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For the CUMULATIVE INDEX to the NC Register go to:
http://oahnt.oah.state.nc.us/register/CI.pdf
The North Carolina Administrative Code (NCAC) has four major subdivisions of rules. Two of these, titles and chapters, are mandatory. The major subdivision of the NCAC is the title. Each major department in the North Carolina executive branch of government has been assigned a title number. Titles are further broken down into chapters which shall be numerical in order. The other two, subchapters and sections are optional subdivisions to be used by agencies when appropriate.

## TITLE/MAJOR DIVISIONS OF THE NORTH CAROLINA ADMINISTRATIVE CODE

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EXPLANATION OF THE PUBLICATION SCHEDULE

This Publication Schedule is prepared by the Office of Administrative Hearings as a public service and the computation of time periods are not to be deemed binding or controlling. Time is computed according to 26 NCAC 2C .0302 and the Rules of Civil Procedure, Rule 6.

GENERAL

The North Carolina Register shall be published twice a month and contains the following information submitted for publication by a state agency:

1. temporary rules;
2. notices of rule-making proceedings;
3. text of proposed rules;
4. text of permanent rules approved by the Rules Review Commission;
5. notices of receipt of a petition for municipal incorporation, as required by G.S. 120-165;
6. Executive Orders of the Governor;
7. final decision letters from the U.S. Attorney General concerning changes in laws affecting voting in a jurisdiction subject of Section 5 of the Voting Rights Act of 1965, as required by G.S. 120-30.9H;
8. orders of the Tax Review Board issued under G.S. 105-241.2; and
9. other information the Codifier of Rules determines to be helpful to the public.

COMPUTING TIME: In computing time in the schedule, the day of publication of the North Carolina Register is not included. The last day of the period so computed is included, unless it is a Saturday, Sunday, or State holiday, in which event the period runs until the preceding day which is not a Saturday, Sunday, or State holiday.

FILING DEADLINES

ISSUE DATE: The Register is published on the first and fifteen of each month if the first or fifteenth of the month is not a Saturday, Sunday, or State holiday for employees mandated by the State Personnel Commission. If the first or fifteenth of any month is a Saturday, Sunday, or a holiday for State employees, the North Carolina Register issue for that day will be published on the day after the first or fifteenth that is not a Saturday, Sunday, or holiday for State employees.

LAST DAY FOR FILING: The last day for filing for any issue is 15 days before the issue date excluding Saturdays, Sundays, and holidays for State employees.

NOTICE OF RULE-MAKING PROCEEDINGS

END OF COMMENT PERIOD TO A NOTICE OF RULE-MAKING PROCEEDINGS: This date is 60 days from the issue date. An agency shall accept comments on the notice of rule-making proceeding until the text of the proposed rules is published, and the text of the proposed rule shall not be published until at least 60 days after the notice of rule-making proceedings was published.

EARLIEST REGISTER ISSUE FOR PUBLICATION OF TEXT: The date of the next issue following the end of the comment period.

NOTICE OF TEXT

EARLIEST DATE FOR PUBLIC HEARING: The hearing date shall be at least 15 days after the date a notice of the hearing is published.

END OF REQUIRED COMMENT PERIOD

1) RULE WITH NON-SUBSTANTIALL ECONOMIC IMPACT: An agency shall accept comments on the text of a proposed rule for at least 30 days after the text is published or until the date of any public hearings held on the proposed rule, whichever is longer.

2) RULE WITH SUBSTANTIALL ECONOMIC IMPACT: An agency shall accept comments on the text of a proposed rule published in the Register and that has a substantial economic impact requiring a fiscal note under G.S. 150B-21.4(b1) for at least 60 days after publication or until the date of any public hearing held on the rule, whichever is longer.

DEADLINE TO SUBMIT TO THE RULES REVIEW COMMISSION: The Commission shall review a rule submitted to it on or before the twentieth of a month by the last day of the next month.

FIRST LEGISLATIVE DAY OF THE NEXT REGULAR SESSION OF THE GENERAL ASSEMBLY: This date is the first legislative day of the next regular session of the General Assembly following approval of the rule by the Rules Review Commission. See G.S. 150B-21.3, Effective date of rules.
May 8, 2003

Senator Virginia Foxx
11468 Highway 105
Banner Elk, N.C. 28604

RE: Request for formal opinion as to GS §163-278.5 and GS § 163-278.13B

Dear Senator Foxx,

This letter contains an opinion of this office being reported as per GS § 163-278.23.

You have requested if it is possible for your active Congressional political committee to continue to solicit and accept political contributions during the course of your campaign for Congress. The North Carolina State Board of Elections can only answer that question from the perspective of North Carolina campaign reporting laws. This office can not give you an opinion that such operation would or would not violate Federal election laws. The Federal Election Commission is the entity that is empowered to render such an opinion in the context of Federal election law.

Under North Carolina law, the concurrent operation of the two political committees would be acceptable as long as the various contributions to the different committees are clearly designated as required by GS § 163-278.20, and the contributions to your State Senate committee comply with the other legal restrictions contained in Chapter 163 of the General Statutes. This conclusion is based upon a reading of GS § 163-278.5, which clearly precludes the application of Article 22A of Chapter 163 of the General Statutes to elections for federal office.

You have also made inquiry as to whether the provisions of GS § 163-278.13B prevents the solicitation and acceptance of campaign contributions for your Congressional campaign during the prohibited time periods and from the prohibited contributors. It appears that GS § 163-278.5 would again prevent the application of this state statute to your campaign for the Federal office of U.S. Congresswoman.

The opinion of this office that GS § 163-278.13B would not apply to a Federal race has been shared with the Honorable Colon Willoughby, the District Attorney for Wake County, and he concurs in this opinion. This opinion is limited as to issues of North Carolina law, and does not and can reflect the position, if any, of the Federal Election Commission on the issue in question. If the North Carolina State Board of Elections can be of further help to you on issues of North Carolina election law, please contact us.

Sincerely,

Gary O. Bartlett
Executive Director
May 8, 2003

Mr. John B. McMillan
Manning Fulton & Skinner PA
PO Box 20389
Raleigh, NC 27619-0389
Via Hand Delivery

Re: North Carolina Association of Realtors (NCAR) and its Affiliated Political Committee; Request for Advisory Opinion Pursuant to N.C. Gen. Stat. § 163-278.23

Dear Mr. McMillan:

You have requested a written opinion pursuant to the final paragraph of N.C. Gen. Stat. § 163-278.23 on the compliance of the political committee of the North Carolina Association of Realtors (NCAR) with the requirements of Article 22A of Chapter 163 of the North Carolina General Statutes. The affiliated political committee of the NCAR is the North Carolina Realtors Political Action Committee (“RPAC”).

NCAR has more than 25,000 members from throughout North Carolina. RPAC is a separate segregated fund affiliated with NCAR and organized by its officials and members as a political committee pursuant to N.C. Gen. Stat. § 163-278.19(b). Under this statute, members of a professional association may establish and contribute to such a political committee so long as the contributions are voluntary and the source of any contribution is not dues or other fees required as a condition of membership in the NCAR and do not derive from “any commercial transaction whatsoever.” NCAR proposes that each NCAR affiliate that collects RPAC contributions create a “Transmittal Account,” such as is used pursuant to the regulations of the Federal Election Commission. See 11 C.F.R. 102.6(c)(4)(ii)(A). The NCAR local affiliates will serve as the collecting agents for RPAC, and will establish transmittal accounts to which they will deposit checks from members of NCAR. NCAR affiliates will then be responsible for disbursing the checks according to the directions of the member of NCAR. The amounts directed to be contributed to RPAC must be deposited into its separate segregated fund directly from the transmittal accounts and should not be deposited into any NCAR operating accounts. All contributions to RPAC must be reported as such according to the requirements of Article 22A of Chapter 163 and are subject to the limitations of that Article.

The record-keeping, reporting and transmittal requirements will be significant for handling these contributions. The NCAR and RPAC must take great care to assure there is a “paper trail” for each contribution received by RPAC that shows the amount of the contribution, the source of the contribution, that the contribution came from funds of the NCAR member, and that the contribution was voluntarily given. Except for deposit and disbursement from the transmittal accounts, the monies originating as contributions to RPAC must be kept segregated from the dues and other funds of the NCAR. So long as the transmittal accounts will be maintained in this manner, with the necessary record keeping and reporting, it is my opinion that the transmittal accounts are an appropriate mechanism for the safeguarding and tracing of voluntary contributions to RPAC. Transmittal accounts meeting these requirements will not be deemed a political committee subject to the requirements of Article 22A of Chapter 163 of the General Statutes.

This opinion is based upon the facts as stated in your letter dated April 28, 2003. If those facts should change, you should evaluate whether this opinion is still applicable and binding. Finally, this opinion will be filed with the Codifier of Rules to be published unedited in the North Carolina Register and the North Carolina Administrative Code.

Sincerely,

Gary O. Bartlett
Executive Director

cc: Julian Mann III, Codifier of Rules
THE N.C. RULES REVIEW COMMISSION

There is currently a proposal, House Bill 1151, going through the legislature to amend the Administrative Procedure Act. At the time this notice is being written it has passed the House and received a favorable report from the Senate Judiciary committee it was assigned to.

In the event that HB 1151 becomes law, there will be extensive changes in the temporary and permanent rulemaking procedure. The Rules Review Commission may consider at its June 19 meeting enacting temporary procedures to address certain aspects of the rulemaking process, if it appears to be necessary to do so based on the content and status of the proposals at that time. The Commission may hold a hearing to accept any oral comments concerning this process or the Commission’s procedures. The Commission shall consider any written comments submitted on or prior to that date and prior to enacting any temporary procedures.

You may submit written comment to the Commission in care of the staff director at the following address: Joseph J. DeLuca, Jr.; N.C. Rules Review Commission; 1307 Glenwood Ave. #159; Raleigh, N.C. 27608. You may also reach the commission's staff at 919-733-2721. The Commission meeting is at that same address at 10:00 a.m. on Thursday, June 19, 2003.
A Notice of Rule-making Proceedings is a statement of subject matter of the agency's proposed rule making. The agency must publish a notice of the subject matter for public comment at least 60 days prior to publishing the proposed text of a rule. Publication of a temporary rule serves as a Notice of Rule-making Proceedings and can be found in the Register under the section heading of Temporary Rules. A Rule-making Agenda published by an agency serves as Rule-making Proceedings and can be found in the Register under the section heading of Rule-making Agendas. Statutory reference: G.S. 150B-21.2.

TITLE 02 – DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

CHAPTER 48 – PLANT INDUSTRY

Notice of Rule-making Proceedings is hereby given by the North Carolina Plant Conservation Board in accordance with G.S. 150B-21.2. The agency shall subsequently publish in the Register the text of the rule(s) it proposes to adopt as a result of this notice of rule-making proceedings and any comments received on this notice.

Citation to Existing Rule Affected by this Rule-making: 02 NCAC 48F .0301-.0302, .0304 - Other rules may be proposed in the course of the rule-making process.

Authority for the Rule-making: G.S. 106-202.15

Statement of the Subject Matter: These Rules establish lists of plants that are protected under the Plant Conservation Act.

Reason for Proposed Action: Proposed changes would add or remove certain plants in the various categories of protected plants, as recommended by the Plant Conservation Scientific Committee based upon changes in the status of these plants.

Comment Procedures: Comments from the public shall be directed to Marj Boyer, Sec., NC Plant Conservation Board, PO Box 27647, Raleigh, NC 27611, (919) 733-3610, ext. 250, fax (919) 733-1041, and email marj.boyer@ncmail.net.

TITLE 15A – DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES

CHAPTER 02 – ENVIRONMENTAL MANAGEMENT

Notice of Rule-making Proceedings is hereby given by the Environmental Management Commission in accordance with G.S. 150B-21.2. The agency shall subsequently publish in the Register the text of the rule(s) it proposes to adopt as a result of this notice of rule-making proceedings and any comments received on this notice.

Citation to Existing Rule Affected by this Rule-making: 15A NCAC 02D .1100; 02Q .0700 – Currently, modeling is the only acceptable way to demonstrate compliance with the air toxic rules. The criteria used in the model is placed in the permit, and compliance with these criteria is deemed compliance with the air toxic rules. Consideration is being given to allow using ambient monitoring in lieu of modeling. To substitute ambient monitoring for modeling would require establishing and operating an ambient monitoring network that would simulate modeling. Such a network would require a large number of monitors surrounding the facility in concentric circles. The monitors would have to be operated continuously for years. The monitors would have to measure concentrations below the acceptable ambient levels for the toxic air pollutants of concern. Multiple monitors may be required at each monitoring site as different monitors may be needed to measure different toxic air pollutants. If an exceedance of an acceptable ambient level is measured, then modeling would be required to fix operating parameters in the permit to ensure compliance. This rule change would require one or more new rules and amendments of rules in these Subchapters.

15A NCAC 02Q .0102 – This rule identifies types of activities that do not need an air quality permit. 15A NCAC 02Q .0102(c)(2)(E)(ii) exempts facilities whose actual emissions of the listed pollutants before any air pollution control device are less than five tons per year. The rule does not intend to exempt facilities that are likely to violate an air quality standard. The rule needs to be clarified to add a qualification such that the exemption would not apply if the facility had a source that could likely violate an applicable standard if the source were not properly controlled.

Reason for Proposed Action:
15A NCAC 02D .1201 – Currently, modeling is the only acceptable way to demonstrate compliance with the air toxic rules. The criteria used in the model is placed in the permit, and compliance with these criteria is deemed compliance with the air toxic rules. Consideration is being given to allow using ambient monitoring in lieu of modeling. To substitute ambient monitoring for modeling would require establishing and operating an ambient monitoring network that would simulate modeling. Such a network would require a large number of monitors surrounding the facility in concentric circles. The monitors would have to be operated continuously for years. The monitors would have to measure concentrations below the acceptable ambient levels for the toxic air pollutants of concern. Multiple monitors may be required at each monitoring site as different monitors may be needed to measure different toxic air pollutants. If an exceedance of an acceptable ambient level is measured, then modeling would be required to fix operating parameters in the permit to ensure compliance. This rule change would require one or more new rules and amendments of rules in these Subchapters.

15A NCAC 02D .1201 – This rule gives the order to use to determine which standards and requirements apply if an incinerator can be classified as being more than one type of incinerator. The purpose of Paragraph (d) is to prevent an incinerator that could be classified as being more than one type of incinerator from having to comply with multiple rules. The order of hospital, medical, or infectious waste incinerators (HMIWI) and commercial and industrial solid waste incinerators (CISWI) should be reversed, i.e. CISWI should come before or outrank HMIWI, as the standards for CISWI are generally more restrictive than the standards for HMIWI.

15A NCAC 02Q .0102 – This rule identifies types of activities that do not need an air quality permit. 15A NCAC 02Q .0102(c)(2)(E)(ii) exempts facilities whose actual emissions of the listed pollutants before any air pollution control device are less than five tons per year. The rule does not intend to exempt facilities that are likely to violate an air quality standard. The rule needs to be clarified to add a qualification such that the exemption would not apply if the facility had a source that could likely violate an applicable standard if the source were not properly controlled.

15A NCAC 02D .1100; 02Q .0700 – To currently, modeling is the only acceptable way to demonstrate compliance with the air toxic rules. The criteria used in the model is placed in the permit, and compliance with these criteria is deemed compliance with the air toxic rules. Consideration is being given to allow using ambient monitoring in lieu of modeling. To substitute ambient monitoring for modeling would require establishing and operating an ambient monitoring network that would simulate modeling. Such a network would require a large number of monitors surrounding the facility in concentric circles. The monitors would have to be operated continuously for years. The monitors would have to measure concentrations below the acceptable ambient levels for the toxic air pollutants of concern. Multiple monitors may be required at each monitoring site as different monitors may be needed to measure different toxic air pollutants. If an exceedance of an acceptable ambient level is measured, then modeling would be required to fix operating parameters in the permit to ensure compliance. This rule change would require one or more new rules and amendments of rules in these Subchapters.

15A NCAC 02Q .0102 – This rule identifies types of activities that do not need an air quality permit. 15A NCAC 02Q .0102(c)(2)(E)(ii) exempts facilities whose actual emissions of the listed pollutants before any air pollution control device are less than five tons per year. The rule does not intend to exempt facilities that are likely to violate an air quality standard. The rule needs to be clarified to add a qualification such that the exemption would not apply if the facility had a source that could likely violate an applicable standard if the source were not properly controlled.
**RULE-MAKING PROCEEDINGS**

**15A NCAC 02Q .0202** – This rule defines terms used in the permit fee section. It contains a definition of "actual emissions." This definition defines actual emissions by describing how to calculate actual emissions for Title V fee purposes. The definition identifies insignificant activities. Insignificant activities are now defined in 15A NCAC 02Q .0503, Definitions. Thus, the cross-reference in this rule needs to be changed from .0102 to .0503.

**15A NCAC 02Q .0523** – This rule allows emission trades to be made to the extent allowed under Subchapter 02D, without permit revision if three conditions listed in Paragraph .0523(c) are met. One of these conditions is that the permittee must notify the Director and EPA in writing at least seven days before the trade is made. This provision is not really suitable or necessary for trades made under the nitrogen oxide budget trading program. Under the nitrogen oxide budget trading program, trades can be made weeks or months after the actual emissions have occurred. The purpose of this trading program is to acquire sufficient allowances to equal or exceed actual emissions during the previous ozone season. These trades may take place in October after the ozone season is over. Also, allowance trading can occur in a fluid market among many participants, many of whom are not in North Carolina and some of whom may not even be sources of air pollution. As these trades take place through a trading program administered by the EPA, the EPA is aware of the trade when it occurs. The DAQ can access this information if it desires. As far as these trades are concerned, the DAQ’s primary interest is that after the close of the trading season, the source has enough allowances to offset its actual emissions during the previous ozone season.

**Comment Procedures:** Written comments should be submitted to Thomas Allen, Division of Air Quality, 1641 Mail Service Center, Raleigh, NC 27699-1641. Phone: (919) 733-1489, fax: (919) 715-7475, email: thom.allen@ncmail.net

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**TITLE 21 – OCCUPATIONAL LICENSING BOARDS**

**CHAPTER 32 – NORTH CAROLINA MEDICAL BOARD**

**Notice of Rule-making Proceedings** is hereby given by NC Medical Board in accordance with G.S. 150B-21.2. The agency shall subsequently publish in the Register the text of the rule(s) it proposes to adopt as a result of this notice of rule-making proceedings and any comments received on this notice.

**Citation to Existing Rule Affected by this Rule-making:** 21 NCAC 32S .0106, .0109-.0110. Other rules may be proposed in the course of the rule-making process.

**Authority for the Rule-making:** G.S. 90-18(13); 90-18.1

**Statement of the Subject Matter:** Changes to Rules Pertaining to Physician Assistants - specifically, regulations regarding continuing medical education; prescriptive authority; supervision of physician assistants; and addition of requirement mandating meetings to discuss quality improvement measures.

**Reason for Proposed Action:** Pursuant to G.S. 90-18.1, the Board is responsible for ensuring that the supervising physician has provided to the physician assistant written instructions about ordering medication, tests, and treatments, and when appropriate, specific oral or written instructions for an individual patient, with provision for review by the physician of the order within a reasonable time, as determined by the Board, after the medication, test, or treatment is ordered. The adoption of a rule requiring regularly scheduled meetings between the supervising physician and the physician assistant to discuss clinical problems and quality improvement will further this interest more effectively. Continuing Medical Education requirement changed to allow greater flexibility in choice of CME courses.

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**CHAPTER 50 – STATE BOARD OF EXAMINERS OF PLUMBING, HEATING AND FIRE SPRINKLER CONTRACTORS**

**Notice of Rule-making Proceedings** is hereby given by the State Board of Examiners of Plumbing, Heating and Fire Sprinkler Contractors in accordance with G.S. 150B-21.2. The agency shall subsequently publish in the Register the text of the rule(s) it proposes to adopt as a result of this notice of rule-making proceedings and any comments received on this notice.

**Citation to Existing Rule Affected by this Rule-making:** 21 NCAC 50 .0108, .0301, .0305-.0306, .0402-.0409, .0411-.0412, .0502, .0505, .0511, .1004, .1006, .1014, .1101-.1102, .1104, .1401, .1403-.1404 - Other rules may be proposed in the course of the rule-making process.

**Authority for the Rule-making:** G.S. 87-18

**Statement of the Subject Matter:** Clarification of classifications of license and requirements for licensure; application and experience prerequisites for exams or licensure; content of examination or adoption of national test for some or all license classifications; business component of examinations and minimum passing grade on each part; continuing education requirements for renewal, for reactivation of expired licenses, for new limited license classifications, calculation of hours and components of credit hours; license display and contact information, signatures and definitions of proposals and contracts; use of trade names and identity of firms; responsibilities of licensees with respect to system design; joint ventures; licensee responsibilities of limited or unlimited plumbing, heating or fire sprinkler contractors as to permits, use of license, branch offices, full-time employment, supervision and competence in installation; clarification of service and minor repair exemptions; components of disciplinary process and sanctions; fees for plumbing, heating, fuel piping or fire sprinkler license applications or examinations; fees for license renewal by sublicensees; and publications and associated-fees.
Reason for Proposed Action: Implementation of new license classifications has revealed ambiguities in present rules. In addition, recent legislation creates conflict with text within some rules. Also, some fees were inadvertently changed by 2001 session laws, while other fees may need to be established, increased or decreased. The rules relative to disciplinary processes, and rules adopted by reference may need modification for descriptive purposes. It is anticipated that text of proposed rules will be published August 15, 2003, and a public hearing held September 15, 2003.

Comment Procedures: Comments on components of this Notice of Rulemaking may be submitted in writing to the Board addressed to Rulemaking Coordinator at State Board of Examiners of Plumbing, Heating and Fire Sprinkler Contractors, 1109 Dresser Court, Raleigh, NC 27609, with a copy to Board counsel addressed to John N. Fountain, Young Moore and Henderson, P.O. Box 31627, Raleigh, NC 27622. Comments must be received by 5:00 p.m. on August 15, 2003.
This Section contains the text of proposed rules. At least 60 days prior to the publication of text, the agency published a Notice of Rule-making Proceedings. The agency must accept comments on the proposed rule for at least 30 days from the publication date, or until the public hearing, or a later date if specified in the notice by the agency. The required comment period is 60 days for a rule that has a substantial economic impact of at least five million dollars ($5,000,000). Statutory reference: G.S. 150B-21.2.

TITLE 10A – DEPARTMENT OF HEALTH AND HUMAN SERVICES

Notice is hereby given in accordance with G.S. 150B-21.2 that the Commission for Health Services intends to adopt the rule cited as 10A NCAC 41A .0213, and amend the rule cited as 10A NCAC 41A .0101. Notice of Rule-making Proceedings was published in the Register on April 1, 2003.

Proposed Effective Date: August 1, 2004

Public Hearing:
Date: July 9, 2003
Time: 1:30 p.m. – 3:00 p.m.
Location: Room G-1A, 1330 St. Mary's Street, Raleigh, NC

Reason for Proposed Action: The recent outbreak of Severe Acute Respiratory Syndrome (SARS) has resulted in an unanticipated public health risk that requires prompt identification and effective control measures if the disease is to be effectively identified and controlled. In order to achieve these goals, it is necessary to add SARS to the list of reportable conditions and to require effective control measures that are in accordance with national standards set by the Centers for Disease Control and Prevention (CDC).

Comment Procedures: Written comments should be submitted to Chris G. Hoke, JD, 1915 Mail Service Center, Raleigh, NC 27699-1915. Phone: (919) 715-4168, email: Chris.Hoke@ncmail.net. Comments should be submitted by July 16, 2003.

Fiscal Impact
☐ State
☐ Local
☒ Substantive (>5,000,000)
☐ None

CHAPTER 19 - HEALTH: EPIDEMIOLOGY

SUBCHAPTER 19A - COMMUNICABLE DISEASE CONTROL

SECTION .0100 - REPORTING OF COMMUNICABLE DISEASES

10A NCAC 41A .0101 REPORTABLE DISEASES AND CONDITIONS
(a) The following named diseases and conditions are declared to be dangerous to the public health and are hereby made reportable within the time period specified after the disease or condition is reasonably suspected to exist:
   (1) acquired immune deficiency syndrome (AIDS) - 7 days;
(48) rubella congenital syndrome - 7 days;

(49) salmonellosis - 24 hours;

(50) severe acute respiratory syndrome (SARS) – 24 hours;

(51) shigellosis - 24 hours;

(52) smallpox – 24 hours;

(53) streptococcal infection, Group A, invasive disease - 7 days;

(54) syphilis - 24 hours;

(55) tetanus - 7 days;

(56) toxic shock syndrome - 7 days;

(57) toxoplasmosis, congenital - 7 days;

(58) trichinosis - 7 days;

(59) tuberculosis - 24 hours;

(60) tularemia - 24 hours;

(61) typhoid - 24 hours;

(62) typhoid carriage (Salmonella typhi) - 7 days;

(63) typhus, epidemic (louse-borne) - 7 days;

(64) vaccinia – 24 hours;

(65) vibrio infection (other than cholera) - 24 hours;

(66) whooping cough - 24 hours;

(67) yellow fever - 7 days.

(b) For purposes of reporting; confirmed human immunodeficiency virus (HIV) infection is defined as a positive virus culture; repeatedly reactive EIA antibody test confirmed by western blot or indirect immunofluorescent antibody test; positive polymerase chain reaction (PCR) test; or other confirmed testing method approved by the Director of the State Public Health Laboratory conducted on or after February 1, 1990. In selecting additional tests for approval, the Director of the State Public Health Laboratory shall consider whether such tests have been approved by the federal Food and Drug Administration, recommended by the federal Centers for Disease Control and Prevention, and endorsed by the Association of Public Health Laboratories.

(c) In addition to the laboratory reports for Mycobacterium tuberculosis, Neisseria gonorrhoeae, and syphilis specified in G.S. 130A-139, laboratories shall report:

(1) Isolation or other specific identification of the following organisms or their products from human clinical specimens:

(A) Any hantavirus or hemorrhagic fever virus.

(B) Arthropod-borne virus (any type).

(C) Bacillus anthracis, the cause of anthrax.

(D) Bordetella pertussis, the cause of whooping cough (pertussis).

(E) Borrelia burgdorferi, the cause of Lyme disease (confirmed tests).

(F) Brucella spp., the causes of brucellosis.

(G) Campylobacter spp., the causes of campylobacteriosis.

(H) Chlamydia trachomatis, the cause of genital chlamydial infection, conjunctivitis (adult and newborn) and pneumonia of newborns.

(I) Clostridium botulinum, a cause of botulism.

(J) Clostridium tetani, the cause of tetanus.

(K) Corynebacterium diphtheriae, the cause of diphtheria.

(L) Coxiella burnetii, the cause of Q fever.

(M) Cryptosporidium parvum, the cause of human cryptosporidiosis.

(N) Cyclospora cayetanensis, the cause of cyclosporiasis.

(O) Ehrlichia spp., the causes of ehrlichiosis.

(P) Shiga toxin-producing Escherichia coli, a cause of hemorrhagic colitis, hemolytic uremic syndrome, and thrombotic thrombocytopenic purpura.

(Q) Francisella tularensis, the cause of tularemia.

(R) Hepatitis B virus or any component thereof, such as hepatitis B surface antigen.

(S) Human Immunodeficiency Virus, cause of AIDS.

(T) Legionella spp., the causes of legionellosis.

(U) Leptospira spp., the causes of leptospirosis.

(V) Listeria monocytogenes, the cause of listeriosis.

(W) Plasmodium falciparum, P. malariae, P. ovale, and P. vivax, the causes of malaria in humans.

(X) Poliovirus (any), the cause of poliomyelitis.

(Y) Rabies virus.

(Z) Rickettsia rickettsii, the cause of Rocky Mountain spotted fever.

(AA) Rubella virus.

(BB) Salmonella spp., the causes of salmonellosis.

(CC) Shigella spp., the causes of shigellosis.

-DD) Smallpox virus, the cause of smallpox.

(EE) Trichinella spiralis, the cause of trichinosis.

(FF) Vaccinia virus.

(GG) Vibrio spp., the causes of cholera and other vibrioses.

(HH) Yellow fever virus.

(II) Yersinia pestis, the cause of plague.

(2) Isolation or other specific identification of the following organisms from normally sterile human body sites:

(A) Group A Streptococcus pyogenes (group A streptococci).

(B) Haemophilus influenzae, serotype b.

(C) Neisseria meningitidis, the cause of meningococcal disease.
**PROPOSED RULES**

(D) Vancomycin-resistant *Enterococcus* spp.

(3) Positive serologic test results, as specified, for the following infections:

(A) Fourfold or greater changes or equivalent changes in serum antibody titers to:

(i) Any arthropod-borne viruses associated with meningitis or encephalitis in a human.

(ii) Any hantavirus or hemorrhagic fever virus.

(iii) *Chlamydia psittaci*, the cause of psittacosis.

(iv) *Coxiella burnetii*, the cause of Q fever.

(v) Dengue virus.

(vi) *Ehrlichia spp.*, the causes of ehrlichiosis.

(vii) *Mesas* (rubeola) virus.

(viii) Mumps virus.

(ix) *Rickettsia rickettsii*, the cause of Rocky Mountain spotted fever.

(x) Rubella virus.

(xi) Yellow fever virus.

(B) The presence of IgM serum antibodies to:

(i) *Chlamydia psittaci*

(ii) Hepatitis A virus.

(iii) Hepatitis B virus core antigen.

(iv) Rubella virus.

(v) Rubeola (measles) virus.

(vi) Yellow fever virus.

Proposed Effective Date: August 1, 2004

Public Hearing:
Date: July 14, 2003
Time: 2:00 p.m.
Location: 1330 St. Mary's Street, Conference Room G1-A, Raleigh, NC

Reason for Proposed Action: The proposed amendment clarifies the original intent of the rule. It was expected that hospitals would follow the standing order of the attending physician to screen all neonates before discharge for permanent hearing loss. Some hospitals are now saying that they do not have to follow physicians standing orders and are opting to discharge without screening neonates for hearing loss, and that the standing order does not constitute a mandate to screen all neonates for hearing loss before discharge. The proposed amendment maintains the standing order from the physician and the responsibility of the medical facility to maintain equipment necessary to perform physiologic hearing screenings for all neonates, and also clearly defines the medical facilities' responsibility to perform the hearing screening before discharge, unless provision in Paragraph (b) or (c) override the performance of the hearing screening.

Comment Procedures: Written comments concerning this rule-making action may be submitted within 30 days after the date of publication of this issue of the North Carolina Register. Comments must be submitted to Chris G. Hoke, Rule-making Coordinator, Division of Public Health, 2001 Mail Service Center, Raleigh, NC 27699-2001. Comments will be accepted June 16, 2003 through July 16, 2003.

Fiscal Impact
☐ State
☐ Local
☒ Substantive ($5,000,000+)

CHAPTER 43 – HEALTH: PERSONAL HEALTH

SUBCHAPTER 43F - CHILDREN'S SPECIAL HEALTH SERVICES: CHILDREN AND YOUTH SECTION

SECTION .1200 - NEWBORN SCREENING PROGRAM

10A NCAC 43F .1203 SCREENING REQUIREMENTS

(a) The attending physician shall order that each neonate, each infant born in North Carolina, shall be physiologically screened in each ear for the presence of permanent hearing loss within 30 days of their birth. Medical facilities that provide birthing or inpatient neonatal services shall maintain the equipment necessary to perform physiologic hearing screenings for neonates prior to discharge home.

(1) The attending physician shall order that each infant be physiologically screened in each ear for the presence of permanent hearing loss before the birth discharge.

(2) Infants born in medical facilities that provide birthing or inpatient neonatal services shall be...
PROPOSED RULES

TITLE 15A – DEPARTMENT OF ENVIRONMENT AND NATURAL RESOURCES

Notice is hereby given in accordance with G.S. 150B-21.2 that the Coastal Resources Commission intends to amend the rules cited as 15A NCAC 07H .1401-.1402, .1404-.1405; 07J .0701-.0703. Notice of Rule-making Proceedings was published in the Register on December 2, 2002.

Proposed Effective Date: August 1, 2004

Public Hearing:
Date: July 23, 2003
Time: 4:00 p.m.
Location: Ground Floor Hearing Room, Archdale Building, 512 N. Salisbury St., Raleigh, NC

Reason for Proposed Action:
15A NCAC 07H .1401-.1402, .1404-.1405 – The North Carolina General Assembly recently amended the Coastal Area Management Act (CAMA) to require that riprap groins be given the same consideration as wooden ones under the General Permit provisions contained in the CAMA statute. The language requiring this change is contained in Section 29.2(f) of Session Law 2002-126, which amended G.S. 113-118.1 by adding a new subsection that states "(e) The Commission shall allow the use of riprap in the construction of groins in the estuarine and public trust waters on the same basis as the Commission allows the use of wood." This change was adopted as a temporary rule by the Coastal Resources Commission in October 2002 and the Commission is now proceeding with permanent rule making.

15A NCAC 07J .0701-.0703 – The Division of Coastal Management has recognized a need to amend the variance procedure rules in this Section in accordance with the statutory interpretation made by the North Carolina Court of Appeals in the Sammie Williams case. The court imposed a three-factor rather than a four-factor test for variances and the rules should be amended in several places to reflect this interpretation of CAMA. The rule was adopted by the Coastal Resources Commission in temporary form in October 2002 and the Commission is now proceeding with permanent rule making.

Comment Procedures: Comments from the public shall be directed to Charles S. Jones, 151-B Hwy 24, Hestron Plaza II, Morehead City, NC 28557, phone (252) 808-2808, fax (252) 247-3330, and email charles.s.jones@ncmail.net . Comments shall be received through July 31, 2003.

Fiscal Impact
☐ State
☐ Local
☒ Substantive ($5,000,000)
☐ None

CHAPTER 07 - COASTAL MANAGEMENT

SUBCHAPTER 07H - STATE GUIDELINES FOR AREAS OF ENVIRONMENTAL CONCERN

SECTION .1400 - GENERAL PERMIT FOR CONSTRUCTION OF WOODEN AND RIPRAP GROINS IN ESTUARINE AND PUBLIC TRUST WATERS AND OCEAN HAZARD AREAS

15A NCAC 07H .1401  PURPOSE
This permit will allow the construction of wooden and riprap groins in the estuarine and public trust waters AECs according to the authority provided in Subchapter 7J .1100 and according to the following guidelines. This general permit shall not apply to the ocean hazard AEC.

Authority G.S. 113A-107(a); 113A-107(b); 113A-113(b); 113A-118.1; 113A-124.

15A NCAC 07H .1402  APPROVAL PROCEDURES
(a) The applicant must contact the Division of Coastal Management and complete an application form requesting approval for development. The applicant shall provide information on site location, dimensions of the project area, and his name and address.

(b) The applicant must provide:

(1) confirmation that a written statement has been obtained signed by the adjacent riparian property owners indicating that they have no objections to the proposed work; or

(2) confirmation that the adjacent riparian property owners have been notified by certified mail of the proposed work. Such notice should instruct adjacent property owners to provide any comments on the proposed development in writing for consideration by permitting officials to the Division of Coastal Management within ten days of receipt of the notice, and, indicate that...
no response will be interpreted as no objection. DCM staff will review all comments and determine, based on their relevance to the potential impacts of the proposed project, if the proposed project can be approved by a General Permit. If DCM staff finds that the comments are worthy of more in-depth review, the applicant will be notified that he must submit an application for a major development permit.

(c) Approval of individual projects will be acknowledged in writing by the Division of Coastal Management and the applicant shall be provided a copy of this Section.

(d) Construction must be completed within 90 days of the approval of the permit or the permit expires.

Authority G.S. 113A-107(a); 113A-107(b); 113A-113(b); 113A-118.1; 113A-124.

15A NCAC 07H .1404 GENERAL CONDITIONS

(a) Structures authorized by this permit shall be simple, wooden or riprap groins conforming to the standards herein.

(b) Individuals shall allow authorized representatives of the Department of Environment and Natural Resources to make periodic inspections at any time deemed necessary in order to be sure that the activity being performed under authority of this general permit is in accordance with the terms and conditions prescribed herein.

(c) There shall be no significant interference with navigation or use of the waters by the public by the existence of wooden or riprap groins authorized herein.

(d) This permit will not be applicable to proposed construction where the Department has determined, based on an initial review of the application, that notice and review pursuant to G.S. 113A-119 is necessary because there are unresolved questions concerning the proposed activity’s impact on adjoining properties or on water quality; air quality; coastal wetlands; cultural or historic sites; wildlife; fisheries resources; or public trust rights.

(e) This permit does not eliminate the need to obtain any other required state, local, or federal authorization.

(f) Development carried out under this permit must be consistent with all local requirements, AEC rules, and local land use plans current at the time of authorization.

Authority G.S. 113A-107(a); 113A-107(b); 113A-113(b); 113A-118.1; 113A-124.

15A NCAC 07H .1405 SPECIFIC CONDITIONS

(a) Groins shall not extend more than 25 feet waterward of the mean normal high water or normal water level unless a longer structure can be justified by site specific conditions, sound engineering and design principles.

(b) Riprap groins shall not exceed a base width of 10 feet.

(c) Groins shall be set back a minimum of 15 feet from the adjoining property lines. This setback may be waived by written agreement of the adjacent riparian owner(s) or when two adjoining riparian owners are co-applicants. Should the adjacent property be sold before construction of the groin commences, the applicant shall obtain a written agreement with the new owner waiving the minimum setback and submit it to the permitting agency prior to initiating any development of the groin.

(d) The height of wooden groins shall not exceed one foot above mean normal high water or the normal water level, and the height of riprap groins shall not exceed two feet above normal high water or the normal water level.

(e) Riprap groins shall be constructed of materials free from loose dirt or any other pollutant. It must be of sufficient size to prevent its movement from the site by wave or current action.

(f) The riprap material must consist of clean rock or masonry materials such as, but not limited to, granite or broken concrete.

(g) No more than two structures shall be allowed per 100 feet of shoreline unless the applicant can provide evidence that more structures are needed for shoreline stabilization.

Authority G.S. 113A-107(a); 113A-107(b); 113A-113(b); 113A-118.1; 113A-124.

SUBCHAPTER 07J - PROCEDURES FOR HANDLING MAJOR DEVELOPMENT PERMITS: VARIANCE REQUESTS: APPEALS FROM MINOR DEVELOPMENT PERMIT DECISIONS: AND DECLARATORY RULINGS

SECTION .0700 - PROCEDURES FOR CONSIDERING VARIANCE PETITIONS

15A NCAC 07J .0701 VARIANCE PETITIONS

(a) Any person who has received a final decision of an application for a CAMA major or minor development permit may petition for a variance from the CRC by means of the procedure described in this Section. In the case of a minor development permit, a decision shall not be considered final until all available local appeals have been exhausted.

(b) The procedure in this Section shall apply only to petitions for variances, and shall not apply to appeals of major or minor permit decisions. This procedure shall be used for all variance petitions except when:

(1) a petition is combined with an appeal of a major or minor permit decision concerning the same application, in which case the applicant may consolidate both matters for a single quasi-judicial hearing as described in Section .0300 of this Subchapter;

(2) the Commission determines that due to the extraordinary nature of a petition more facts are necessary, in which case the petition may be heard by means of a hearing; or

(3) there are controverted facts that are significant in determining the propriety of a variance.

(c) Variance petitions shall be submitted on forms provided by the Department of Environment, Health, Environment and Natural Resources or CAMA local permit officers or, if not on such a form, shall provide at a minimum the following information:

(1) the case name and location of the development as identified on the denied permit application;

(2) an explanation of the reasons why the applicant believes that the Commission should
make the following findings, all of which are necessary for a variance to be granted:

(A) that enforcement of the applicable development guidelines or standards will cause the petitioner practical difficulties or unnecessary hardships; hardships would result from strict application of the development rules, standards, or orders issued by the Commission;

(B) that such hardships result from conditions peculiar to the petitioner’s property, property such as the location, size, or topography of the property;

(C) that such hardships did not result from actions taken by the petitioner; conditions could not reasonably have been anticipated by the Commission when the applicable guidelines or standards were adopted; and

(D) that the requested variance/proposed development is consistent with the spirit, purpose and intent of the Commission’s rules, rules, standards or orders; will secure the public safety and welfare; and will preserve substantial justice;

(3) a copy of the permit application and denial for the development in question;

(4) the date of the petition, and the name, address, and phone number of the petitioner; and

(5) a complete description of the proposed development, including a site drawing with adequate topographical and survey information.

(d) In order to have a petition for a variance considered under the procedures set forth in this rule, a petitioner who has given notice of appeal of the permit decision concerning the development that is the subject of the variance appeal will be required to agree that the time required to consider the petition shall not be counted in calculating the 120 day time period allowed for disposition of the appeal. The time required to consider the petition shall be calculated from the date on which the petitioner requests to have the petition heard under these procedures until the date on which the petitioner reaffirms the notice of appeal.

(e) Petitions shall be mailed directly to the Director of the Division of Coastal Management, Department of Environment, Health, Environment and Natural Resources, P.O. Box 27687, Raleigh, NC 27611-1638 Mail Service Center, Raleigh, NC 27699-1638.

(f) A variance request will be considered by the Commission at a regularly scheduled meeting. Petitions will be scheduled no later than the second regularly scheduled meeting following the date of receipt of the petition by the Division of Coastal Management, except when a later meeting is agreed upon by the petitioner and the Division of Coastal Management. A complete variance petition, as described in Paragraph (c) of this Rule, must be received by the Division of Coastal Management a minimum of four weeks in advance of a regularly scheduled commission meeting to be considered by the Commission at that meeting.

(g) Written notice of variance hearings or commission consideration of variance requests shall be provided to the petitioner and the permit officer making the initial permit decision. Notice shall be published in a newspaper of general circulation in the area of the proposed variance five days prior to a commission decision on the petition.

Authority G.S. 113A-124.

15A NCAC 07J .0702 STAFF REVIEW OF VARIANCE PETITIONS

(a) The Division of Coastal Management, as staff to the commission, is hereby authorized to review petitions to determine whether they are complete according to the requirements set forth in Rule .0701. Incomplete applications and a description of the deficiencies shall be returned expeditiously to the petitioner. Complete requests shall be scheduled for the appropriate commission meeting.

(b) The staff shall prepare a written description of the variance petition which shall be presented to the Commission before the petition is considered. The written description shall include:

(1) a description of the property in question;

(2) a description of how the use of the property is restricted or otherwise affected by the applicable rules;

(3) a discussion of whether the petition meets or does not meet each of the requirements for a variance including both the petitioner and the staff positions;

(4) and any other undisputed facts relevant to the findings set forth in G.S. 113A-120(c), 113A-120 which the Commission must make in order to grant a variance.

(c) The petitioner shall be provided an opportunity to review the written description prepared by the staff and to agree or disagree with the facts and statements therein. The written description presented to the Commission shall include only those facts and statements that have been agreed upon and stipulated to by both the petitioner and the staff. If the staff does not reach agreement with the petitioner and receive the petitioner’s approval of the written description at least two weeks prior to a regularly scheduled Coastal Resources Commission meeting, the variance petition shall be considered at the next regularly scheduled commission meeting. If the staff determines that agreement cannot be reached on sufficient facts on which to base a meaningful variance decision, then the petition will be considered by means of an administrative hearing. Copies of the agreed upon description shall be provided to the permit officer making the initial permit decision prior to commission consideration of the variance.

Authority G.S. 113A-124.

15A NCAC 07J .0703 PROCEDURES FOR DECIDING VARIANCE PETITIONS

(a) The Commission may review the variance petition and staff comments and hear any oral presentation by the petitioner in full session or may appoint a member or members to do so. In cases
where a member or members are appointed, they shall report a
summary of the facts and a recommended decision to the
Commission.
(b) The Commission or its appointed member or members shall
be provided with copies of the petition and any comments the
staff deems necessary before considering the petition.
(c) The Commission staff shall orally describe the petition to
the Commission or its appointed member(s) and shall present
comments concerning whether the Commission should make the
findings necessary for granting the variance. The applicant shall
also be allowed to present oral arguments concerning the
petition. The Commission may set time limits on such oral
presentations.
(d) The final decision of the commission may be made at the
meeting at which the matter is heard or in no case later than the
next regularly scheduled meeting. The final decision shall be
transmitted to the petitioner by registered mail at the earliest
feasible date after the final decision is reached.
(e) Final decisions concerning variance petitions shall be made
by concurrence of a majority of a quorum of the Commission.
(f) Variances may only be granted following affirmative
findings by the Commission on each of the following points:

1. That enforcement of the applicable development guidelines or standards will
cause the petitioner practical difficulties or unnecessary hardships would result from strict
application of the development rules, standards, or orders issued by the
Commission;

2. That such hardships difficulties result from conditions peculiar to the petitioner's property;
property such as location, size, or topography;

3. That such hardships did not result from actions taken by the petitioner; conditions could not
reasonably have been anticipated by the Commission when the applicable guidelines or
standards were adopted; and

4. That the requested variance proposed development is consistent with the spirit, purpose and intent of the Commission's rules;
rules, standards or orders; will secure the public safety and welfare; and will preserve
substantial justice.

Authority G.S. 113A-120.1.

TITLE 18 – SECRETARY OF STATE

Notice is hereby given in accordance with G.S. 150B-21.2 that
the NC Department of the Secretary of State intends to amend
the rules cited as 18 NCAC 06, .1205, .1208, .1211, .1401-.1402,
.1417. Notice of Rule-making Proceedings was published in the
Register on November 1, 2002.

Proposed Effective Date: August 1, 2004

Public Hearing:
Date: July 2, 2003
Time: 10:00 am

Location: Legislative Office Building, 300 N. Salisbury Street,
Suite 100, Raleigh, NC

Reason for Proposed Action: S.L. 2002-126, s. 29A.21-38
amended several of the Secretary of State's fee provisions found
in Chapter 78A of the General Statutes. The statutory
amendments (that became effective November 1, 2002) have
made this rule found in 18 NCAC 06 inconsistent with G.S. 78A-
17(9). The amendment to this rule does not establish or increase
any fee because the fee is now established by statute and the rule
will merely reference the public to the appropriate statutory
language.

Comment Procedures: Written comments should be submitted
to Allan C. J. Russ, NC Securities Division, PO Box 29622,
Raleigh, NC 27626-0622. Phone: (919) 733-3924, fax: (919)
821-0818, email: aruss@sosnc.com. Comments will be received

Fiscal Impact
☐ State
☐ Local
☐ Substantive (>55,000.00)
☒ None

CHAPTER 06 – SECURITIES DIVISION

SECTION .1200 - EXEMPTIONS

18 NCAC 06 .1205 LIMITED OFFERINGS

PURSUANT TO G.S. 78A-17(9)

(a) Any issuer relying upon the exemption provided by G.S.
78A-17(9) in connection with an offering of a security made in
reliance upon Rule 505 of Regulation D promulgated by the
Securities and Exchange Commission under the Securities Act
of 1933, as amended, 17 C.F.R. 230.505 (1982) (as
subsequently amended) shall comply with the provisions of
Rules .1206, .1207 and .1208 of this Section; provided that such
compliance shall not be required if the security is offered and
sold only to persons who will be actively engaged, on a regular
basis, in the management of the issuer's business; and provided
further, that compliance with provisions of Paragraphs (a), (b),
and (c) of Rule .1208 of this Section shall not be required,
except in the case of the offer and sale of a viatical settlement
contract, if the security is offered to not more than five
individuals who reside in this State.

(b) Any issuer relying upon the exemption provided by G.S.
78A-17(9) in connection with an offering of a direct
participation program security made solely in reliance upon an
exemption from registration contained in Section 4(2) or Section
3(a)(11) of the Securities Act of 1933, as amended, or made
solely in reliance upon Rule 504 of Regulation D promulgated by the
Securities and Exchange Commission under the Securities
Act of 1933, as amended, 17 C.F.R. 230.504 (1982), (as
subsequently amended), or any person relying upon the
exemption provided by G.S. 78A-17(9) in connection with an
offering of a viatical settlement contract, shall comply with the
following conditions and limitations:

1. No commission, discount, finder's fee or other
similar remuneration or compensation shall be
paid, directly or indirectly, to any person for

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soliciting any prospective purchaser of the security sold to a resident of this State unless such person is either registered pursuant to G.S. 78A-36 or exempt from registration thereunder or the issuer reasonably believes that such person is so registered or exempt therefrom.

(2) In all sales of direct participation program securities, the provisions of Rule .1313 of this Chapter regarding registered offerings of direct participation program securities shall be applicable. In all sales of viatical settlement contracts, the provisions of Rule .1320 shall be applicable.

(3) Any prospectus or disclosure document used in offering the securities in this state shall disclose conspicuously the legend(s) required by the provisions of Rule .1316 of this Chapter.

(4) Not less than 10 business days prior to any sale of the securities to a resident of this State which shall include but not be limited to the receipt by the issuer, or any person acting on the issuer's behalf of a signed subscription agreement of, or the receipt of consideration from, a purchaser, the issuer shall file with the administrator, or cause to be so filed:

(A) A statement signed by the issuer and acknowledged before a notary public or other similar officer:

(i) identifying the issuer (including name, form of organization, address and telephone number);

(ii) identifying the person(s) who will be selling the securities in this State (and in the case of such persons other than the issuer and its officers, partners and employees, describing their relationship with the issuer in connection with the transaction and the basis of their compliance with or exemption from the requirements of G.S. 78A-36) and describing any commissions, discounts, fees or other remuneration or compensation to be paid to such persons;

(iii) containing a summary of the proposed offering including:

(I) a description of the securities to be sold;

(II) the name(s) of all general partners of an issuer which is a partnership and,

with respect to a corporate issuer or any corporate general partner(s) of any issuer which is a partnership, the date and place of incorporation and the names of the directors and executive officers of such corporation(s);

(III) the anticipated aggregate dollar amount of the offering;

(IV) the anticipated required minimum investment, if any, by each purchaser of the securities to be offered;

(V) a brief description of the issuer's business and the anticipated use of the proceeds of the offering; and

(VI) a list of the states in which the securities are proposed to be sold;

(iv) containing an undertaking to furnish to the administrator, upon written request, evidence of compliance with Subparagraphs (1), (2), and (3) of this Paragraph (b);

(v) in the case of a direct participation program security, containing an undertaking to furnish to the administrator, upon written request, a copy of any written document or materials used or proposed to be used in connection with the offer and sale of the securities; and

(vi) in the case of a viatical settlement contract, the filing shall include a copy of all written documents or materials, including advertising, used or proposed to be used in connection with the offer and sale of the securities.

(B) A consent to service of process naming the North Carolina Secretary
of State as service agent using the Uniform Consent to Service of Process (Form U-2) signed by the issuer and acknowledged before a notary public or other similar officer; and accompanied by a properly executed Corporate Resolution (Form U-2A), if applicable;

(C) A non-refundable filing fee in the amount of twenty-five dollars ($25.00), as established by G.S. 78A-17(9), payable to the North Carolina Secretary of State.

(5) In the case of offers of viatical settlement contracts, the persons offering the security shall deliver to the offeree written materials complying with G.S. 78A-13. Additionally, any materials used in the offering of the security shall comply with G.S. 78A-14 and shall provide each offeree written notice of his or her rights under G.S. 78A-56 and under Rule .1501 of this Chapter.

(6) Compliance with the provisions of Subparagraph (4) of this Rule shall not be required if the security is offered to not more than five individuals who reside in this State, except in the case of the offer and sale of a viatical settlement contract.

(c) Neither the issuer nor any person acting on the issuer's behalf shall offer, offer to sell, offer for sale or sell the securities claimed to be exempt under G.S. 78A-17(9) by any means or any form of general solicitation or general advertising.

Authority G.S. 78A-13; 78A-17(9); 78A-49(a).

18 NCAC 06 .1208 TRANSACTIONS EXEMPT UNDER RULE .1206: FILING REQUIREMENTS

(a) Not less than 10 business days prior to any sale of a security sold in reliance upon the exemption provided by Rule .1206 of this Section, which sale shall include but not be limited to the receipt by the issuer, or any person acting on the issuer's behalf of a signed subscription agreement of, or the receipt of consideration from, a purchaser, the issuer shall file with the administrator, or cause to be so filed, the following:

(1) A Form D (Notice of Sales of Securities Pursuant to Regulation D…and/or Uniform Limited Offering Exemption). All parts of this form, including the Appendix, shall be completed. The Form D shall be signed by a person with express written authorization to do so by the issuer, and shall be attached to a statement containing the supplemental information required by Paragraph (c) of this Rule.

(2) A copy of any written document or materials proposed to be used in connection with the offer and sale of the securities to be sold; provided, however, if any such documents or materials are not available to be filed 10 business days prior to any sale of the securities to a person who resides in this State, they shall be filed when available, but, in any event, no later than 5 business days before any such sale. Supplements or amendments to any such written document or materials shall be filed within 5 business days after delivery to any prospective purchaser of the securities. Notwithstanding the foregoing, any written materials, disclosures required by G.S. 78A-13, and advertising subject to G.S. 78A-14 proposed to be used in connection with the offer and sale of viatical settlement contracts shall be filed with the Administrator not later than 10 days before the first sale of such securities in this State, and any supplements to such materials shall be filed with the Administrator not later than 5 days prior to their delivery to any prospective purchaser.

(3) A consent to service of process naming the North Carolina Secretary of State as service agent using the Uniform Consent to Service of Process (Form U-2) signed by the issuer and acknowledged before a notary public or similar officer; and accompanied by a properly executed Corporate Resolution (Form U2A), if applicable.

(4) A non-refundable filing fee in the amount of seventy-five dollars ($75.00), as established by G.S. 78A-17(17), payable to the North Carolina Secretary of State.

(b) The issuer shall file or caused to be filed with the administrator any amended Form D filed with the U.S. Securities and Exchange Commission in connection with the transaction, not later than 5 business days after such filing with the SEC.

(c) To comply with Subparagraph (a)(1) of this Rule, the issuer shall file with the administrator a statement signed by a person with express written authorization to execute such statement on its behalf containing the following representations:

(1) that the securities will be sold in reliance upon an exemption from the registration requirements of Section 5 of the Securities Act of 1933, as amended;

(2) that, to the best of the issuer's knowledge, the issuer is not disqualified by the provisions of Rule .1207 of this Section from relying upon the exemption provided by Rule .1206 of this Section;

(3) that the issuer will furnish to the administrator, upon written request, evidence of compliance with Rule .1206 of this Section;

(4) that all persons who will be selling the securities in this state are in compliance with or exempt from the requirements of G.S. 78A-36; and

(5) that the issuer will notify the administrator in writing of the names and titles of all officers, directors, partners, or employees of the issuer who will be engaged in the offer or sale of the securities in this state. Such notice to the administrator shall be made prior to any offer of securities in this state.
d) Any filing pursuant to this Rule shall be amended by filing with the administrator such information and changes as may be necessary to correct any material misstatement or omission in the filing.

(e) The provisions of this Rule shall not apply to offers or sales of a security made pursuant to Rule .1206 of this Section if the security is offered to not more than five individuals who reside in this State, except for offers or sales of viatical settlement contracts.

Authority G.S. 78A-17(17); 78A-49(a).

18 NCAC 06 .1211 NOTICE FILING PROCEDURES FOR RULE 506 OFFERINGS

An issuer offering a security that is a "covered security" under Section 18(b)(4)(D) of the Securities Act of 1933 shall file a notice on SEC Form D, a consent to service of process on a form prescribed by the Administrator, and pay a fee of seventy-five dollars ($75.00) as established by G.S. 78A-31(b) no later than 15 days after the first sale in this State of such security covered under federal law. An issuer is not required to file any amendments to a Form D unless the amendment reflects a change in the offering in this State.

Authority G.S. 78A-31(b); 78A-49(a).

SECTION .1400 - REGISTRATION OF DEALERS AND SALESMEN

18 NCAC 06 .1401 APPLICATION FOR REGISTRATION OF DEALERS

(a) The application for registration as a dealer shall contain the following:

(1) an executed Uniform Application for Registration as a Dealer (Form BD) and the appropriate schedules thereto or the appropriate successor form;

(2) a fee in the amount of two hundred dollars ($200.00); as required by G.S. 78A-37(b);

(3) evidence of current registration as a dealer with the Securities and Exchange Commission under the Securities Exchange Act of 1934; evidence of compliance with Rule .1410 of this Section; and

(4) any other information the administrator may from time to time require which is relevant to the applicant's qualifications to engage in the business of acting as a dealer in securities.

(b) The application for registration as a dealer shall be filed as follows:

(1) NASD member dealers shall file applications for initial registration in the State of North Carolina with the NASAA/NASD Central Registration Depository, P.O. Box 37441, Washington, D.C. 20013 and shall file a manually executed Form BD directly with the Securities Division. Applications for renewal of registration shall be filed only with the Central Registration Depository (see Rule .1406 of this Section);

(2) Non-NASD member dealers shall file all applications for registration in the State of North Carolina directly with the Securities Division.

(c) The dealer shall file with the administrator, as soon as practicable but in no event later than 30 days following such event, notice of any disciplinary action taken against the dealer by any exchange of which the dealer is a member; the Securities and Exchange Commission; the Commodity Futures Trading Commission; any national securities association registered with the Securities and Exchange Commission pursuant to Section 15A of the Securities Exchange Act of 1934 or any state securities commission and of any civil suit filed against the dealer alleging violation of any federal or state securities laws. If the information contained in any document filed with the administrator is or becomes inaccurate or incomplete in any material respect, the dealer shall file a correcting amendment as soon as practicable but in no event later than 30 days following the date on which such information becomes inaccurate or incomplete.

(d) Registration becomes effective at noon of the 30th day after a completed application is filed or such earlier time upon issuance of a license or written notice of effective registration, unless proceedings are instituted pursuant to G.S. 78A-39. The administrator may by order defer the effective date after the filing of any amendment but no later than noon of the 30th day after the filing of the amendment.

(e) Every dealer shall notify the administrator of any change of address, the opening or closing of any office (including the office of any salesman operating apart from the dealer's premises) or any material change thereto, in writing as soon as practicable or by filing concurrently upon filing with NASD an appropriate amendment or schedule to Form BD or any successor form.

Authority G.S. 78A-36(a); 78A-37(a); 78A-37(d); 78A-38(c); 78A-49(a).

18 NCAC 06 .1402 APPLICATION FOR REGISTRATION OF SALESMEN

(a) The application for registration as a salesman shall contain the following:

(1) an executed Uniform Application for Securities and Commodities Industry Representative and/or Agent (Form U-4) or the appropriate successor form;

(2) a fee in the amount of fifty-five dollars ($55.00); as required by G.S. 78A-37(b);

(3) evidence of a passing grade of seventy percent or higher on either:

(A) the Uniform Securities Agent State Law Examination (USASLE - Series 63); or

(B) both the Uniform Combined State Law Examination (Series 66 Exam) and the General Securities Representative Examination (Series 7 Exam) as well as the appropriate NASD examination as required by Rule .1413 of this Section.
PROPOSED RULES

(b) The application for registration as a salesman shall be filed as follows:

(1) NASD member dealers shall file all salesman applications for registration in the State of North Carolina with the NASAA/NASD Central Registration Depository, P.O. Box 9401, Gaithersburg, MD 28898-9401.

(2) Non-NASD member dealers shall file all salesman applications for registration in the State of North Carolina directly with the Securities Division.

(c) The salesman or the dealer for which the salesman is registered shall file with the administrator, as soon as practicable but in no event later than 30 days, notice of any disciplinary action taken against a salesman by any exchange of which the dealer is a member; the Securities and Exchange Commission; the Commodity Futures Trading Commission; any national securities association registered with the Securities and Exchange Commission pursuant to Section 15A of the Securities Exchange Act of 1934 or any state securities commission and of any civil suit, warrant, criminal warrant, or criminal indictment filed against the salesman alleging violation of any federal or state securities laws. If the information contained in any document filed with the administrator is or becomes inaccurate or incomplete in any material respect, the salesman or the dealer for which the salesman is registered shall file a correcting amendment as soon as practicable but in no event later than thirty days. Such filing is to be made by NASD member dealers and their salesmen to the NASAA/NASD Central Registration Depository and non-NASD member dealers and their salesmen shall make such filing directly with the Securities Division.

(d) Registration becomes effective at noon of the 30th day after a completed application is filed or such earlier time upon approval of the application by the administrator, unless proceedings are instituted pursuant to G.S. 78A-39. The administrator may by order defer the effective date after the filing of any amendment but no later than noon of the 30th day after the filing of the amendment.

(e) A salesman shall only be registered in this State with one dealer.

Authority G.S. 78A-37(a); 78A-37(b); 78A-38(c); 78A-39(b)(4); 78A-49(a).

18 NCAC 06 .1417 APPLICATION FOR LIMITED REGISTRATION OF CANADIAN SECURITIES DEALERS AND SALESMEN

(a) An applicant for limited registration as a dealer pursuant to G.S. 78A-36.1 (the "Dealer") shall file the following with the Administrator:

(1) a representation that the Dealer does not have an office or physical presence in this state;

(2) a representation that the Dealer is a resident of Canada;

(3) a representation that the Dealer will engage only in the activities described in G.S. 78A-36.1(j) in this state;

(4) a completed application for registration as a securities dealer in the form required by the jurisdiction in Canada in which the Dealer has its head office;

(5) an originally executed copy of a Form U-2 or similar consent to service of process whereby the Dealer names the North Carolina Secretary of State as an agent duly authorized to accept service of process on behalf of the Dealer;

(6) either:

(A) a certification by the securities regulatory agency of each jurisdiction in Canada from which the Dealer will be effecting transactions into this state stating that the Dealer is both registered and in good standing as a securities dealer in that jurisdiction, or

(B) a certification by the Investment Dealers Association of Canada confirming that the applicant maintains a membership in good standing with the Investment Dealers Association of Canada;

(7) evidence that the Dealer is a member of a Canadian self-regulatory organization ("SRO"), the Bureau des services financiers, or a Canadian stock exchange; and

(8) a filing fee in the amount of two hundred dollars ($200.00), as required by G.S. 78A-36.1(i) and 78A-37(b).

(b) An applicant for limited registration as a salesman (the "Salesman") intending to effect securities transactions in this state on behalf of a Canadian dealer registered under this section shall file the following with the Administrator:

(1) a completed application for registration as a securities salesman in the form required by the jurisdiction in which the dealer has its head office;

(2) an originally executed copy of a Form U-2 or similar consent to service of process whereby the Salesman names the North Carolina Secretary of State as an agent duly authorized to accept service of process on behalf of the Salesman;

(3) a certification by the securities regulatory agency of the jurisdiction in Canada from which the Salesman will be effecting transactions into this state stating that the Salesman is both registered and in good standing as a securities salesman in that jurisdiction; and

(4) a filing fee in the amount of fifty-five dollars ($55.00), as required by G.S. 78A-36.1(i) and 78A-37(b).

(c) If any information contained in any document filed with the Administrator by any dealer or salesman who has registered pursuant to G.S. 78A-36.1 is or becomes inaccurate or incomplete in any material respect, the dealer or salesman shall file a correcting amendment as soon as practicable, but in no event later than 30 days following the date on which such information becomes inaccurate or incomplete.

Authority G.S. 78A-36.1; 78A-49; 78A-37(b).
This Section includes temporary rules reviewed by the Codifier of Rules and entered in the North Carolina Administrative Code and includes, from time to time, a listing of temporary rules that have expired. See G.S. 150B-21.1 and 26 NCAC 02C .0500 for adoption and filing requirements. Pursuant to G.S. 150B-21.1(e), publication of a temporary rule in the North Carolina Register serves as a notice of rule-making proceedings unless this notice has been previously published by the agency.

TITLE 10A – DEPARTMENT OF HEALTH AND HUMAN SERVICES

Rule-making Agency: Commission for Health Services

Rule Citation: 10A NCAC 41A .0101, .0213

Effective Date: May 16, 2003

Findings Reviewed and Approved by: Beecher R. Gray

Authority for the rulemaking: G.S. 130A-144

Reason for Proposed Action:
10A NCAC 41A .0101 – The recent outbreak of Severe Acute Respiratory Syndrome (SARS) has resulted in an unanticipated public health risk in North Carolina. Consequently, in order to promptly identify, monitor, and control SARS in the state, it is necessary to add SARS to the list of reportable diseases.

10A NCAC 41A .0213 – The recent outbreak of Severe Acute Respiratory Syndrome (SARS) has resulted in an unanticipated public health risk in North Carolina. Consequently, it is important to promptly implement control measures that are in accordance with Centers for Disease Control and Prevention (CDC) national standards in order to control the possible spread of SARS in the state.

Comment Procedures: Comments from the public shall be directed to Chris G. Hoke, JD, 2001 Mail Service Center, Raleigh, NC 27699-2001, phone (919) 715-4168, and email chris.hoke@ncmail.net.

CHAPTER 41 - HEALTH: EPIDEMIOLOGY

SUBCHAPTER 41A - COMMUNICABLE DISEASE CONTROL

SECTION .0100 - REPORTING OF COMMUNICABLE DISEASES

10A NCAC 41A .0101 REPORTABLE DISEASES AND CONDITIONS
(a) The following named diseases and conditions are declared to be dangerous to the public health and are hereby made reportable within the time period specified after the disease or condition is reasonably suspected to exist:
   (1) acquired immune deficiency syndrome (AIDS) - 7 days;
   (2) anthrax - 24 hours;
   (3) botulism - 24 hours;
   (4) brucellosis - 7 days;
   (5) campylobacter infection - 24 hours;
   (6) chancroid - 24 hours;
   (7) chlamydial infection (laboratory confirmed) - 7 days;
   (8) cholera - 24 hours;
   (9) Creutzfeldt-Jakob disease - 7 days;
   (10) cryptosporidiosis - 24 hours;
   (11) cyclosporiasis - 24 hours;
   (12) dengue - 7 days;
   (13) diphtheria - 24 hours;
   (14) Escherichia coli, shiga toxin-producing - 24 hours;
   (15) ehrlichiosis - 7 days;
   (16) encephalitis, arboviral - 7 days;
   (17) enterococci, vancomycin-resistant, from normally sterile site - 7 days;
   (18) foodborne disease, including but not limited to Clostridium perfringens, staphylococcal, and Bacillus cereus - 24 hours;
   (19) gonorrhea - 24 hours;
   (20) granuloma inguinale - 24 hours;
   (21) Haemophilus influenzae, invasive disease - 24 hours;
   (22) Hantavirus infection - 7 days;
   (23) Hemolytic-uremic syndrome/thrombotic thrombocytopenic purpura - 24 hours;
   (24) Hemorrhagic fever virus infection - 24 hours;
   (25) hepatitis A - 24 hours;
   (26) hepatitis B - 24 hours;
   (27) hepatitis B carriage - 7 days;
   (28) hepatitis C, acute - 7 days;
   (29) human immunodeficiency virus (HIV) infection confirmed - 7 days;
   (30) legionellosis - 7 days;
   (31) leptospirosis - 7 days;
   (32) listeriosis - 24 hours;
   (33) Lyme disease - 7 days;
   (34) lymphogranuloma venereum - 7 days;
   (35) malaria - 7 days;
   (36) measles (rubeola) - 24 hours;
   (37) meningitis, pneumococcal - 7 days;
   (38) meningococcal disease - 24 hours;
   (39) mumps - 7 days;
   (40) nongonococcal urethritis - 7 days;
   (41) plague - 24 hours;
   (42) paralytic poliomyelitis - 24 hours;
   (43) psittacosis - 7 days;
   (44) Q fever - 7 days;
   (45) rabies, human - 24 hours;
   (46) Rocky Mountain spotted fever - 7 days;
   (47) rubella - 24 hours;
   (48) rubella congenital syndrome - 7 days;
   (49) salmonellosis - 24 hours;
   (50) severe acute respiratory syndrome (SARS) - 24 hours;
   (51) shigellosis - 24 hours;
   (52) smallpox - 24 hours;
   (53) streptococcal infection, Group A, invasive disease - 7 days;
   (54) syphilis - 24 hours;
   (55) tetanus - 7 days;
(55)(56) toxic shock syndrome - 7 days;
(56)(57) toxoplasmosis, congenital - 7 days;
(57)(58) trichinosis - 7 days;
(58)(59) tuberculosis - 24 hours;
(59)(60) tularemia - 24 hours;
(60)(61) typhoid - 24 hours;
(61)(62) typhoid carriage (Salmonella typhi) - 7 days;
(62)(63) typhus, epidemic (louse-borne) - 7 days;
(63)(64) vaccinia - 24 hours
(64)(65) vibrio infection (other than cholera) - 24 hours;
(65)(66) whooping cough - 24 hours;
(66)(67) yellow fever - 7 days.

(b) For purposes of reporting; confirmed human immunodeficiency virus (HIV) infection is defined as a positive virus culture; repeatedly reactive EIA antibody test confirmed by western blot or indirect immunofluorescent antibody test; positive polymerase chain reaction (PCR) test; or other confirmed testing method approved by the Director of the State Public Health Laboratory conducted on or after February 1, 1990. In selecting additional tests for approval, the Director of the State Public Health Laboratory shall consider whether such tests have been approved by the federal Food and Drug Administration, recommended by the federal Centers for Disease Control and Prevention, and endorsed by the Association of Public Health Laboratories.

(c) In addition to the laboratory reports for *Mycobacterium tuberculosis*, *Neisseria gonorrhoeae*, and syphilis specified in G.S. 130A-139, laboratories shall report:

1. Isolation or other specific identification of the following organisms or their products from human clinical specimens:
   
   (A) Any hantavirus or hemorrhagic fever virus.
   
   (B) Arthropod-borne virus (any type).
   
   (C) *Bacillus anthracis*, the cause of anthrax.
   
   (D) *Bordetella pertussis*, the cause of whooping cough (pertussis).
   
   (E) *Borrelia burgdorferi*, the cause of Lyme disease (confirmed tests).
   
   (F) *Brucella* spp., the causes of brucellosis.
   
   (G) *Campylobacter* spp., the causes of campylobacteriosis.
   
   (H) *Chlamydia trachomatis*, the cause of genital chlamydial infection, conjunctivitis (adult and newborn) and pneumonia of newborns.
   
   (I) *Clostridium botulinum*, a cause of botulism.
   
   (J) *Clostridium tetani*, the cause of tetanus.
   
   (K) *Corynebacterium diphtheriae*, the cause of diphtheria.
   
   (L) *Coxiella burnetii*, the cause of Q fever.
   
   (M) *Cryptosporidium parvum*, the cause of human cryptosporidiosis.
   
   (N) *Cyclospora cayetanensis*, the cause of cyclosporiasis.

2. Fourfold or greater changes or equivalent changes in serum antibody titers to:
   
   (O) *Ehrlichia* spp., the causes of ehrlichiosis.
   
   (P) Shiga toxin-producing *Escherichia coli*, a cause of hemorrhagic colitis, hemolytic uremic syndrome, and thrombotic thrombocytopenic purpura.
   
   (Q) *Francisella tularensis*, the cause of tularemia.
   
   (R) Hepatitis B virus or any component thereof, such as hepatitis B surface antigen.
   
   (S) Human Immunodeficiency Virus, the cause of AIDS.
   
   (T) *Legionella* spp., the causes of legionellosis.
   
   (U) *Leptospira* spp., the causes of leptospirosis.
   
   (V) *Listeria monocytogenes*, the cause of listeriosis.
   
   (W) *Plasmodium falciparum*, *P. malariae*, *P. ovale*, and *P. vivax*, the causes of malaria in humans.
   
   (X) Poliovirus (any), the cause of poliomyelitis.
   
   (Y) Rabies virus.
   
   (Z) *Rickettsia rickettsii*, the cause of Rocky Mountain spotted fever.

3. Positive serologic test results, as specified, for the following infections:
   
   (A) Group A *Streptococcus pyogenes* (group A streptococci).
   
   (B) *Haemophilus influenzae*, serotype b.
   
   (C) *Neisseria meningitidis*, the cause of meningococcal disease.
   
   (D) Vancomycin-resistant *Enterococcus* spp.

   (i) Any arthropod-borne viruses associated with meningitis or encephalitis in a human.
(ii) Any hantavirus or hemorrhagic fever virus.
(iii) *Chlamydia psittaci*, the cause of psittacosis.
(iv) *Coxiella burnetii*, the cause of Q fever.
(v) Dengue virus.
(vi) *Ehrlichia spp.*, the causes of ehrlichiosis.
(vii) Measles (rubeola) virus.
(viii) Mumps virus.
(ix) *Rickettsia rickettsii*, the cause of Rocky Mountain spotted fever.
(x) Rubella virus.
(xi) Yellow fever virus.

(B) The presence of IgM serum antibodies to:
(i) *Chlamydia psittaci*
(ii) *Hepatitis A virus*.
(iii) *Hepatitis B virus core antigen*.
(iv) Rubella virus.
(v) Rubeola (measles) virus.
(vi) Yellow fever virus.

**History Note:** Authority G.S. 130A-134; 130A-135; 130A-139; 130A-141;
Filed as a Temporary Rule Eff. February 1, 1988, for a period of 180 days to expire on July 29, 1988; Eff. March 1, 1988; Amended Eff. October 1, 1994; February 1, 1990; Temporary Amendment Eff. July 1, 1997; Amended Eff. August 1, 1998; Temporary Amendment Eff. February 13, 2003; October 1, 2002; February 18, 2001; June 1, 2001; Amended Eff. April 1, 2003; Temporary Amendment Eff. May 16, 2003.
(2) The eligible applicant shall first notify the Commission of the following:
(A) the tag number(s) assigned to the cervid;
(B) the facility of origination;
(C) the facility of destination;
(D) the date(s) upon which the transfer is to take place; and
(E) the means by which the cervid is to be transported; and
(3) The executive director or his designee confirms receipt of the information requested in Subparagraph (c)(2) of this Rule.
Transportation of cervids between facilities that are licensed to the same individual shall be permitted upon the condition that the licensed applicant log the information required by Subparagraph (c)(2) of this Rule rather than submit a separate application for each transportation.
(d) The Commission authorizes the executive director or his designee to waive the rule against cervid facility expansion and to amend a license to permit expansion to an applicant for such a waiver provided that:
(1) The executive director or his designee confirms the applicant's eligibility for a waiver according to standards listed in Paragraph (b) of this Rule;
(2) The eligible applicant shall first notify the Commission of the following:
(A) the location of the facility for which expansion is desired;
(B) the number of cervids held at that facility;
(C) the number of births or purchases of cervids expected within a year of the application; and
(D) the proposed capacity for which expansion is desired; and
(3) The executive director or his designee confirms receipt of the information requested in Subparagraph (d)(2) of this Rule.

History Note: Authority G.S. 113-134; 113-274; 150B-19(6); Temporary Adoption Eff. May 21, 2003.

Rule-making Agency: Commission for Health Services

Rule Citation: 15A NCAC 18A .1210

Effective Date: June 1, 2003

Findings Reviewed and Approved by: Beecher R. Gray

Authority for the rulemaking: G.S. 130A-275

Reason for Proposed Action: These temporary amendments are to mitigate financial impact on industry from recently enacted rule amendments. Some provisions are being stalled or amended until the financial impact can be more fully considered and permanent changes are proposed.

Comment Procedures: Written comments should be submitted to Jim Hayes, NCDENR/Environmental Health Services Section, 1632 Mail Service Center, Raleigh, NC 27699-1632. Phone: (919) 715-0924, fax: (919) 715-4739, email: jim.hayes@ncmail.net
SANATORIUMS: EDUCATIONAL AND OTHER INSTITUTIONS

15A NCAC 18A .1301 DEFINITIONS

The following definitions shall apply throughout this Section in the interpretation and enforcement of this Section:

(1) "Disinfect" means a process used on inanimate surfaces to destroy or irreversibly inactivate infectious fungi and bacteria but not necessarily their spores.

(2) "Environmental Health Specialist" means a person authorized by the Department of Environment and Natural Resources under G.S. 130A-6 to enforce environmental health rules adopted by the Commission for Health Services.

(3) "Institution" includes the following establishments providing room or board and for which a license or certificate of payment must be obtained from the Department of Health and Human Services, other than those operated exclusively by the State of North Carolina:
   (a) hospital, as defined in G.S. 131E-76 including doctors' clinics with food preparation facilities;
   (b) nursing home, as defined in G.S. 131E-101;
   (c) sanitarium, sanatorium, and any similar establishment, other than hospital and nursing home, for the recuperation and treatment of 13 or more persons suffering from physical or mental disorders;
   (d) adult care home, providing custodial care on a 24-hour basis for 13 or more persons, including homes for the aged;
   (e) orphanage, or children’s home providing care on a 24-hour basis for 13 or more children.

However, the term shall not include a child day care facility, an adult day service facility as defined in 15A NCAC 18A .3300 or a residential care facility as defined in 15A NCAC 18A .1600.

(4) "Department of Environment and Natural Resources" shall mean the Secretary, or his authorized representative.

(5) "Local health director" shall mean local health director as defined in G.S. 130A-2(6) or his authorized representative.

(6) "Patient" means a patient or resident living in an institution as defined in this Section.

(7) "Person" shall mean an individual, firm, association, organization, partnership, business trust, corporation, or company.

(8) "Personal Hygiene" means maintenance of personal health, including grooming, brushing teeth, showering, applying makeup, or washing/drying face, hands, and body.

(9) "Potentially hazardous food" means any food or ingredient, natural or synthetic, in a form capable of supporting the growth of infectious or toxigenic microorganisms, including Clostridium botulinum. This term includes raw or heat treated foods of animal origin, raw seed sprouts, and treated foods of plant origin. The term does not include foods which have a pH level of 4.6 or below or a water activity (Aw) value of 0.85 or less.

(10) "Sanitize" means a bactericidal treatment which meets the temperature and chemical concentration levels in 15A NCAC 18A .2619.

History Note:  Authority G.S. 130A-235;
Eff. February 1, 1976;
Readopted Eff. December 5, 1977;
Amended Eff. March 1, 2003 (see S.L. 2002-160); August 1, 1998; February 1, 1997; September 1, 1990; March 1, 1988;

15A NCAC 18A .1304 INSPECTIONS

(a) Institutions shall be graded at least once each six months and food services at institutions which prepare and serve meals to 13 or more patients or residents shall be inspected at least once each quarter.

(b) The grading of institutions shall be done on inspection forms furnished by the Department to local health departments. The form shall include at least the following information:
   (1) the name and address of the facility;
   (2) the name of the person in charge of the facility;
   (3) the standards of construction and operation as listed in .1309 - .1324 of this Section;
   (4) the score; and
   (5) the signature of the authorized agent of the Department.

(c) Whether or not a permit is required under G.S. 130A-248, inspections of food preparation and central dining areas in institutions serving meals to 13 or more patients or residents shall be documented separately using the inspection forms and grading system used for grading restaurants as specified in current "Rules Governing the Sanitation of Restaurants and Other Foodhandling Establishments" 15A NCAC 18A .2600. When grading the food preparation and central dining areas of institutional food services which are not required to obtain a permit under G.S. 130A-248, the provisions of Rule .1323(d) of this Section shall supercede the provisions of Rule 15A NCAC 18A .2610(e) regarding animals in dining areas. Except as required by G.S. 130A-247 through 250, food services at institutions shall not be required to obtain foodhandling establishment permits or upgrade existing facilities with approved sanitation scores.

History Note:  Authority G.S. 130A-235;
Eff. February 1, 1976;
Readopted Eff. December 5, 1977;
Amended Eff. March 1, 2003 (see S.L. 2002-160); September 1, 1990; June 30, 1980;

15A NCAC 18A .1312  TOILET: HANDWASHING: LAUNDRY: AND BATHING FACILITIES

(a) All institutions shall be provided with toilet, handwashing, and bathing facilities which are conveniently located and readily accessible. These facilities, and laundry facilities when provided, shall be kept clean and in good repair.

(b) Toilet facilities shall comply with the requirements of the state agency licensing the facility. Toilet rooms shall not be used for storage. Fixtures and furnishings shall be kept clean and in good repair. Durable, legible signs shall be posted or stenciled conspicuously in each toilet room for food service employees directing them to wash their hands before returning to work.

(c) Institutions in which bedpans, urinals or emesis basins are used shall provide facilities for emptying, cleaning, and disinfecting bedpans, urinals and emesis basins. Bedpans, urinals and emesis basins shall be cleaned after each use and shall be disinfected before use by other patients. Where bedpans are cleaned in patient rooms, minimum bedpan cleaning facilities shall consist of a water closet with bedpan lugs or spray arms. Where facilities for cleaning bedpans are not provided in patient rooms, bedpans shall be taken to a soiled utility room and be cleaned and disinfected using an EPA registered hospital disinfectant after each use. Where disposable bedpans are reused, they shall be labeled with the patient’s name and date and shall not be used by more than one patient. Bedside commodes shall be cleaned after each use and shall be cleaned and disinfected before use by successive patients. Hand sinks shall not be used for cleaning bedpans or bedside commodes.

(d) Handwashing facilities shall be accessible to all areas where personnel can be exposed to bodily excretions or secretions and in sterile supply processing areas, medication rooms, laundry areas, nutrition stations, and soiled utility rooms and clean utility rooms. Any area where personnel can be exposed to bodily excretions or secretions shall have handwashing facilities located in the same room or have a doorway connecting to an adjacent room or corridor containing handwashing facilities. All lavatories shall be supplied with hot and cold running water through a mixing faucet, or with tempered warm water, soap, and sanitary towels or approved hand-drying devices. Handwashing facilities shall be provided in kitchens and any other food preparation areas in addition to any lavatories which may be provided at employees’ toilet rooms. Sinks used for washing utensils and equipment shall not be accepted as a substitute for required handwashing facilities. Handwash lavatories shall be used only for handwashing. Lavatories provided for use of patients or residents shall be used only for handwashing, personal hygiene, rinsing feeding tubes and obtaining water. Lavatories used for handwashing or personal hygiene shall not be used for disposal of body fluids or cleaning soiled linens. Lavatories in medication rooms used primarily for handwashing can be used for other purposes, such as disposal of medications, which do not interfere with effective handwashing.

(e) Water heating facilities shall provide hot water within the temperature range of 100 degrees F to 116 degrees F at all lavatories and bathing facilities.

(f) Bathing facilities as required by the licensing agency shall be provided, maintained and kept clean. Bathing facilities shall be supplied with hot and cold running water and a mixing device, or tempering device. Shared bathing equipment which has contact with patient’s skin shall be cleaned with detergent and an EPA registered hospital disinfectant between patient uses. Manufacturer’s instructions shall be followed for cleaning equipment with pumps. A supply of cleaning and disinfectant agents shall be accessible to bathing areas. Where disinfectants are mixed on site, the concentration of the mix shall be assured by use of a metering pump, measuring device or chemical test kit.


15A NCAC 18A .1313 WATER SUPPLY

(a) Water supplies shall meet the requirements in 15A NCAC 18C or 15A NCAC 18A .1700.

(b) Non-community public water supplies shall be listed with the Public Water Supply Section, Division of Environmental Health.

(c) In institutions which use a non-community water supply, a sample of water shall be collected by the Department at least once a year and submitted to the Division of Laboratory Services or other laboratory certified by the Department to perform bacteriological examinations.

(d) Cross-connections with sewage lines, non-potable water supplies, or other potential sources of contamination are prohibited.

(e) Hot water heating facilities shall be provided. Hot and cold running water under pressure shall be provided to food preparation areas, and to any other areas in which water is required in sufficient quantities to carry out all operations.

(f) The local health department shall be immediately notified if the primary water supply is interrupted for more than four hours. Each institution shall have a plan to obtain a backup water supply in the event that the water supply is lost for more than four hours. The backup water supply plan shall provide for a minimum of 25 gallons of potable water per day per patient or resident for all purposes for a minimum of three days. The backup water supply plan shall provide for two liters of water per day per person for drinking and an additional 25 gallons per day per person for other purposes. The amount of water provided for uses other than drinking may be reduced if the plan includes alternatives for water use for services such as laundry and dishwashing. If an assessment determines that tap water is not to be used for drinking, sources shall be prominently labeled or hoarded to restrict use and potable water shall be provided.


15A NCAC 18A .1319 FURNISHINGS AND PATIENT CONTACT ITEMS

(a) All furniture, bed springs, mattresses, sleeping mats, draperies, curtains, shades, venetian blinds, or other furnishings shall be kept clean and in good repair. Mattresses shall have...
non-absorbent cleanable covers. Non-absorbent mattress covers shall be used as necessary to prevent soiling of mattresses by incontinent individuals.

(b) Clean bed linen in good repair shall be provided for each individual and shall be changed when soiled. Soiled linen shall be placed in a covered container or bag at the point of use and stored and handled so as to contain and minimize aerosolization of and exposure to any waste products. Soiled laundry shall be handled and stored separately from clean laundry using separate cleanable carts or bags. Carts used for soiled laundry shall be labeled for soiled laundry use only. If hot water is used, linen shall be washed with a detergent in water at least 71°C (160°F) for 25 minutes. If low temperature (<70°C) laundry cycles are used, chemical laundry disinfectants shall be used in accordance with the manufacturer's instructions. Clean linen shall be stored and handled in a separate room or area, or in another manner that will prevent contamination of clean linen. Laundry areas and equipment shall be kept clean.

(c) Patient contact items shall be kept clean and in good repair. Soiled patient contact items shall be taken to a designated area for cleaning and shall be stored separately from clean items. A room or area shall be provided for cleaning patient contact equipment such as wheelchairs and other large items. Patient contact items such as diaper changing surfaces which become contaminated during use shall be cleaned and disinfected after each use. Shared toys subject to mouthing shall be washed and rinsed with soap and water and disinfected with 70 percent alcohol or 100 parts per million chlorine after each day's use. Shared plush toys shall be laundered after each day's use. Shared toys which are not washable shall be gas sterilized or disposed of when soiled.

History Note: Authority G.S. 130A-235;
Eff. February 1, 1976;
Readopted Eff. December 5, 1977;
Amended Eff. March 1, 2003 (see S.L. 2002-160); August 1, 1998; February 1, 1997; September 1, 1990;

15A NCAC 18A .1320 FOOD SERVICE UTENSILS AND EQUIPMENT

(a) All food service equipment and utensils used for preparing meals for 13 or more people shall comply with the requirements of "Rules Governing the Sanitation of Restaurants and Other Foodhandling Establishments" 15A NCAC 18A .2600. Residential style rehabilitation activity kitchens with domestic utensils and equipment can be used by groups of 12 or less people to prepare meals only for members of the group. Potentially hazardous foods prepared in rehabilitation activity kitchens shall not be served to groups of more than 12 people.

(b) At activity kitchens or nutrition stations, provisions shall be made for cleaning all food service utensils and equipment and sanitizing utensils and equipment not continuously subjected to high temperatures. Where utensils and equipment are not returned to a central kitchen for cleaning, designated nutrition stations shall be equipped with at least a two compartment sink with 24 inch drainboards or counter top space at each end for handling dirty items and air drying clean items. Sinks shall be of sufficient size to submerge, wash, rinse and sanitize utensils and equipment. At nutrition stations, dish machines listed with NSF International shall meet this provision. Any area where food is portioned, served or handled shall be equipped with a separate handwash lavatory with hot and cold mixing faucet, soap and individual towels or hand drying device. Separate handwashing lavatories shall not be required for activity kitchens used only by groups of 12 or less people.

(c) All kitchenware and food-contact surfaces of equipment, exclusive of cooking surfaces of equipment, used in the preparation or serving of food or drink, and all food storage utensils, shall be cleaned after each use. Cooking surfaces of equipment shall be cleaned at least once each day. All utensils and food-contact surfaces of equipment used in the preparation, service, display, or storage of potentially hazardous foods shall be cleaned and sanitized prior to each use. Non-food-contact surfaces of equipment shall be cleaned at such intervals as to keep them in a clean and sanitary condition.

History Note: Authority G.S. 130A-235;
Eff. February 1, 1976;
Readopted Eff. December 5, 1977;
Amended Eff. March 1, 2003 (see S.L. 2002-160); September 1, 1990;

15A NCAC 18A .1321 FOOD SUPPLIES

(a) All food and food supplies provided by the institution shall be from sources which comply with North Carolina "Rules Governing the Sanitation of Restaurants and Other Foodhandling Establishments" 15A NCAC 18A .2600 and shall be clean, free from spoilage, free from adulteration and misbranding, and safe for human consumption.

(b) Food brought from home by employees or visitors of patients or residents shall be stored separately from the institution's food supply and shall be labeled with the name of the person to receive the food and the date the food was brought in and shall be kept only as long as it is clean, and free from spoilage. Labeling shall not be required for food items stored in employee-designated or individual resident's refrigerators or rooms.

History Note: Authority G.S. 130A-235;
Eff. February 1, 1976;
Readopted Eff. December 5, 1977;
Amended Eff. March 1, 2003 (see S.L. 2002-160); September 1, 1990;
This Section includes the Register Notice citation to Rules approved by the Rules Review Commission (RRC) at its meeting May 15, 2003, pursuant to G.S. 150B-21.17(a)(1) and reported to the Joint Legislative Administrative Procedure Oversight Committee pursuant to G.S. 150B-21.16. The full text of rules is published below when the rules have been approved by RRC in a form different from that originally noticed in the Register or when no notice was required to be published in the Register. The rules published in full text are identified by an * in the listing of approved rules. Statutory Reference: G.S. 150B-21.17.

These rules, unless otherwise noted, will become effective on the 31st legislative day of the 2004 Session of the General Assembly or a later date if specified by the agency unless a bill is introduced before the 31st legislative day that specifically disapproves the rule. If a bill to disapprove a rule is not ratified, the rule will become effective either on the day the bill receives an unfavorable final action or the day the General Assembly adjourns. Statutory reference: G.S. 150B-21.3.

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<th>APPROVED RULE CITATION</th>
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**TITLE 1 - DEPARTMENT OF ADMINISTRATION**

**01 NCAC 30D .0302  PRE-SELECTION**

(a) A pre-selection committee shall be established for all projects requiring professional service. On minor projects the pre-selection committee shall consist of at least the Capital Projects Coordinator, a representative of the using agency and one representative from the State Construction Office. On major projects the pre-selection committee shall consist of at least the Capital Projects Coordinator, a representative of the using agency and two representatives from the State Construction Office. At least one member of all pre-selection committees shall be a licensed design professional.

(b) General Procedure for All Projects: The Capital Projects Coordinator shall review with the using agency the requirements of the project. This step shall take place prior to public advertisement in the Purchase Directory, because designers and consultants have a significant need to know in advance the program intent of a project in order to demonstrate their qualifications for the project in their letter of interest. The Capital Projects Coordinator shall receive all letters of interest and other qualification information either directly or from the designated contact person. After a pre-selection priority list is prepared, the list shall remain confidential except to the Secretary of the SBC. If fewer than three letters of interest are received on major projects, the project shall be readvertised in the Purchase Directory. If fewer than three letters of interest are received following the re-advertisement, the Capital Projects Coordinator may proceed with the selection process using the data received or may advertise again.

(c) Special Procedures for Minor Projects: The Capital Projects Coordinator shall review with the using agency the requirements of the project and the qualifications of all firms expressing interest in a specific project. The Capital Projects Coordinator and a representative of the using agency shall meet with the representative from the State Construction Office for the evaluation of each firm and development of a list of three firms in priority order to be presented to the SBC. The Capital Projects Coordinator may institute the interview procedures in Paragraph (d) of this Rule if he deems it beneficial in evaluating the firms. The Capital Projects Coordinator shall submit to the Secretary of the SBC the list of three firms in priority order, including pre-selection information and written recommendations, to be presented to the SBC. The Capital Projects Coordinator shall state in the submission to the SBC that the established rules for public announcement and pre-selection have been followed.

(d) Special Procedures for Major Projects: The pre-selection committee shall review the requirements of a specific project and the qualification of all firms expressing interest in that project and shall select from that list not more than six nor less than three firms to be interviewed and evaluated. The pre-selection committee shall interview each of the selected firms, evaluate each firm interviewed, and rank in order three firms. The Capital Projects Coordinator shall state in his submission
that the established rules for public announcement and pre-
selection have been followed.
(e) Special Procedures for Emergency Projects: On occasion,
emergency design or consultation services may be required for
restoration or correction of a facility condition which by its
nature poses a hazard to persons or property, or when an
emergency exists. Should this situation occur, in all likelihood
there will not be sufficient time to follow the normal procedures
described herein. The Capital Projects Coordinator on these rare
occasions may declare an emergency, notify the State
Construction Office and then obtain the services of a designer or
consultant for consultation or design of the corrective action. In
all cases, such uses of these emergency powers shall involve a
written description of the condition and rationale for employing
this special authority signed by the head of the agency and
presented to the SBC at its next normal meeting. Timeliness for
obligation of funds or other non-hazardous or non-emergency
situations do not constitute sufficient grounds for invoking this
special authority.
(f) Fixed Term Contract: A Funded Agency or a Using Agency
may require the services of designer(s) or consultant(s) for small
projects under three hundred thousand dollars ($300,000) on a
fixed term basis for one year. In such cases, designer(s) or
consultant(s) for fixed term contracts shall be selected in
accordance with the procedures for minor projects in Paragraph
(c). In addition, no fixed term contract fee under the jurisdiction
of the State Building Commission shall exceed fifty thousand
dollars ($50,000) in total volume per year regardless of the
number of projects. No fee shall exceed ten thousand dollars
($10,000) per project. Fixed term contracts may be extended for
a term of one additional year. Total fees shall not exceed fifty
thousand dollars ($50,000) for the first year or one hundred
thousand dollars ($100,000) for the two-year period regardless of
the number of projects.
(g) Special Procedures for Department of Environment and
Natural Resources: For Division of Water Quality projects
under the Wetlands Restoration Program, the Funded Agency
may require the services of multiple designer(s) or consultant(s)
for design and construction management of wetland, stream and
riparian buffer restoration projects on a routine basis. In such
cases, designer(s) or consultant(s) for such open-ended contracts
shall be selected in accordance with the procedures described for
minor projects. This does not preclude the Funded Agency's use of
the designer selection procedures specified for major or minor
projects if it elects to do so. The total volume of business in
terms of negotiated design fee shall not exceed seven hundred
thousand dollars ($700,000) for the biannual contract term and
no single project fee shall exceed three hundred fifty thousand
dollars ($350,000). In no case shall individual projects
exceeding one million five hundred thousand dollars ($1,500,000) in total costs be assigned for design under an open-
end agreement. Open-end agreements under this procedure shall
not be extended beyond a two-year term. The funded agency
must readvertise on a biannual basis.

History note: Authority G.S. 143-135.25; 143-135.26;
S.L. 2001-442, Sec. 6(c);
Eff. January 1, 1988;
Amended Eff. July 1, 1993; May 1, 1990;
Temporary Amendment Eff. May 15, 2002;

01 NCAC 30H.0101 PURPOSE OF MANDATORY
SETTLEMENT CONFERENCES
Pursuant to G.S. 143-128 (f1) and 143-135.26(11), these Rules
are promulgated to implement a system of settlement events
which are designated to focus the parties' attention on settlement
rather than on claim preparation and to provide a structured
opportunity for settlement negotiations to take place. Nothing
herein is intended to limit or prevent the parties from engaging
in settlement procedures voluntarily at any time prior to or
during commencement of the dispute resolution process.

History Note: Authority G.S. 143-135.26 (10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H.0302 WHEN CONFERENCE IS TO
BE HELD
The deadline for completion of the mediation shall be not less
than 30 days nor more than 60 days after the naming of the
mediator.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H.0304 RECESSES
The mediator may recess the conference at any time and may set
times for reconvening. If the time for reconvening is set before
the conference is recessed, no further notification is required for
persons present at the conference.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H.0401 ATTENDANCE
(a) All parties to the dispute originally presented to the Designer
or Prime Contractor for initial resolution shall attend the
mediation. Failure of a party to a construction contract dispute
to attend the mediation shall result in the public owner's
withholding of monthly payment to that party until such party
attends the mediation.
(b) Only physical attendance, and not attendance by telephone
or other electronic means, shall constitute attendance. Any
attendee on behalf of a party must have authority from that party
to bind it to any agreement reached as a result of the mediation.
(c) Attorneys on behalf of parties may attend the mediation but
are not required to do so.
(d) Sureties or insurance company representatives are not
required to attend the mediation unless any monies paid or to be
paid as a result of any agreement reached as a result of
mediation require their presence or acquiescence. If such
agreement or presence is required, then authorized
representatives of the surety or insurance company must attend
the mediation.

History Note: Authority G.S. 143-135.26(10), (11);
01 NCAC 30H .0402  FINALIZING AGREEMENT
If an agreement is reached in the conference, parties to the agreement shall reduce its terms to writing and sign it along with their counsel, insurance carriers and bonding companies, if any.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H .0403  PAYMENT OF FEE
The mediation fee shall be paid in accordance with G.S. 143-128 (f1).

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H .0501  AUTHORITY OF MEDIATOR
(a) Control of Conference. The mediator shall be in control of the conference and the procedures to be followed.
(b) Private Consultation. The mediator may communicate privately with any participant or counsel prior to and during the conference. The fact that private communications with a participant may occur shall be disclosed to all other participants at the conclusion of the communications.
(c) Scheduling the Conference. The mediator shall make a good faith effort to schedule the conference at a time that is convenient with the participants, attorneys and mediator. In the absence of agreement, the mediator shall select the date for the conference.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H .0502  DUTIES OF MEDIATOR
(a) The mediator shall define and describe the following at the beginning of the conference:
(1) The process of mediation;
(2) The difference between mediation and other forms of conflict resolution;
(3) The costs of the mediated settlement conference;
(4) That the mediated settlement conference is not a trial, the mediator is not a judge, and the parties retain their legal rights if they do not reach settlement;
(5) The circumstances under which the mediator may meet and communicate privately with any of the parties or with any other person;
(6) Whether and under what conditions communications with the mediator shall be held in confidence during and after the conference;
(7) The inadmissibility of conduct and statements as provided by G.S. 7A-38.1(1);
(8) The duties and responsibilities of the mediator and the participants; and
(9) That any agreement reached shall be reached by mutual consent.
(b) Disclosure. The mediator has a duty to be impartial and to advise all participants of any circumstance bearing on possible bias, prejudice or partiality.
(c) Declaring Impasse. It is the duty of the mediator to determine that an impasse exists and that the conference shall end.
(d) Reporting Results of Conference. The mediator shall report to the SCO or public owner within 10 days of the conference whether or not an agreement was reached by the parties. If an agreement was reached, the report shall state the nature of said agreement. The mediator's report shall inform the SCO or public owner of the absence of any party to have been absent from the mediated settlement conference without permission. The SCO or public owner may require the mediator to provide statistical data for evaluation of the mediated settlement conference program.
(e) Scheduling and Holding the Conference. It is the duty of the mediator to schedule the conference and conduct it prior to the deadline of completion set by the rules. Deadlines for completion of the conference shall be observed by the mediator unless said time limit is changed by a written order of the SCO or public owner.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H .0601  COMPENSATION OF THE MEDIATOR
(a) By Agreement. When the mediator is stipulated by the parties, compensation shall be as agreed upon between the parties and the mediator provided that the provisions of G.S. 143-128(f1) are observed.
(b) By Appointment. When the mediator is appointed by the SCO or public owner, the parties shall compensate the mediator for mediation services at the rate in accordance with the rate charged for Superior Court mediation. The parties shall also pay to the mediator a one-time per case administrative rate in accordance with the rate charged for Superior Court mediation, which is due upon appointment.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;

01 NCAC 30H .0901  DEFINITIONS
When the phrase "SCO or public owner" is used in these Rules, "SCO" shall apply to state projects, "public owner" shall apply to non-state public projects.

History Note: Authority G.S. 143-135.26(10), (11);
S.L. 2001-496, s. 14(b);
Temporary Adoption Eff. July 1, 2002;
10 NCAC 26H .0404 OTHER SERVICES PERFORMED BY PHYSICIANS AND OTHER PRACTITIONERS

A maximum fee is established for other services performed by physicians and other practitioners and is applicable to all specialties and settings in which the service is rendered. Payment is equal to the lower of the maximum fee or the provider's customary charge to the general public for the particular service rendered.

1. Fees for all services are established by applying the following method to the fees in effect on May 1, 1989:
   (a) The higher of the inpatient or outpatient fee is selected for each service within each specialty and the weighted average of this amount is computed among all specialties. The average is weighted by the number of services billed by each specialty in 1988.
   (b) The weighted average fee is then increased by 10 percent.

2. Annual fee increases are applied each January 1 based on the forecast of the gross national product (GNP) implicit price deflator, but not to exceed the percentage increase approved by the North Carolina General Assembly.

3. Fees for new services are established based on the fees for similar existing services. If there are no similar services the fee is established at 75 percent of the billed amount.

4. Fees for particular services may be increased based on administrative review if it is determined that the service is essential to the health needs of Medicaid recipients, that no alternative treatment is available, and that a fee adjustment is necessary to maintain physician participation at a level adequate to meet the needs of Medicaid recipients. A fee may also be decreased based on administrative review if it is determined that the fee may exceed the Medicare allowable amount for the same or similar services, or if the fee is higher than Medicaid fees for similar services, or if the fee is deemed unreasonable in relation to the skills, time, and other resources required to provide the particular service.


11 NCAC 11A .0505 DESIGNATION OF CPA

(a) Each insurer required by this Section to file an annual audited financial report must within 60 days after becoming subject to such requirement, file with the Commissioner a Designation of CPA letter indicating the name and address of the CPA retained to conduct the annual audit set forth in this Section. Insurers not retaining a CPA on the effective date of this Section shall provide the Designation of CPA letter not less than two months before the date when the first audited financial report is to be filed.

(b) The insurer shall obtain an Accountant's Appointment Letter from such CPA, and file a copy with the Commissioner stating that the accountant is aware of the provisions of the North Carolina General Statutes and Administrative Code that relate to accounting and financial matters and affirming that he will express his opinion on the financial statements in the terms of their conformity to the statutory accounting practices prescribed or otherwise permitted by the Department, specifying such exceptions as he may believe appropriate. In addition, the CPA must affirm that he is aware of and will comply with the provisions of 11 NCAC 11A .0511.

(c) If a CPA who was not the CPA for the immediately preceding filed audited financial report is engaged to audit the insurer's financial statements, the insurer shall within 30 days of the date the CPA is engaged notify the Department of this event. The insurer shall concurrently furnish the Commissioner with a separate letter stating whether in the 24 months preceding such engagement there were any disagreements with the former CPA on any matter of accounting principles or practices, financial statement disclosure, or auditing scope or procedure, which disagreements, if not resolved to the satisfaction of the former accountant, would have caused him to make reference to the subject matter of the disagreement in connection with his opinion. The insurer shall also in writing request such former CPA to furnish a letter addressed to the insurer stating whether the CPA agrees with the statements contained in the insurer's letter, and, if not, stating the reasons for which he does not agree; and the insurer shall furnish such responsive letter from the former CPA to the Commissioner together with its own. If the insurer cannot secure such a letter from the former CPA, the insurer shall provide a statement to the Commissioner specifying the attempts by the insurer to obtain the letter from the former CPA and the reasons, if any, given by the former CPA to provide such a letter or by the insurer for its failure to secure such a letter, or both.


TITLE 15A - DEPARTMENT OF ENVIRONMENT & NATURAL RESOURCES
15A NCAC 27 .0301 APPLICATION
REQUIREMENTS FOR CERTIFICATION

(a) The Commission shall accept applications and renewal requests for certification as a well contractor from any person who is at least 18 years of age and whose application meets all the following conditions:

(1) Each application shall be submitted on forms provided by the Commission, which are designed for requesting certification as a well contractor by way of examination, reexamination, or temporary certification and must be properly and accurately completed and submitted with an appropriate fee to the office of the chairman of the Commission.

(2) Each application has been determined to be complete by the Commission. Incomplete applications and applications not accompanied by an appropriate fee and attachments shall not be processed and shall be returned to the applicant.

(3) Each application shall contain proof of experience as provided in Paragraph (f) of this Rule.

(4) Except for those applications where renewal of certification is requested, each application shall include a request for the well contractor examination.

(b) Applicants who have intentionally supplied false information must wait 12 months before resubmitting an application for certification.

(c) The Commission shall not schedule an applicant to take the required examination until his application has been reviewed and the applicant has met all other conditions for certification. The applicant must pass the examination within three consecutive attempts or within a one year period of time after application submittal, whichever expires first, or a new application shall be required. An applicant who has failed the examination after three attempts or within a one year period of time after application submittal, whichever expires first, or a new application shall be required. An applicant who has failed the examination after three consecutive attempts shall be required to obtain eight PDH units prior to resubmittal of an application for certification.

(d) A certification shall not be issued until the applicant passes the required examination and pays the appropriate fee.

(e) A certification issued by the Commission shall be valid in every county in the state.

(f) Proof of 18 months of full-time experience in well construction activities shall be demonstrated by providing one of the following:

(1) An affidavit from at least one currently certified well contractor, who has not committed any violation of 15A NCAC 02C or 15A NCAC 27 within the past two years, attesting that the applicant has been working in well contractor activities under the supervision of a certified well contractor for the equivalent of a minimum of 18 months full-time and submits appropriate payroll records as proof.

(2) Any other proof of working in well contractor activities for a minimum of 18 months. At a minimum, the proof submitted shall demonstrate that the applicant has received a level of instruction in well construction techniques and practices found in publications used as the basis for a course of study or apprenticeship program, as shown in Paragraph (h)(1–4) of this Rule. Proof submitted must also show that the applicant has a working knowledge of the 15A NCAC 02C .0100 (Well Construction Rules), the 15A NCAC 27 (Well Contractor Certification Rules) and applicable statutes.

(g) An affidavit from at least one currently certified well contractor, who has not committed any 15A NCAC 02C or 15A NCAC 27 violations within the past two years, attesting that the applicant has been working in well contractor activities under the supervision of a certified well contractor for an equivalent of six months full-time and supplies appropriate payroll records, shall be accepted in lieu of meeting the requirements of Paragraph (f) of this Rule, if the applicant also furnishes proof of completion of one of the following:

(1) Completion of a course of study in well construction techniques approved by the Well Contractor’s Certification Commission and offered by a community college within the N.C. Department of Labor in well construction; or

(2) Completion of an apprenticeship program approved by the Well Contractor’s Certification Commission and approved by the N.C. Department of Labor in well construction; or

(3) Completion of a similar course of study or apprenticeship program as approved by the Well Contractor’s Certification Commission.

(h) The WCCC shall approve a course of study or apprenticeship program whose educational materials or program meets technical aspects of well construction. The course of study or apprenticeship program shall provide the level of instruction in well construction techniques and practices found in publications recognized by the National Ground Water Association (NGWA) or other publications determined by the Commission to be equivalent to those recognized by NGWA. Examples of equivalent publications include the following:

(1) “Manual of Water Well Construction Practices”;

(2) “Well Drilling Manual”;

(3) “Ground Water Handbook”; or

(4) Any other peer-reviewed published document on well construction activities.

History Note:  Authority G.S. 87-98.6; 87-98.9; 143B-301.11; S.L. 2001-440;
Temporary Adoption Eff. December 15, 1998;
Eff. August 1, 2000;
Codifier determined that findings did not meet criteria for temporary rule on July 12, 2002;
Temporary Adoption Eff. September 12, 2002;

TITLE 21 - OCCUPATIONAL LICENSING BOARDS

2195
CHAPTER 12 - LICENSING BOARD FOR GENERAL CONTRACTORS

21 NCAC 12 .0503 RENEWAL OF LICENSE

(a) Form. A licensee’s application for renewal requires the licensee to set forth whether there were any changes made in the status of the licensee's business during the preceding year and also requires the licensee to give a financial statement for the business in question. The financial statement need not be prepared by a certified public accountant or by a qualified independent accountant but may be completed by the licensee on the form itself.

(b) The Board shall require a licensee to submit an audited financial statement if there is any evidence indicating that the licensee may be unable to meet its financial obligations. A licensee shall be required to provide evidence of continued financial responsibility satisfactory to the Board if there are indications that the licensee is insolvent, financially unstable, or unable to meet its financial responsibilities. Except as provided herein, evidence of financial responsibility shall be subject to approval by the Board in accordance with the requirements of Rule .0204 of this Chapter. A licensee shall provide the Board with a copy of any bankruptcy petition filed by the licensee within 30 days of its filing. A licensee in bankruptcy shall provide to the Board an audited financial statement with a classified balance sheet as part of any application for renewal. A corporate licensee shall notify the Board of its dissolution or suspension of its corporate charter within 30 days of such dissolution or suspension.  

(c) Display. The certificate of renewal of license granted by the Board, containing the signatures of the Chairman and the Secretary-Treasurer, must be displayed at all times by the licensee at his place of business.


CHAPTER 60 - BOARD OF REFRIGERATION EXAMINERS

21 NCAC 60 .0311 PERMITS

(a) The refrigeration license number of the licensee shall appear on all applications for permits.

(b) A licensee shall assure that a permit is obtained from the local Building Code enforcement official before commencing any installation work for which a license is required by the Board. The licensee shall also assure that a request for final inspection is made within 10 days of subsequent completion of the work for which a license is required, absent agreement with the owner and the local Building Code enforcement official.

(c) A licensee shall obtain permits and allow his number to appear on permits only for work over which he will provide general supervision until the completion of the work, for which he holds the contract and for which he receives all contractual payments.

(1) General supervision is that degree of supervision which is necessary and sufficient to ensure that the work is performed in a competent manner and with the requisite skill and that the work is done timely, safely and in accordance with applicable codes and rules. General supervision requires that the review of the work be performed in person by the licensee while the work is in progress.

(2) Each business office for which a licensee is responsible shall be actively and locally supervised by that licensee who shall have primary responsibility and a corresponding amount of time personally involved in the work contracted for or performed by that office.

History Note: Authority G.S. 87-54; 87-58(g); Eff. May 1, 1988; Amended Eff. August 1, 2004; July 1, 2000; April 1, 1989.

CHAPTER 66 - VETERINARY MEDICAL BOARD

21 NCAC 66 .0206 MINIMUM STANDARDS FOR CONTINUING EDUCATION

Each person holding a veterinary license, a faculty certificate, a zoo veterinary certificate or a veterinary technician registration issued by the Board shall comply with the standards in this Rule, which standards shall be a condition precedent to the renewal of a license certificate or registration, respectively. Except as otherwise qualified, the criteria with respect to continuing veterinary medical education of a person holding a certificate of registration as a veterinary technician shall be the same as that for a licensed veterinarian. The standards are as follows:

(1) Veterinarians shall earn 20 credit hours each calendar year.

(2) Veterinary technicians registered with the Board shall earn 12 credit hours every two calendar years.

(3) Veterinarians may request and be granted an extension of time, not to exceed six months, to satisfy the continuing education requirement if the veterinarian provides evidence of an incapacitating illness or evidence of other circumstance which constituted a severe and verifiable hardship such that to comply with the continuing education requirement would have been impossible or unreasonably burdensome. If the incapacitating illness or circumstance is likely to result in loss of life of the veterinarian the Board shall exempt the veterinarian from the unearned portion of the continuing education requirement for that renewal period.
4 Credit hours may be earned as follows: one hour credit for each hour of attendance at in-depth seminars such as seminars sponsored by the American Veterinary Medical Association (AVMA), the American Animal Hospital Association (AAHA), the North Carolina Veterinary Medical Association (NCVMA), and academies and schools of veterinary medicine. Only one hour credit may be acquired for attendance at a local sectional association meeting. The Board shall consider additional course offerings for approval for continuing education credit, provided that the Board is furnished sufficient information to establish that the course content and quality is substantially comparable to the course offerings by those seminars sponsored by the organizations or institutions listed in this Subparagraph. Approval for continuing education credit for courses other than those specified herein shall be obtained prior to attendance at a course; however, the Board may waive the requirement of approval prior to attendance at the course if circumstances beyond the veterinarian's or registrant's control prevented obtaining the prior approval. Only three hours credit per year may be acquired from review of an audio or video cassette or computer-based training. The audio or video cassette or computer-based training must be approved by the Board, and the veterinarian shall furnish a copy, or substantially the equivalent of it, and sufficient documentation for the Board to make an appropriate evaluation for approval.

5 Each veterinarian shall keep a record of credit hours earned. Each year he or she shall certify on a form provided by the Board the number of credit hours earned. The Board shall mail the form to each veterinarian at the time of annual renewal.

6 During the calendar year in which a veterinarian graduates from veterinary college or during the calendar year in which a veterinary technician graduates from veterinary technician school, a veterinarian or veterinary technician, respectively, shall not be required to earn continuing education credits for that portion of the calendar year remaining from the date when the license or registration was issued to the end of the calendar year.

History Note: Authority G.S. 90-185(6); 90-186(1); Eff. February 1, 1976; Readopted Eff. September 30, 1977; Amended Eff. June 1, 2003; May 1, 1996; May 1, 1989; January 1, 1987.
This Section contains information for the meeting of the Rules Review Commission on Thursday, June 19, 2003, 10:00 a.m. at 1307 Glenwood Avenue, Assembly Room, Raleigh, NC. Anyone wishing to submit written comment on any rule before the Commission should submit those comments by Friday, June 13, 2003 to the RRC staff, the agency, and the individual Commissioners. Specific instructions and addresses may be obtained from the Rules Review Commission at 919-733-2721. Anyone wishing to address the Commission should notify the RRC staff and the agency at least 24 hours prior to the meeting.

RULES REVIEW COMMISSION MEMBERS

Appointed by Senate
Jim R. Funderburke - 1st Vice Chair
David Twiddy - 2nd Vice Chair
Thomas Hilliard, III
Robert Saunders

Appointed by House
Jennie J. Hayman - Chairman
Graham Bell
Dr. Walter Futch
Dr. John Tart

RULES REVIEW COMMISSION MEETING DATES

June 19, 2003       July 17, 2003
August 21, 2003   September 18, 2003
October 16, 2003

Commission Review/Administrative Rules
Log of Filings (Log #198)
April 22, 2003 through May 20, 2003

DEPARTMENT OF ADMINISTRATION
Policy 01 NCAC 30I.0101 Adopt
Point Values For Good Faith Efforts 01 NCAC 30I.0102 Adopt

NC BOARD OF AGRICULTURE
Importation Requirements: Brucellosis 02 NCAC 52B .0204 Amend

DHHS
Applicability and Scope 10 NCAC 01M .0101 Amend
Complaints 10 NCAC 01M .0102 Amend
Investigation 10 NCAC 01M .0103 Amend
Written Determination 10 NCAC 01M .0104 Amend
Reconsideration 10 NCAC 01M .0105 Amend
Records 10 NCAC 01M .0106 Amend
Other Remedies 10 NCAC 01M .0107 Amend
Construction 10 NCAC 01M .0108 Amend
Applicability and Scope 10 NCAC 01N .0101 Amend
Applicability and Scope 10 NCAC 01N .0102 Amend
Complaints 10 NCAC 01N .0103 Amend
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Written Determination 10 NCAC 01O .0104 Amend
Resolution of Matters 10 NCAC 01O .0105 Amend
Reconsideration 10 NCAC 01O .0106 Amend
Definitions 10 NCAC 20A .0102 Amend
Rates of Payment 10 NCAC 20C .0119 Amend
Services Covered by or Exempt from Financial Needs 10 NCAC 20C .0205 Amend
Financial Needs Test 10 NCAC 20C .0206 Amend
Priority Categories 10 NCAC 20C .0603 Amend
Case Finding and Information and Referral Programs 10 NCAC 20C .0606 Amend
**OF ENVIRONMENT & NATURAL RESOURCES**

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**AGENDA**

**RULES REVIEW COMMISSION**

**June 19, 2003**

I. Call to Order and Opening Remarks

II. Review of minutes of last meeting

III. Follow Up Matters

   A. 1 NCAC 30H .0102; .0201-.0205; .0301; .0303; .0305; .0404; .0701; .0801; .1001 (DeLuca)

   B. Department of Administration – 1 NCAC 35 .0101; .0103; .0201-.0205; .0301; .0302; .0304-.0306; .0308; .0309 (DeLuca)

   C. Department of Insurance – 11NCAC 11A .0503; .0504; .0506 (Bryan)

   D. Board of Pharmacy – 21 NCAC 46 .1812 (DeLuca)

   E. Board of Pharmacy – 21 NCAC 46 .2502 (DeLuca)

   F. Cultural Resources Commission – 7 NCAC 4S .0104 (DeLuca)

   G. Board of Elections – 8 NCAC Chapter 1-12 (DeLuca) To be considered at October Meeting

IV. Review of rules (Log Report #198)

V. Commission Business

VI. Next meeting: July 17, 2003
This Section contains the full text of some of the more significant Administrative Law Judge decisions along with an index to all recent contested cases decisions which are filed under North Carolina’s Administrative Procedure Act. Copies of the decisions listed in the index and not published are available upon request for a minimal charge by contacting the Office of Administrative Hearings, (919) 733-2698. Also, the Contested Case Decisions are available on the Internet at the following address: http://www.ncoah.com/hearings.

### OFFICE OF ADMINISTRATIVE HEARINGS

**Chief Administrative Law Judge**

**JULIAN MANN, III**

**Senior Administrative Law Judge**

**FRED G. MORRISON JR.**

### ADMINISTRATIVE LAW JUDGES

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