

**G.S. 150B-21.3A Report for 20 NCAC 03, LOCAL GOVERNMENT COMMISSION**

Agency - Local Government Commission

Comment Period -

Date Submitted to APO - Filled in by RRC staff

Subchapter	Rule Section	Rule Citation	Rule Name	Date and Last Agency Action on the Rule	Agency Determination [150B-21.3A(c)(1)a]	Required to Implement or Conform to Federal Regulation [150B-21.3A(d1)]	Federal Regulation Citation
	<b>SECTION .0100 - GENERAL PROVISIONS</b>	20 NCAC 03 .0101	ORGANIZATION AND FUNCTIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0102	DEFINITIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0103	RULE-MAKING PROCEDURES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0104	DECLARATORY RULES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0105	CONTESTED CASE PROCEDURES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0106	ADDITIONAL REQUIREMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0107	OTHER REQUESTS FOR ACTION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0108	STATUS OF MEMORANDA: STATEMENTS AND PUBLICATIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0109	ENFORCEMENT PROCEDURES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0110	MAILING LISTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0111	SETTING FEES ON REVENUE BOND APPROVALS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0112	FEES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	

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	<b>SECTION .0200 - APPROVAL OF DEBT OBLIGATIONS</b>	20 NCAC 03 .0202	APPROVAL OF GENERAL OBLIGATION BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0203	ADDITIONAL DOCUMENTS TO BE FILED	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0204	APPROVAL OF REVENUE BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0205	APPROVAL OF TAX ANTICIPATION NOTES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0206	APPROVAL OF REVENUE ANTICIPATION NOTES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0207	APPROVAL OF GRANT ANTICIPATION NOTES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0208	SPECIAL PURPOSE BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
	<b>SECTION .0300 - SALE AND DELIVERY OF BONDS AND NOTES</b>	20 NCAC 03 .0301	PRESALE REQUIREMENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0302	SALE OF BONDS OR NOTES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0303	DELIVERY OF BONDS OR NOTES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0304	FEES FOR SALE AND DELIVERY OF BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	

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		20 NCAC 03 .0305	MATURITIES OF BONDS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
	<b>SECTION .0400 - ACCOUNTING AND INTERNAL CONTROLS</b>	20 NCAC 03 .0401	ACCOUNTING AND INTERNAL CONTROL SYSTEMS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0402	REVENUES SUSCEPTIBLE TO ACCRUAL	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0405	COMMENTS TO FEDERAL AND STATE GRANTOR AGENCIES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0406	APPROVAL OF FINANCE OFFICER ACTING AS TAX COLLECTOR	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0407	REPORT OF CASH BALANCE	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0408	REPORT OF FINANCIAL INFORMATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0409	EXEMPTION FROM PREAUDIT CERTIFICATE REQUIREMENT FOR ELECTRONIC payments	Eff. November 1, 2017	Necessary	No	
		20 NCAC 03 .0410	EXEMPTION FROM DISBURSEMENT CERTIFICATE REQUIREMENT FOR ELECTRONIC PaYMENTS	Eff. November 1, 2017	Necessary	No	
	<b>SECTION .0500 - AUDIT CONTRACTS</b>	20 NCAC 03 .0501	APPLICATION FOR APPROVAL OF AUDIT CONTRACT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	

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		20 NCAC 03 .0502	AUDIT CONTRACT	Amended Eff. November 1, 2020	Necessary	No	
		20 NCAC 03 .0503	AUDIT ENGAGEMENTS DEFINED	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0504	WHO MAY PERFORM AUDITS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0505	AUDIT BILLINGS	Amended Eff. November 1, 2020	Necessary	No	
		20 NCAC 03 .0506	WITHHOLDING OF APPROVAL	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0508	RESPONSE TO THE INDEPENDENT AUDITOR'S FINDINGS, RECOMMENDATIONS , AND FISCAL MATTERS	Eff. November 1, 2020	Necessary	No	
	<b>SECTION .0600 - SCHOOL BUDGETING AND ACCOUNTING</b>	20 NCAC 03 .0601	ENCUMBRANCE ACCOUNTING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
	<b>SECTION .0700 - MUTUAL FUND FOR LOCAL GOVERNMENT INVESTMENT</b>	20 NCAC 03 .0710	GENERAL INFORMATION	Eff. October 1, 2023	Necessary	No	
		20 NCAC 03 .0711	DEFINITION OF TERMS	Eff. October 1, 2023	Necessary	No	
		20 NCAC 03 .0712	MINIMUM FUND STANDARDS	Eff. October 1, 2023	Necessary	No	
		20 NCAC 03 .0713	CERTIFICATION OF A FUND	Eff. October 1, 2023	Necessary	No	
		20 NCAC 03 .0714	REVIEW OF FUND AND ATTESTATION	Eff. October 1, 2023	Necessary	No	

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		20 NCAC 03 .0715	TERMINATION OF CERTIFICATION	Eff. October 1, 2023	Necessary	No	
	<b>SECTION .0800 - SYSTEM OF REGISTRATION</b>	20 NCAC 03 .0801	APPROVAL OF A SYSTEM OF REGISTRATION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0802	APPROVAL OF APPOINTMENT OF AGENTS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0803	MAXIMUM RATES FOR AGENCY SERVICES	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
	<b>SECTION .0900 - OTHER REQUESTS FOR APPROVAL</b>	20 NCAC 03 .0901	PROCESSING APPLICATIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0903	APPLICATION TO AMEND: PRIOR APPROVALS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0904	COUNTY USE OF SALES TAXES PURSUANT TO G.S. 105-487(C)	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0905	MUNICIPALITY USE OF SALES TAXES PURSUANT TO G.S.105-487(C)	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0906	ANNEXATION: REQUESTS BY RURAL FIRE DEPARTMENT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .0907	ANNEXATION: ASSUMPTION OF DEBT	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	

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	<b>SECTION .1000 - EVIDENTIARY HEARING ON REFUNDING BONDS</b>	20 NCAC 03 .1001	DEFINITIONS	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1002	WHO MAY REQUEST A HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1003	PETITION FOR HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1004	HEARING OFFICER	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1005	TIME FOR THE HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1006	NOTICE OF HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1007	CONDUCT OF THE HEARING	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1008	RECOMMENDED DECISION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	
		20 NCAC 03 .1009	FINAL DECISION	Pursuant to G.S. 150B-21.3A, rule is necessary without substantive public interest Eff. January 9, 2018	Necessary	No	