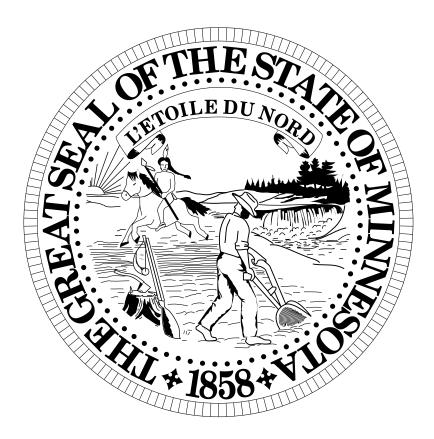




Rules and Official Notices Edition



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State Register

Judicial Notice Shall Be Taken of Material Published in the State Register

The State Register is the official publication of the State of Minnesota, published weekly to fulfill the legislative mandate set forth in *Minnesota Statutes* § 14.46. The *State Register* contains:

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Printing Schedule and Submission Deadlines

T mung Sci	leude and Submission Deau	lines	
-		Deadline for: Emergency Rules, Executive and	
Vol. 27		Commissioner's Orders, Revenue and Official Notices,	Deadline for both
Issue	PUBLISH	State Grants, Professional-Technical-Consulting	Adopted and Proposed
Number	DATE	Contracts, Non-State Bids and Public Contracts	RULES
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#9	Monday 26 August	Noon Tuesday 20 August	Noon Wednesday 14 August
#10	TUESDAY 3 SEPTEMBER	Noon Tuesday 27 August	Noon Wednesday 21 August
#11	Monday 9 September	Noon Tuesday 3 September	Noon Wednesday 28 August

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Federal Register

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NOTICE: How to Follow State Agency Rulemaking in the State Register

The *State Register* is the official source, and only complete listing, for all state agency rulemaking in its various stages. State agencies are required to publish notice of their rulemaking action in the *State Register*. Published every Monday, the *State Register* makes it easy to follow and participate in the important rulemaking process. Approximately 80 state agencies have the authority to issue rules. Each agency is assigned specific **Minnesota Rule** chapter numbers. Every odd-numbered year the **Minnesota Rules** are published. The current 1999 set is a 13-volume bound collection of all adopted rules in effect at the time. Supplements are published to update this set of rules. Generally speaking, proposed and adopted exempt rules do not appear in this set because of their short-term nature, but are published in the *State Register*.

An agency must first solicit **Comments on Planned Rules** or **Comments on Planned Rule Amendments** from the public on the subject matter of a possible rulemaking proposal under active consideration within the agency (*Minnesota Statutes* §§ 14.101). It does this by publishing a notice in the *State Register* at least 60 days before publication of a notice to adopt or a notice of hearing, or within 60 days of the effective date of any new statutory grant of required rulemaking.

When rules are first drafted, state agencies publish them as **Proposed Rules**, along with a notice of hearing, or a notice of intent to adopt rules without a hearing in the case of noncontroversial rules. This notice asks for comment on the rules as proposed. Proposed emergency rules and withdrawn proposed rules are also published in the *State Register*. After proposed rules have gone through the comment period, and have been rewritten into their final form, they again appear in the *State Register* as **Adopted Rules**. These final adopted rules are not printed in their entirety in the *State Register*, only the changes made since their publication as Proposed Rules. To see the full rule, as adopted and in effect, a person simply needs two issues of the *State Register*, the issue the rule appeared in as proposed, and later as adopted. For a more detailed description of the rulemaking process, see the most current edition of the *Minnesota Guidebook to State Agency Services*.

The *State Register* features partial and cumulative listings of rules in this section on the following schedule: issues #1-13 inclusive; issues #14-25 inclusive; issue #26 cumulative for issues #1-26; issues #27-38 inclusive; issue #39, cumulative for issues #1-39; issues #40-51 inclusive; and issues #1-52 (or 53 in some years), cumulative for issues #1-52 (or 53). An annual subject matter index for rules was separately printed usually in August, but starting with Volume 19 now appears in the final issue of each volume. For copies or subscriptions to the *State Register*, contact Minnesota's Bookstore, 117 University Avenue, St. Paul, MN 55155 (612) 297-3000, or toll-free 1-800-657-3757.

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Proposed Rules

Comments on Planned Rules or Rule Amendments

An agency must first solicit **Comments on Planned Rules** or **Comments on Planned Rule Amendments** from the public on the subject matter of a possible rulemaking proposal under active consideration within the agency (*Minnesota Statutes* §§ 14.101). It does this by publishing a notice in the *State Register* at least 60 days before publication of a notice to adopt or a notice of hearing, and within 60 days of the effective date of any new statutory grant of required rulemaking.

Rules to be Adopted After a Hearing

After receiving comments and deciding to hold a public hearing on the rule, an agency drafts its rule. It then publishes its rules with a notice of hearing. All persons wishing to make a statement must register at the hearing. Anyone who wishes to submit written comments may do so at the hearing, or within five working days of the close of the hearing. Administrative law judges may, during the hearing, extend the period for receiving comments up to 20 calendar days. For five business days after the submission period the agency and interested persons may respond to any new information submitted during the written submission period and the record then is closed. The administrative law judge prepares a report within 30 days, stating findings of fact, conclusions and recommendations. After receiving the report, the agency decides whether to adopt, withdraw or modify the proposed rule based on consideration of the comments made during the rule hearing procedure and the report of the administrative law judge. The agency must wait five days after receiving the report before taking any action.

Rules to be Adopted Without a Hearing

Pursuant to *Minnesota Statutes* § 14.22, an agency may propose to adopt, amend, suspend or repeal rules without first holding a public hearing. An agency must first solicit **Comments on Planned Rules or Comments** on **Planned Rule Amendments** from the public. The agency then publishes a notice of intent to adopt rules without a public hearing, together with the proposed rules, in the *State Register*. If, during the 30-day comment period, 25 or more persons submit to the agency a written request for a hearing of the proposed rules, the agency must proceed under the provisions of §§ 14.14-14.20, which state that if an agency decides to hold a public hearing, it must publish a notice of intent in the *State Register*.

Department of Health

Proposed Permanent Rules Relating to Administrative Billing Data

DUAL NOTICE: Notice of Intent to Adopt Rules Without a Public Hearing Unless 25 or More Persons Request a Hearing, And Notice of Hearing If 25 or More Requests For Hearing Are Received

Proposed Permanent Rules Related to Administrative Billing Data, Minnesota Rules, chapter 4653

Introduction. The Department of Health intends to adopt rules without a public hearing following the procedures set forth in the rules of the Office of Administrative Hearings, *Minnesota Rules*, parts 1400.2300 to 1400.2310, and the Administrative Procedure Act, *Minnesota Statutes*, sections 14.22 to 14.28. If, however, 25 or more persons submit a written request for a hearing on the rules by **4:30 p.m. on September 18, 2002**, a public hearing will be held in the Mississippi Room, Snelling Office Park, 1645 Energy Park Drive, St. Paul, Minnesota 55108, **starting at 9:00 a.m. on Friday, October 4, 2002**. To find out whether the rules will be adopted without a hearing or if the hearing will be held, you should contact the agency contact person after September 18 and before October 4, 2002.

Agency Contact Person. Comments or questions on the rules and written requests for a public hearing on the rules must be submitted to the agency contact person. The agency contact person is: Tracy Johnson at the Minnesota Department of Health, 121 East Seventh Place, Suite 400, St. Paul, Minnesota 55101, **phone:** (651) 282-5650, **fax:** (651) 282-5628, and **email:** *Tracy.L.Johnson@health.state.mn.us.* **TTY** users may call the Department of Health at (651) 215-8980.

Subject of Rules and Statutory Authority. The proposed rules are about the collection of administrative billing data, including administrative claims data from group purchasers, as defined in *Minnesota Statutes*, section 62J.03, subdivision 6, and from hospitals. The proposed rules set out reporting requirements for collection of administrative billing data including:

- data elements (what elements must be submitted);
- · data submission procedures for group purchasers and hospitals including which entities must submit data;
- the use of federally required standards for the electronic exchange of claims and enrollment data;
- use of administrative billing data by the Department of Health;
- establishment of a data use committee;

KEY: PROPOSED RULES SECTION — <u>Underlining</u> indicates additions to existing rule language. Strike outs indicate deletions from existing rule language. If a proposed rule is totally new, it is designated "all new material." **ADOPTED RULES SECTION** — <u>Underlining</u> indicates additions to proposed rule language. Strike outs indicate deletions from proposed rule language.

Proposed Rules =

- analysis, publication and release of administrative billing data;
- data security;
- submission of administrative billing data by hospitals to the Minnesota Hospital and Healthcare Partnership;
- contents of a data submission manual; and
- a study of collecting data from third party administrators or other sources of administrative billing data from health plans offered by self-insured employers.

The statutory authority to adopt the rules is *Minnesota Statutes*, section 62J.321, subdivision 6. A copy of the proposed rules is published in the *State Register*. A free copy of the rules is available upon request from the agency contact person listed above.

Comments. You have until 4:30 p.m. on Wednesday, September 18, 2002, to submit written comment in support of or in opposition to the proposed rules or any part or subpart of the rules. Your comment must be in writing and received by the agency contact person by the due date. Comment is encouraged. Your comments should identify the portion of the proposed rules addressed, the reason for the comment, and any change proposed. You are encouraged to propose any change desired. Any comments that you would like to make on the legality of the proposed rules must also be made during this comment period.

Request for a Hearing. In addition to submitting comments, you may also request that a hearing be held on the rules. Your request for a public hearing must be in writing and must be received by the agency contact person by 4:30 p.m. on Wednesday, September 18, 2002. Your written request for a public hearing must include your name and address. You must identify the portion of the proposed rules to which you object or state that you oppose the entire set of rules. Any request that does not comply with these requirements is not valid and cannot be counted by the agency when determining whether a public hearing must be held. You are also encouraged to state the reason for the request and any changes you want made to the proposed rules.

Withdrawal of Requests. If 25 or more persons submit a valid written request for a hearing, a public hearing will be held unless a sufficient number withdraw their requests in writing. If enough requests for hearing are withdrawn to reduce the number below 25, the agency must give written notice of this to all persons who requested a hearing, explain the actions the agency took to effect the withdrawal, and ask for written comments on this action. If a public hearing is required, the agency will follow the procedures in *Minnesota Statutes*, sections 14.131 to 14.20.

Alternative Format/Accommodation. Upon request, this Notice can be made available in an alternative format, such as large print, Braille, or cassette tape. To make such a request or if you need an accommodation to make this hearing accessible, please contact the agency contact person at the address or telephone number listed above.

Modifications. The proposed rules may be modified, either as a result of public comment or as a result of the rule hearing process. Modifications must be supported by data and views submitted to the agency or presented at the hearing and the adopted rules may not be substantially different than these proposed rules, unless the procedure under *Minnesota Rules*, part 1400.2110, has been followed. If the proposed rules affect you in any way, you are encouraged to participate in the rulemaking process.

Cancellation of Hearing. The hearing scheduled for on Friday, October 4, 2002, will be canceled if the agency does not receive requests from 25 or more persons that a hearing be held on the rules. If you requested a public hearing, the agency will notify you before the scheduled hearing whether or not the hearing will be held. You may also call the agency contact person at (651) 282-5650 after September 18, 2002 to find out whether the hearing will be held.

Notice of Hearing. If 25 or more persons submit valid written requests for a public hearing on the rules, a hearing will be held following the procedures in *Minnesota Statutes*, sections 14.131 to 14.20. The hearing will be held on the date and at the time and place listed above. The hearing will continue until all interested persons have been heard. Administrative Law Judge Allan W. Klein is assigned to conduct the hearing. Judge Klein can be reached at the Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, Minnesota 55401-2138, **phone:** (612) 341-7609, and **fax:** (612) 349-2665.

Hearing Procedure. If a hearing is held, you and all interested or affected persons, including representatives of associations or other interested groups, will have an opportunity to participate. You may present your views either orally at the hearing or in writing at any time before the close of the hearing record. All evidence presented should relate to the proposed rules. You may also submit written material to the Administrative Law Judge to be recorded in the hearing record for five working days after the public hearing ends. This five-day comment period may be extended for a longer period not to exceed 20 calendar days if ordered by the Administrative Law Judge at the hearing. Following the comment period, there is a five-working-day rebuttal period during which the agency and any interested person may respond in writing to any new information submitted. No additional evidence may be submitted during the five-day rebuttal period. All comments and responses submitted to the Administrative Law Judge must be received at the Office of Administrative Hearings no later than 4:30 p.m. on the due date. All comments or responses received will be available for review at the Office of Administrative Hearings. This rule hearing procedure is governed by *Minnesota Rules*, parts 1400.2000 to 1400.2240, and *Minnesota Statutes*, sections 14.131 to 14.20. Questions about procedure may be directed to the Administrative Law Judge.

The agency requests that any person submitting written views or data to the Administrative Law Judge prior to the hearing or during the comment or rebuttal period also submit a copy of the written views or data to the agency contact person at the address stated above.

Statement of Need and Reasonableness. A statement of need and reasonableness is now available from the agency contact person. This statement contains a summary of the justification for the proposed rules, including a description of who will be affected by the proposed rules and an estimate of the probable cost of the proposed rules. The statement may also be reviewed and copies obtained at the cost of reproduction from the agency.

Lobbyist Registration. *Minnesota Statutes*, chapter 10A, requires each lobbyist to register with the State Campaign Finance and Public Disclosure Board. Questions regarding this requirement may be directed to the Campaign Finance and Public Disclosure Board at: Suite 190, Centennial Building, 658 Cedar Street, St. Paul, Minnesota 55155, **phone:** (651) 296-5148 or 1-800-657-3889.

Adoption Procedure if No Hearing. If no hearing is required, the agency may adopt the rules after the end of the comment period. The rules and supporting documents will then be submitted to the Office of Administrative Hearings for review for legality. You may ask to be notified of the date the rules are submitted to the office. If you want to be so notified, or want to receive a copy of the adopted rules, or want to register with the agency to receive notice of future rule proceedings, submit your request to the agency contact person listed above.

Adoption Procedure After a Hearing. If a hearing is held, after the close of the hearing record, the Administrative Law Judge will issue a report on the proposed rules. You may ask to be notified of the date when the Administrative Law Judge's report will become available, and can make this request at the hearing or in writing to the Administrative Law Judge. You may also ask to be notified of the date on which the agency adopts the rules and the rules are filed with the Secretary of State, and can make this request at the hearing or in writing to the agency contact person stated above.

Order. I order that the rulemaking hearing be held at the date, time, and location listed above.

Dated: 6 August 2002

Julie Brunner, Deputy Commissioner Department of Health

4653.0100 DEFINITIONS.

Subpart 1. Scope. The terms used in parts 4653.0100 to 4653.1300 have the meanings given them in this part.

Subp. 2. Adjudicated. <u>"Adjudicated" means that the group purchaser has determined a benefit allowance for a claim or encounter submitted on behalf of a covered individual.</u>

<u>Subp. 3.</u> Administrative billing data. <u>"Administrative billing data" means encounter level data other than (1) abstracts from medical records and (2) data from patient interviews and patient surveys. Administrative billing data, as described in part 4653.0200, are data submitted to a group purchaser by a provider for a claim or for an encounter, documentation created by a provider for an encounter, and enrollment or demographic data.</u>

<u>Subp. 4.</u> Administrative billing data staff. <u>"Administrative billing data staff" means all employees of the Department of Health engaged in the collection, handling, and dissemination of administrative billing data collected according to parts 4653.0100 to 4653.1300.</u>

<u>Subp. 5.</u> Commercially fully insured individual. <u>"Commercially fully insured individual" means a covered individual who is eligible to receive health care benefits from a group purchaser that is paid a premium to assume the risk for all costs associated with the health care benefits. Commercially fully insured individual does not include a covered individual eligible to receive health care benefits when the premium is paid by a publicly funded program.</u>

Subp. 6. Commissioner. "Commissioner" means the commissioner of health.

<u>Subp. 7.</u> Covered individual. <u>"Covered individual" means a natural person who is eligible to receive health care benefits under any policy, contract, certificate, evidence of coverage, rider, binder, or endorsement that provides for or describes health care coverage.</u>

Subp. 8. Data steward. "Data steward" means the employee of the administrative billing data staff appointed or designated by the commissioner to ensure the integrity and security of the data collected according to parts 4653.0100 to 4653.1300.

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<u>Subp. 9.</u> Eligible department researcher. <u>"Eligible department researcher" means an employee of the Department of Health</u> whose primary activity is public health research or health care research.

Subp. 10. Encounter level data. <u>"Encounter level data" has the meaning given in *Minnesota Statutes*, section 62J.301, subdivision 1, paragraph (b).</u>

Subp. 11. Group purchaser. "Group purchaser" has the meaning given in Minnesota Statutes, section 62J.03, subdivision 6.

Subp. 12. Hospital. "Hospital" has the meaning given in Minnesota Statutes, section 144.696, subdivision 3.

Subp. 13. Minnesota comprehensive health association. "Minnesota comprehensive health association" means a nonprofit corporation created by the 1976 Minnesota legislature to offer policies of individual health insurance to Minnesota residents who have been turned down for health insurance by the commercial market. According to *Minnesota Statutes*, chapter 62E, the following group purchasers are contributing members to the Minnesota comprehensive health association: companies regulated under *Minnesota Statutes*, chapter 62A, and offering, selling, issuing, or renewing policies or contracts of accident and health insurance; health maintenance organizations regulated under *Minnesota Statutes*, chapter 62D; nonprofit health service plan corporations regulated under *Minnesota Statutes*, chapter 62C; community integrated service networks regulated under *Minnesota Statutes*, chapter 64B; the Minnesota employees insurance program established under *Minnesota Statutes*, section 43A.317; and joint self-insurance plans regulated under *Minnesota Statutes*, chapter 62H.

Subp. 14. Not public data. "Not public data" has the meaning given in Minnesota Statutes, section 13.02, subdivision 8a.

Subp. 15. Office of Technology. "Office of Technology" means the office established under *Minnesota Statutes*, chapter 16E, to provide leadership and direction for information and communications technology policy in Minnesota.

Subp. 16. Patient. "Patient" means a natural person who receives services from a provider.

Subp. 17. Payer. "Payer" means a group purchaser that has an obligation to determine a benefit allowance for a claim or encounter submitted on behalf of a covered individual and make payment according to that determination.

Subp. 18. Person. "Person" has the meaning given in Minnesota Statutes, section 13.02, subdivision 10.

Subp. 19. Provider or health care provider. <u>"Provider" or "health care provider" has the meaning given in *Minnesota Statutes*, section 62J.03, subdivision 8.</u>

Subp. 20. Public use data. "Public use data" means a data file or report that is created from the administrative billing data collected under parts 4653.0100 to 4653.1300 and that does not allow the identification of a covered individual, a provider, or a group purchaser from the elements released in the data file or report.

<u>Subp. 21.</u> Special population group. <u>"Special population group" means a distinct group of covered individuals with at least one common characteristic such as geographic location or type of employment.</u>

4653.0200 ADMINISTRATIVE BILLING DATA COLLECTED.

<u>Subpart 1.</u> General categories of data collected; group purchasers. <u>The commissioner must collect administrative billing data</u> from group purchasers in two categories:

A. data submitted to a group purchaser by a provider for a claim or for an encounter; and

B. enrollment or demographic data.

<u>Subp. 2.</u> Claims and encounter data elements; group purchasers. The commissioner must collect the following claims and encounter data elements from group purchasers identified under part 4653.0300, subpart 2, to the extent that the data elements were submitted to a group purchaser by a provider for a claim or for an encounter or added by a group purchaser during the processing of a claim or encounter.

A. Data elements describing a claim or an encounter, including:

(1) the payer's unique claim identification number;

(2) an indicator to identify if a claim is professional, institutional, or pharmacy; and

(3) an indicator to identify if the original source of the record is electronic or paper, except as provided under part 4653.0300, subpart 5, item B.

B. Data elements related to the diagnosis listed on a claim or for an encounter, including:

(1) each diagnosis code, except as provided under part 4653.0300, subpart 5, item C;

(2) the external cause of injury code; and

(3) the date of onset of the current illness, injury, or pregnancy.

C. Data elements related to the payer listed on a claim or for an encounter, including:

(1) the payer's name and address;

(2) the payer's federal tax identification number; and

(3) the national payer identification number, except as provided under part 4653.0300, subpart 5, item E.

D. Data elements related to the patient listed on a claim or for an encounter, including:

(1) the number assigned by the payer to identify the patient;

(2) the medical record number for institutional claims and the patient account number for professional claims:

(3) the patient's status at discharge for inpatient claims; and

(4) the patient's zip code.

E. Data elements related to a prescribed drug listed on a claim or for an encounter, including:

(1) the number of days' supply that was dispensed;

(2) the quantity dispensed in metric decimal units:

(3) an indication of whether the drug dispensed was formulary or nonformulary;

(4) the product code and qualifiers identifying the drug;

(5) an indication of an original fill for a prescription or the refill number for an already existing prescription:

(6) the prescription identification code or service reference number;

(7) the prescriber identification code and the prescriber identification code qualifiers; and

(8) the provider identification code and the provider identification code qualifiers.

F. Data elements related to the attending physician, operating physician, and rendering provider reported on a claim or for an encounter, including:

(1) the federal tax identification number;

(2) the national provider identification number, except as provided in part 4653.0300, subpart 5, item F; and

(3) the provider's name.

G. Data elements related to the service provided and listed on the claim or for an encounter, including:

(1) first and last dates of service for both the individual service and the claim, including admission date for an inpatient claim and fill date for a prescribed drug;

(2) the dollar amount charged by the provider for both the individual service and the total for the claim;

(3) the source and type of admission for inpatient claims;

(4) the place of service code for professional claims and type of bill for institutional claims;

(5) the number of units of services provided, such as the number of days, visits, miles, or injections;

(6) each procedure code and modifier, including injection codes;

(7) the revenue code, which identifies a specific accommodation or ancillary service for institutional claims; and

(8) the national provider identification number of the service location, except as provided under part 4653.0300, subpart 5, item F.

<u>Subp. 3.</u> Enrollment or demographic data; group purchasers. <u>The commissioner must collect the following enrollment or</u> demographic data elements from group purchasers identified under part 4653.0300, subpart 2, to the extent that the data elements are provided to a group purchaser by an employer or covered individual or assigned by a group purchaser.

A. Data elements related to the covered individual, including:

(1) the individual's name;

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(2) the individual's street address, city, state, and zip code;

(3) the individual's marital and employment status;

(4) the effective date of coverage;

(5) the date of termination of coverage:

(6) the number assigned by the payer to identify the covered individual;

(7) the number assigned by the payer to identify the subscriber;

(8) the individual's relationship to the subscriber;

(9) the group name and number;

(10) the payer name;

(11) the national payer identification number, except as provided under part 4653.0300, subpart 5, item E;

(12) the group name or number and subscriber identification number to identify another source of payment:

(13) an indication of the type of public medical coverage;

(14) the individual's date of birth;

(15) the individual's gender;

(16) the individual's race;

(17) the individual's ethnicity; and

(18) the unique patient identification number, except as provided under part 4653.0300, subpart 5, item G.

<u>B.</u> Data elements related to benefit coverage, including an indication of whether claims and encounter data are submitted under parts 4653.0100 to 4653.1300 for chemical dependency services, mental health services, and pharmacy services for each covered individual.

<u>Subp. 4.</u> General categories of data collected; hospitals. <u>The commissioner must collect administrative billing data from hospitals in two categories:</u>

A. inpatient discharge data; and

B. outpatient data.

<u>Subp. 5.</u> Inpatient discharge and outpatient data; hospitals. <u>The commissioner must collect the following inpatient discharge</u> and outpatient data elements from hospitals.

A. Data elements related to the diagnosis submitted to the payer on a claim or on documentation created for an encounter by the hospital, including:

(1) the principal diagnosis code:

(2) each additional diagnosis code;

(3) each external cause of injury code;

(4) the diagnostic-related grouper code; and

(5) the major diagnostic category code.

B. Data elements related to the payer on a claim or on documentation created for an encounter by the hospital, including:

(1) the names of the primary, secondary, and tertiary payers;

(2) the national payer identification numbers for the primary, secondary, and tertiary payers;

(3) an indication of Medicare managed care as a payer; and

(4) an indication of Medicaid managed care as a payer.

<u>C. Data elements related to the patient submitted to the payer on a claim or on documentation created for an encounter by the hospital, including the patient's:</u>

(1) name, except as provided under part 4653.0400, subpart 3, item F, subitem (1);

(2) account number;

(3) medical record number;

(4) status at discharge;

(5) street address, city, zip code, and state or country of residence, except as provided under part 4653.0400, subpart 3, item F, subitem (2);

(6) marital status, except as provided under part 4653.0400, subpart 3, item F, subitem (3);

(7) date of birth;

(8) gender;

(9) race, except as provided under part 4653.0400, subpart 3, item C;

(10) ethnicity, except as provided under part 4653.0400, subpart 3, item C; and

(11) unique patient identification number, except as provided under part 4653.0400, subpart 3, item D.

D. Data elements related to the service provided and submitted to the payer on a claim or on documentation created for an encounter by the hospital, including:

(1) the admission date;

(2) the source and type of admission;

(3) the discharge date;

(4) the type of bill;

(5) the number of units of services provided, such as the number of days, visits, miles, or injections;

(6) the length of stay;

(7) each procedure code and procedure code modifier;

(8) the dates of the principal and secondary procedures;

(9) the revenue code, which identifies a specific accommodation or ancillary service;

(10) the national provider identification number of the service location, except as provided under part 4653.0400, item E;

<u>and</u>

(11) detailed and total charges.

E. Data elements related to the attending physician, operating physician, and rendering provider submitted to the payer on a claim or on documentation created for an encounter by the hospital:

(1) the federal tax identification number, except as provided under part 4653.0400, subpart 3, item F, subitem (4);

(2) the national provider identification number, except as provided under part 4653.0400, subpart 3, item E; and

(3) the provider's name, except as provided under part 4653.0400, subpart 3, item F, subitem (4).

F. Data elements related to the hospital, including:

(1) the federal tax identification number of the hospital; and

(2) the state hospital identification number.

Subp. 6. Duties of commissioner. To support the collection of the data described in subparts 1 to 5, the commissioner must:

A. create and maintain the data submission manual described in part 4653.1200;

B. use a data format that is consistent with federal requirements;

C. educate employers and other persons who will be providing the information required under subparts 1 to 5 to the group purchasers and hospitals; and

D. coordinate data quality improvement activities with group purchasers and hospitals.

Subp. 7. Duties of group purchasers and hospitals. To support the collection of the data described in subparts 1 to 5, each group purchaser and hospital must:

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A. submit the data described in subparts 1 to 5, including the associated qualifiers in the format prescribed in the data submission manual described in part 4653.1200;

B. cooperate with the commissioner in education and data quality improvement activities;

<u>C.</u> report to the commissioner any significant discrepancies in the administrative billing data with respect to consistency, completeness, accuracy, or any other issue that would affect the use of the data as described in parts 4653.0100 to 4653.1300; and

D. make every reasonable effort to collect and submit all relevant diagnosis and procedure codes for each claim or encounter.

Subp. 8. Changes to administrative billing data collected.

<u>A.</u> When the commissioner identifies an additional data element not listed in subpart 2, 3, or 5 as important for policy analysis purposes, the commissioner must require that the additional data element be collected under parts 4653.0100 to 4653.1300, if the commissioner determines:

(1) the data element is needed to fulfill a requirement of Minnesota Statutes, section 62J.311, subdivision 1;

(2) the data element is needed to support assessment of a public health goal established under *Minnesota Statutes*, section 62J.212;

(3) the data element is needed to comply with a new state or federal law:

(4) collection of the data element will affect the quality of or directly enhance the use of a data element included in subpart 2, 3, or 5;

(5) the data element cannot be collected from another source; or

(6) the data element is part of the national recommendations for the collection of public health data elements.

B. The commissioner must no longer collect, under parts 4653.0100 to 4653.1300, a data element included in subpart 2, 3, or 5, if the commissioner determines:

(1) the data element is not needed to fulfill a requirement of Minnesota Statutes, section 62J.311, subdivision 1;

(2) the data element is not needed to support assessment of a public health goal established under *Minnesota Statutes*, section 62J.212;

(3) collection of the data element has been eliminated by a change to state or federal law;

(4) the data element is replaced by the collection of a data element added according to item A;

(5) the data element can be collected from another source; or

(6) the data element is not part of the national recommendations for the collection of public health data elements.

C. If the commissioner determines according to item A or B that a data element will be added to or deleted from collection, the commissioner must notify group purchasers or hospitals that submit administrative billing data under parts 4653.0100 to 4653.1300 in writing at least one year in advance of the required submission date.

4653.0300 DATA COLLECTION PROCEDURES FOR GROUP PURCHASERS.

<u>Subpart 1.</u> Group purchasers to submit administrative billing data. <u>A group purchaser must submit administrative billing</u> data under parts 4653.0100 to 4653.1200 if the group purchaser is:

A. a contributing member to the Minnesota comprehensive health association;

B. identified under subpart 2, item F; and

<u>C. notified under subpart 3.</u>

Subp. 2. Procedure to identify group purchasers to submit administrative billing data. The commissioner must limit the number of group purchasers required to submit administrative billing data based on premium revenue received that is reported for the annual Minnesota comprehensive health association assessment under part 2740.2500, subpart 3, and on the characteristics of the covered individuals who are eligible to receive health care benefits from the group purchaser. No later than August 1 of each year, the commissioner must:

A. use the most recent Minnesota comprehensive health association premium revenue data available;

B. list group purchasers in descending order by the amount of premium revenue received;

<u>C.</u> determine the amount of premium dollars that equals 96 percent of the total premium revenue reported for all contributing members of the Minnesota comprehensive health association;

D. select group purchasers from the top of the list in item B down until the sum of the premium dollars received by the selected group purchasers equals the amount determined in item C;

<u>E.</u> identify the group purchasers from the list in item B that provide health care benefits to covered individuals who are part of a special population group that the commissioner has determined is not represented in the administrative billing data collected in the same proportion as it occurs in the population of Minnesota; and

F. develop a final list of the group purchasers identified in items D and E that are required to submit administrative billing data.

<u>Subp. 3.</u> Notice to group purchasers. <u>No later than August 1 of each year, the commissioner must mail each group purchaser</u> on the list described in subpart 2, item F, notice of their obligation to submit administrative billing data under parts 4653.0100 to 4653.1200 during the following calendar year.

<u>Subp. 4.</u> Data submission procedures. <u>A group purchaser notified under subpart 3 must electronically submit the data required</u> under parts 4653.0100 to 4653.1300. The method of submission, file layouts, record formats, coding specifications, and authentication and encryption specifications must be defined in the data submission manual described in part 4653.1200.

Subp. 5. Content of data submissions; submission delays.

A. Each data submission must include administrative billing data for each commercially fully insured individual with a Minnesota address. Data must be submitted according to the schedule established under subpart 6 and must include the data elements described in part 4653.0200, subparts 2 and 3.

B. Required submission of an indicator to identify if the original source of the record is electronic or paper under part 4653.0200, subpart 2, item A, subitem (3), is delayed until the federally required implementation guide for claims submission allows for the submission of an indicator.

C. Required submission of diagnosis codes under part 4653.0200, subpart 2, item B, subitem (1), may be limited to five codes if a group purchaser does not store each diagnosis code listed on a claim or encounter.

D. The data elements related to the payer required under part 4653.0200, subpart 2, item C, may be submitted once for each submission of data required under part 4653.0200, subpart 2, according to the criteria specified in the data submission manual described in part 4653.1200.

E. Required submission of a national payer identification number under part 4653.0200, subparts 2, item C, subitem (3), and 3, item A, subitem (11), is delayed until the use of the national payer identification number is required by state or federal law.

F. Required submission of a national provider identification number under part 4653.0200, subpart 2, items F, subitem (2), and G, subitem (8), is delayed until the use of the national provider identification number is required by state or federal law.

<u>G.</u> Required submission of a unique patient identification number under part 4653.0200, subpart 3, item A, subitem (18), is delayed until the use of the unique patient identification number is required by state or federal law.

<u>Subp. 6.</u> Due dates for submissions. <u>A group purchaser notified under subpart 3 must submit the required data according to a schedule established by the commissioner and published in the data submission manual described in part 4653.1200. In establishing the schedule, the commissioner must:</u>

A. ensure that the data required under part 4653.0200, subpart 2, are submitted no sooner than 30 days and no later than 120 days from the date that the claim or equivalent encounter data was adjudicated;

B. ensure that the data required under part 4653.0200, subpart 3, that corresponds to the data required under part 4653.0200, subpart 2, are submitted on a similar schedule;

C. consider the technology available to the commissioner and to the group purchaser;

D. consider the volume of administrative billing data to be submitted by a group purchaser;

E. minimize the potential for corrections to the data submitted; and

F. minimize the administrative burden to the group purchaser.

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Subp. 7. Extensions. If a group purchaser requests an extension for a specified period of time in writing by the due date established under subpart 6 and shows reasonable cause, the commissioner must grant an extension of the due date of a data submission for a specified period of time. The commissioner must respond to the group purchaser's request for an extension within five business days of receipt of the request. The response must include approval, disapproval, or a request for more information. In determining whether a group purchaser has met the burden of showing reasonable cause and in determining the length of the extension, the commissioner must consider:

A. delays in the availability of the data submission manual;

B. other reporting requirements of the group purchaser;

C. emergency conditions that affect the group purchaser, including natural disasters;

D. delays due to data system conversion;

E. a strike or the absence of key administrative employees; or

F. other factors that affect the group purchaser's ability to submit data.

Subp. 8. Variance. If a group purchaser is unable to comply with any requirement under parts 4653.0100 to 4653.1300, the group purchaser may apply for a variance according to part 4653.1000.

Subp. 9. Complete submissions. Upon receipt of the required data from a group purchaser, the commissioner must:

<u>A. review the data submission under parts 4653.0100 to 4653.1300 to determine if the submission is complete. The commissioner shall determine that the submission is complete if the submission contains the required data in a format that allows further review and verification of the accuracy of the data. A data submission is considered complete and formally submitted on the day the commissioner determines that the data submission is complete;</u>

B. within 30 calendar days after receiving the data submission, notify the group purchaser whether the data submission is complete. If the commissioner does not notify the group purchaser within 30 calendar days after receiving the data submission, the data submission is considered complete and formally submitted on the day the commissioner received the data submission; and

C. if the commissioner notifies a group purchaser that the data submission is incomplete according to item A, include in the notification a statement describing the data submission's deficiencies. The group purchaser must correct the deficiencies and resubmit the data within ten business days after the group purchaser received the notification or request an extension according to subpart 7. If the commissioner determines that the resubmitted data are complete, the resubmitted data are considered complete and formally submitted on the date the commissioner received the resubmitted data.

<u>Subp. 10.</u> **Data validation.** Administrative billing data staff must evaluate all data submitted according to this part for accuracy and standardization. Any inconsistencies and nonstandard reporting of data must be documented by administrative billing data staff and reported to the group purchaser that submitted the data. The group purchaser must reconcile the inaccuracies or inconsistencies and resubmit the data to the commissioner within 90 days of receipt of the documentation. The commissioner must describe the data validation and correction procedures in the data submission manual.

<u>Subp. 11.</u> Delay in required submissions; effective date. <u>The commissioner must not require the submission of data from</u> group purchasers under this part until the commissioner has obtained funding to enable the collection and processing of administrative billing data. This part is effective one year from the date the commissioner publishes a notice in the *State Register* that funding to enable the collection of administrative billing data from group purchasers has been obtained.

4653.0400 DATA COLLECTION PROCEDURES FOR HOSPITALS.

<u>Subpart 1.</u> Hospitals to submit administrative billing data. <u>A hospital must submit the data required under parts 4653.0100 to 4653.1300</u>. A hospital that submits the data required under parts 4653.0100 to 4653.1300 via the Minnesota Hospital and Healthcare Partnership shall be granted a variance according to part 4653.1100.

<u>Subp. 2.</u> **Data submission procedures.** <u>A hospital must electronically submit the data required under parts 4653.0100 to 4653.1300.</u> The method of submission, file layouts, record formats, coding specifications, and authentication and encryption specifications must be defined in the data submission manual described in part 4653.1200.

Subp. 3. Content of data submissions; submission delays.

<u>A.</u> A data submission must include administrative billing data according to the schedule established under subpart 4 and must include the data elements described in part 4653.0200, subpart 5.

<u>B.</u> Required submission of the national payer identification numbers under part 4653.0200, subpart 5, item B, subitem (2), is delayed until the use of the national payer identification number is required by state or federal law.

C. Required submission of race and ethnicity under part 4653.0200, subpart 5, item C, subitems (9) and (10), is delayed until the federally required implementation guide for claims submission allows for the submission of race and ethnicity data.

D. Required submission of the unique patient identification number under part 4653.0200, subpart 5, item C, subitem (11), is delayed until the use of the unique patient identification number is required by state or federal law.

<u>E.</u> Required submission of the national provider identification number under part 4653.0200, subpart 5, items D, subitem (10), and E, subitem (2), is delayed until the use of the national provider identification number is required by state or federal law.

F. Required submission of the following data elements is delayed until the first submission, according to subpart 4, item A, of the data for claims submitted for payment or documentation for encounters created after January 1, 2004:

(1) name of the patient under part 4650.0200, subpart 5, item C, subitem (1);

(2) street address, city, zip code, and state or country of residence of the patient under part 4650.0200, subpart 5, item C, subitem (5);

(3) marital status of the patient under part 4650.0200, subpart 5, item C, subitem (6); and

(4) data elements related to providers under part 4653.0200, subpart 5, item E. For claims submitted for payment or documentation for encounters created before January 1, 2004, an identifier assigned by the hospital must be submitted for the attending physician and the operating physician.

<u>Subp. 4.</u> **Due dates for submissions.** <u>A hospital must submit the required data according to a schedule established by the commissioner and published in the data submission manual described in part 4653.1200. In establishing the schedule, the commissioner must:</u>

A. ensure that the data required under part 4653.0200, subpart 5, are submitted no sooner than 30 days and no later than 120 days from the date that the claim was submitted for payment or documentation for an encounter was created;

B. consider the technology available to the commissioner and to the hospital;

C. consider the volume of administrative billing data to be submitted by a hospital;

D. minimize the potential for changes to the data submitted; and

E. minimize the administrative burden to the hospital.

Subp. 5. Extensions. If a hospital requests an extension for a specified period of time in writing by the due date established under subpart 4 and shows reasonable cause, the commissioner must grant an extension of the due date of a data submission for a specified period of time. The commissioner must respond to the hospital's request for an extension within five business days of receipt of the request. The response must include approval, disapproval, or a request for more information. In determining whether a hospital has met the burden of showing reasonable cause and in determining the length of the extension, the commissioner must consider:

A. delays in the availability of the data submission manual:

B. other reporting requirements of the hospital;

C. emergency conditions that affect the hospital, including natural disasters;

D. delays due to data system conversion;

E. a strike or the absence of key administrative employees; or

F. other factors that affect the hospital's ability to submit data.

Subp. 6. Complete submissions. Upon receipt of the required data from a hospital, the commissioner must:

<u>A.</u> review the data submission under parts 4653.0100 to 4653.1300 to determine if the submission is complete. The commissioner shall determine that the submission is complete if the submission contains the required data in a format that allows further review and verification of the accuracy of the data. A data submission is considered complete and formally submitted on the day the commissioner determines that the data submission is complete;

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<u>B. within 30 calendar days after receiving the data submission, notify the hospital whether the data submission is complete. If the commissioner does not notify the hospital within 30 calendar days after receiving the data submission, the data submission is considered complete and formally submitted on the day the commissioner received the data submission; and</u>

C. if the commissioner notifies a hospital that the data submission is incomplete according to item A, include with the notification a statement describing the data submission's deficiencies. The hospital must correct the deficiencies and resubmit the data to the commissioner within ten business days or request an extension according to subpart 5. If the commissioner determines that the resubmitted data are complete, the resubmitted data are considered complete and formally submitted on the date the commissioner received the resubmitted data.

Subp. 7. Data validation. Administrative billing data staff must evaluate all data formally submitted according to this part for accuracy and standardization. Any inconsistencies and nonstandard reporting of data submitted to the database must be documented by administrative billing data staff and reported to the hospital that submitted the data. The hospital must reconcile the inaccuracies or inconsistencies and resubmit the data to the commissioner within 30 days of receipt of the documentation. The commissioner must describe the data validation and correction procedures in the data submission manual described under part 4653.1200.

4653.0500 DEPARTMENTAL USE OF ADMINISTRATIVE BILLING DATA.

Subpart 1. Internal use of data. Use of data collected under parts 4653.0100 to 4653.1300 is not subject to review of the data use committee established under part 4653.0600 if the data are used by Department of Health staff to:

A. fulfill a requirement of state or federal law;

B. provide background, planning, or policy development information for a project with another state agency;

C. provide background, planning, or policy development information for Department of Health program activities; or

D. perform preliminary data analysis that may result in a research project proposal to be submitted under subpart 2 before any result would be published.

<u>Subp. 2.</u> Research project proposal. <u>An eligible department researcher requesting access to not public data collected under parts 4653.0100 to 4653.1300 for a research project must submit a research project proposal to the commissioner in a format prescribed by the administrative billing data staff.</u>

Subp. 3. Staff support. To facilitate the review of research project proposals, the administrative billing data staff must:

A. develop a process for submission and review of research project proposals to ensure a complete and timely review of the proposals;

B. in cooperation with the data use committee, develop a format for the submission of research project proposals;

C. distribute a description of the process and the format to eligible department researchers and interested parties;

D. provide technical support to eligible department researchers to ensure the completeness of submitted research project proposals;

E. schedule reviews of research project proposals and provide support for the data use committee;

<u>F.</u> ensure that a statistical analysis of each research project proposal is completed by the data use committee or Department of Health staff to determine if the proposal is based on scientifically sound and statistically valid methods and submit the results of the analysis to the commissioner;

G. submit the data use committee recommendations to the commissioner; and

H. monitor the review process of each proposal to ensure a complete review and a timely notification of approval or disapproval.

<u>Subp. 4.</u> **Evaluation and recommendation.** The commissioner must refer a research project proposal submitted according to subpart 2 to the data use committee established under part 4653.0600 for evaluation and a recommendation for approval or disapproval. The commissioner must consider the recommendations of the data use committee in the decision to approve or disapprove a research project proposal.

<u>Subp. 5.</u> **Proposal review procedures.** <u>The commissioner must review each research project proposal submitted according to</u> <u>subpart 2.</u> <u>To decide whether to approve or disapprove a proposal, the commissioner must consider:</u>

A. the recommendation of the data use committee;

B. the statistical analysis described in subpart 3, item F;

C. whether the proposal is in the public interest according to Minnesota Statutes, chapter 62J;

D. whether the data requested is the minimum amount of data required;

E. whether the eligible department researcher has demonstrated an ability to safeguard the data against unauthorized use and to ensure that not public data will be protected:

F. whether it is feasible to answer the proposed research questions with administrative billing data;

G. whether the proposed data handling methods will protect the security and integrity of the data:

<u>H.</u> whether the eligible department researcher and any identified contractor have adequate experience, knowledge, and skills that qualify them to complete the proposed project; and

I. whether the proposal has a workable time line.

Subp. 6. Proposal review results. Within 60 days after receiving the research project proposal submitted according to subpart 2, the commissioner must provide to the eligible department researcher who submitted the proposal written notice of approval or disapproval of the proposal. This 60-day deadline shall be extended to 90 days if, within 60 days after receiving the proposal, the commissioner provides written notification to the eligible department researcher that the commissioner shall provide notice of approval or disapproval within 90 days after receiving the proposal. If the proposal is not approved, the notice of disapproval must include the reasons for the disapproval. The commissioner must provide a copy of the notice of approval to the data use committee. The data steward must not grant access to data for a research project without a copy of the notice of approval from the commissioner.

4653.0600 DATA USE COMMITTEE.

<u>Subpart 1.</u> Committee membership. <u>The commissioner must convene a data use committee to evaluate and provide written recommendations for approval or disapproval of research project proposals submitted according to part 4653.0500, subpart 2. The data use committee must include:</u>

A. three representatives of hospitals that submit data under parts 4653.0100 to 4653.1300, appointed by the Minnesota Hospital and Healthcare Partnership, to reflect a mix of urban and rural institutions;

B. four representatives of group purchasers that submit data under parts 4653.0100 to 4653.1300, three appointed by the Minnesota Council of Health Plans and one appointed by the Insurance Federation of Minnesota;

C. one representative of teaching and research institutions, appointed jointly by the Mayo Foundation and the Minnesota Association of Public Teaching Hospitals;

D. one representative of physicians, appointed by the Minnesota Medical Association:

E. one representative of nurses, appointed by the Minnesota Nurses Association;

F. one representative of the Department of Commerce, one representative of the Department of Employee Relations, and one representative of the Department of Human Services;

G. one representative of health services researchers, appointed by the University of Minnesota; and

H. one consumer representative, appointed by the commissioner.

Subp. 2. Additional expertise. The commissioner must request additional participation on the data use committee if necessary to provide expertise specific to a proposal topic or to provide statistical expertise.

4653.0700 PUBLICATION OF DATA.

<u>Subpart 1.</u> Restrictions on publication. The commissioner must ensure that the identity of a covered individual is protected when data, routine reports, compilations, and special studies are published by the commissioner.

<u>Subp. 2.</u> **Process for review of data by providers or group purchasers.** When data and analysis are to be published by the commissioner that identify a health care provider or a group purchaser, the health care provider or group purchaser must be provided a copy of the information referencing them and be given the opportunity to submit written comments to the commissioner according to *Minnesota Statutes*, section 62J.321, subdivision 5, paragraph (e), and may contest the release of the data according to *Minnesota Statutes*, section 62J.321, subdivision 5, paragraph (f). When comments are received by the commissioner within 30 days after the date the commissioner mails the notification, the comments shall be released with the publication.

KEY: PROPOSED RULES SECTION — <u>Underlining</u> indicates additions to existing rule language. Strike outs indicate deletions from existing rule language. If a proposed rule is totally new, it is designated "all new material." **ADOPTED RULES SECTION** — <u>Underlining</u> indicates additions to proposed rule language. Strike outs indicate deletions from proposed rule language.

Proposed Rules

<u>Subp. 3.</u> **Required reporting.** By July 1, 2003, the commissioner must establish a schedule for reports to be published by the commissioner. The schedule must include at least one report that is published at least once every two years. The schedule must include reports that:

A. measure regional variation in utilization and access to health care;

B. assess the state's performance on selected public health goals including, where possible, regional breakdowns of that performance;

C. describe the prevalence and treatment of selected chronic health conditions; or

D. provide information about the cost of procedures, resource consumption by covered individuals with certain conditions, and preventive versus curative costs.

4653.0800 PROCEDURES FOR RELEASE OF DATA.

<u>Subpart 1.</u> Public use data. <u>Public use data must not permit the identification of a covered individual, a provider, or a group purchaser</u>. For public use data, the commissioner must protect the identities of a covered individual, a provider, or a group purchaser by:

A. not releasing an identifier of a covered individual, a provider, or a group purchaser;

B. using calculated variables and aggregated variables;

C. not releasing a covered individual's race, ethnicity, or actual dates of service; and

D. masking uncommon diagnoses and infrequently performed procedures by using large diagnostic and procedure categories.

Subp. 2. Request for public use data. <u>A request for public use data must:</u>

A. be in writing;

B. provide contact information; and

C. describe the requested data and analysis, including, if applicable, a list of the data elements.

<u>Subp. 3.</u> Response to request for public use data. <u>To respond to a request for public use data under subpart 2, the commissioner must:</u>

A. review the request within three business days and respond to the requester with an estimated amount of time needed to answer the request;

B. contact the requester if any clarification of the request is needed or if a change to the request is required to ensure that the response to the request is limited to public use data; and

<u>C.</u> deny the request if a characteristic of the requested data could directly or indirectly identify a covered individual, a health care provider, or a group purchaser. Indirectly identifying a covered individual, a health care provider, or a group purchaser includes possible identification by linking to other data sets, including previously released public use data.

4653.0900 DATA SECURITY.

Subpart 1. Duties of commissioner. To ensure the security of the data collected according to parts 4653.0100 to 4653.1300, the commissioner must:

A. appoint or designate one employee of the administrative billing data staff to act as the data steward;

<u>B.</u> provide training for the processing of not public data for all employees who have access to the data collected according to parts 4653.0100 to 4653.1300;

<u>C. require administrative billing data staff and their supervisors to attend training before collecting, handling, or disseminating administrative billing data and at least annually thereafter;</u>

D. require all supervisors of administrative billing data staff to meet quarterly to review data processing procedures with each member of the administrative billing data staff under that supervisor's supervision;

E. periodically audit security procedures and initiate steps to continually improve data security; and

F. publish a report of audit results within six months of the conclusion of each audit of security procedures. At a minimum, the report must describe:

(1) who completed the audit;

(2) the time frame and the content of the audit;

(3) how the data have been used during the specified time frame;

(4) any breach or misuse of data;

(5) any procedure that has not been followed; and

(6) what has been done to address any outstanding issues.

Subp. 2. Duties of data steward. To ensure the integrity and security of the data collected according to parts 4653.0100 to 4653.1300, the data steward must:

A. limit access by administrative billing data staff to the data required by an employee to complete the job responsibilities assigned to the employee and maintain audit trails;

B. comply with agencywide data practices and information management policies and standards;

C. comply with statewide information resource management policies adopted by the Office of Technology or its successor;

D. comply with applicable state and federal laws and regulations;

<u>E.</u> implement system security safeguards, including firewalls, encryption, authorization of employees, physical safeguards of data and equipment, adequate and safe storage of backups, disaster recovery, and procedures to prevent unauthorized access, including user authentication;

F. monitor and periodically test security procedures and take steps to continually improve data security;

G. establish, communicate to data users, and enforce applicable administrative, technical, and procedural safeguards;

H. provide or oversee the provision of data to fulfill a request approved according to part 4653.0500 or 4653.0800; and

I. immediately report to the commissioner any breach or misuse of data or any procedure that has not been followed.

Subp. 3. Duties of eligible department researcher. Before receiving data, an eligible department researcher who has received approval of a request for data according to part 4653.0500 must agree:

A. to comply with the administrative, technical, and procedural safeguards established by the data steward;

B. not to use the data to identify individuals;

C. to use the data only for the purposes specified in the approved request;

D. not to disclose the data to any person unless the data are summary data and have been approved for disclosure according to item E:

E. to submit a copy of any aggregation of the data intended for disclosure or publication to the commissioner for approval prior to publication;

F. to return all files to the data steward and destroy any copies that may have been made, at the completion of the research plan;

G. not to duplicate or otherwise distribute copies of the data for use by a third party; and

H. to ensure that items A to G are included as requirements in a contract between the commissioner and a contractor for the processing of data received.

4653.1000 GENERAL VARIANCE.

<u>Subpart 1.</u> Data from other sources. Upon a written request from a group purchaser or hospital, or upon the commissioner's own initiative, the commissioner must determine whether to use data from other sources instead of collecting data required under parts 4653.0100 to 4653.1300. To make this determination, the commissioner must consider whether:

A. data from other sources are duplicative of data required under parts 4653.0100 to 4653.1300;

B. data from other sources are available at a reasonable cost;

C. the commissioner has the resources readily available to use the data from other sources:

D. data from other sources are in an acceptable form; and

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Proposed Rules =

E. the commissioner will be able to use the data from other sources to meet all statutory data collection, analysis, verification, and privacy requirements.

Subp. 2. Contracts and grants. The commissioner may contract with or provide grants to a private sector entity to use data collected by that entity if the commissioner determines that the data fulfills the requirements of parts 4653.0100 to 4653.1300. The amount of each contract or grant for ongoing data collection is limited to \$20,000 per year. The amount of each contract or grant for enhancements to ongoing data collection requested by the commissioner is limited to \$5,000 per year.

<u>Subp. 3.</u> Additional variances. Upon written application or upon the commissioner's own initiative, the commissioner must grant a variance to parts 4653.0100 to 4653.1300 when the commissioner determines that:

A. enforcing a rule would impose an excessive burden on the applicant or others affected by the rule:

B. granting the variance would not adversely affect the commissioner's ability to use the data collected; and

C. granting the variance would not conflict with standards imposed by law.

Subp. 4. Burden. When a group purchaser or hospital makes a variance request under this part, the group purchaser or hospital has the burden of showing that the required criteria under subpart 1 or 3 are met.

<u>Subp. 5.</u> Alternative practices. A variance granted under this part must be conditioned upon alternative practices proposed by the applicant or by the commissioner if the alternative practices are needed to enable any of the required criteria under subpart 1 or 3 to be met.

Subp. 6. Notice. Within 30 calendar days after receiving an application for a variance, the commissioner shall notify the applicant in writing that the variance is granted or denied and shall specify the reasons for the decision. This 30-day deadline shall be extended to 60 days if, within 30 days after receiving the application, the commissioner provides written notification to the applicant that the commissioner shall provide notice of a decision within 60 days after receiving the application.

<u>Subp. 7.</u> **Duration; revocation.** A variance must be of limited duration if the circumstances warranting the variance are of limited duration. The commissioner shall revoke a variance if a material change occurs in the circumstances that justified the variance under this part or if the applicant fails to comply with the conditions of the variance.

<u>4653.1100</u> VARIANCE FOR COLLECTION OF HOSPITAL DATA FROM MINNESOTA HOSPITAL AND HEALTHCARE PARTNERSHIP.

Subpart 1. Variance granted. If the Minnesota Hospital and Healthcare Partnership submits the data required under parts 4653.0200, subpart 5, and 4653.0400, subpart 3, to the commissioner on behalf of a hospital, that hospital is granted a variance from the requirements of part 4653.0400. The variance is contingent upon:

A. the submission of administrative billing data by the Minnesota Hospital and Healthcare Partnership according to subpart 2; and

B. the commissioner's receipt of written notification of an agreement between the Minnesota Hospital and Healthcare Partnership and the hospital and that, under the agreement, the Minnesota Hospital and Healthcare Partnership will submit administrative billing data required under parts 4653.0100 to 4653.1300 to the commissioner on behalf of the hospital. The commissioner must receive notification no later than January 1 of each year from the hospital or from the Minnesota Hospital and Healthcare Partnership.

<u>Subp. 2.</u> Submission of data by Minnesota Hospital and Healthcare Partnership. <u>If a variance is granted under subpart 1,</u> the Minnesota Hospital and Healthcare Partnership must:

A. no later than July 1 of each year, electronically submit the administrative billing data described in parts 4653.0200, subpart 5, and 4653.0400, subpart 3, to the commissioner. The submission must include all data required under parts 4653.0200 and 4653.0400 for claims submitted to the payer by a hospital and documentation created by a hospital for an encounter during the previous calendar year. The first data submission under this subpart is required by July 1, 2004, for calendar year 2003 data;

B. include, with each data submission to the commissioner under this subpart, documentation that links the identification numbers on the file submitted with the name and address of each hospital; and

<u>C. for each submission to the commissioner under this subpart, submit the administrative billing data according to the data submission manual described in part 4653.1200.</u>

4653.1200 DATA SUBMISSION MANUAL.

<u>Subpart 1.</u> Creation and maintenance. <u>The commissioner must create and maintain a data submission manual and make the manual available to the Minnesota Hospital and Healthcare Partnership, each group purchaser, and each hospital required to submit data under parts 4653.0100 to 4653.1100.</u>

Subp. 2. Requirements. The data submission manual must consist of:

A. schedules for submissions, as determined under parts 4653.0300, subpart 6, and 4653.0400, subpart 4;

B. submission methods, including electronic file transfer methods, as determined under parts 4653.0300, subpart 4, and 4653.0400, subpart 2;

C. file layouts, as determined under subpart 3;

D. record formats, as determined under subpart 3;

E. coding specifications, as determined under subpart 3;

F. authentication and encryption specifications, as determined under subparts 3 and 4;

<u>G.</u> criteria that specifies how a group purchaser can submit the data elements related to the payer required under part 4653.0200, subpart 2, item C, once for each submission of data required under part 4653.0200, subpart 2;

H. data validation and correction procedures;

I. contact information; and

J. any other instructions for the submission of data that do not impose substantive requirements other than requirements contained in statute or rule.

<u>Subp. 3.</u> Standard formats. The commissioner must use the federally required standard record formats and coding specifications for claims, encounter, pharmacy, and enrollment data submission when collecting the data elements required under part 4653.0200. The data submission manual shall include a reference to the most current federally required implementation guides.

<u>Subp. 4.</u> **Industry standards.** The commissioner must solicit input about industry standards from each group purchaser and each hospital required to submit data under parts 4653.0300 and 4653.0400 and apply industry standards in the creation and maintenance of the data submission manual.

4653.1300 DATA COLLECTION FROM THIRD-PARTY ADMINISTRATORS.

The commissioner must investigate the feasibility of collecting administrative claims data from third-party administrators. The commissioner must:

<u>A. survey third-party administrators to:</u>

(1) determine the extent of claims processing services provided to employee health plans offered by self-insured employers; and

(2) compare the data elements available from third-party administrators with the data elements required from group purchasers under part 4653.0200, subparts 2 and 3; and

<u>B.</u> determine the availability of other sources of administrative billing data for covered individuals who are eligible to receive health care benefits from employee health plans offered by self-insured employers.

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Adopted Rules

A rule becomes effective after the requirements of *Minnesota Statutes* §§14.05-14.28 have been met and five working days after the rule is published in the *State Register*, unless a later date is required by statutes or specified in the rule.

If an adopted rule is identical to its proposed form as previously published, a notice of adoption and a citation to its previous *State Register* publication will be printed.

If an adopted rule differs from its proposed form, language which has been deleted will be printed with strikeouts and new language will be underlined. The rule's previous *State Register* publication will be cited.

Expedited and Emergency Expedited Rules

Provisions for the Commissioner of Natural Resources to adopt emergency expedited Game and Fish Rules are specified in *Minnesota Statutes* §§ 84.027. The commissioner may adopt emergency expedited rules when conditions exist that do not allow the Commissioner to comply with the requirements for emergency rules. The Commissioner must submit the rule to the attorney general for review and must publish a notice of adoption that includes a copy of the rule and the emergency conditions. Emergency expedited rules are effective upon publication in the *State Register*, and may be effective up to seven days before publication under certain emergency conditions. Emergency expedited rules are effective for the period stated or up to 18 months.

Department of Agriculture

Adopted Permanent Rules Relating to Repeal of Certain Food Rules

The rules proposed and published at *State Register*, Volume 26, Number 45, pages 1419-1422, April 29, 2002 (26 SR 1419), are adopted as proposed.

Board of Pharmacy

Adopted Permanent Rules Relating to Pharmacists

The rules proposed and published at *State Register*, Volume 26, Number 30, pages 922-931, January 14, 2002 (26 SR 922), are adopted with the following modifications:

6800.2150 PHARMACIST ON DUTY.

C. In any pharmacy that is staffed by a single pharmacist, the pharmacist may leave the pharmacy temporarily for meal periods without closing the pharmacy and removing ancillary staff from the pharmacy if the pharmacist reasonably believes that the security of the dangerous drugs and devices will be maintained in the pharmacist's absence. If, in the professional judgment of the pharmacist, for reasons of security or otherwise, the pharmacist determines that the pharmacy should close during the pharmacist's absence, then the pharmacist shall close the pharmacy and remove all ancillary staff from the pharmacy during the absence. If the pharmacist, in the exercise of the pharmacist's professional judgment, determines that the pharmacy may remain open during the pharmacist's temporary absence, subitems (1) to (7) apply.

(1) During the pharmacist's temporary absence, no prescription medication may be provided to a patient or to a patient's agent unless the prescription medication is a refill medication that the pharmacist has checked and released for furnishing to the patient and for which the pharmacist has determined that consultation by a pharmacist is not required. If the pharmacist determines that a prescription medication is not a refill medication or has determined that the refill medication requires the consultation of the pharmacist, then the pharmacist must clearly and conspicuously note on the prescription medication that the prescription medication is one that may not leave the pharmacy during the pharmacist's absence.

(2) During the pharmacist's temporary absence, a sign must be clearly and conspicuously posted stating that no pharmacist is presently on duty and no pharmacy technician, pharmacist intern, or any other person presently in the pharmacy may counsel on preservitions or offer advice on the use of over the counter medications or dietary supplements.

(3) During the pharmacist's temporary absence, ancillary staff may continue to perform the nondiscretionary duties authorized to them by law or by board rule. However, the pharmacist, upon returning to the pharmacy, shall review all work performed by any member of the ancillary staff and shall document the review.

(4) During the pharmacist's temporary absence, a pharmacist intern is considered ancillary staff, and may not perform any discretionary duties or otherwise act as a pharmacist.

(5) During the pharmacist's temporary absence, ancillary staff may not take prescription orders by telephone from a prescriber or a prescriber's agent. If a prescriber or a prescriber's agent orders a prescription by telephone, the pharmacist must be available to take the order. (6) The temporary absence authorized by this part is limited to 30 minutes. The pharmaeist who is on break need not remain in the pharmacy area during the break period. However, the pharmaeist who is on break shall remain in the building where the pharmacy is located and be available for patient consultation if requested.

(7) The pharmacy must have written policies and procedures regarding the operations of the pharmacy during the temporary absence of the pharmacist for breaks. The policies and procedures must include authorized duties of ancillary staff, the pharmacist's responsibilities for checking all work performed by ancillary staff, and the pharmacist's responsibility for maintaining the security of the pharmacy. The policies and procedures must be open for inspection by the Minnesota Board of Pharmacy or its designee at all times during business hours.

6800.4210 SCHEDULE I CONTROLLED SUBSTANCES.

Schedule I shall consist of the drugs and other substances, by whatever official name, common or usual name, chemical name, or brand name designated, listed in this part.

E. Depressants. Unless specifically excepted or unless listed in another schedule, any material, compound, mixture, or preparation which contains any quantity of the following substances having a depressant effect on the central nervous system including its salts, isomers, and salts of isomers:

(2) Gamma-hydroxybutyric acid, including its esters and ethers (some other names include GHB, gamma-hydroxybutyrate, 4-hydroxybutanoic acid, sodium oxybate, sodium oxybutyrate);

Pollution Control Agency

Adopted Permanent Rules Relating to Prohibited Products

The rules proposed and published at *State Register*, Volume 26, Number 35, pages 1109-1111, February 19, 2002 (26 SR 1109), are adopted with the following modifications:

7039.0130 PROHIBITED SPECIFIED PRODUCTS.

No person may distribute the following specified products for sale or use in Minnesota after the effective date of this part or the time indicated, whichever is later:

- A. traffic marking paints:
 - (1) Diamond Vogel 5055, lead drier traffic paint, November 16, 2004 May 9, 2005;
 - (2) Diamond Vogel 5054, lead chromate traffic paint, November 16, 2004 May 9, 2005;
 - (3) Valspar 5035, yellow traffic paint, November 16, 2004 May 9, 2005;
 - (4) Valspar 5041, plasti-kote traffic striper, November 16, 2004 May 9, 2005;

C. inks:

(1) 3M 5028, scotchlite process series 700 inks manufactured prior to September 1, 2000, that contain listed metals as documented on Material Data Safety Sheets provided by the manufacturer, October 19, 2002;

(2) 3M 5029, scotchlite screen printing ink series 900, October 19, 2002;

(3) 3M 5030, scotchlite process color series 990 inks manufactured prior to September 1, 2000, that contain listed metals as documented on Material Data Safety Sheets provided by the manufacturer, October 19, 2002; and

E. sign paints, Akzo Nobel 5170a, lead and lead chromate primers pigments.

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Exempt Rules

Exempt rules are excluded from the normal rulemaking procedures (*Minnesota Statutes* § 14.386 and 14.388). They are most often of two kinds. One kind is specifically exempted by the Legislature from rulemaking procedures, but approved for form by the Revisor of Statutes, reviewed for legality by the Office of Administrative Hearings, and then published in the *State Register*. These exempt rules are effective for two years only.

The second kind of exempt rule is one adopted where an agency for good cause finds that the rulemaking provisions of *Minnesota Statutes*, Chapter 14 are unnecessary, impracticable, or contrary to the public interest. This exemption can be used only where the rules:

- (1) address a serious and immediate threat to the public health, safety, or welfare, or
- (2) comply with a court order or a requirement in federal law in a manner that does not allow for compliance with *Minnesota Statutes* 14.14-14.28, or
- (3) incorporate specific changes set forth in applicable statutes when no interpretation of law is required, or
- (4) make changes that do not alter the sense, meaning, or effect of the rules.

These exempt rules are also reviewed for form by the Revisor of Statutes, for legality by the Office of Administrative Hearings and then published in the *State Register*. In addition, the Office of Administrative Hearings must determine whether the agency has provided adequate justification for the use of this exemption. Rules adopted under clauses (1) or (2) above are effective for two years from the date of publication of the rule in the *State Register*. Rules adopted, amended or repealed under clause (3) or (4) are effective upon publication in the *State Register*.

The Legislature may also exempt an agency from the normal rulemaking procedures and establish other procedural and substantive requirements unique to that exemption.

Department of Labor and Industry

Adopted Exempt Permanent Rules Relating to Occupational Safety and Health; Standard Industrial Classification List for AWAIR

The rules proposed and published at *State Register*, Volume 26, Number 46, pages 1471-1487, May 6, 2002 (26 SR 1471), and Volume 26, Number 47, page 1512, May 13, 2002 (26 SR 1512), are adopted as proposed.

Official Notices

Pursuant to Minnesota Statutes §§ 14.101, an agency must first solicit comments from the public on the subject matter of a possible rulemaking proposal under active consideration within the agency by publishing a notice in the *State Register* at least 60 days before publication of a notice to adopt or a notice of hearing, and within 60 days of the effective date of any new statutory grant of required rulemaking. The *State Register* also publishes other official notices of state agencies and non-state agencies, including notices of meetings and matters of public interest.

Department of Commerce

Minnesota Joint Underwriting Association Notice of Activation to Insure Specified Classes of Business and Public Hearing for General Liability and Property Insurance for Grain Elevators, Landscape Architect, and Qualified Rehabilitation Counselors

NOTICE IS HEREBY GIVEN that, pursuant to *Minnesota Statutes*, section 62I.21, the Minnesota Joint Underwriting Association (MJUA) and the Market Assistance Plan (MAP) are activated to provide assistance to the following classes of business unable to obtain insurance from private insurers:

- · general liability and property insurance for grain elevators
- landscape architects
- qualified rehabilitation counselors

The MJUA and MAP are activated to provide assistance to the above classes of business for a period of 180 days following publication of this notice. A public hearing will be held, for the purpose of determining whether activation should continue beyond 180 days, at the Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, Minnesota, 55401-2138, on Friday, October 4, 2002, at 9:30 a.m. and continuing until all interested persons and groups have had an opportunity to be heard.

The hearing shall be governed by *Minnesota Statute* Sections 14.57-14.69 and by *Minnesota Rules* Parts 1400.1500-1400.8400, (1985). Questions regarding the procedure may be directed to Administrative Law Judge Beverly Jones Heydinger, Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, MN 55401-2138, **phone:** (612) 341-7606. The authority for this proceeding is found in Chapter 62I of *Minnesota Statutes*, specifically sections 62I.21 and 62I.22.

Prior to the hearing a pre-hearing conference will be held at 1:30 p.m. on Thursday, September 19, 2002, at the Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, Minnesota 55401-2138.

Minnesota Statutes, Chapter 62I, which governs the Minnesota Joint Underwriting Association provides for temporary activation for 180 days by the Commissioner of Commerce. To extend the Minnesota Joint Underwriting Association's authority beyond the 180 day period a hearing must be held. Those classes of business for which the Minnesota Joint Underwriting Association was temporarily activated, by this notice and by previously published notices, must prove, at the hearing, that they meet the statutory requirements for coverage by the Minnesota Joint Underwriting Association.

Among those requirements are:

- (1) That members of those classes are unable to obtain insurance through ordinary means;
- (2) That the insurance being sought is required by statute, ordinance, or otherwise required by law, or is necessary to earn a livelihood or conduct a business; and
- (3) That the classes of business serve a public purpose.

The classes of business specified in this notice and previously published notices must be shown to meet the statutory requirements of the Minnesota Joint Underwriting Association's authority to provide coverage to them will end after 180 days from the date the notice of activation was published in the *State Register*.

Activation of a class of business does not guarantee coverage to any class member. Coverage of individual class members is determined by the Minnesota Joint Underwriting Association on a case by case basis once the class has been activated. The MJUA's address is: Pioneer Post Office Box 1760, St. Paul, Minnesota 55101. Their **phone** number is: (651) 222-0484.

The Department strongly suggests that any persons affected by this hearing or otherwise interested in the proceedings familiarize themselves with the requirements of Chapter 62I and the contested case procedures prior to the hearing, that they take such other steps as are appropriate to protect their interest and that any questions they may have as to how to proceed or how to participate at the hearing be directed to the Administrative Law Judge prior to the hearing.

All interested or affected persons will have an opportunity to participate at the hearing. Questioning of agency representatives or witnesses, and of interested persons making oral statements will be allowed in the manner set forth in the Rules pertaining to contested cases (*Minnesota Rules* parts 1400.1500-1400.8400).

Anyone wishing to oppose activation beyond the 180 days for any particular class, must file a petition to intervene with the administrative law judge at least 10 days before the hearing date. If no notice to intervene is filed for a class, then the class is activated beyond the 180 day period without further action.

Minnesota Statutes chapter 10A requires each lobbyist to register with the State of Ethical Practices Board within five days after he or she commences lobbying. A lobbyist is defined in *Minnesota Statute* Section 10A.01, subdivision 11 as an individual:

- (a) Engaged for pay or other consideration, or authorized by another individual or association to spend money, who spends more than five hours in any month or more than \$250, not including travel expenses and membership dues, in any year, for the purpose of attempting to influence legislative or administrative action by communicating or urging others to communicate with public officials; or
- (b) Who spends more than \$250, not including travel expenses and membership dues, in any year, for the purpose of attempting to influence legislative or administrative action by communicating or urging others to communicate with public officials.

The statute provides certain exceptions. Questions should be directed to the Ethical Practices Board, 625 North Robert Street, St. Paul, Minnesota 55101, **phone:** (612) 296-5148.

Dated: 2 August 2002

Minnesota Department of Commerce

Minnesota Medical Malpractice Joint Underwriting Association Notice of Activation to Insure Specified Classes of Business and Public Hearing for Podiatrist and Nursing Services Agency

NOTICE IS HEREBY GIVEN that, pursuant to *Minnesota Statutes*, section 62F.04, the Minnesota Medical Malpractice Joint Underwriting Association (MMMJUA) is activated to provide assistance to the following classes of medical professionals unable to obtain insurance from private insurers:

- podiatrist
- nursing services agency

The MMMJUA is activated to provide assistance to the above classes of medical professionals for a period of 180 days following publication of this notice. A public hearing will be held, for the purpose of determining whether activation should continue beyond 180 days, at the Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, Minnesota, 55401-2138, on Wednesday, October 9, 2002, at 9:30 a.m. and continuing until all interested persons and groups have had an opportunity to be heard. The hearing shall be governed by *Minnesota Statute* Sections 14.57-14.69 and by *Minnesota Rules* Parts 1400.1500-1400.8400, (1985). Questions regarding the procedure may be directed to Administrative Law Judge George A. Beck, Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, MN 55401-2138, **phone:** (612) 341-7601. The authority for this proceeding is found in Chapter 62I of *Minnesota Statutes*, specifically sections 62I.21 and 62I.22.

Prior to the hearing a pre-hearing conference will be held at 1:30 p.m. on Tuesday, September 17, 2002, at the Office of Administrative Hearings, 100 Washington Square, Suite 1700, Minneapolis, Minnesota 55401-2138.

Minnesota Statutes, Chapter 62I, which governs the Minnesota Joint Underwriting Association provides for temporary activation for 180 days by the Commissioner of Commerce. To extend the Minnesota Joint Underwriting Association's authority beyond the 180 day period a hearing must be held. Those classes of business for which the Minnesota Joint Underwriting Association was temporarily activated, by this notice and by previously published notices, must prove, at the hearing, that they meet the statutory requirements for coverage by the Minnesota Joint Underwriting Association.

Among those requirements are:

- (1) That members of those classes are unable to obtain insurance through ordinary means;
- (2) That the insurance being sought is required by statute, ordinance, or otherwise required by law, or is necessary to earn a livelihood or conduct a business; and
- (3) That the classes of business serve a public purpose.

The classes of business specified in this notice and previously published notices must be shown to meet the statutory requirements of the Minnesota Joint Underwriting Association's authority to provide coverage to them will end after 180 days from the date the notice of activation was published in the *State Register*.

Activation of a class of business does not guarantee coverage to any class member. Coverage of individual class members is determined by the Minnesota Joint Underwriting Association on a case by case basis once the class has been activated. The MJUA's address is: Pioneer Post Office Box 1760, St. Paul, Minnesota 55101. Their **phone** number is: (651) 222-0484.

The Department strongly suggests that any persons affected by this hearing or otherwise interested in the proceedings familiarize themselves with the requirements of Chapter 62I and the contested case procedures prior to the hearing, that they take such other steps as are appropriate to protect their interest and that any questions they may have as to how to proceed or how to participate at the hearing be directed to the Administrative Law Judge prior to the hearing.

All interested or affected persons will have an opportunity to participate at the hearing. Questioning of agency representatives or witnesses, and of interested persons making oral statements will be allowed in the manner set forth in the Rules pertaining to contested cases (*Minnesota Rules* parts 1400.1500-1400.8400).

Anyone wishing to oppose activation beyond the 180 days for any particular class, must file a petition to intervene with the administrative law judge at least 10 days before the hearing date. If no notice to intervene is filed for a class, then the class is activated beyond the 180 day period without further action.

Minnesota Statutes chapter 10A requires each lobbyist to register with the State of Ethical Practices Board within five days after he or she commences lobbying. A lobbyist is defined in *Minnesota Statute* Section 10A.01, subdivision 11 as an individual:

- (a) Engaged for pay or other consideration, or authorized by another individual or association to spend money, who spends more than five hours in any month or more than \$250, not including travel expenses and membership dues, in any year, for the purpose of attempting to influence legislative or administrative action by communicating or urging others to communicate with public officials; or
- (b) Who spends more than \$250, not including travel expenses and membership dues, in any year, for the purpose of attempting to influence legislative or administrative action by communicating or urging others to communicate with public officials.

The statute provides certain exceptions. Questions should be directed to the Ethical Practices Board, 625 North Robert Street, St. Paul, Minnesota 55101, **phone:** (612) 296-5148.

Dated: 1 August 2002

Emergency Medical Services Regulatory Board

Notice of Completed Application In the Matter of the License Application of the First Care Medical Services, Fosston, Minnesota

PLEASE TAKE NOTICE that the Emergency Medical Services Regulatory Board (hereinafter EMSRB) has received a completed application from the **First Care Medical Services, Fosston, Minnesota,** for overlapping expansion of primary service area.

NOTICE IS HEREBY GIVEN that, pursuant to *Minnesota Statutes* Sec. 144E.11, subd. 3, each municipality, county, community health board, governing body of a regional emergency medical services system, ambulance service and other person wishing to make recommendations or comments concerning the disposition of the application shall make written recommendations or comments opposing the application to the EMSRB within 30 days or by September 19, 2002, 4:30 p.m. Written recommendations or comments opposing the application should be sent to: Mary Hedges, Executive Director, EMSRB, 2829 University Ave. SE, # 310, Minneapolis, Minnesota 55414-3222.

If fewer than six comments opposing the application are received during the comment period, and the EMSRB has determined, after considering the factors in 144E.11, subd. 6, that the proposed service is needed, the applicant will be exempt from a contested case hearing, pursuant to *Minnesota Statutes* Sec. 144E.11, subd. 4. If six or more recommendations or comments in opposition to the application are received during the comment period or the EMSRB denies the application, the applicant shall be given the option of immediately proceeding to a contested case hearing or trying to resolve the objections within 30 days, pursuant to *Minnesota Statutes* Sec. 144E.11, subd. 5(a) (b). If the applicant is unable to resolve the objections within 30 days, or if the applicant initially requests a hearing, a contested case hearing will be scheduled and notice of the hearing given pursuant to *Minnesota Statutes* Sec. 144E.11, subd. 5(c) (e) .

Mary F. Hedges, Executive Director

Minnesota Department of Health

Notice Soliciting Comment on Plan for the Use of Administrative Penalty Authority, Cease and Desist Orders and Other Division-wide Enforcement Tools

The Minnesota Department of Health, Division of Environmental Health, is seeking comment from interested parties on its plan for the use of administrative penalty orders (APOs), cease and desist (C and D) orders and other enforcement tools.

The Health Enforcement Consolidation Act (*Minnesota Statutes*, sections 144.989 to 144.993) applies to all regulatory programs of the Environmental Health Division and provides authority to issue administrative penalty orders and cease and desist orders. The regulatory programs administered by the Environmental Health Division are public pools, sources of ionizing radiation, x-ray machines, wells and borings, facilities using radium, food and beverage establishments, enclosed sports arenas, lodging establishments, hotels and motels clean indoor air, smoking in public places and places of work, resorts, tourist camps, recreational camping areas, children's camps, asbestos abatement, public water supplies, lead abatement, public water supply treatment operators certification, plumbing and licensure of plumbers, water conditioning contractors and installers, and water haulers.

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The administrative penalty order authority allows for the assessment of a penalty by the commissioner of health for violations. The maximum penalty is \$10,000. The penalty may be forgiven for violations that are not serious or repeated. The cease and desist order authority allows the department to stop an activity for up to 72 hours if the activity is posing an immediate risk to public health.

The plan for the use of the administrative penalty order authority and cease and desist order authority was initially adopted by the department November 8, 1993, and subsequently amended on December 1, 1995 and again on December 15, 1997.

The department at this time is requesting comment on the existing plan and on modifications to the plan under consideration by the department. The department is considering modifications to the existing plan to implement changes in the law adopted during this year's legislative session. Additional changes relate to the issuance of cease and desist orders to unlicensed people. Comments on other content of the plan are welcome.

Parties who are interested in a copy of the existing plan or modifications to the plan under consideration by the department may receive copies online at: *http://www.health.state.mn.us/divs/eh/apoplan.html* or from:

Michael Kaluzniak Minnesota Department of Health Division of Environmental Health 121 East Seventh Place, Suite 230 P.O. Box 64975 St. Paul, Minnesota 55164-0975 Phone: (612) 215-0760 Fax: (612) 215-0979 Email: mike.kaluzniak@health.state.mn.us

Parties are invited to submit written comment to Mr. Kaluzniak on the existing plan or the modifications under consideration by 4:30 p.m. on September 26, 2002. Following department review of the comments, a public information meeting on the proposed revisions to the plan for the use of administrative penalty orders and cease and desist orders will be held:

Date:	Tuesday, October 22, 2002
Time:	9:00 - 11:00 a.m.
Location:	Minnesota Department of Health Division of Environmental Health 121 East Seventh Place Conference Room LL56 St. Paul, Minnesota

Dated: 13 August 2002

Patricia A. Bloomgren, Director Division of Environmental Health

Department of Labor and Industry

Labor Standards Unit

Notice of Correction to Highway/Heavy Prevailing Wage Rates

A correction has been made to the **Highway/Heavy** Prevailing Wage Rates certified 01/10/01, in **Region 09, Labor Code 104, Flagperson.**

A correction has been made to the **Highway/Heavy** Prevailing Wage Rates certified 01/10/01, in **Region 05**, Labor Code 107, Pipelayer (Water, Sewer & Gas).

A copy of the corrected certification may be obtained by writing the Minnesota Department of Labor and Industry, Prevailing Wage Section, 443 Lafayette Road, St. Paul, Minnesota 55155-4306, by calling (651) 284-5091, or accessing our **website** at: *www.doli.state.mn.us*. Charges for the cost of copying and mailing are \$.65 per page. Make check or money order payable to the State of Minnesota.

Shirley I. Chase Commissioner

Metropolitan Council

Public Hearing on Five New Trail Corridors to the Regional Trail System

Metropolitan Council will consider adding 5 trail corridors to the Regional Trail System at a public hearing on **Monday**, **September 16, at 3:30 p.m.** The hearing will be held as part of the Metropolitan Council's Livable Communities Committee meeting at 3:30 p.m., in Room 1A, Mears Park Center, 230 East Fifth Street, St. Paul. The hearing record will remain open until 4:30 p.m., on Monday, September 30.

The trail corridors are described in the "First Tier Trails, Greenways and Parks Master Plan". The trails corridors proposed for regional trail designation include:

- 1) Brooklyn Center/Robbinsdale Corridor
- 2) Crystal/Robbinsdale Corridor
- 3) New Hope/Crystal/Golden Valley Corridor
- 4) Edina/Richfield Corridor
- 5) St. Anthony Railroad Spur

The fifth recommended trail – St. Anthony Railroad Spur needs to be considered in the context of linking it to regional park/trails in Ramsey County and to regional facilities managed by the Minneapolis Park and Recreation Board. Input on this proposal will be requested from Cities adjacent to the St. Anthony Railroad Spur in Ramsey County, the City of Minneapolis, the Minneapolis Park and Recreation Board and the general public.

A copy of the "First Tier Trails, Greenways and Parks Master Plan" is available for review at major public libraries in Hennepin and Ramsey County or by contacting the Council's Regional Data Center **phone** at: (651) 602-1140. Excerpts of the document that apply to this hearing are also posted on the Metropolitan Council's **website** at: *www.metrocouncil.org*

Metropolitan Council designation of these trail corridors as regional trails would allow Three Rivers Parks District to prepare individual trail master plans that define the final alignment, estimate the acquisition costs (if any) and development costs of each trail, and address specific development and trail management issues for that trail. Metropolitan Council approval of individual trail master plans – not this proposal – would be the basis for the Council to consider financing that trail's acquisition/construction through the Council's Regional Parks Capital Improvement Program.

If you would like to submit comments regarding whether or not all or some of the proposed trail corridors should be added to the Regional Trail System, plus identify any issues that Three Rivers Parks District should address in developing a trail master plan for a particular trail, please submit your comments to:

Arne Stefferud, Planning Analyst Re: First Tier Trail Plan, Metropolitan Council Mears Park Centre, 230 East Fifth St., St. Paul, MN 55101 **Fax** comments to Mr. Stefferud: (651) 602-1442 Record comments on the Council's Public Comment Line at: (651) 602-1500 **Email:** *data.center@metc.state.mn.us* **TTY:** (651) 291-0904

Minnesota Department of Public Safety

Driver and Vehicle Services Division

REQUEST FOR COMMENT on Possible Amendments to Rules Relating to Accident Prevention Courses, *Minnesota Rules*, parts 7411.7100 to 7411.7700

Subject of Rules. The Minnesota Department of Public Safety, Driver and Vehicle Services Division (DVS), requests comment on possible amendments to rules relating to accident prevention courses that are available to persons age 55 and older in order to obtain a reduced car insurance rate. The possible rules will address:

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- on-line and teleconferenced instruction;
- expanding the hours of instruction to allow eight hours in a twenty-four hour period; and
- standards for refresher courses.

Persons Affected. The possible rules affect or may be of interest to persons who are 55 years and older, parties who offer courses, the insurance industry, law enforcement, any person with an interest in public safety, and the general public.

Statutory Authority. *Minnesota Statutes*, sections 14.06; 64B.28 and 299A.01.

Public Comment. Interested persons or groups may submit comment or information on the subject of the possible rules in writing or orally until further notice is published in the *State Register* that DVS intends to adopt or withdraw proposed rules. DVS may form an advisory committee to review drafts of the rule amendments. If you are interested in serving on the committee or receiving a copy if drafts contact the agency contact person.

Rule Drafts. A draft of the possible rule amendments is not yet available.

Agency Contact Person. Written or oral comment, questions, and requests for more information on the possible rules should be addressed to: Debra Carlson, Minnesota Department of Public Safety, Driver and Vehicle Services Division, Suite 176, 445 Minnesota Street, St. Paul, Minnesota 55101-5176. Phone: (651) 296-9502. Fax: (651) 296-5316. Email: Debra.Carlson@state.mn.us

Alternative Format. This Request for Comment can be made available in an alternative format such as large print, Braille, or cassette tape. To make such a request, contact the agency contact person listed above.

NOTE: Comment received in response to this notice will not necessarily be included in the formal rulemaking record submitted to the administrative law judge when a proceeding to adopt the rule is started. The agency is required to submit to the judge only those written comments received in response to the rules after they are proposed.

Dated: 5 August 2002

Charles R. Weaver, Commissioner Minnesota Department of Public Safety

Minnesota Department of Public Safety

Driver and Vehicle Services Division

Request for Comment on Possible Rules Governing the Fuel Licensing and Reporting Requirements for Interstate Commercial Vehicles, *Minnesota Rules*, Chapter 7405

Subject of Rules. The Minnesota Department of Public Safety, Driver and Vehicle Services Division (DVS) requests comments on possible rules governing the licensing and reporting of fuel taxes for motor carriers involved in interstate transportation. The possible rules are designed to:

- enhance electronic commerce, streamline processes; and improve customer service;
- address legislative changes;
- incorporate the requirements in the International Fuel Tax Agreement including clarification of requirements where Minnesota discretion is provided;
- clarify reporting requirements and due dates; and
- address variances to adopted rules.

Persons Affected: DVS expects the anticipated rules to affect all persons and companies who own, operate or represent commercial vehicles in Minnesota, law enforcement, deputy registrars, record keeping services, the public, and persons concerned about public safety.

Statutory Authority. *Minnesota Statutes,* sections 14.06, 168.221, 168.33, 168.845, 168A.24, 168D.18, 169.771 and 299A.01 provide the commissioner of public safety with authority to promulgate rules pertaining to the administration and regulation of commercial vehicle fees and fuel taxes.

Public Comment: Interested persons or groups may submit comments or information on the possible rules orally or in writing until the notice to adopt rules is published. DVS plans to request representatives of interested or affected parties to discuss and comment on the planned rules.

Rules Draft: DVS has not yet prepared a draft of the possible rules. Drafts, when they become available, may be obtained from the agency contact person.

Agency Contact Person: Comments, questions, and requests to receive a draft of the rules when they have been prepared, and requests for more information on the process and the possible rules, are to be directed to: Marge Noll, Minnesota Department of Public Safety, Driver and Vehicle Services Division, 1110 Centre Pointe Curve, Suite 425, Mendota Heights, Minnesota 55120. **Phone:** (651) 405-6131; **fax:** (651) 405-6136; **email:** *Marge.Noll@state.mn.us*

Alternative Formats: Upon request, this Request for Comments will be made available in alternative formats such as large print, Braille, or cassette tape. To make such a request, please contact the agency contact person at the address or telephone number above.

NOTE: Comments received in response to this notice will not necessarily be included in the formal rulemaking record submitted to the administrative law judge when a proceeding to adopt rules is started. The Department is required to submit to the judge only those written comments received in response to the rules after they are proposed.

Dated: 5 August 2002

Charles R. Weaver, Commissioner Minnesota Department of Public Safety

Minnesota Department of Public Safety

Driver and Vehicle Services Division

REQUEST FOR COMMENT on Possible Rules Relating to Organ and Tissue Donation Information in Driver Education Programs, *Minnesota Rules*, Chapter 7411

Subject of Rules. The Minnesota Department of Public Safety, Driver and Vehicle Services Division (DVS), requests comment on possible rules relating to information on organ and tissue donations and the provisions of *Minnesota Statutes*, section 171.07, subdivision 5, for persons enrolled in driver education programs offered at public schools, private schools, and commercial driver training schools.

Persons Affected. The possible rule affects or may be of interest to: commercial driving schools, public and private or parochial driver education programs, driver educators, representatives of the Association of Professional Driving Instructors of Minnesota, Minnesota Driver and Traffic Safety Education Association, the Driving School Association of the Americas, Minnesota Association of Christian Home Educators, school superintendents, community education administrators, legislators, home school families, parents and students, and the general public.

Statutory Authority. Laws of Minnesota 2002, Chapter 305 codified as *Minnesota Statutes*, section 171.0701 specifically addresses rules on this matter. Other authority relating to driver education programs and courses is contained in *Minnesota Statutes*, section 14.06; section 169.26, subdivision 3; section 169.444; section 169.446; section 169.89, subdivision 5; section 169.971-.973; section 169.974; section 171.02; section 171.05, subdivision 2; section 171.20, subdivision 3; sections 171.41; and section 299A.01.

Public Comment. Interested persons or groups may submit comment or information on the subject of the planned rules in writing or orally until further notice is published in the *State Register* that DVS intends to adopt or withdraw proposed rules. DVS has formed an advisory committee to review and discuss issues and draft rules on the revision of the driver education program rules. This issue will be included in that draft.

Rule Drafts. A draft of the possible amendments to the driver education program rules has been distributed to advisory committee members for review. Drafts are available from the agency contact person.

Agency Contact Person. Written or oral comments, questions, and requests for more information on the planned rule amendments, or to receive electronically, copies of rule drafts should be addressed to:

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Debra Carlson Department of Public Safety Driver and Vehicle Services Division, Suite 176 445 Minnesota Street St. Paul, Minnesota 55101-5176 **Phone:** (651) 296-9502 **Fax:** (651) 296-5316 **Email:** *Debra.Carlson@state.mn.us*

Alternative Format. This Request for Comment can be made available in an alternative format such as large print, Braille, or cassette tape. To make such a request, contact the agency contact person listed above.

NOTE: Comments received in response to this notice will not necessarily be included in the formal rulemaking record submitted to the administrative law judge when a proceeding to adopt the rule is started. The agency is required to submit to the judge only those written comments received in response to the rules after they are proposed.

Dated: 5 August 2002

Charles R. Weaver, Commissioner Minnesota Department of Public Safety

Department of Transportation

State Aid for Local Transportation Group

Petition of the City of Brooklyn Park for a Variance from State Aid requirements for AFTER THE FACT PLAN APPROVAL

NOTICE IS HEREBY GIVEN that the City of Brooklyn Park has made written request to the Commissioner of Transportation pursuant to *Minnesota Rules* 8820.3300, for a variance from rules as they apply to the State Aid Project No. 110-134-02, for the construction project on Regent Avenue (MSAS 134), located between Trunk Highway 610 and 101st Avenue in the City of Brooklyn Park.

The request is for a variance from *Minnesota Rules* for State Aid Operations 8820.2800, Subp. 2, adopted pursuant to *Minnesota Statutes* Chapter 161 and 162, as they apply to the State Aid Project No. 110-134-02, which provides street improvements on Regent Avenue in Brooklyn Park, Minnesota, so as to allow approval of construction plans after bids are opened, in lieu of the required approval of construction plans by the State Aid Engineer prior to opening of contract bids.

Any person may file a written objection to the variance request with the Commissioner of Transportation, Transportation Building, St. Paul, Minnesota 55155.

If a written objection is received within 20 days from the date of this notice in the *State Register*, the variance can be granted only after a contested case hearing has been held on the request.

Dated: 13 August 2002

Paul H. Stine for, Julie A. Skallman State Aid Engineer State Aid for Local Transportation

State Grants & Loans

In addition to requests by state agencies for technical/professional services (published in the State Contracts section), the *State Register* also publishes notices about grants and loans available through any agency or branch of state government. Although some grant and loan programs specifically require printing in a statewide publication such as the *State Register*, there is no requirement for publication in the *State Register* itself. Agencies are encouraged to publish grant and loan notices, and to provide financial estimates as well as sufficient time for interested parties to respond.

Department of Revenue

Request for Proposals for Grant to Provide Taxpayer Assistance Services to Low Income and Disadvantaged Minnesota Residents

Program Background

Pursuant to *Laws of Minnesota 2001, First Special Session*, chapter 5, article 9, section 29, the Commissioner of Revenue has authority to issue grants totaling \$200,000 for the 2002-2003 biennium. The Department of Revenue issued grants totaling \$98,200 during fiscal year 2002. This RFP is for issuance of the remaining funds for the second year of the biennium. The Department intends to issue grants totaling \$101,800 for fiscal year 2003. Any portion that is not awarded will revert back to the general fund and will no longer be available.

To be eligible for the 2003 grant, 2002 grant recipients must have submitted a final report by September 30, 2002.

Funded Activities

- 1. Recruitment of volunteers to provide taxpayer-assistance services
- 2. Training of volunteers to provide taxpayer-assistance services
- 3. Provision of free taxpayer-assistance services to low-income or disadvantaged people
- 4. Materials that directly aids in tax preparation

Organizations awarded grant funding will be notified not later than November 7, 2002.

All proposals must be received no later than 2:00 p.m., September 25, 2002, in the manner specified in the RFP document. Late proposals will not be accepted.

A complete paper copy of the Request for Proposals may be obtained from:

Larry Collette Minnesota Department of Revenue 600 North Robert Street Mail Station 1400 St. Paul, MN 55146-1400 Email: dor.rfp@state.mn.us Fax: (651) 282-2423

Please refer to this notice in your written request. In your request include your complete street mailing address, email address, phone number and fax number.

Copies of the RFP are available on paper only.

State Contracts

Informal Solicitations: Effective March 1, 2002, informal solicitations for all contracting opportunities for professional/technical (consultant) contracts with values estimated to be over \$5,000 and under \$50,000 must be posted on the Department of Administration, Materials Management Division web page (www.mmd.admin.state.mn.us) and access P/T Contracts.

Formal Requests for Proposals: Department of Administration procedures require that formal notice of any professional/technical (consultant service) contract which has an estimated value over \$50,000 must be printed in the *State Register*. Certain quasi-state agencies and Minnesota State Colleges and Universities institutions are by law exempt from these requirements.

Department of Administration

State Designer Selection Board

Request for Proposals for Reconstruction and Renovation at the Minnesota Veterans Service Building, Capitol Campus, St. Paul, Minnesota (Project 02-16)

To Minnesota Registered Design Professionals:

The State of Minnesota (State) through its State Designer Selection Board has been requested to select a design team for the above project. Proposals from interested firms must be received by, 11:00 a.m. Monday, September 9, 2002 to:

Terry Lewko, Executive Secretary State Designer Selection Board Department of Administration c/o Materials Management Division 50 Sherburne Avenue, Room 112 St. Paul, Minnesota 55155-3000 **Phone:** (651) 297-1545

PROPOSALS RECEIVED AFTER THE SUBMISSION DEADLINE WILL NOT BE CONSIDERED.

Questions concerning procedures, or schedule are to be referred to the Executive Secretary at (651) 297-1545. Questions relating to the project are to be referred to the project contact(s) in Item 1.j.

- 1. PROJECT
 - a. **PROJECT DESCRIPTION:** The project will renovate the first, second, third and fourth floors of the building with a minor amount of work in the basement. Office space planning is required for all tenant assigned spaces to assist them in re-occupation. On site construction will be in phases, one floor at a time, over a 3 1/2 to 4 year period. Total area of affected building is 61,765GSF. Renovation on each floor will include new: walls, ceilings and finishes; wall insulation and vapor retarder; lighting, power and distribution; ADA compliant restrooms; telecommunication service and distribution; HVAC system and mechanical room; incorporate recommendations for stabilization and repair of exterior granite panels; fire sprinklers; installation of State provided windows. Items affecting the entire building are: emergency generator; exit signage and emergency lighting; upgrade non-compliant exit stair railings. All work will follow a separately contracted asbestos abatement project.
 - b. REQUIRED CONSULTANT SERVICES: Demonstrate applicable prior experience in planning, design, implementation, coordination and creative/innovative approaches and solutions for similar projects. Demonstrate the ability and history of constructability, quality control, meeting schedule deadlines, accurate cost estimating and designing within a project budget. Particular emphasis will be placed on the ability to accurately schedule and coordinate occupancy changes and determine construction periods. Include with the proposal a change order history of recent past projects and how the team addresses this issue. The scope of the project includes full Architectural/Engineering services including architectural, mechanical, electrical, voice/data design, structural, fire protection, interior design, FF&E design, scheduling, cost estimating, and Predesign/Programming review. The information contained within the predesign shall be used as a starting point for the selected consultant to complete the program update.
 - c. SERVICES PROVIDED BY OTHERS: Hazardous Material Abatement.
 - **d. SPECIAL CONSIDERATIONS:** Sustainable Design in accord with Minnesota Sustainability Guidelines and compliance with the 2002-2007 State Capital budget instructions requiring sustainable high performance building practices.

e. PROJECT BUDGET/FEES:

Estimated Construction Budget - All Phases is \$6,500,000.00 (incl. contingencies) Estimated Fees: \$325,000.00 (incl. reimburseables)

- f. **PROJECT SCHEDULE:** Start Fall of 2002 and final occupancy in June 2005.
- g. **PROJECT PRE-DESIGN INFORMATION:** Predesign dated June 28, 2002 is available for review at the Division of State Building Construction.

h. PROJECT INFORMATIONAL MEETING (S)/SITE VISIT (S):

To be scheduled by the user agency after the firms are shortlisted.

i. STATE DESIGNER SELECTION BOARD SCHEDULE:

Project Information Meeting and/or Site Visit: Project Proposals Due: Project Shortlist: Project Information Meeting for Shortlisted firms: Project Interviews and Award: None Monday, September 9, 2002. Tuesday, September 24, 2002 *To be set by user agency* Tuesday, October 8, 2002

j. PROJECT CONTACT (S):

Questions concerning the project should be referred to: Chuck French, Division of State Building Construction G-10 Administration Building 50 Sherburne Avenue St. Paul, MN 55155-3000 **Phone:** (651) 284-4409 **Fax:** (651) 296-7650 **Email:** chuck.french@state.mn.us

k. SAMPLE CONTRACT (if DSBC project)

The successful responder will be required to execute the State's Basic Services Agreement which contains the State's standard contract terms and conditions, include insurance requirements and compliance with Designer Procedures Manual, Design Guidelines and Computer Aided Drafting (CAD) Guidelines. A copy is available on **Website:** *http://www.dsbc.admin.state.mn.us*

NOTE TO RESPONDERS: CHANGES MAY HAVE BEEN MADE IN THE FOLLOWING AS OF 11 JUNE 2002.

2. PROPOSAL REQUIREMENTS

- a. 12 copies
- b. 8-1/2 x 11, soft bound, portrait format
- c. Maximum 20 faces (excluding front and back covers, blank dividers, affidavit of non-collusion, and affirmative action data page)
- d. All pages numbered

3. PROPOSAL CONTENTS

a. COVER

- Project name and number
- Prime firm name, address, telephone number, fax number
- Contact person, telephone number, fax number, and email address

b. COVER LETTER

Single face letter with original signature (on at least one copy) of principal of prime firm, including:

- Brief overview of proposal
- Statement that proposal contents are accurate to the best knowledge of signatory

State Contracts

c. INFORMATION ON FIRM (S)

For prime firm and each consultant firm provide brief description including:

- Name and location
- Year established
- Legal status
- Ownership
- Staffing by discipline
- For firms with multiple offices briefly summarize for each office

d. PROJECT TEAM

• Brief statement of team's past or present working relationships

For each team member provide:

- Name and position in firm, include name of firm
- Home base (if in multi-office firm)
- Responsibility on this project
- Years of experience
- Relevant recent experience (if in another firm, so note)
- Registration (including specialty if engineer)

e. TEAM ORGANIZATION

If planning or design consultants are a part of the team explain how they will be utilized (e.g. major role during design, absent during construction, etc). Matrix or chart *may* be used.

f. PROJECT EXPERIENCE

For architectural firms provide examples of relevant projects recently completed or in progress including:

- Photographs, sketches and/or plans
- Name and location
- Brief description (e.g. size, cost, relevance)
- Firm of record
- Involvement of proposed project team members (*may* be separate matrix; if in another firm so note)
- Completion date or current status

For engineering or technical firms provide examples of relevant projects recently completed or in progress including the above except that photographs, sketches and/or plans are to be for only that portion of the work for which firm was responsible.

g. APPROACH/METHODOLOGY

Describe your understanding of the project, significant issues to be addressed and your *specific* approach to the planning, design and construction process for *this* project.

h. UNIQUE QUALIFICATIONS

Briefly summarize your team's unique qualifications for this project.

i. OTHER REQUIREMENTS

- A statement of commitment to enter into the work promptly, if selected, by engaging the consultants and assigning the persons named in the proposal along with adequate staff to meet requirements of the work.
- A statement indicating that consultants listed have been contacted and have agreed to be a part of the team.
- A complete Affidavit of Noncollusion (Not counted as part of the 20 faces)
- If appropriate, provide a list of all entities that create a conflict of interest (see 5.b.)

- A completed Affirmative Action Data Page regarding compliance with Minnesota Human Rights Requirements. A copy of the form is available on Website: http://www.dsbc.admin.state.mn.us, click on forms. (Not counted as part of the 20 faces)
- A list of all State and University of Minnesota current and past projects and studies awarded to the prime firm(s) responding to this request for proposal during the four years immediately preceding the date of this request for proposal.

Projects and studies shall mean those projects and studies (1) funded by the state legislature, by state/user agencies or University of Minnesota operating funds, or by funding raised from the private sector or individuals by state/user agencies or the University of Minnesota; (2) awarded as a result of the State Designer Selection Board process or awarded directly by state/user agencies or the University of Minnesota without employing the State Designer Selection Board process; or (3) related to design-bid-build or design/build project delivery systems.

The prime firm(s) shall list and total all gross fees associated with the above projects and studies, whether the fees have been received or are anticipated. In addition, the prime firm(s) shall indicate the amount of fees listed which were paid, or are anticipated to be paid, to engineering or other specialty consultants employed, or anticipated to be employed, on the projects and studies listed pursuant to the above. The prime firm(s) shall subtract consultant fees from gross fees to determine total net fees using the format below.

PROJECT	(A) GROSS FEES	(B) SUBDESIGNERS PORTION	(C) NET TOTAL PROJECT FEE
TOTAL			

(The total shown in column (A) shall equal the sum of those shown in columns (B) and (C).

4. SELECTION CRITERIA

Criteria for selection shall be as stated in the project description. Technical and aesthetic experience and capabilities are paramount. In addition, the Board seeks equitable distribution of fees among qualified firms and gives consideration to geographical location of firms with respect to project site.

5. CONTRACT REQUIREMENTS

a. AFFIDAVIT OF NONCOLLUSION

Each responder must attach a completed Affidavit of Noncollusion. A copy of the form is available on **Website:** *http://www.dsbc.admin.state.mn.us*, click on forms.

b. CONFLICTS OF INTEREST

Responder must provide a list of all entities with which it has relationships that create, or appear to create, a conflict of interest with the work that is contemplated in this request for proposals. The list should indicate the name of the entity, the relationship, and a discussion of the conflict.

c. DISPOSITION OF RESPONSES

All materials submitted in response to this RFP will become property of the State and will become public record in accordance with *Minnesota Statutes* 13.591 after the evaluation process is completed. If the responder submits information in response to this RFP that it believes to be trade secret materials, as defined by the Minnesota Government Data Practices Act, *Minnesota Statutes* § 13.37, the responder must:

- Clearly mark all trade secret materials in its response at the time the response is submitted,
- Include a statement with its response justifying the trade secret designation for each item, and
- Defend any action seeking release of the materials it believes to be trade secret, and indemnify and hold harmless the State, its agents and employees, from any judgments or damages awarded against the State in favor of the party requesting the materials, and any and all costs connected with that defense. This indemnification survives the State's award of a contract. In submitting a response to this RFP, the responder agrees that this indemnification survives as long as the trade secret materials are in possession of the State.

The State will not consider the prices submitted by the responder to be proprietary or trade secret materials.

Responses to this RFP will not be open for public review until the State decides to pursue a contract and that contract is awarded.

State Contracts

d. CONTINGENCY FEES PROHIBITED

Pursuant to *Minnesota Statutes* Section 10A.06, no person may act as or employ a lobbyist for compensation that is dependent upon the result or outcome of any legislation or administrative action.

e. ORGANIZATIONAL CONFLICTS OF INTEREST

The responder warrants that, to the best of its knowledge and belief, and except as otherwise disclosed, there are no relevant facts or circumstances that could give rise to organizational conflicts of interest. An organizational conflict of interest exists when, because of existing or planned activities or because of relationships with other persons, the responder is unable or potentially unable to render impartial assistance or advice to the State, or the responder's objectivity in performing the contract work is or might be otherwise impaired, or the responder has an unfair competitive advantage. The responder agrees that, if after award, an organizational conflict of interest is discovered, an immediate and full disclosure in writing must be made to the Assistant Director of the Department of Administration's Materials Management Division, 112 Administration Building, 50 Sherburne Avenue, St. Paul, MN 55155, which must include a description of the action which the contractor has taken or proposes to take to avoid or mitigate such conflicts. If an organization conflict of interest is determined to exist, the State may, at its discretion, cancel the contract. In the event the responder was aware of an organizational conflict of interest prior to the award of the contract and did not disclose the conflict to the contracting officer, the State may terminate the contract for default. The provisions of this clause must be included in all subcontracts, "contractor (consultant)," and "contracting officer" modified appropriately to preserve the State's rights.

f. STATE EMPLOYEES

In compliance with *Minnesota Statutes* § 16C.07, the availability of this work is being offered to State employees. The State will evaluate the responses of any State employee, along with other responses to this Request for Proposals.

g. PREFERENCE TO TARGETED GROUP AND ECONOMICALLY DISADVANTAGED BUSINESS AND INDIVIDUALS

In accordance with *Minnesota Rules* 1230.1810, subpart B and *Minnesota Rules* 1230.1830, certified Targeted Group Businesses or individuals and certified Economically Disadvantaged Businesses or individuals submitting proposals as prime contractors (consultants) will receive up to six percent preference in the evaluation of their proposals. For information regarding certification, contact the Department of Administration, Materials Management Helpline **phone** at: (651) 296-2600, **TTY:** (651) 282-5799.

h. HUMAN RIGHTS REQUIREMENTS

For all contracts estimated to be in excess of \$100,000, responders are required to complete the attached Affirmative Action Data page and return it with the response. As required by *Minnesota Rules* 5000.3600, "It is hereby agreed between the parties that *Minnesota Statutes* § 363.073 and *Minnesota Rules* 5000.3400 - 5000.3600 are incorporated into any contract between these parties based upon this specification or any modification of it". A copy of *Minnesota Rules* § 363.073 and *Minnesota Rules* § 363.073 and *Minnesota Rules* \$ 000.3600 are available on **Website:** *http://www.dsbc.admin.state.mn.us*

- i. Any changes in team members for the project requires approval by the State.
- j. All costs incurred in responding to this RFP will be borne by the responder. This RFP does not obligate the State to award a contract or complete the project, and the State reserves the right to cancel the solicitation if it is considered to be in its best interest.

Perpich Center for Arts Education

Request for Proposals for Consultant/Search Firm

NOTICE IS HEREBY GIVEN that proposals are being solicited to select a search firm to assist the board of the Perpich Center for Arts Education in conducting a nation-wide search to identify and hire an Executive Director with a start date of July 1, 2003.

Applicants must have evidence of successful experience in providing clients with diverse pools of candidates for art-based organizations and/or K-12 educational settings. For further information or to request a complete Request for Proposal, please contact:

David Flannery, Interim Executive Director Perpich Center for Arts Education 6125 Olson Memorial Highway Golden Valley, MN 55422 **Phone:** (763) 591-4719 **Fax:** (763) 591-4646 **Email:** *david.flannery@pcae.k12.mn.us*

Proposals are due by 5:00 p.m., September 6, 2002.

This request for proposal does not obligate the state to complete the proposed project, and the state reserves the right to cancel the solicitation if it is considered to be in its best interest.

Department of Natural Resources

Division of Parks and Recreation

Notice of Request for Proposal for Mystery Cave Visitor Center Exhibits

NOTICE IS HEREBY GIVEN to request proposals to design, construct and install exhibits in the Mystery Cave Visitor Center in Forestville/Mystery Cave State Park. This exhibit project provides orientation, information and education on such topics as cave formation, cave features and cave exploration. Mystery Cave is located near Preston, Minnesota, about 40 minutes south of Rochester. The work will involve research, writing, design, fabrication, delivery and installation of exhibits for a 5,000 square foot visitor center. Based on an existing visitor center interpretive plan, the design and fabrication work may involve any or all of the following: diorama, model building, touch screen computer interactives, artifact reproductions, graphic panels, lighting and video production.

To receive the complete Request for Proposal package contact:

Judy Thomson DNR Parks and Recreation 1200 Warner Rd. St Paul, MN 55106 **Phone:** (651) 772-7996

Requests to receive the proposal package must be received by August 30, 2002.

Completed proposals must be received no later than October 11, 2002.

Office of the Revisor of Statutes

Notice of Request for Computer Development Program Services

NOTICE IS HEREBY GIVEN that the Revisor's office intends to enter into several contracts during this 9-1/2 month period to assist the Revisor's staff in this development effort.

In mid-September, the Office of the Revisor of Statutes will complete a six (6) month Pilot Program to determine if XML technology is suitable for use in replacing or supplementing the existing Revisor's office computer systems. Based upon the recommendations contained in the Final Report of this Pilot Program, a multi-phase software and systems development effort is expected to start in mid-late September 2002.

State Contracts

The phases of the development effort covered by this notice are:

- Planning Phase mid-September, 2002 December 31, 2002
- Initial Development Phase January 1, 2003 June 30, 2003

Initially, the Revisor's office seeks contracts in two areas. Please note that persons with familiarity and knowledge of legislative document processing and the Revisor's office current systems.

- 1) **Project Management and Technology Architecture.** The Revisor's office seeks proposals for a part-time consultant to assist the Revisor's staff in the Planning and Initial Development phases of the development effort. The consultant must meet the following requirements:
 - a) demonstrated familiarity with legislative computer systems, either here in Minnesota or another state, and
 - b) demonstrated expertise in XML technology, and
 - c) demonstrated, successful implementation of an XML-based system for use by a state legislature.

The consultant will work with Revisor's office staff to collect and organize end user requirements, assist in finalizing the technology architecture, and coordinate the preparation of a development specification.

- 2) XML and Java consulting and mentoring. The Revisor's office seeks proposals for a part-time consultant to assist the Revisor's staff in the Planning and Initial Development phases of the development effort. The consultant must meet the following requirements:
 - a) demonstrated expertise in Java technology
 - b) demonstrated expertise in XML technology
 - c) demonstrated, successful implementation of a system based on Java and XML technologies

The consultant will work with Revisor's office staff to develop software standards and development environments, assist in the design of the software architecture, and assist in the preparation of a development specification.

Following the preparation of development specifications, the Revisor's office expects to enter into additional contracts for assistance with this development effort. The Revisor anticipates the issuance of an additional Request for Qualifications or Proposals in the fourth quarter of 2002.

Proposals are due no later than **4:30 p.m., on Tuesday, September 3, 2002.** The Revisor's office reserves the right to award all, a part, or none of the above-described contracts. Inquiries and responses may be directed to:

Michele Timmons Revisor of Statutes Office of the Revisor of Statutes 700 State Office Building 100 Constitution Avenue St. Paul, MN 55155-1297 **Phone:** (651) 296-2868 **TTY** use State Relay Services 1-800-627-3529

Department of Transportation

Program Support Group

Notice Concerning Professional/Technical Contract Opportunities

NOTICE TO ALL: The Minnesota Department of Transportation (Mn/DOT) is now placing additional public notices for professional/technical contract opportunities on Mn/DOT's Consultant Services **website** at: *www.dot.state.mn.us/consult*

New public notices may be added to the website on a daily basis and be available for the time period as indicated within the public notice.

Department of Veterans Homes Board Minnesota Veterans Home Luverne

Notice of Availability of Contract for Pharmacy Contract Services

The Minnesota Department of Veterans Homes Board is requesting proposals for the purpose of obtaining a Minnesota licensed pharmacist with the option of technical assistance to operate an efficient, recently constructed, in-house pharmacy within the Minnesota Veterans Home - Luverne.

Work is proposed to start October 1, 2002.

A complete Request for Proposal will be available by mail from this office through Wednesday, August 21, 2002. A written request (by direct mail or fax) is required to receive the Request for Proposal. After Wednesday, August 21, 2002, the Request for Proposal must be picked up in person.

The Request for Proposal can be obtained from:

Anne C. Stegenga, Business Manager Minnesota Veterans Home 1300 North Kniss Avenue PO Box 539 Luverne, MN 56156 Fax: (507) 283-1127

Proposals submitted in response to the Request for Proposals in this advertisement must be received at the address above no later than **2:00 p.m., Thursday, August 29, 2002. Late proposals will not be considered.** Faxed or emailed proposals will **not** be considered.

This request does not obligate the State to complete the work contemplated in this notice. The State reserves the right to cancel this solicitation. All expenses incurred in responding to this notice are solely the responsibility of the responder.

Minnesota Zoological Gardens

Request for Proposals for Tropics Trail Interpretive Program Design, Fabrication and Installation

NOTICE IS HEREBY GIVEN that the Minnesota Zoological Gardens is seeking qualified vendors to design, fabricate and assist with installation of interpretive graphics and interactive displays for selected exhibit areas in the Tropics Trail at the Minnesota Zoo. Work is proposed to start after September 6, 2002.

A Request for Proposals will be available by mail from this office through August 28, 2002. For a copy of the full Request for Proposal, to schedule a walk through of the project area or more information, contact:

Lars Erdahl, Education Director Minnesota Zoo 13000 Zoo Boulevard Apple Valley, MN 55124 **Phone:** (952) 431-9222 **Fax:** (952) 431-9367 **Email:** *lars.erdahl@state.mn.us*

Deadline for proposals is 4:30 PM CDT on Friday, September 6, 2002. No late proposals will be considered. Proposals must be signed in ink. No faxed or emailed proposals will be considered.

This request does not obligate the State to complete the work contemplated in this notice. All expenses incurred in responding to this notice are solely the responsibility of the responder.

Non-State Contracts & Grants

The *State Register* also serves as a central marketplace for contracts let out on bid by the public sector. The *State Register* meets state and federal guidelines for statewide circulation of public notices. Any tax-supported institution or government jurisdiction may advertise contracts and requests for proposals from the private sector. It is recommended that contracts and RFPs include the following: 1) name of contact person; 2) institution name, address, and telephone number; 3) brief description of project and tasks; 4) cost estimate; and 5) final submission date of completed contract proposal. Allow at least three weeks from publication date (four weeks from date article is submitted for publication). Surveys show that subscribers are interested in hearing about contracts for estimates as low as \$1,000. Contact the editor for further details.

Metropolitan Council

Notice of Request for Proposals (RFP) for an Employee Assistance Program

Metropolitan Council RFP / Contract Number 02P081

The Metropolitan Council is requesting proposals for an Employee Assistance Program for Council employees and their dependent family members. The successful proposer will provide personal consultation and referral services with regard to all personal, social, or other human services issues except for those of a primarily medical nature. The term of the contract will be three years.

The anticipated solicitation schedule is shown below.

Issue Request for Proposals Receive Proposals Award of Contract August 21, 2002 1:00 p.m. on Friday, September 20, 2002 November 2002

All firms interested in receiving an RFP package are invited to submit an email or written request to:

Amanda Houston, Administrative Assistant Contracts and Procurement Unit Metropolitan Council Mears Park Centre 230 East Fifth Street St. Paul, MN 55101 Phone: (651) 602-1585 Fax: (651) 602-1138 Email: amanda.houston@metc.state.mn.us

Note: RFPs are not available in electronic form.

Minnesota Statutes, Sections 473.144 and 363.073, and *Minnesota Rules*, Parts 5000.3400 to 5000.3600 will be incorporated into any contract based upon the Proposal or any modifications to it. If a contract for the project is awarded in excess of \$100,000, the requirements of *Minnesota Rules* 5000.3530 will be applicable.

Metropolitan Council

Notice of Request for Proposals (RFP) for Life and Disability Insurance for All Employees

Contract 02P071

The Metropolitan Council is requesting proposals for Life and Disability insurance for all employees and certain retired employees. The term of the contract will be up to five years. A tentative schedule for the project is as follows:

Issue Request for Proposals Receive Proposals Contract negotiated, executed, NTP August 19, 2002 September 9, 2002 November 1, 2002

All firms interested in being considered for this project and desiring to receive a RFP package are invited to submit a Letter of Interest to:

Amanda Houston, Administrative Assistant Metropolitan Council Environmental Services 230 East Fifth Street Mears Park Centre St. Paul, MN 55101 Phone: (651) 602-1585 Fax: (651) 602-1138 Email: amanda.houston@metc.state.mn.us

Non-State Contracts & Grants

Inquiries regarding technical aspects of the project should be directed to Gordon Backlund phone at: (651) 602-1801.

Minnesota Statutes, Sections 473.144 and 363.073, and *Minnesota Rules,* Parts 5000.3400 to 5000.3600 will be incorporated into any contract based upon the Proposal or any modifications to it. If a contract for the project is awarded in excess of \$100,000, the requirements of *Minnesota Rules* 5000.3530 will be applicable.

Metropolitan Council

Notice of Request for Proposals (RFP) for Legal Services Contract 02P098

The Metropolitan Council is requesting proposals for the performance of legal services related to tort and property damage claims against the Metropolitan Council that arise out of accidents or incidents involving Metropolitan Council employees or property. The legal services will involve representing the Metropolitan Council on an organization-wide basis and providing legal advice on tort and property damage claim matters. In addition to performing its historical regional planning and coordinating activities, the Metropolitan Council operates and maintains regional transit systems and the metropolitan sewer disposal system. The term of the contract will be up to three years.

A tentative schedule for the project is as follows:

Issue Request for Proposals	August 7, 2002
Receive Proposals	August 28, 2002
Contract negotiated, executed, NTP	September, 2002

All firms interested in being considered for this project and desiring to receive an RFP package are invited to submit a Letter of Interest to:

Amanda Houston Metropolitan Council Mears Park Centre 230 E. Fifth Street St. Paul, MN 55101 Phone: (651) 602-1585 Fax: (651) 602-1138 Email: amanda.houston@metc.state.mn.us

Minnesota Statutes, Sections 473.144 and 363.073, and *Minnesota Rules*, Parts 5000.3400 to 5000.3600 will be incorporated into any contract based upon the Proposal or any modifications to it. If a contract for the project is awarded in excess of \$100,000, the requirements of *Minnesota Rules* 5000.3530 will be applicable.

Metropolitan Council

Notice of Request for Proposals (RFP) Septage Management Project Number 800707, Contract Number 02P086

The Metropolitan Council is requesting engineering services proposals for investigation of septage disposal sites and likely betterment of disposal locations and systems. This project will involve a comprehensive review of the manner in which septage is handled throughout the interceptor system. The following is the proposed schedule:

Issue Request for Proposals Receive Proposals Evaluate and Rank Proposals Metropolitan Council authorization Contract negotiated, executed, NTP August 16, 2002 September 20, 2002 September 27, 2002 October 23, 2002 November 4, 2002

Non-State Contracts & Grants

All firms interested in being considered for this project and desiring to receive a RFP package are invited to submit a Letter of Interest to:

Amanda Houston, Administrative Assistant, Contracts and Procurement Unit Metropolitan Council Environmental Services 230 East Fifth Street Mears Park Centre St. Paul, MN 55101 **Phone:** (651) 602-1585 **Fax:** (651) 602-1138 **Email:** *amanda.houston@metc.state.mn.us* **Note:** RFPs are **NOT** available in electronic form.

Minnesota Statutes, Sections 473.144 and 363.073, and *Minnesota Rules,* Parts 5000.3400 to 5000.3600 will be incorporated into any contract based upon the Proposal or any modifications to it. If a contract for the project is awarded in excess of \$100,000, the requirements of *Minnesota Rules* 5000.3530 will be applicable.

Metropolitan Council – Metro Transit

Sealed Bids Sought for Bus Shelters

The Metropolitan Council is soliciting sealed bids for Metro Transit's Bus Shelters. Bids are due at 2:00 p.m., on September 16, 2002. Bids must be submitted in accordance with the Invitation for Bids document available from:

Metropolitan Council Metro Transit Purchasing Department 515 N. Cleveland Avenue St. Paul, MN 55114 **Phone:** (612) 349-5070

Metropolitan Council – Metro Transit

Sealed Bids Sought for Purchase of Mobile Sanding Unit

The Metropolitan Council is soliciting sealed bids for the purchase of a Mobile Sanding Unit. The unit will be used by the Hiawatha Light Rail Transit service. Bids are due at **2:00 p.m., on September 6, 2002.** Specifications for the sanding unit are contained in the Invitation for Bids document.

Bids must be submitted in accordance with the Invitation for Bids document available from:

Metropolitan Council Metro Transit Purchasing Department 515 N. Cleveland Avenue St. Paul, MN 55114 **Phone:** (612) 349-5070

University of Minnesota

Notice of Bid Information Service (BIS) Available for All Potential Vendors

The University of Minnesota offers 24 hour/day, 7 day/week access to all Request for Bids/Proposals through its web based Bid Information Services (BIS). Subscriptions to BIS are \$75/year. Visit our web site at *bidinfo.umn.edu* or call the BIS Coordinator at (612) 625-5534.

Requests for Bids/Proposals are available to the public at no charge each business day from 8:00 a.m. to 4:30 p.m. in Purchasing Services lobby, Suite 560, 1300 S. 2nd Street, Mpls., MN 55454.

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Stock No. 12-67 \$30.00 Stock No. 12-20 \$25.00 Stock No. 12-68 \$30.00 Stock No. 12-21 \$30.00 Stock No. 12-22 \$30.00 Stock No. 12-23 \$30.00 Stock No. 12-24 \$25.00 Stock No. 12-70 \$40.00 Stock No. 12-80 \$35.00 Stock No. 12-81 \$30.00 Stock No. 12-25 \$30.00 Stock No. 12-78 \$25.00 Stock No. 12-86 \$30.00 Stock No. 12-71 \$30.00 Stock No. 12-26 \$30.00 Stock No. 12-76 \$35.00 Stock No. 12-27 \$30.00

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Bowstring/Sand Lake (Itasca Co.)	20-34	\$ 7.95	Little Boy Chain (Cass Co.)	20-38	\$ 7.95
Cass Lake/Pike Bay (Beltrami/Cass Co.)	20-22	\$ 9.95	Mille Lacs Lake (Mille Lacs/Aitkin Co.)	20-16	\$ 9.95
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Center, South (Chisago Co.)	20-48	\$ 5.95	Osakis (Douglas/Todd Co.)	20-36	\$ 7.95
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Lake of the Woods SE	20-84	\$15.95	Winnibigoshish Lake (Cass/Itasca Co.)	20-21	\$ 9.95
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Department of Administration

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