

**TRANSMITTAL SHEET FOR
NOTICE OF INTENDED ACTION**

Control 465 Department or Agency Home Builders Licensure Board
Rule No. 465-X-5.06
Rule Title: Disciplinary Hearings
 New X Amend Repeal Adopt by Reference

Would the absence of the proposed rule significantly harm or endanger the public health, welfare, or safety? No

Is there a reasonable relationship between the state's police power and the protection of the public health, safety, or welfare? Yes

Is there another, less restrictive method of regulation available that could adequately protect the public? No

Does the proposed rule have the effect of directly or indirectly increasing the costs of any goods or services involved and, if so, to what degree? No

Is the increase in cost, if any, more harmful to the public than the harm that might result from the absence of the proposed rule? No

Are all facets of the rulemaking process designed solely for the purpose of, and so they have, as their primary effect, the protection of the public? Yes

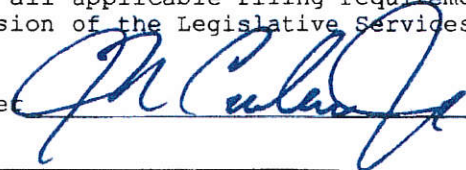
Does the proposed action relate to or affect in any manner any litigation which the agency is a party to concerning the subject matter of the proposed rule? No

Does the proposed rule have an economic impact? No

If the proposed rule has an economic impact, the proposed rule is required to be accompanied by a fiscal note prepared in accordance with subsection (f) of Section 41-22-23, Code of Alabama 1975.

Certification of Authorized Official

I certify that the attached proposed rule has been proposed in full compliance with the requirements of Chapter 22, Title 41, Code of Alabama 1975, and that it conforms to all applicable filing requirements of the Administrative Procedure Division of the Legislative Services Agency.

Signature of certifying officer 
Date June 20, 2018

(DATE FILED)
(STAMP)

Home Builders Licensure Board
NOTICE OF INTENDED ACTION

AGENCY NAME: Home Builders Licensure Board

RULE NO. & TITLE:

Ala. Admin. Code r. 465-X-5-.03. Complaint Procedure.

Ala. Admin. Code r. 465-X-5-.06. Disciplinary Hearings.

Ala. Admin. Code r. 465-X-5-.07. Discipline.

INTENDED ACTION: Amend rules.

SUBSTANCE OF PROPOSED ACTION:

The amendment of Ala. Admin. Code r. 465-X-5-.03 adds residential roofers and clarifies complaint procedure.

The amendment of the Ala. Admin. Code r. 465-X-5-.06 sets out procedure for imposing fine for disciplinary hearing.

The amendment of the Ala. Admin. Code r. 465-X-5-.07 removed requirement for licensees to inform Board of civil complaints.

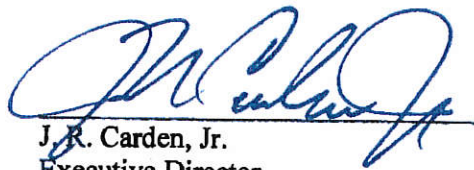
TIME, PLACE, MANNER OF PRESENTING VIEWS:

All interested parties may submit data, views or arguments respecting the proposed amendment by mail or in person for the 35-day period beginning June 29, 2018. Persons wishing to submit data, views or arguments orally should contact the Board's executive director between the hours of 8:00 a.m. and 5:00 p.m., Monday through Friday, excluding State holidays, at 334-242-2230, to set up an appointment for such oral presentations.

FINAL DATE FOR COMMENT AND COMPLETION OF NOTICE: August 25, 2018

CONTACT PERSON AT AGENCY:

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J. R. Carden, Jr.
Executive Director

465-X-5-06 Disciplinary Hearings.

(1) Conduct of Hearing.

(a) Disciplinary hearings are closed to the public.

(b) The Board may, in its discretion, appoint some person to act on its behalf as hearing officer at disciplinary hearings. In the event a hearing officer is appointed, the officer shall preside at the hearing and shall rule on all questions of evidence and procedure, notwithstanding any other provisions of these Rules to the contrary. The Board, in its discretion and subject to the applicable provisions of the Alabama Administrative Procedure Act, may appoint a hearing officer to hear the evidence and submit a report to the Board, including recommended findings of fact and conclusions of law.

(c) The respondent shall plead either "guilty" or "not guilty" to the charges set forth in the complaint.

(d) Each side shall be permitted to make a short opening statement.

(e) The Executive Director, or a designee thereof, acting on behalf of the investigative committee, shall present its evidence, followed by the respondent, followed by rebuttal by the Executive Director or designee. Each witness called may be examined in the following manner:

1. Direct Examination.
2. Cross Examination.
3. Examination by Board.
4. Redirect Examination.
5. Recross Examination.
6. Re-examination by Board.

(f) Each side shall be permitted to make a short closing statement summarizing the evidence presented and urging the application of relevant law to the evidence presented.

(g) The Board may request one or both sides to prepare for the Board's consideration a proposed order of the Board including findings of fact, official notice, and conclusions of law. Underlying facts of record which support the findings should be cited.

(h) The Board shall issue an order within 30 days after either the hearing is concluded, if conducted by the Board, or the Board's receipt of the hearing officer's report, if the hearing was conducted by a hearing officer. The order shall include findings of fact, official

notice taken and conclusions of law, stated separately. Parties shall be notified either personally or by certified mail, return receipt requested, of any order, and a copy of the final order shall be delivered and mailed to each party or to his or her attorney of record.

(i) The Board may enclose an invoice for the costs of the hearing with an order imposing disciplinary action upon a licensee. Payment of said costs will be included in the calculation of any fines or fees owed by the licensee to the board in connection with the disciplinary action.

(2) **Evidence.** Evidence shall be admitted in accordance with the Alabama Administrative Procedure Act, Section 13. The probable cause note, and any attachments thereto, shall be admitted into evidence as a portion of the complaint without further authentication.

(3) **Other.** The hearing otherwise shall be conducted in compliance with the provisions of the Alabama Administrative Procedure Act; however, with the consent of the licensee, the Board may conduct an informal hearing without meeting the requirements of the Administrative Procedure Act, if no action is to be taken other than a public or private reprimand.

Authors: David R. Boyd, Dorman Walker, Lois Woodward, Kathy Perry Brasfield Jamie A. Durham, J. Seth Gowan.

Statutory Authority: Code of Ala. 1975, §§ 34-14A-8, 34-14A-11, 41-22-1, et seq.

History: Original Rule and Emergency Rule filed March 22, 1993; Emergency Rule effective March 22, 1993; Permanent Rule effective June 16, 1993. **Amended:** Filed May 6, 2002; effective June 10, 2002. **Amended:** Filed August 4, 2006; effective September 8, 2006.

Amended: Filed _____; effective _____.