

**NORTH CAROLINA  
ANNUAL  
EPA CERTIFICATION  
PROGRAM  
REPORT**

May 2013

North Carolina Division of Water Resources

Public Water Supply Section

North Carolina Water Treatment Facility Operators  
Certification Board

# North Carolina Water Treatment Facility Operators Certification Program

Annual Report to EPA  
May 2012 to May 2013

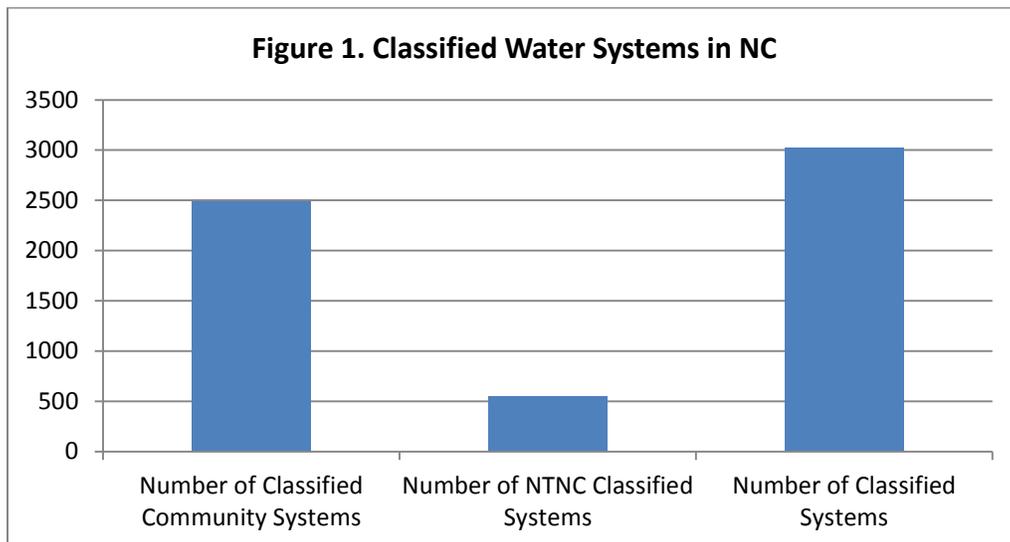
This report outlines the Environmental Protection Agency’s nine baseline standards for state operator certification programs. It describes in detail the status of the operator certification program in North Carolina as related to these standards.

## 1. Authorization

North Carolina General Statutes 90A-20 through 90A-34 and N.C. Administrative Code Title 15A Subchapter 18D (15A NCAC 18D), “*Rules Governing Water Treatment Facility Operators,*” govern the training, certification and performance of water treatment facility operators, as well as the classification and maintenance of water treatment facilities. The N.C. Water Treatment Facility Operators Certification Board (NCWTFOCB) did not revise 15A NCAC 18D in 2012. The revision noted in the 2012 annual EPA report was processed and submitted in 2011 with an effective date of February 1, 2012.

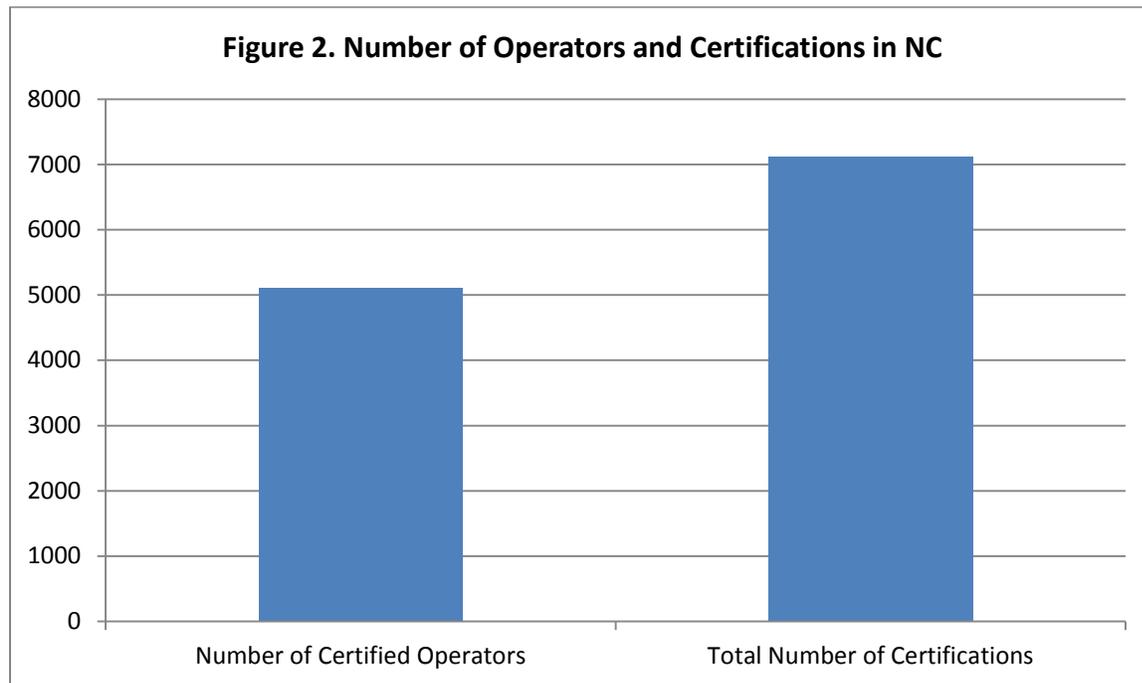
## 2. Classification of Systems, Facilities and Operators

North Carolina has approximately 2486 classified community water systems and 542 classified non-transient non-community systems as shown in Figure 1. The Public Water Supply (PWS) Section’s Regional Office staff inspects these facilities and their distribution systems to determine the classification of each system. The staff also verifies during each sanitary survey that systems have a properly certified Operator in Responsible Charge (ORC), who holds a certification which is equal to or greater than the classification of the facility or system. After a sanitary survey, the Regional staff submits changes or violations to the NCWTFOCB, and the Board’s database is updated accordingly. In this reporting period there were 137 systems that received notification letters requiring information to confirm an ORC.



Several procedures are in place to ensure that accurate ORC information is maintained by the NCWTFOCB. When a facility has an ORC change, the operator is required to submit a designation form to the NCWTFOCB (15A NCAC 18D .0701 (e)). Operators are also required to inform the NCWTFOCB whenever ORC designations are changed (15A NCAC 18D .0701 (e)). In addition to these procedures, during the certification renewal process, certified operators must submit a form that lists facilities for which they currently serve as ORC. The NCWTFOCB annually updates its database for ORC designations based upon information reported to the PWS Section during certification renewals.

Currently, there are 5105 certified operators holding 7116 certifications in North Carolina, as shown in Figure 2.



### 3. Operator Qualifications

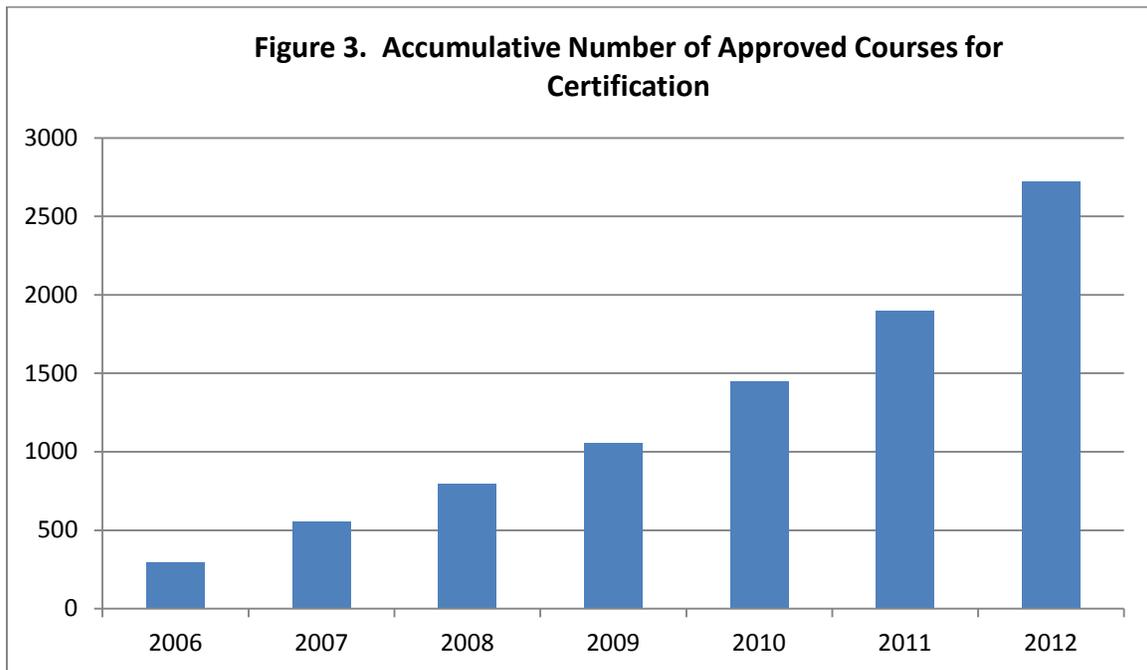
The “*Rules Governing Water Treatment Facility Operators*” requires individuals applying for state certification to meet specific education and experience requirements. Operators must successfully complete an approved training school co-sponsored by the NCWTFOCB. Attendance rosters from the schools are forwarded to the NCWTFOCB by trainers, and the Board’s database is continually updated to include this information.

Applicants must also have specific amounts of experience which is based on the type of certification requested. Applicants may become certified apprentices in Level C, D, or Cross Connect without experience. They may then upgrade to full certification when the required experience has been obtained.

Finally, potential operators must pass an examination that demonstrates they have the necessary skill, knowledge and ability deemed appropriate for their desired level of certification. Examinations are conducted in paper format during February, May, August and October, with

exam locations including Morganton, Kinston and Raleigh. In addition to the paper examinations, computer based exams are administered three times annually. The computer examinations were offered in Raleigh, Morganton and Morehead City in 2012. The long term goal is to utilize computer based exams exclusively. Some of the advantages of the computer based examinations are immediate results, greater accuracy, more convenience and enhanced security. Should any potential operators fail the same type and level of examination three times, they are required to re-take the appropriate school before repeating the examination.

In order to maintain certification, operators are required to complete six acceptable professional growth hours annually. The Board has a preapproval process and uses its IBEAM database to track professional growth hours and pre-approved courses. The NCWTFOCB's website is continuously updated to display pre-approved courses so that operators can select courses that are acceptable and appropriate for their professional growth. To date, 2,723 classes have been pre-approved as shown in Figure 3. Also, 343 trainers have been approved and seven organizations have been approved as sponsors.



#### **4. Enforcement**

The NCWTFOCB approved action to expire the certifications of 487 operators in 2012. Two hundred and ninety operator certifications were expired due to failure to obtain the required six contact hours of professional growth, and 197 operator certifications were expired due to nonpayment of annual renewal dues.

The IBEAM database allows the Board to confirm that every facility remains in compliance with certification regulations, and that all operators have met and maintained the requirements for their certifications. If a facility does not have a properly certified ORC, the Board sends a Notice

of Deficiency to the system owner requesting ORC designation, along with an ORC Designation Form. The system owner is expected to return the form within 15 days. If the system owner does not respond or designate a properly certified ORC within 15 days, a notice of violation/administrative order (NOV/AO) is sent to the system owner, who then has 90 days to respond. If the problem is not resolved within 90 days, the information is sent to the Section Chief of the NC PWS Section who has authority for administrative penalty assessment. The maximum administrative penalty for this violation is \$100 per day from the date of the NOV/AO. There were 40 notices of violation and 9 administrative penalties issued this period (see Table 1).

**Table 1**

<b>NOV/AO Issued to Facilities</b>		
<b>Facility ID #</b>	<b>Facility Name</b>	<b>Date</b>
0319451	Community Independent School	6/28/2012
0100474	Bald Creek Child Development	6/28/2012
0136944	Daniel Stowe Botanical Gardens	6/28/2012
0319492	Lighthouse Baptist Church	6/28/2012
0113168	Silver Maples Estates MHP	6/28/2012
0428020	Town of Manteo	6/28/2012
0111170	Mountain View MHP	6/28/2012
3079027	Collybrooke	6/28/2012
0332563	Hill Forest Summer Camp	6/28/2012
0291514	Little Troopers Child Development Center	6/28/2012
4066003	Stanley Stone Estates	6/28/2012
0410065	Town of Navassa	6/28/2012
0113168	Silver Maples Estates	6/28/2012
0489010	Columbia Water System	6/28/2012
0392144	Hunt's MHP	6/28/2012
0239496	New Corinth Baptist Church	6/28/2012
0319432	Three Springs Boys Camp	6/28/2012
0150117	Westview Water Association	6/28/2012
0201600	Ace Speedway	6/28/2012
0241112	Crown MHP	6/28/2012
0465025	Kure Beach	6/28/2012
7065007	Port of Wilmington	6/28/2012
0362436	Town Creek Indian Mounds	6/28/2012
0363617	Camp Mackall	7/27/2012
0273107	Bridgewater SD	8/29/2012
0113201	Concord House	8/29/2012
0180201	Green Acres	8/29/2012
0332130	Kenley Gardens	8/29/2012
0353122	Pine Village	8/29/2012
0421010	Town of Edenton - Distribution	8/29/2012
0421010	Town of Edenton- Well	8/29/2012
4073009	Zion Christian Center	8/29/2012
0319424	Crosswinds Marina	9/6/2012
0332405	Speedway Cafe	9/6/2012
6070001	Elizabeth City Annex	10/30/2012

0180115	Gaddy MHP	12/5/2012
0332106	Whispering Pines	1/7/2013
6025002	MCAS NBC School	1/7/2013
1088024	Mountain Sun Community School	1/7/2013
0433045	Princeville	1/7/2013
<b>Administrative Penalties Issued to Facilities</b>		
<b>Facility ID #</b>	<b>Facility Name</b>	<b>Date of NOV</b>
0332563	Hill Forest Summer Camp	11/6/2012
0465025	Kure Beach Water System	11/6/2012
0319492	Lighthouse FWB Church	11/6/2012
0291514	Little Troopers Child Development Center	11/6/2012
0111170	Mountain View MHP	11/6/2012
7065007	Port of Wilmington	11/6/2012
0113201	Concord House	1/10/2013
0180201	Green Acres MHP	1/10/2013
0332405	Speedway Cafe	1/10/2013

A link between The PWS Section's Safe Drinking Water Information System (SDWIS) and the NCWTFOCB's IBEAM database has been created. This link ensures that the most current ORC information is readily available to inspectors during sanitary surveys.

Another enforcement procedure exists to evaluate trainers as the Board monitors and audits classes offered to water treatment operators. Class audits are performed on a random basis, with some being unannounced. Additionally, if any questions arise concerning how a class is conducted or its content, an audit is performed. The NCWTFOCB has the authority to revoke preapproval status whenever courses are not acceptable and/or do not adhere to policy. There were eighteen class audits during the period for this report. Each trainer whose class was audited and the organization sponsoring the training received written notification of the results. During audits, the NCWTFOCB staff considers organization, subject knowledge, method and impact of delivery, training aids, and instructional monitoring along with efficient use of time and interaction with students. Trainers are commended for well organized, effective presentations. Suggestions for improvements are made whenever deemed necessary. NCWTFOCB staff has revoked only one trainer's preapproval status.

## **5. Certification Renewal**

To renew certification, operators are required to obtain six professional growth hours each year and pay an annual renewal fee of \$30 per certification. To meet the demand for approved courses and training, the NCWTFOCB works closely with training organizations such as the N.C. Section of the American Water Works Association, N.C. Section of the Waterworks Operators Association, N.C. Rural Water Association, the N.C. Community College System and private training providers.

Courses taken for certification renewal must have the approval of the Board. A continuing education preapproval and tracking policy was implemented by the NCWTFOCB in January of 2006. This policy allows preapproval of courses and allows training organizations to become approved sponsor trainers. Any organization that would like to receive preapproval for courses or

to obtain “sponsor status” must submit an application to the Board. The Board has established a review committee, which meets monthly to evaluate and approve continuing education courses. The committee has the authority to approve webinars for professional growth hours, and on-line training as well as in-class sessions. Trainers are not required to reapply for preapproval unless the instructors or content changes. Retroactive rosters are not accepted from vendors for unapproved courses. Operators are responsible for submitting individual proof of attendance if they attend unapproved courses. Approved courses are assigned course numbers then posted on the Board’s website. The IBEAM database is updated to reflect new courses. Training organizations must sign an agreement to comply with NCWTFOCB education requirements and they are closely monitored to ensure compliance.

## **6. Resources Needed to Implement the Program**

Presently, the certification program is self-supported through a fee-based structure. Renewal and application fees are the primary revenue sources. The Operator Expense Reimbursement Grant expired January 1, 2012. This grant allowed for the development of the Board’s database management system, website, data scanning process, roster scanning process, initiation of computer based testing and proposed electronic payments.

The IBEAM database is still being updated and adjusted to support Board tasks, and it has improved the efficiency of monitoring operator certifications. During this reporting period, Board staff members entered data into IBEAM on a daily basis. Staff also used IBEAM to determine which operators need professional growth hours and to post payments for certification renewal. The IBEAM is typically used to generate letters for operators at renewal time. The system provides the Board’s staff with the ability to extract reports on facilities, operators, payments, examinations, courses and continuing education. It also allows a number of additional mechanisms to better track facilities and operators. IBEAM allows NCWTFOCB staff members to provide improved and timely service.

The NCWTFOCB website has been updated to include available training and schedules. The website also shows current information for operators. It displays the operator’s name, identification number, work address, certifications held and the number of annual professional growth hours acquired from January 1 through the present date of each year. This information is updated monthly. The address for the website is [www.ncwater.org/pws/ncwtfocb](http://www.ncwater.org/pws/ncwtfocb).

The Board purchased a card printer, letter folder, high volume scanner, printer-copier-fax and handheld scanners as needed resources to manage Board responsibilities. The Board has also developed software for handheld scanners and distributed software to trainers for scanning operator cards at training sites. It has purchased 60 computers and developed custom software for computer based examinations. NCWTFOCB is planning to implement electronic payments during 2013.

The Board envisions 100% electronic testing and on-line payments for billing. The programming component required for computer based training has been completed, and computer based exams were administered on July 24, 2012, September 25, 2012, and November 27, 2012. The computer based exams allow operators to take the exam without having to wait for the paper sessions. However, the Board will continue administering paper exams four times

a year to supplement the computer based exam schedule. The Board has purchased 20 tablets and 40 laptops to administer the computer based exams. NCWTFOCB has agreements with two community colleges to use their computer centers. As we move closer to 100% computer based exams, we anticipate additional equipment needs and increased community college involvement. Computer based examinations is greatly streamlining the certification process and will clearly benefit the state's operators.

## **7. Stakeholder Involvement**

The Board meets quarterly in March, June, September and December. The meetings are open to the public, and public comment and input are encouraged. Minutes taken at each Board meeting are public record. They are available upon request and posted on the Board's website.

Stakeholders provided guidance, recommendations and input into rule revisions and are expected to participate in future changes as well.

## **8. Program Review**

The certification program is subject to an annual internal review. The second Vice Chair of the NCWTFOCB conducts an internal review with results presented to the full Board at the next regularly scheduled Board meeting. Board Member Danny Sloan conducted the internal audit in April of 2013. Each activity of the Board was reviewed, and the results will be presented to the Board at the June 2013 meeting. A copy of the internal review is attached.

External reviews are conducted every five years by an entity outside the state operator certification program's primary agency. The most current review (April 2013) was conducted by Anthony Arnold, Owner and Instructor of Training Options for Professionals (TOPS). A copy of the review is attached.

The N.C. American Water Works Association (AWWA) and the Board's staff regularly revise the distribution school curriculum, *Needs to Know*. *Needs to Know* is an outline of topics required for each level of certification and includes references within the textbooks used by the schools. The N.C. AWWA Board of Education and Examiners and NCWTFOCB staff meet after each examination to review the results of distribution and cross-connection examinations and make any necessary changes. The N.C. Waterworks Operators Association Board of Education and the NCWTFOCB staff monitor and revise the well and surface school curriculum, *Needs to Know* as well as the examinations. After every examination, results are reviewed and changes are made to examinations if needed. For example, if examination results indicate a high percentage of students answered a specific question incorrectly, the wording of the question is checked for ambiguity. Ambiguous questions may be removed or clarified for future examinations. References on the answer key are also checked to ensure they are understandable and clear.

During this reporting period, the Board staff offered free training sessions for small system operators. The staff held exam reviews for operators after each exam to give them the opportunity to review their individual examinations and ask questions. Careful control is exercised to ensure that the exam questions are not removed from the review site.

## **9. Implementation Schedule Update**

The Board has developed a plan to improve the filing system for operator information. A high volume scanner was purchased along with licenses to support an indexing system. Operator records were scanned beginning in May of 2009. An updated records and retention schedule was developed and approved by the N.C. State Records Center that allowed electronic record keeping as opposed to filing paper copies. However, problems with scanner and server integrity limited document scanning during the current reporting period. A new scanner has been purchased and we are currently updating the indexing system. We anticipate a full return to scanning capabilities in 2013.

The Board continues to improve the renewal process for operator certification and the accuracy of the professional growth database. Operator renewal cards are issued with barcodes identifying certification numbers and names. In 2010 software was developed to utilize handheld scanners to enable automatic collection of operator training information. The software was distributed to trainers using flash drives and has worked well. In 2012, the software was updated and distributed to trainers via email as well as being available on the Board's website. To encourage electronic transfer of training rosters, the Board offers handheld scanners to all trainers that request them. Trainers are currently scanning operator cards at training sites and transferring the data to the Board's staff through the Internet. The information is reviewed by staff before incorporation into the IBEAM database. The process is being used by all sponsor organizations and by approximately 85 percent of approved continuing education groups. Using this approach, professional growth hours are credited to operators without mailing or manual data entry, which has improved accuracy and reduced completion time. Federal grant money was used to develop and implement this process. New spending for additional improvements was decreased due to budget constraints. However, project improvements regarding computer based testing were completed in 2012 and electronic payment processes are scheduled to be completed in 2013.

The NCWTFOCB has continued to grow and improve as it adapts to new technology. It is anticipated that technological refinements will improve our information, our processes and our delivery of customer service.

## NCWTFOCB INTERNAL PROGRAM REVIEW

YEAR: 2013

Board Member Conducting Review: **Danny Sloan** Date: **04/09/2013**

### Finances:

- Certification Budget: **Adhered to**
- Deposit Procedure: **In place & abided by**
- Fees/Dues: **Fair & Appropriate**
- Comments: **The financial conditions of the Board are well documented and maintained.**

### Education:

- Curriculum: **Appropriate**
- Training Organizations Approval: **Fair & Appropriate**
- Continuing Education: **Adequate & Beneficial**
- Comments: **Board Staff continues to work with all organizations & stakeholders to keep the education beneficial for all operators.**

### Certification:

- Examination Procedures: **In place and followed precisely**
- Examination Test Questions: **Fair & appropriate**
- Issuing Certificates: **Adequate**
- Pass/Fail Rates: **Consistent with past records**
- Application Approval/Denial Process: **Fair & Appropriate**
- Comments: **Standard operating procedures are conducted in a consistent manner and are well documented.**

### Classification:

- Classification of System/Facility Procedures: **Fair & Appropriate**
- Operator Database Management: **Well Maintained**
- Comments: **Review & approvals of classifications are fair and well documented. Board staff continues to maintain and keep the operator database up to date.**

### Enforcement:

- Expiration of Certifications: **Fair & Well Documented**
- Suspended/Revoked Certifications: **Fair & Well Documented**
- Comments: **The Board strives to apply all rules & polices in a fair and consistent manner**

## **Regulations/Policies:**

- Rules Revisions: **Adequately reviewed & discussed**
- Proposed Policies: **Adequately reviewed & discussed**
- Implementation of New Policies: **Well executed & advertised**
- Stakeholders Procedures: **Well developed and followed**
- Board Records: **Well maintained**
- Board Meetings: **Professionally conducted and consistent**
- Board Members: **Well represented from across the industry and state**
- Comments: **Regulations and policies are implemented in a consistent and fair manner. Board meeting are conducted in a very respectful manner and are well attended by the Board members & staff.**

## **Other:**

- Staffing: **Very knowledgeable, professional & qualified**
- Equipment: **Up to date**
- Internal Training: **Adequate**
- Conferences/Training Staff Attendance: **Adequate**
- Comments: **Board staff continues to keep up with education & technology to insure the most comprehensive service to the Board as a whole and the water operators of North Carolina**

## **Certification Program Overall Review:**

**It seems that all procedure, polices and regulations are being adhered to by Board members & staff. All systems & records are very well maintained by staff, and staff is very well educated on all issues pertaining to water operator certification. The program is very well managed and meets and exceeds all expectations in my opinion.**

Approval  
Signatures:

*Danny Sloan*

\_\_\_\_\_  
NCWFOCB Member

\_\_\_\_\_  
Certification Board Staff Member

## **2013 External Review of the North Carolina Water Treatment Facility Operators Certification Board Program**

The Federal Environmental Protection Agency (EPA) issued operator certification program guidelines specifying minimum standards for water treatment facility programs in order to protect public health. These guidelines, regulating the nation's public drinking water supply, are being implemented through state operator certification programs. The North Carolina General Statutes mandated the program in NC be conducted by the North Carolina Water Treatment Facility Operators Certification Board (NCWTFOCB), which is appointed by the governor.

EPA developed nine baseline standards to provide guidance to state programs. Baseline Standard 9 reflects the need for states to periodically conduct reviews of the certification program through external reviews. The review is a critical mechanism to assist in continually improving the program to ensure the protection of public health. The following is an external review conducted by an outside entity in April 2013 of the NC Water Treatment Facility Operators Certification Program based on EPA Certification Guidelines EPA 816-R-00-022.

EPA recommends that States perform periodic reviews and review such items as regulations, exam items, compliance, enforcement budget and staffing, training relevancy and data relevancy. External reviews shall focus on specific areas of a state's program or encompass the entire program. This particular review evaluated the following items:

- Authorization - Regulations
- Classification of Systems, Facilities and Operators
- Operator Qualifications
- Enforcement
- Renewal
- Resources
- Recertification
- Stakeholder Involvement
- Budget – see enclosed
- Compliance
- Training Testing
- Outreach

### **STATE OPERATOR CERTIFICATION PROGRAM EXTERNAL REVIEW**

**CONDUCTED BY Anthony W Arnold**

**DATE SUBMITTED April 22, 2013**

**Give State Citation document title; and article number as well as remarks**

## **I. Authorization**

- Does the State have the legal authority to implement an operator certification program for its:
  1. Community Water Systems (CWSs)? Yes (NCGS 90A – Article 2)
  2. Nontransient Noncommunity Water Systems (NTNCWSs)? Yes (NCGS 90A – Article 2)
- Does the State have the legal authority to require that systems comply with the requirements of the operator certification program? Yes NCGS 90A – Article 2
- Did the State submit an Attorney General Certification? Yes. (Attached in Report)

## **II. Classification of Systems, Facilities, and Operators**

- Has the State classified all CWSs based on indicators of potential public health risk, which for example may include: (a) complexity, size, source water for treatment facilities, and (b) complexity, size for distribution systems? Yes (15ANCAC 18D.0203 - .0205)
- Has the State classified all NTNCWSs based on indicators of potential public health risk, which for example may include: (a) complexity, size, source water for treatment facilities, and (b) complexity, size for distribution systems? Explain in remarks. Yes (15ANCAC 18D.0203 - .0205)
- Has the State developed specific operator certification and renewal requirements for each classification level? Yes (15A NCAC 18D .0201 and 15A NCAC 18D .308)
- Does the State require owners of all CWSs and NTNCWSs to place the direct supervision of their water system (treatment and/or distribution) under the responsible charge of an operator holding a valid certification equal to or greater than the classification of the treatment facility or distribution system? Yes (15A NCAC 18D .206)
- Are operator(s) in responsible charge required to hold a valid certification equal to or greater than the classification of the treatment facility and/or distribution system? Yes (15A NCAC 18D .206)
- Are all operating personnel making process control/system integrity decisions about water quality or quantity that affect public health required to be certified? No – However, a certified operator must be on site whenever a surface treatment facility is operating. Also, the certified operator in responsible charge must develop a standard operating procedure for each facility and instruct operators without proper certification to refer decisions affecting public health to the certified operator on duty.
- Does the State require that a designated certified operator be available for each operating shift? Yes – For surface treatment facilities (15A NCAC 18D .206 (b))

## **III. Operator Qualifications**

- Does the State require applicants to pass an exam? Yes (15A NCAC .300)
- Do exams demonstrate that the applicant has the necessary knowledge, skills, ability, and judgment as appropriate for the classification? Yes

- Are all exams validated or in the process of being validated? Please give date that the State expects to have all exams validated. Yes – All exams are validated and reviews by a review committee and Certification Board.
- By whom? AWWA Board of Examiners and Water Treatment Facility Operators Certification Board
- To become certified, does the State require operators to have a high school diploma or GED or experience or relevant training that may be substituted? Yes (15A NCAC 18D .0200)
- To become certified, does the State require operators to have on-the-job experience or have education that may be substituted for experience for each appropriate level of certification? Yes (15A NCAC 18D .0200)
- Is grandparenting allowed by the State? No (No regulations related to grandparenting)

#### **IV. Enforcement**

Does the State primacy agency have regulations requiring CWSs and NTNCWSs to comply with State Operator Certification requirements? Yes (NCGS 90A-Article 2)

- Name of primacy agency: State of North Carolina – Department of Environment and Natural Resources (NCDENR).
- Does the State have appropriate enforcement capability? Yes (NCGS 90A-30(d))
- Does the State have the authority to revoke an operator's certification? Yes (NCGS 90A-26)
- Does the State have the authority to suspend an operator's certification or take other appropriate enforcement action for operator misconduct? Explain in remarks. Yes (NCGS 90A-26)

#### **V. Certification Renewal**

- Has the State established training requirements for renewal based on the level of certification held by operator? No – All certified operators are required to pay the annual dues and obtain 6 hours of approved continuing education per year.
- Does the State require all operators to acquire necessary amounts and types of State approved training? Yes (15A NCAC 18D .308)
- Does the State have a fixed cycle of renewal not exceeding 3 years? Yes
- How long? Annually
- Does the State require individuals to recertify if the individual fails to renew or qualify for renewal within two years of the date that the certificate expired? Yes (15A NCAC 18D .309)
- Does the State identify specific renewal requirements for operators to ensure that they possess the knowledge, skills, ability and judgment to properly operate the system? Yes (15A NCAC 18D .309)

#### **VI. Resources Needed to Implement the Program**

- Does the State provide sufficient resources to adequately fund and sustain its operator certification program that must include the following components: staff, data management, testing, enforcement, administration, and training approval? Yes (2012 Annual Budget Report)
- Does the State have a dedicated fund that is self-sufficient? Yes (2012 Annual Budget Report)

#### **VII. Recertification**

- Does the State's program have a process for the recertification of operators whose certification has expired for a period exceeding two years? Yes (15A NCAC 18D .308)
- Does the recertification process include:
  1. Review of the individual's experience and training? Yes (Based on Certification Board Review)
  2. Re-examination? Yes- If renewal fees have not been paid in over 2 years or continuing education was not obtained in the calendar year. (15A NCAC 18D .308)
- Does the State have more stringent requirements for recertification of individuals whose certificates have expired, been revoked, or been suspended? If yes, explain in remarks. Yes – Over two years with fees in arrears or revoked certification requires applying to the Certification Board which normally ends with additional requirements, if allowed at all. (15A NCAC 18D .308)

#### **VIII. Stakeholder Involvement**

- Does the State include ongoing stakeholder involvement in the revision and operations of its operator certification program? Yes – Certification Board and staff uses training organizations, associations, operators and experts in the water field for input when rule changes are being considered or other area that work have an impact of the certification program.
- Describe the State's stakeholder involvement process: Stakeholders and other interested parties are notified and meetings are scheduled to have round table discussions. Stakeholders are involved throughout the process.
- Does the State have a stakeholder board or advisory committee? Yes – An advisory committee is used. The make-up of this committee is composed of training, regulatory, operators, industry and other individuals that have interest in the certification program.

#### **IX. Program Review**

- Does the State have a process for reviewing its own program? Explain in remarks. Yes – Internal audit.
- Does the State's process include periodic internal reviews? Yes
- Identify time frame for review and plan for review in Remarks section. Annually
- Does the State's process include occasional external/peer reviews? Yes.
- Identify time frame for review and plan for review in Remarks section. Every 5 years.

CERTIFICATION PROGRAM OVERALL STATUS: Excellent

Approval Signature: 

Title: Training Options for Professionals, Owner/Instructor

Date: April 22, 2013

**1490 4903 EXPENDITURES/RECEIPTS FOR PERIOD MAY 1, 2012 THRU APRIL 22, 2013**

MONTH/YR	SALARIES	FRINGES	TEMP	PURCHASED SUPPLIE			EQUIPMENT	OTHER	TOTAL EXPEND	RECEIPTS
				SERVICES	S					
May-12	\$ 11,355.66	\$ 3,501.81	\$ 8,333.25	\$ 901.37	\$ -	\$ -	\$ -	\$ 24,092.09	\$ 11,180.00	
Jun-12	\$ 11,355.66	\$ 3,497.19	\$ 8,333.25	\$ 2,228.03	\$ -	\$ -	\$ -	\$ 25,414.13	\$ 2,180.00	
Jul-12	\$ 13,405.91	\$ 4,134.46	\$ -	\$ 2,828.85	\$ -	\$ -	\$ -	\$ 20,369.22	\$ 5,160.00	
Aug-12	\$ 11,491.91	\$ 3,715.67	\$ 8,112.66	\$ 751.13	\$ -	\$ -	\$ -	\$ 24,071.37	\$ 10,370.00	
Sep-12	\$ 13,347.35	\$ 4,120.78	\$ 2,412.84	\$ 717.45	\$ 7.91	\$ -	\$ 26.13	\$ 20,632.46	\$ 7,440.00	
Oct-12	\$ 14,869.14	\$ 4,785.42	\$ 4,402.31	\$ 3,256.29	\$ 43.55	\$ -	\$ -	\$ 27,356.71	\$ 10,350.00	
Nov-12	\$ 14,158.58	\$ 4,736.64	\$ 1,193.60	\$ 4,200.71	\$ -	\$ -	\$ -	\$ 24,289.53	\$ 4,350.00	
Dec-12	\$ 14,158.58	\$ 4,730.65	\$ 3,192.88	\$ 4,208.13	\$ -	\$ -	\$ -	\$ 26,290.24	\$ 90,330.00	
Jan-13	\$ 14,158.58	\$ 4,731.19	\$ 1,671.04	\$ 1,612.56	\$ 7.91	\$ -	\$ -	\$ 22,181.28	\$ 123,400.00	
Feb-13	\$ 16,015.58	\$ 5,137.48	\$ 2,029.12	\$ 2,833.40	\$ -	\$ -	\$ -	\$ 26,015.58	\$ 10,640.00	
Mar-13	\$ 14,158.58	\$ 4,731.19	\$ 2,383.66	\$ 1,407.02	\$ 34.95	\$ 431.84	\$ -	\$ 23,147.24	\$ 6,140.00	
22-Apr-13		\$ 1,730.64	\$ 895.20	\$ 2,699.68	\$ -	\$ 668.00	\$ -	\$ 5,993.52	\$ 3,360.00	
<b>TOTALS</b>	\$ 148,475.53	\$ 49,553.12	\$ 42,959.81	\$ 27,644.62	\$ 94.32	\$ 1,099.84	\$ 26.13	\$ 269,853.37	\$ 284,900.00	