this Section, will be issued.

.0306 CERTIFICATES OF OPERATION
(a) Issuing of Final Certificates of Operation. A certificate of operation shall be issued by the director where the inspections and tests, required by Rule .0305 of this Section, show beyond a reasonable doubt that the equipment has been designed and installed in accordance with the requirements of these rules.

(b) Framing of Certificates. The certificate furnished by the director shall be maintained in a suitable frame under transparent cover.

(c) Numbering of Certificates. The final certificate of operation shall show the registration number of the equipment for which it is issued, as required in Rule .0304 of this Section.

(d) Posting of Certificates of Operation. The required certificates shall be posted conspicuously as follows:
(1) inside elevator cars, or
(2) inside dumbwaiter cars, or
(3) inside escalator and moving walk machine rooms, or
(4) in locations designated by the division.

(e) Limited Certificate of Operation.

(1) Issuance for Elevator. The director may allow the temporary use of any elevator for passenger or freight service during its installation or alteration under the authority of a limited certificate, issued for each class of service. Such limited certificate shall not be issued for elevators until the elevator has been tested with rated load, and the car safety, hoistway door interlocks, car door switch, and terminal stopping devices have been tested to determine the safety of the equipment for construction purposes.

(2) Issuance for Personnel Hoist. The director may allow the temporary use of any personnel hoist under the authority of a limited certificate. Such limited certificate shall not be issued until the personnel
hoist has been tested with rated load, and the car safety, the hoistway door interlocks, car door switch, and terminal stopping devices have been tested to determine the safety of the equipment.

(3) Life of Limited Certificates of Operation. Limited certificates of operation may in the case of an elevator be issued for a period not to exceed 90 days. Limited certificates of operation for a personnel hoist may be used for a period not exceeding the length of the applicable construction project. Such certificates may be renewed at the discretion of the director upon receiving a written request showing justifiable cause for renewal. Such request must be received 15 days prior to the expiration of said limited certificate.

(4) Posting of Limited Certificates of Operation. Limited certificates of operation shall be posted conspicuously on each elevator or personnel hoist. Such limited certificates for elevators shall bear a notice stating that the equipment has not been finally approved.

.0307 MAINTENANCE AND PERIODIC INSPECTIONS AND TESTS

(a) Inspections and Tests. Devices and equipment shall be subject to maintenance and periodic inspections and tests in accordance with the requirements of the applicable code as adopted in Section 200. Special equipment shall be subject to periodic and to maintenance inspections and tests as may be required by the director in accordance with standard accepted safety practices to ensure safe operation.

(b) Inspections.

(1) Advance Notice. Inspections shall be accomplished without advance notice, except where the director determines that advance notice of an inspection is necessary to complete the inspection.

(2) Inspection Report Forms. The inspector will note findings of his inspection and tests on the appropriate inspection report form.

(c) Certificate of Operation Issuance.

(1) Closing Conference. After the inspections and tests of the equipment prescribed in this Rule, the inspector shall, when possible, hold a closing conference with the owner or his representative.

(2) Approval. When the inspector has determined that the equipment is in compliance with the regulations of this Chapter and all applicable law, the inspector may reissue the certificate of operation.

(3) Denial. When the inspector has determined the equipment is not in compliance with the regulations of this Chapter and all applicable law, the inspector will provide the owner or his representative with a description of all violations and necessary repairs.

(4) Abatement. In the event of a reissuance denial, the inspector may issue an abatement permit which will be valid for a period not exceeding 60 days.

(5) Notice. When the equipment is brought into compliance, the owner or his representative shall notify the division in writing.

(6) Reinspection. After a certificate reissuance denial, an inspector shall always reinspect to determine if the equipment is in compliance.

(d) Tests. Periodic tests required by the elevator safety code will be performed in the presence of an elevator inspector whenever possible. In the absence of an inspector, a signed copy of the test report shall be sent to the director of the division without delay. The report shall be signed by the person conducting such tests.

.0308 WIRING DIAGRAMS

Wiring diagrams for elevators shall be left in the machine room in a permanently mounted receptacle and shall not be removed except by permission of the director.

.0309 LIMITATIONS ON WHEELCHAIR LIFTS

No inclined or vertical wheelchair lift shall be installed between any two floors already being served by an elevator.

SECTION .0400 - AMUSEMENT DEVICES
0401 APPLICABILITY
The Section is applicable to all amusement devices within the scope of Article 148 of Chapter 95 of the General Statutes.

0402 RESPONSIBILITY FOR COMPLIANCE
Every owner or operator of an amusement device shall comply with or affect compliance with all provisions of the rules of this Section, and every employer and employee shall comply with all provisions which concern or affect his conduct.

0403 LOAD TESTS
(a) Test Required. Load tests will not be required on a regular basis. The director may, however, at his discretion require a load test to be made on devices of the following types:
   (1) devices having suspended passenger seats or spaces,
   (2) devices regularly operated at speeds or with movements creating severe centrifugal forces,
   (3) devices so elevated that structural failure is likely to cause passengers to be injured by falling, or
   (4) devices which the director has ordered such a test upon finding it necessary to assure safety.
(b) Evidence of Test. Unless a load test is made in the presence of a representative of the director, the director may accept a certified copy of such test made by a person qualified to perform such tests, showing whether the device withstood the test without failures in any material respect and setting forth such other relevant information as the director may require. Until such a statement is so filed it shall be presumed that the device has not withstood the test as required.
(c) Nature of Test. Each passenger seat or space shall be weighted with at least 150 pounds dead weight, except that in a device intended only for small children each seat or space shall be weighted with at least 75 pounds. While so loaded the device shall be so operated at maximum normal speed as to test the full operation of all control devices, speed limiting devices, brakes and other equipment provided for safety.
(d) Effect of Test. If the device fails to withstand a load test it shall be deemed unsafe and shall not be used until and unless it has withstood a subsequent load test without failure in any material respect. If the device has withstood a load test without failure in any material respect it shall be required to be so tested again only if rebuilt or modified or if there are reasonable grounds to believe that further test is necessary to assure safety and the director orders such test to be made.

0404 LOCATION NOTICES
No amusement device shall be used at any time or location unless prior notice has been given to the director pursuant to G.S. 95-111.8. Notice shall include:
   (1) the name and permanent address of the operator,
   (2) the name and identification number of every amusement device, and
   (3) the intended date(s) and location(s) of use.

0405 INSPECTIONS
An inspector shall inspect each amusement device at each location to determine if the device:
   (1) has been soundly constructed and properly erected,
   (2) has been modified to comply with any changes in safety requirements prescribed by the manufacturer,
   (3) has complied with the rules and regulations of this Section, and
   (4) has in existence a policy of insurance as required by G.S. 95-111.12.

0406 UNSAFE DEVICES
If the inspector finds that the amusement device presents an imminent danger, he may attach to such device a notice warning all persons against the use thereof. Such notice shall not be removed until the device is made safe, and then only by a representative of the director. In the meantime, the device shall not be used.

0407 IDENTIFICATION AND RATING PLATES
Every amusement device shall be identified by a trade or descriptive name and an identification number, and there shall be firmly attached to the device in a readily visible location a metal plate upon
which there is legibly impressed
the name and number of the
device, its model number if any,
and the name and address of its
manufacturer. Upon the same or
another metal plate so attached
there shall be legibly impressed
the maximum safe number of
passengers, and the maximum safe
speed.

.0408 REBUILT AND MODIFIED
DEVICES

If an amusement device
which has withstood a
performance test as required in
Rule .0403 of this Section is
thereafter materially rebuilt or
so modified as to change its
original action:

(1) The device shall be
re-identified by a different
name or identification number
or both.
(2) The device shall be
subject to all other rules of
this Section as if it were a
new device not previously
used.

.0409 ASSEMBLY AND DISASSEMBLY

(a) Competent Supervision.
The assembly and disassembly of
an amusement device shall be
done by or under the immediate
supervision of a person
experienced and instructed in
the proper performance of such
work in respect to the device.
(b) Quality of Assembly.
Assembly work shall be performed
in a proper and workmanlike
manner. Parts shall be properly
aligned, and shall not be bent,
distorted, cut or otherwise
introduced to force a fit. Parts
requiring lubrication shall be
lubricated in course of
assembly. Fastening and locking
devices, such as bolts, cap
screws, cotter pins, and lock
washers, shall be installed
where required for dependable
operation. Nuts shall be drawn
tight, cotter pins shall be
spread and lock nuts firmly set.
All brakes shall be adjusted for
proper operation.
(c) Welding. Welding of
parts upon which safe operation
depends shall be done by welders
qualified in accordance with the
requirements of the American
Welding Society.
(d) Quality and Inspection of
Parts. Parts which are
excessively worn or which have
been materially damaged shall
not be used. Close visual
inspection of parts shall be
made during assembly to discover
such wear or damage and
immediate inspection of
fastening devices shall be made
after assembly to assure that
they have been properly
installed.
(e) Tools and Equipment.
Persons engaged in the assembly
or disassembly of amusement
devices shall be provided with
and shall use tools of proper
size and design to enable the
work to be done safely. Broken,
damaged and unsuitable tools
shall not be used. Electrically
operated tools shall be grounded
during use. Ladders, scaffolds,
and safety belts used in
assembly or disassembly work
shall be of such design,
material and construction as to
provide reasonable and adequate
protection to the persons using
them. Fiber rope used in
assembly or disassembly work
shall be standard quality manila
or equivalent in strength.
Tackle blocks shall be of a size
to fit the rope. All
load-carrying equipment shall be
designed and constructed
throughout to support the
intended load.
(f) Lighting. Assembly and
disassembly of amusement devices
shall be done under light
conditions sufficient to permit
the work to be properly
performed and inspected.

(g) Persons in Work Area.
A sufficient number of persons
to do the work properly shall be
engaged for the assembly or
disassembly of amusement
devices. Persons not so engaged
in this work and who may create
a hazard shall be prevented from
entering the work area.

.0410 DAILY INSPECTION AND
TEST

An amusement device shall
be inspected and tested each day
when it is intended to be used.
The inspection and test shall be
made by a person experienced
and instructed in the proper
assembly and operation of the
device and shall be performed
before the device is put into
normal operation. The
inspection and test shall
include the operation of control
devices, speed-limiting devices,
brakes and other equipment
provided for safety. A record
of each inspection and test
shall be made at once upon
completion of the test on a form
provided by the director and
shall be kept with the device
and available to the director
for at least 30 days.

.0411 CONTROL OF OPERATION
Every operator shall
have knowledge of the use and function of all normal emergency operation controls and of the proper use of the device. An operator shall be in the immediate vicinity of the operation and no other person shall be permitted to handle such controls during normal operation. This provision does not apply to amusement devices designed to be operated or controlled by a passenger.

.0442 OVERLOADING AND OVERSPEEDING

An amusement device shall not be overcrowded, or loaded in excess of its carrying capacity; nor shall it be operated at an unsafe speed or at any speed beyond that recommended by the manufacturer.

.0413 WIND AND STORM HAZARDS

An amusement device which is exposed to wind or storms shall not be operated under dangerous weather conditions except to release or discharge occupants.

.0414 LIGHTING

Amusement devices, access thereto and exits therefrom, shall, while in operation or occupied, be provided with illumination by natural or artificial means sufficient to guard against personal injuries to visitors under such conditions.

.0415 DESIGN AND CONSTRUCTION REQUIREMENTS

(a) All structures used in connection with amusement devices shall be so designed and constructed as to carry safely all loads to which such structures may normally be subjected.

(b) All amusement devices shall be designed, constructed and installed so as to withstand any normal stresses to which they may be subjected.

(c) Before being used by the public, amusement devices shall be so placed or secured with blocking, cribbing, outriggers, guides, or other means as to be stable under all operating conditions.

.0416 NUMBER OF EXITS

At least two exits remote from each other shall be provided from each floor, tier, room or balcony in structures which house amusement devices and which are not places of public assembly. No exit shall be less than 20 inches wide.

.0417 ACCESS AND EGRESS

(a) General Requirements.

Safe and adequate means of access to and egress from amusement devices shall be provided. Such means of access and egress shall have:

(1) protection from adjacent hazards or from falling by the use of rails, enclosures, barriers or similar means;

(2) secure treading and supporting surface free from debris, obstruction, projections and slipping, tripping, and other hazards;

(3) adequate clearance.

(b) Design of Stairways, Landings and Ramps. Stairways, landings and ramps shall be designed, constructed and maintained so as to sustain safely a live load of at least 90 pounds per square foot.

(c) Stairways, Ramps and Platforms. Stairways and ramps shall be at least 20 inches wide. Stair treads shall be at least nine inches deep exclusive of nosing and the height of rise shall not exceed eight inches. Between any two levels the treads shall be of uniform depth and the risers of uniform height. The slope of ramps shall not exceed one in four. The open sides of stairways, ramps and platforms shall be provided with adequate protection against falling except as the safe and normal access to the device may otherwise require.

(d) Measurement of Widths. The width of a stairway shall be taken as the length of the treads between stringers. The width of a doorway shall be taken as the width of the door.

.0418 EMERGENCY BRAKES AND ANTI-ROLLBACK DEVICES

If cars or other components of an amusement device may collide in such a way as to cause personal injuries upon failure of normal controls, emergency brakes sufficient to prevent such collisions shall be provided. On rides which make use of inclined tracks, automatic anti-rollback devices shall be installed to prevent backward movement of the passanger carrying units in case of failure of the propelling mechanism.

.0419 SIGNAL SYSTEMS

Signal systems for the
starting and stopping of amusement devices shall be provided where the operator of the device does not have a clear view of the point at which passengers are loaded or unloaded. Any code of signals adopted shall be printed and kept posted at both operator's and signalman's stations. All persons who may use these signals shall be carefully instructed in their use. Signals for the movement or operation of an amusement device shall not be given until all passengers and other persons who may be endangered are in a position of safety.

.0420 PUBLIC PROTECTION
An amusement device shall not be used or operated while any person is so located as to be endangered by it. Areas in which persons may be so endangered shall be fenced, barricaded, or otherwise guarded against public intrusion.

.0421 GUARDING OF MACHINERY
Machinery used in or with an amusement device shall be enclosed, barricaded or otherwise effectively guarded against contact. Guards removed for maintenance purposes shall be replaced before normal operation is resumed.

.0422 SPEED-LIMITING DEVICES REQUIRED
An amusement device powered so as to be capable of exceeding its maximum safe operating speed shall be provided with a maximum speed-limiting device.

.0423 PASSENGER-CARRYING DEVICES
The interior and exterior parts of all passenger-carrying amusement devices with which a passenger may come in contact shall be smooth and rounded, free from sharp, rough or splintered edges and corners, with no protruding studs, bolts, screws or other projections which might cause injury. Interior parts upon or against which a passenger may be forcibly thrown by the action of the ride shall be adequately padded. Devices which are self-powered and which are operated by a passenger shall have the driving mechanism so guarded and the guards so locked in place as to prevent passengers from gaining access to the mechanism. Such belts, bars, foot rests and other equipment as may be necessary for safe entrance and exit and for support while the device is in operation shall be provided. Such equipment and the fastenings thereof shall be of sufficient strength to retain the passengers. The fastenings shall be of a type which cannot be inadvertently released.

.0424 ELECTRICAL SAFETY REQUIREMENTS
(a) General Requirements. All electrical wiring, equipment and apparatus used for amusement devices or for lighting shall be properly and legally installed, operated and maintained.

(1) Branch Circuits. The circuit for each ride shall be protected by fuses or a circuit breaker at the junction box or at the generator.

(2) Disconnecting Means. Each ride shall be provided with a main line disconnect switch or breaker. The disconnect switch or breaker shall be located at the ride. Each branch circuit on a ride shall be further provided with a disconnecting means.

(3) Conductors. Conductors supplying current to rides shall be of moisture resistant construction and insulated for the maximum voltage supplied to the ride.

(4) Grounding. Grounding of rides shall be by means of one or more grounding electrodes driven at the generator or other service. The grounding conductor to each junction box shall be of sufficient size to carry the maximum voltage generated by the system. Grounding conductors to each ride shall not be less than #8 avg. wire size.

(b) Protection of Employees. No employee shall be suffered or permitted to work in such proximity to any part of an electric power circuit that he may contact the same in the course of his work unless he is protected against shock by de-energizing the circuit, grounding it or guarding it, by effective insulation. If protection is supplied by de-energizing the circuit, the switch controlling the circuit shall be locked out to prevent inadvertent closing.

(c) High Voltage Lines. The outlets of electric power lines carrying more than 120
volts shall be clearly marked to show their voltage.
(d) Transformers. All electrical transformer sub-stations shall be properly enclosed and properly warned signs posted.
(e) Outdoor Apparatus and Wiring. Electrical apparatus and wiring located outdoors shall be of such quality and so constructed or protected that exposure to weather will not interfere with its normal operation.
(f) Elevated Lines. Elevated power lines crossing access or other roads within the grounds of a carnival, fair or amusement park shall be so suspended as to provide minimum vertical clearance of 12 feet from the road surface and minimum horizontal clearance of three feet on each side of the normal passage space of vehicles.
(g) Grounding. Temporary electric installations shall be properly grounded.
(h) Exposed Conductors. Bare wires and other uninsulated current-carrying parts shall be guarded against inadvertent contact by means of proper location or by fence or other barrier.
(i) Overcurrent Protection. Conductors shall be provided with overcurrent protective devices according to load. No such device shall be installed in neutral or grounding conductors.
(j) Generator Grounding. Where electrical power is supplied for an amusement device or temporary structure by a privately generated system, the generator and all equipment shall be properly grounded if the system incorporates a ground.
(k) Receptacles and Caps. All receptacles and attachment caps shall be of the ground type.
(l) Abrasion Protection. Wiring laid on surfaces traversed by vehicular or pedestrian traffic shall be adequately protected against wear and abrasion.

.0425 AIR COMPRESSORS AND EQUIPMENT

Air compressors, air compressor tanks and equipment used in connection therewith shall be constructed, equipped and maintained to insure safe operation at all times. They shall be inspected and tested at least once a year by a qualified person and a record of each inspection shall be kept and made available to the inspector. Air compressor tanks and other air receivers used in connection with air compressors shall have the maximum allowable working pressure conspicuously marked thereon.

.0426 FIRE PREVENTION AND PROTECTION

(a) Fire Resistance of Fabrics. Fabrics constituting part of an amusement device shall be fire-resistant to meet the following standard: Two strips or test sections either of the fabric used or of other fabric identical therewith shall be tested. Each strip shall be not less than six inches wide and 12 inches long. Each strip shall be thoroughly dry and shall then be subjected to an open flame applied to the lower edge while the strip is held vertically for 12 seconds. Neither strip shall flame for more than two seconds after the test flame is removed from contact nor shall have the average length of char exceed 2-1/2 inches. Such a test is not required by this Section if other evidence of the required degree of fire resistance is accepted by the commissioner as sufficient.
(b) Fire Extinguishers. Approved fire extinguishers shall be provided where necessary to secure reasonable and adequate protection from fire hazards.
(c) Flammable Waste. Flammable waste such as oily rags and other flammable materials shall be placed in a covered metal container which shall be kept in easily accessible locations. Such containers shall not be kept at or near exits.
(d) Flammable Liquids and Gases. Gasoline and other volatile liquids and flammable gases when stored shall be kept in reasonably cool and ventilated places. Such liquids shall be in approved safety cans. They shall not be stored on or near a device while it is in operation. Smoking and the carrying of lighted cigar, cigarettes or pipes is prohibited in any area where such liquids or gases are stored or are transferred from one container to another.

.0427 CLEANLINESS

A suitable number of
metal containers for refuse shall be provided in and around all amusement devices. Excessive accumulations of trash or rubbish shall be promptly removed. All parts of amusement devices used by passengers or customers shall be maintained in a clean condition.

.0428 SUBSTITUTE DEVICES AND PARTS
Whenever the owner or operator of an amusement device desires to install or use a substitute part or device which is not consistent with the manufacturer's specifications, the owner or operator shall be responsible for proving, to the satisfaction of the director, that the use of the substitute part or device is as safe as the use of the manufacturer's specified part or device. The cost of all testing shall be borne by the owner or operator.

SECTION .0500 - CIVIL MONEY PENALTIES

.0501 CIVIL PENALTIES
In civil penalty cases, the director of the division shall notify the owner or operator by certified mail of the following:
(1) the nature of the violation;
(2) the amount of the civil penalty;
(3) the civil penalty determination will become final, unless within 15 days after receiving notice thereof the employer charged with a violation and penalty takes exception to the determination; and
(4) the procedure for taking exception as provided in Rule .0502 of this Section.

.0502 EXCEPTIONS TO CIVIL PENALTY
(a) The owner or operator must file a written exception to the civil penalty determination within 15 days after receipt of the notification of the civil penalty or the determination will become final.
(b) The exception to the determination must be filed with the Director, Elevator and Amusement Device Division, North Carolina Department of Labor, 4 West Edenton Street, Raleigh, North Carolina 27601.
(c) No particular form is prescribed for the exception. However, the exception should be typed or clearly written, must be directed to the issue of the violations and the assessment, and must state the reasons why the owner or operator contends the determination is in error.
(d) If an exception is filed within 15 days of receiving notification of the civil penalty the employer is entitled to an administrative hearing pursuant to Article 3 of Chapter 150B of the North Carolina General Statutes.

TITLE 15 - DEPARTMENT OF NATURAL RESOURCES & COMMUNITY DEVELOPMENT

Notice is hereby given in accordance with G.S. 150B-12 that the Division of Community Assistance intends to adopt regulations cited as 15 NCAC 13N .0101-.0604.

The proposed effective date of this action is September 1, 1987.

Statutory Authority: G.S. 143-323; 143B-276.

The public hearing will be conducted from 7:00 - 9:00 p.m. on June 2 at Wilson Operations Center, Goldsboro Street, Wilson, N.C. On June 3 at The Railroad Depot, 200 S. Main Street, Burlington, N.C. On June 4 at Rotary Auditorium, Mitchell Community College, West Broad Street, Statesville, N.C.

Comment Procedures: Comments may be presented at the public hearings or mailed to Alice Beddingfield, Director, Division of Community Assistance, Department of Natural Resources and Community Development, P. O. Box 27687, Raleigh, N.C. 27611-7687.

CHAPTER 13 - DIVISION OF COMMUNITY ASSISTANCE

SUBCHAPTER 13N - EMERGENCY SHELTER GRANTS PROGRAM
ADMINISTRATIVE RULES

SECTION .0100 - GENERAL PROVISIONS

.0101 PURPOSE AND OBJECTIVES
The purpose of the North Carolina Emergency Shelter Grants Program (hereinafter referred to as "ESGP") is to assist families and individuals who are homeless primarily due to their economic circumstances, consistent with this purpose, ESGP funds will assist local governments in improving the quality and availability of...
emergency shelters and services for the homeless in their community.

.0102 DEFINITIONS
(2) "Applicant" means a local government which makes an application pursuant to the provisions of this Subchapter.
(3) "Chief Elected Official" means either the elected Mayor of a City or the Chairman of a County Board of Commissioners.
(4) "ESGP" means the state-administered Emergency Shelter Grants Program.
(5) "Entitlement Cities" means those cities in North Carolina that received their 1986 Community Development Block Grant allocation directly from the U. S. Department of Housing and Urban Development.
(6) "Local Government" means any unit of general city or county government in the state.
(7) "NRCD" means the North Carolina Department of Natural Resources and Community Development.
(8) "Recipient" means a local government that has been awarded an ESGP grant and has executed a Grant Agreement with NRCD.
(9) "Secretary" means the Secretary of the Department of Natural Resources and Community Development or his designee.
(10) "State" means the state of North Carolina.

.0103 WAIVERS
The secretary may waive any requirements of this Subchapter not required by law whenever he determines that undue hardship to applicants, recipients or beneficiaries will result from applying the requirements and where such application of the requirements would adversely affect the purposes of the Act.

.0104 ELIGIBLE APPLICANTS
Eligible applicants are all local governments.

SECTION .0200 - ELIGIBLE AND INELIGIBLE ACTIVITIES

.0201 ELIGIBLE ACTIVITIES
This Subchapter adopts by reference as eligible activities those activities described as such in the Act and in 24 CFR 575.21(a). Copies of these sections of federal law and regulation are available for public distribution from the Division of Community Assistance of NRCD.

.0202 INELIGIBLE ACTIVITIES
This Subchapter adopts by reference as ineligible activities those activities described as such in the Act and in 24 CFR 575.21(b). Copies of these sections of federal law and regulation are available for public distribution from the Division of Community Assistance of NRCD.

SECTION .0300 - DISTRIBUTION OF FUNDS

.0301 SIZE AND USE OF GRANTS
(a) There is no minimum grant amount to which applicants may request or be awarded. Grant awards shall not exceed five thousand dollars ($5,000) in ESGP funds per applicant per year, except in the case of entitlement cities which may request and be awarded ESGP funds up to the amount shown on the "ESGP Entitlement Allocation Table" published by the Division of Community Assistance of NRCD. Copies of this table are available for public distribution from the Division of Community Assistance of NRCD.
(b) Notwithstanding the provisions of Paragraph .0301(a) above, NRCD reserves the right to decrease the requested grant amounts in the event that the total amount of funds requested exceeds the total amount of funds available. NRCD also reserves the right to increase requested grant amounts and award grants exceeding the five thousand dollars ($5,000) limit if the total amount of funds requested is less than the total amount of funds available.

.0302 REALLOCATION
Any ESGP funds recaptured by NRCD, as provided for in Rule .0604 and Rule .0505 of this Subchapter, may be distributed to grant recipients in a manner to be prescribed by NRCD.

.0303 GENERAL APPLICATION REQUIREMENTS
(a) Local governments are required to submit applications in a manner prescribed by NRCD in order to be considered for funding. Selection of applications for funding will be based primarily on information contained in the application.
thus applications must provide sufficient information for NRCD to evaluate them. Applicants may apply for more than one grant and be awarded more than one grant, providing the total amount of grants awarded to an applicant does not exceed the maximum limits described in rule .0301 of this Section.
(b) NRCD shall designate specific dates for submission of ESGP grant applications. Grant application submission dates will be announced by NRCD at least 20 days before the date applications are due.
(c) Applications must be received by NRCD administrative offices in Raleigh before 5:00 p.m. on the submission date or, if sent by mail, must be postmarked on the submission date.
(d) The applicant shall certify to NRCD that it will comply with all applicable federal and state laws, regulations, rules, and executive orders. Copies of these federal and state documents are available for public distribution from the Division of Community Assistance of NRCD.
(e) Applicants must comply with the Act, all applicable federal and state laws, regulations, rules, executive orders and guidelines issued by NRCD.

SECTION .0400 - GRANT SELECTION PROCESS

.0401 ELIGIBILITY REQUIREMENTS
(a) Applications must show that funds received under ESGP will be expended within 180 days after the date that NRCD makes the grant available to the recipient. Applications that do not meet this requirement will not be rated or funded.
(b) Applications must show that matching resources required by the federal government are available. Applications that do not meet this requirement will not be rated or funded.

.0402 EVALUATION FACTORS
(a) Applications will be selected for funding by NRCD based on overall project quality, geographic distribution of applicants, and the availability of ESGP funds. Project quality will be determined by NRCD based on the following factors:
(1) Benefits of proposed activities to homeless persons, including type and number of both current and new beneficiaries;
(2) Feasibility of the proposed activities, including:
   (A) Local resources for sheltering the homeless;
   (B) Local commitment to continue the program to be assisted with ESGP Funds.

SECTION .0500 - GRANT ADMINISTRATION

.0501 GRANT AGREEMENT
(a) Upon approval of the application by NRCD, a written grant agreement will be executed between the recipient and NRCD. The rules in this Subchapter, subsequent guidelines prepared by NRCD, the approved application, and any subsequent amendments to the approved application shall become a part of the grant agreement.
(b) The grant agreement in its original form and all modifications thereto shall be kept on file in the office of the recipient in accordance with rule .0504 of this Section.
(c) ESGP Program amendments. Recipients shall request prior NRCD approval for all amendments to the grant agreement when:
   (1) The recipient proposes to change the approved project budget amount for any of the three categories of eligible activities as described in 24 CFR 575.21(a).
   (2) The recipient proposes to distribute all or part of their grant(s) to programs or agencies other than originally approved in the application.
   (d) NRCD reserves the right to disallow any proposed amendment to the grant agreements.

.0502 METHOD OF ADMINISTRATION
(a) Recipients may delegate to statutorily authorized subrecipients the responsibility of undertaking or carrying out ESGP activities. All entities so designated under this Subparagraph by recipients to undertake or carry out ESGP activities pursuant to this Subchapter shall be considered subrecipients.
(b) Recipients may contract with any person, association, or corporation in undertaking specified ESGP activities.
(c) NRCD shall make payments of ESGP funds to recipients on a cost-reimbursement or cost-incurred basis. A recipient may request up to
three (3) payments of ESGP grant funds per grant in the manner prescribed by NRCD.

.0503 PROPERTY MANAGEMENT STANDARDS
(a) Property acquired with ESGP grant funds shall be used to provide benefits to the homeless.
(b) Recipients and subrecipients are encouraged to use proceeds from the disposition of property acquired with ESGP funds in a manner which provides benefit to the homeless in their community.

.0504 RECORDKEEPING
(a) NRCD, or any of NRCD’s duly authorized representatives, shall have access to all books, accounts, records, reports, files, and other papers or property of recipients or their subrecipients and contractors pertaining to funds provided under this Subchapter for the purpose of making surveys, audits, examinations, excerpts and transcripts.
(b) Financial records, supporting documents and all other reports and records required under this Subchapter, and all other records pertinent to the ESGP Program shall be retained by the recipient for a period of at least one year from the date of the closeout of the program, or longer in the following circumstances:
   (1) Records documenting compliance with 24 CFR 575.53 shall be kept for the period of compliance;
   (2) Records shall be retained until all litigations, claims, or audit findings involving the records have been resolved.
(c) All records shall be sufficient to determine compliance with the requirements and primary objectives of the ESGP Program and all other applicable laws and regulations. All accounting records shall be supported by source documentation and show compliance with Rule .0503 of this Section.

.0505 GRANT CLOSEOUTS
ESGP grants will be closed out by NRCD in the following circumstances:
(1) NRCD will initiate closeout procedures after NRCD determines, in consultation with the recipient, that there are no impediments to closeout and that all ESGP funds have been expended.
(2) Termination of grant for mutual convenience. Grant assistance provided under this Subchapter may be cancelled, in whole or in part, by NRCD or the recipient, prior to the completion of the approved ESGP Program, when both parties agree that the continuation of the program no longer is feasible or would not produce beneficial results commensurate with the further expenditure of funds.
(3) Termination for cause. The secretary may terminate the recipient’s entire grant, or the remaining balance thereof, in accordance with Rule .0604 of this Subchapter.

SECTION .0600 - COMPLIANCE AND REPORTING REQUIREMENTS

.0601 COMPLIANCE
Recipients shall have responsibility for ensuring that ESGP funds are expended as stated in their grant agreement and in conformance with all applicable federal and state laws, regulations, and guidelines, regardless of whether activities are carried out by the recipient or a subrecipient. NRCD may prescribe procedures for ensuring compliance with the provisions of this Rule.

.0602 REPORTING
(a) NRCD may require recipients to provide an interim performance report in a form prescribed by NRCD. Recipients will be notified at least 20 days before the report will be due.
(b) The recipient shall submit an Annual Performance Report to NRCD no later than 210 days after the date that NRCD makes the grant available to the recipient. The annual performance report shall be in a form prescribed by NRCD.

.0603 MONITORING BY NRCD
(a) The secretary may evaluate activities conducted under this Subchapter and their effectiveness in meeting the objectives of the ESGP program.
(b) The secretary may conduct such evaluations using NRCD personnel, or by contract or other arrangement with public or private agencies.

.0604 REMEDIES
When the secretary determines on the basis of a review of a recipient's performance that the objectives of an ESGP program described in the grant agreement have not been met, NRCD may take one or more of the following actions as appropriate:

(1) Issue a warning letter that further failure to comply with such requirements will result in a more serious sanction;
(2) Condition a future grant;
(3) Direct the recipient to stop the incurring of costs with grant amounts;
(4) Require that some or all of the grant amounts be remitted to NRCD;
(5) Reduce the level of funds the recipient would otherwise be entitled to receive; or
(6) Elect not to provide future grant funds to the recipient until appropriate actions are taken to ensure compliance.
FINAL RULES

When the text of any adopted rule differs from the text of that rule as proposed, upon request from the adopting agency, the text of the adopted rule will be published in this section.

When the text of any adopted rule is identical to the text of that as proposed, adoption of the rule will be noted in the "List of Rules Affected" and the text of the adopted rule will not be republished.

Adopted rules filed by the Departments of Correction, Revenue and Transportation are published in this section. These departments are not subject to the provisions of G.S. 150B, Article 2 requiring publication of proposed rules.

TITLE 5 - DEPARTMENT OF CORRECTION

CHAPTER 2 - DIVISION OF PRISONS

SUBCHAPTER 2F - CUSTODY AND SECURITY

SECTION .2300 - INMATE MATERNITY LEAVE PROGRAM

.2301 PURPOSE

The Inmate Maternity Leave Program is designed to provide temporary in-state leave privileges for selected minimum custody inmates who give birth to children while committed to the custody of the North Carolina Department of Correction. Inmates will be selected for this program based on the potential benefits to newborn children of post-delivery bonding. Inmate Maternity Leave will be subject to the following restrictions:

(1) An inmate may take Inmate Maternity Leave only in the home of one of the inmate's legal relatives. The legal relative in question must also be the caretaker approved by the local Department of Social Services to assume responsibility for the child of the inmate when the mother returns to prison.

(2) Inmates who have rejected or who have been denied postponement of sentencing on grounds of pregnancy under provisions of G.S. 15A-1353(a) are not eligible.

(3) Inmate Maternity Leave will begin no sooner than and immediately after discharge of mother and infant from medical facilities at which the birth has occurred. Leave may be granted prior to delivery only in extraordinary circumstances. For example, leave may be granted in cases where inmates have arranged for maternity care at their own expense or at the expense of agencies other than the Department of Correction. Such arrangements must be made in accordance with Division of Prisons Health Care Policy 710.

(4) Inmate Maternity Leave may be awarded for as little as one day but under no circumstances will it exceed a total of 60 days.


.2302 PROCEDURE

(a) Requests to Participate.

(1) Application. Any pregnant inmate, regardless of where incarcerated, who desires to participate in the Inmate Maternity Leave Program must make a written application to participate to the Superintendent of the North Carolina Correctional Center for Women. The request must be made at least six weeks prior to the anticipated Maternity Leave to allow time for processing. The Superintendent of the North Carolina Correctional Center for Women shall provide a form entitled "Application for Inmate Maternity Leave" to every pregnant inmate who, having been informed about the program, desires to apply.

(2) Case Reviews. The Superintendent of the North Carolina Correctional Center for Women will ensure that a documented case review is made for each inmate who applies for participation in the Inmate Maternity Leave Program.

(3) Grounds for Denial. The Superintendent of the North Carolina Correctional Center for Women may deny or withdraw approval for participation in the program on the basis of any of the following conditions:

(A) Sentence Length.
A total sentence length upon commitment which is greater than 5 years;
(B) Pending Criminal Charges. Pending criminal charges in any jurisdiction;
(C) Recidivism. Evidence of one or more previous commitments within the prison system of any jurisdiction;
(D) Violation of Probation. A current commitment as a result of probation violation(s);
(E) Institutional Record. An institutional record of two or more major offenses within the six months prior to anticipated date of delivery;
(F) Record of Violence. A record of violent or aggressive behavior, child abuse, or child neglect;
(G) Record of Drug Abuse. A record of serious drug usage, any drug trafficking or sales, or other serious substance abuse;
(H) Rejection of Sentence Postponement. Evidence that the inmate has rejected postponement of service of sentence on grounds of pregnancy under G.S. 15A-1353(a);
(I) Denial of Sentence Postponement. Evidence that the inmate has been considered for and denied postponement of service of sentence on grounds of pregnancy under G.S. 15A-1353(a). An inmate who is pregnant at the time she begins serving her sentence shall be presumed to have been considered for and denied postponement of service of sentence in the absence of information from the court of record that she has not been considered for and denied postponement of service of sentence on grounds of pregnancy;
(J) Objection by the Sentencing Court. Evidence that officials of the sentencing court object to maternity leave for the inmate;
(K) Denial or Revocation of Certification by Social Services. Evidence that the local Department of Social Services refuses to certify the home of the caretaker for the mother and child;
(L) Psychiatric Recommendations. Negative psychiatric and psychological assessments and evaluations; and
(M) Threats to Public Safety and the General Welfare. Other specific conditions which threaten public safety or the health and general welfare of child and/or mother.

(4) Inmate Maternity Leave Program Plan. For any inmate who qualifies on the basis of conditions specified above, the Superintendent of the North Carolina Correctional Center for Women will prepare a Maternity Leave Program Plan. This shall include, in the order given, the following completed forms and documents:
(A) Inmate Maternity Leave Checklist. This form documents that all eligibility requirements have been satisfied and that all documents of the plan are in order;
(B) Inmate Maternity Leave Form. This form from the sentencing court establishes whether the inmate did or did not reject postponement or have postponement of service of sentence denied under provisions of G.S. 15A-1353(a);
(C) Local Department of Social Services Home Certification for Newborn Children. This form documents that the proposed home is acceptable for the child in question;
(D) Relative Caretaker Agreement. This establishes that the adult relative(s), who will be responsible for the inmate and child, agrees to accept this responsibility;
(E) Psychological Assessment;
(F) Emergency Termination Plan in DC 142 and in The Relative Caretaker Agreement (above);
(G) Local Law Enforcement Notification Form;
(H) Response from the Prosecuting District Attorney;
(I) Temporary Leave Form (DC-326);
(J) Extension of Limits Form (DC 142). This will be modified as appropriate.
in individual cases to accommodate inmate maternity leave;
(K) Local Monitoring Plan;
(L) Inmate Maternity Leave Agreement. This agreement establishes that the inmate agrees to all specific conditions established for her own inmate maternity leave;
(M) Medical Clearance;
(N) Institutional Classification Form (DC 121).

(b) Approval. The Superintendent of the North Carolina Correctional Center for Women shall recommend approval or disapproval of each Application for Inmate Maternity Leave. The Secretary of Correction or designee shall be the approving authority for the Inmate Maternity Leave Program.

(c) Monitoring.
(1) The responsibility for monitoring inmates on maternity leave is assigned to the Superintendent of the North Carolina Correctional Center for Women and local parole or probation officers.
(2) The Superintendent shall notify the Director of the Division of Adult Probation and Parole or designee whenever an inmate is placed on inmate maternity leave. The director shall ensure that the inmate is monitored at home on a face-to-face basis during an announced visit at least once every week for the duration of the inmate's maternity leave.
(3) Local Department of Social Services monitoring reports may also be used in determining if the inmate on leave is fulfilling the terms of the Inmate Maternity Leave Plan.
(4) Additionally, reports from the adult relative(s) who are signatories to the Relative Caretaker Agreement may be used to assist Department of Correction officials in determining whenever leave compliance is sufficiently changed to warrant leave termination.

(d) Modifications. When changes in the terms of an Inmate Maternity Leave Plan appear to be advisable or required, these changes shall be proposed, documented, and approved in the same manner required for initial approval of the plan.

(e) Gain Time. Inmates on inmate maternity leave shall not receive gain time for time spent away from the North Carolina Correctional Center for Women.
(f) Custody Level. Inmates on inmate maternity leave will be in Minimum Custody Level III for the duration of their leaves. Upon termination of inmate maternity leave, the custody level and privileges of inmates will be reviewed.


.2303 TERMINATION OF LEAVE.
(a) Emergency Termination. If rule violations or other emergency conditions occur, the Superintendent of the North Carolina Correctional Center for Women may terminate Inmate Maternity Leave prematurely. Inmate Maternity Leave may be terminated prematurely based upon any of the following:
(1) Use of alcohol, or other illegal substances, or abuse of prescription medications;
(2) Association with known criminals;
(3) Acceptance of gainful employment;
(4) Incurrence of indebtedness without agency approval;
(5) Violation of state or local laws;
(6) Travel, without approval, beyond the agreed limits in the Maternity Leave Plan, specifically the DC-142ML and Inmate Maternity Leave Agreement Forms;
(7) Engaging in activities prohibited by specific leave conditions, Department of Correction policy, or laws imposed upon inmates or persons with restrictive citizenship; and
(8) Contact with the victims of the crimes for which the inmate is serving time without specific authorization.

(b) Disciplinary Action. Any inmate who violates conditions specified in the Extension of Limits Form or who fails to report to the Correctional Center for Women at the end of the leave period or who fails to report to the appropriate authorities in cases of emergencies shall be subject to disciplinary action for

838 NORTH CAROLINA REGISTER
violation of offense number(s) 24, 25, and or any other applicable offense(s).

(c) Routine Termination. Any inmate awarded inmate maternity leave must report to the Superintendent of the North Carolina Correctional Center for Women by the date and time specified on the Temporary Leave Form included in her Inmate Maternity Leave Program Plan.


.2304 DESIGN AND EVALUATION

(a) The Superintendent of the North Carolina Correctional Center for Women shall be responsible for design and evaluation of training and treatment components of the Inmate Maternity Leave Program. The superintendent shall prepare an annual evaluation report for the Director of Prisons which shall be due one month after the end of the calendar year.

(b) This report shall include, but need not be limited to, the following statistical information:

(1) Number of pregnant inmates admitted to the North Carolina Department of Correction during the year by length of sentence, by month and day of pregnancy upon commission of the crime for which sentenced, by month and day of pregnancy when arrested, by month and day of pregnancy upon sentencing and commitment, by county, and by area of origin;

(2) Number and percentage of pregnant inmates admitted during the year who applied for maternity leave;

(3) Number of inmates, of those who applied for inmate maternity leave, who were awarded inmate maternity leave by county and area of origin;

(4) Of those inmates who were denied inmate maternity leave, the number, and percentage who were ineligible on the basis of each of the Grounds for Denial listed herein or for other reasons;

(5) Number and percentage of inmates whose inmate maternity leave was terminated prematurely and reasons for these terminations;

(6) Number and percentage of pregnant inmates who were awarded inmate maternity leave, prior to delivery, on the basis of Division of Prisons Health Care Policy 710.

## NORTH CAROLINA ADMINISTRATIVE CODE

### LIST OF RULES AFFECTED

**EDITION XI, NO. 5**  
**EFFECTIVE: March 1, 1987**

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</tr>
<tr>
<td>42</td>
<td>Optometry, Board of Examiners in</td>
</tr>
<tr>
<td>44</td>
<td>Osteopathic Examination and Registration</td>
</tr>
<tr>
<td>46</td>
<td>Pharmacy, Board of</td>
</tr>
<tr>
<td>48</td>
<td>Physical Therapy, Examining Committee of</td>
</tr>
<tr>
<td>50</td>
<td>Plumbing and Heating Contractors, Board of</td>
</tr>
<tr>
<td>52</td>
<td>Podiatry Examiners, Board of</td>
</tr>
<tr>
<td>53</td>
<td>Practicing Counselors, Board of</td>
</tr>
<tr>
<td>54</td>
<td>Practicing Psychologists, Board of</td>
</tr>
<tr>
<td>56</td>
<td>Professional Engineers and Land Surveyors</td>
</tr>
<tr>
<td>58</td>
<td>Real Estate Commission</td>
</tr>
<tr>
<td>60</td>
<td>Refrigeration Examiners, Board of</td>
</tr>
<tr>
<td>62</td>
<td>Sanitarian Examiners, Board of</td>
</tr>
<tr>
<td>64</td>
<td>Speech and Language Pathologists and Audiologists, Board of Examiners of</td>
</tr>
<tr>
<td>66</td>
<td>Veterinary Medical Board</td>
</tr>
</tbody>
</table>

NORTH CAROLINA REGISTER 843
CUMULATIVE INDEX
(April 1, 1986 - March 31, 1987)

1986 - 1987

<table>
<thead>
<tr>
<th>Pages</th>
<th>Issue</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 - 73</td>
<td>April</td>
</tr>
<tr>
<td>74 - 97</td>
<td>May</td>
</tr>
<tr>
<td>98 - 132</td>
<td>June</td>
</tr>
<tr>
<td>133 - 222</td>
<td>July</td>
</tr>
<tr>
<td>223 - 379</td>
<td>August</td>
</tr>
<tr>
<td>380 - 415</td>
<td>September</td>
</tr>
<tr>
<td>416 - 553</td>
<td>October</td>
</tr>
<tr>
<td>554 - 598</td>
<td>November</td>
</tr>
<tr>
<td>599 - 670</td>
<td>December</td>
</tr>
<tr>
<td>671 - 761</td>
<td>January</td>
</tr>
<tr>
<td>762 - 806</td>
<td>February</td>
</tr>
<tr>
<td>807 - 847</td>
<td>March</td>
</tr>
</tbody>
</table>

AO - Administrative Order
AG - Attorney General's Opinions
C - Correction
E - Errata
EO - Executive Order
FDL - Final Decision Letters
FR - Final Rule
GS - General Statute
JO - Judicial Order
LRA - List of Rules Affected
M - Miscellaneous
NP - Notice of Petitions
PR - Proposed Rule
SO - Statements of Organization
TR - Temporary Rule

ADMINISTRATION
Administrative Analysis, 614 PR
Auxiliary Services, 611 PR, 677 PR
Clean Water Bond Act, 810 PR
Council on Children and Youth, 681 PR
Departmental, 606 PR
Office of Marine Affairs, 382 PR
Public Telecommunications, 614 PR
Purchase and Contract, 423 PR
State Employees Combined Campaign, 430 PR, 681 PR
State Property, 677 PR
Youth Advisory Council, 680 PR

ADMINISTRATIVE ORDERS
Beecher Reynolds Gray, 47 AO
Fred Gilbert Morrison, Jr., 48 AO
Angela Rebecca Bryant, 49 AO
Thomas R. West, 50 AO
Abraham Penn Jones, 98 AO
Administrative Law Judges, 248 AO
Margaret Eugenia Rogers, 419 AO
Kenneth Wayne Patterson, 420 AO
Robert R. Reilly, Jr., 673 AO
Dolores Del Gaudio Nesnow, 809 AO

AGRICULTURE
Dept. of Agriculture, 250 SO, 558 PR
Food and Drug Protection Division, 99 PR, 255 PR, 557 PR, 810 PR
Gasoline and Oil Inspection, 683 PR
Markets, 559 PR
Pesticide Board, 811 PR
Plant Industry, 256 PR
Standards Division, 558 PR
Structural Pest Control, 557 PR, 599 C, 768 PR

ATTORNEY GENERAL'S OPINIONS
Employee Insurance Committees, 603 AG

COMMERCe
ABC Commission, 615 PR
Banking Commission, 689 PR
Cemetery Commission, 559 PR
Milk Commission, 74 PR, 135 PR, 260 PR, 689 PR
Savings and Loan, 78 PR, 560 PR

COMMUNITY COLLEGEs
Community Colleges, 210 PR, 534 PR

CORRECTION
Division of Prisons, 213 FR, 347 FR, 575 FR, 661 FR, 782 FR, 836 FR
Parole Commission, 663 PR

CRIME CONTROL & PUBLIC SAFETY
AIE, 631 PR

CULTURAL RESOURCES
Archives and History, 78 PR
Battleship Commission, 388 PR
Roanoke Voyages & Eliz. II, 261 PR

EDUCATIoN
Elementary and Secondary, 779 PR

EXECUTIVE ORDERS
Executive Orders 1-25, 23 EO
26, 247 EO
27, 416 EO
28, 417 EO
29, 554 EO
30, 672 EO
31, 762 EO
32, 807 EO
33, 807 EO

FINAL DECISION LETTERS
Voting Rights Act, 249 FDL, 421 FDL, 555 FDL, 600 FDL, 674 FDL, 763 FDL

GENERAL STATUTES
Chapter 7A, 21 GS, 244 GS
Chapter 150B, 3 GS, 226 GS, 380 C
Chapter 1028, 223 GS

HUMAN RESOURCES
Child Day Care, 281 PR, 631 PR
Children Services, 103 PR
Departmental, 691 PR, 767 SO
Facility Services, 270 PR
Food Assistance, 103 PR
Health Services, 169 PR, 388 PR, 434 PR, 563 PR, 698 PR, 770 PR, 811 PR
Individual and Family Support, 103 PR, 671 C
Medical Assistance, 181 PR, 389 PR, 501 PR
Medical Care Commission, 433 PR, 769 PR
Medical Services, 101 PR
Mental Health Retardation and Substance Abuse, 80 PR, 298 PR, 350 FR, 380 C, 720 PR, 729 PR
Services for the Blind, 727 PR
Social Services, 390 PR, 616 PR
Youth Services, 85 PR, 309 PR

INDEPENDENT AGENCIES
Housing Finance, 658 PR, 740 PR

INSURANCE
Agency Services, 313 PR
Company Operations, 503 PR
Engineering & Building, 321 PR, 564 PR, 730 PR
Fire and Casualty, 501 PR

NORTH CAROLINA REGISTER 845
JUDICIAL ORDERS
Appointment
Robert A. Melott, 45 J0

JUSTICE
Alarm Systems Licensing, 556 SO, 730 PR
Education and Training Standards, 322 PR
Police and Information Network, 107 PR
Private Protective Services, 556 SO, 771 PR
Sheriff's Education, 332 PR

LABOR
Boiler and Pressure Vessel, 86 PR, 189 PR, 338 PR
Elevator Division, 517 PR, 816 PR

LICENSES BOARD
Architecture, 734 PR
CPA Examiners, 112 PR, 133 SO, 529 PR, 734 PR, 781 PR
Dental Examiners, 399 PR, 533 PR
General Contractors, 573 PR
Medical Examiners, 92 PR, 399 PR
Midwifery Joint Committee, 422 SO
Mortuary Science, 534 PR
Nursing, 422 SO, 574 PR
Occupational Therapy, 206 PR
Pharmacy, 208 PR
Plumbing and Heating Contractors, 116 PR
Real Estate Commission, 401 PR
Social Work, 653 PR
Veterinary Medical Board, 341 PR

LIST OF RULES AFFECTED
Volume 10, No. 1
(April 1, 1986), 71 LRA
Volume 10, No. 2
(May 1, 1986), 94 LRA
Volume 10, No. 3
(June 1, 1986), 127 LRA
Volume 10, No. 4
(July 1, 1986), 217 LRA
Volume 10, No. 5
(August 1, 1986), 374 LRA
Volume 10, No. 6
(September 1, 1986), 410 LRA
Volume 10, No. 7
(October 1, 1986), 548 LRA
Volume 11, No. 1
(November 1, 1986), 594 LRA
Volume 11, No. 2
(December 1, 1986), 665 LRA
Volume 11, No. 3
(January 1, 1987), 755 LRA
Volume 11, No. 4
(February 1, 1987), 800 LRA
Volume 11, No. 5
(March 1, 1987), 840 LRA

MISCELLANEOUS
Federal Rule Amendment, 381 M

NATURAL RESOURCES AND COMMUNITY DEVELOPMENT
Natural Resources & Community Development, 133 SO
Coastal Management, 112 FR, 401 FR, 571 PR, 733 PR
Community Assistance, 831 PR
Departmental Rules, 109 PR, 118 FR
Economic Opportunities, 528 PR
Employment and Training, 111 PR
Environmental Management, 88 PR, 190 PR, 339 PR, 396 PR, 520 PR
632 PR
Forest Resources, 126 FR
Marine Fisheries, 191 PR
Soil and Water, 90 PR, 521 PR
Wastewater Treatment, 397 PR
Wildlife Resources and Water Safety, 110 PR, 205 PR, 340 PR, 398 PR
422 SO, 527 PR, 634 PR

NOTICE OF PETITIONS
Municipal Incorporations, 676 NP

OFFICE OF ADMINISTRATIVE HEARINGS
Office of Administrative Hearings, 51 SO
General, 52 PR, 345 PR
Hearings Division, 61 PR, 345 PR, 369 FR
Rules Division, 52 PR, 367 FR
706 Deferral, 543 PR

REVENUE
Corporate Income Tax, 350 FR
Departmental, 663 FR
Individual Income Tax, 351 FR, 593 FR, 748 FR
Intangible Tax, 366 FR
Motor Fuels Tax, 787 FR
Sales & Use Tax, 363 FR, 785 FR

SECRETARY OF STATE
Notary Public, 91 PR, 367 FR

STATE PERSONNEL
State Personnel Commission, 343 PR, 538 PR, 659 PR

STATE TREASURER
Local Government Commission, 529 PR

STATEMENTS OF ORGANIZATION
Agriculture, 250 SO
Alarm System Licensing, 556 SO
CPA Examiners, 133 SO
Midwifery Joint Committee, 422 SO
Natural Resources and Community Development, 133 SO
Nursing, 422 SO
Office of Administrative Hearings, 51 SO
Private Protective Services, 556 SO
Wildlife Resources Commission, 422 SO

TRANSPORTATION
Department of Transportation, 213 FR, 367 FR, 546 FR, 754 FR

NORTH CAROLINA REGISTER 847
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<thead>
<tr>
<th>NAME</th>
<th>ADDRESS</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP</th>
</tr>
</thead>
</table>

2. New Address

<table>
<thead>
<tr>
<th>NAME</th>
<th>ADDRESS</th>
<th>CITY</th>
<th>STATE</th>
<th>ZIP</th>
</tr>
</thead>
</table>

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