

STATE OF ALABAMA

BOARD OF REGISTRATION FOR  
PROFESSIONAL ENGINEERS  
AND LAND SURVEYORS



ADMINISTRATIVE CODE  
(Rules and Regulations)

including  
**Rules of Professional Conduct**  
(Code of Ethics)  
see Rule 330-X-14

September, 1983

OFFICE OF SECRETARY  
750 Washington Avenue  
Suite 212  
Montgomery, Alabama 36130-1001

ALABAMA STATE BOARD OF REGISTRATION FOR  
PROFESSIONAL ENGINEERS AND LAND SURVEYORS  
ADMINISTRATIVE CODE

(RULES AND REGULATIONS)

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**Foreword:**

These rules and regulations are issued under the authority of Section 35(a) in Article 2 of Chapter 11 of Title 34 of the Code of Alabama 1975. They cover specific requirements and procedures necessary for proper administration of the Alabama Law regulating the practice of engineering and land surveying. They supercede all previous administrative rules and regulations.

**CHAPTER 330-X-1  
ORGANIZATION, ADMINISTRATION  
AND PROCEDURE**

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**330-X-1-.01 Purpose.** The Alabama Board of Registration for Professional Engineers and Land Surveyors was created to ensure that the public is protected against dangers arising from attempts of incompetent or unscrupulous persons to practice the professions of engineering or land surveying and to respect the right to his/her means of livelihood of the individual who has conscientiously prepared himself/herself to practice said professions. This purpose is achieved through the establishment of minimum qualifications for entry into the professions of engineering or land surveying, through the adoption of rules defining and delineating unlawful conduct, and through swift and effective discipline for those practitioners who violate the applicable laws or rules promulgated thereunder.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-1-.02 Composition and Selection of Board.** The Board is composed of five members, four professional engineers and one professional engineer who is also a registered land surveyor who meet the qualifications set out in Section 34-11-31, Code of Alabama, 1975. Members serve staggered five-year terms and continue to serve upon the expiration of five years until re-appointed or until a new member is appointed and qualified. When a vacancy occurs

for whatever reason, three qualified persons are nominated by a committee consisting of one professional engineer appointed or elected by an active Alabama Chapter of each of the following societies: American Society of Civil Engineers, American Institute of Mining, Metallurgical and Petroleum Engineers, American Institute of Chemical Engineers, Institute of Electrical and Electronics Engineers, American Society of Mechanical Engineers, Alabama Society of Professional Engineers and the Alabama Society of Professional Land Surveyors. The Governor appoints one person from among the three nominees to fill the vacancy.

Effective date: September 10, 1982

(Auth: Section 34-11-30; Section 34-11-35, Code of Alabama, 1975)

**330-X-1-.03 General Description of Organization and Operation.** The Board is an independent agency of the State of Alabama. All costs of operating the Board, including administrative, secretarial, clerical and investigative, are paid from legislative appropriation of fees collected by the Board. The Attorney General and his assistants provide legal services to the Board.

Effective date: September 10, 1982

(Auth: Section 34-11-15; Section 34-11-36; Section 34-11-35, Code of Alabama, 1975)

**330-X-1-.04 Officers.**

(1) **Election.** The Board shall elect annually the following officers: Chairman, Vice-Chairman and Secretary.

(2) **Compensation and Expenses.** Board Members shall be compensated on a per diem basis for days actually spent in performance of their duties and additionally, members of the Board shall be reimbursed for all actual expenses incurred in performance of their duties as provided by Section 34-11-32 and Section 36-7-20 of the Code of Alabama, 1975.

Effective Date: September 10, 1982

(Auth: Section 34-11-32; Section 36-7-20; Section 34-11-35, Code of Alabama, 1975)

**330-X-1-.05 Employment of Personnel.** The Board may employ investigators, attorneys and any other agents and employees and assistants as may from time to time be necessary to bring about and maintain a rigid administration and enforcement of the Alabama Law regulating the practice of engineering and land surveying and these rules.

Effective date: September 10, 1982  
(Auth: Section 34-11-11; Section 34-11-15;  
Section 34-11-36; Section 34-11-35, Code of  
Alabama, 1975)

**330-X-1-06 Executive Secretary.** The Board shall employ an Executive Secretary who shall be responsible for the administration of Board policy. The Executive Secretary is designated as agent for the Board for service of legal process upon the Board. All correspondence to the Board, including requests for information and all submissions and other requests should be made to the Executive Secretary at the Board's headquarters as follows:

Executive Secretary  
Alabama State Board of  
Registration for Professional  
Engineers and Land Surveyors  
750 Washington Avenue, Suite 212  
Montgomery, Alabama 36130

Effective date: September 10, 1982  
(Auth: Section 34-11-36; Section 34-11-35, Code of  
Alabama, 1975)

**330-X-1-07 Rules of Order.** All proceedings of the Board shall be governed by Roberts Rules of Order, latest revised edition, except during disciplinary hearings and except where otherwise provided in these rules.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-1-08 Quorum.** Three members of the Board shall constitute a quorum.

Effective date: September 10, 1982  
(Auth: Section 34-11-34, Section 34-11-35 Code of  
Alabama)

**330-X-1-09 Meetings.**

(1) Meetings may be called by the Chairman or by a quorum of the Board.

(2) Each member of the Board shall be given at least seven days notice of the time, place, and purpose of any regular or special meeting by the Chairman or the Executive Secretary, unless such notice is waived by the individual member or unless such member is present at the called meeting.

(3) The Board shall hold at least two regular meetings each year and these meetings shall be held in Montgomery, Alabama. Special meetings may be called as necessary and may be held at any place agreed upon by three members of the Board.

Effective date: September 10, 1982  
(Auth: Section 34-11-34; Section 34-11-35, Code  
of Alabama, 1975)

**330-X-1-10 Questions of Procedure and Evidence.** The Chairman of the Board shall, in accordance with these rules, and except as otherwise provided in these rules, rule upon all questions of procedure and, in the event that evidence is taken, on the admissibility of that evidence. The decision of the Chairman shall be final.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama 1975)

**330-X-1-11 Voting.** All members of the Board, including the Chairman, are entitled to vote and to make or second motions. A majority of those members of the Board present and voting on any matter shall decide that matter before the Board, except on procedural and evidentiary matters which are provided for in Rule 330-X-1-10. The Chairman shall vote as a member of the Board.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-1-12 Use of Forms.** All applications and requests for which the Board has prescribed a form must be made on the prescribed form. A description of all forms and instructions used by the Board are found in Appendix A of this code and are a part of this rule. Copies of instructions and forms are available from the Executive Secretary.

Effective date: September 9, 1983  
(Auth: Section 34-11-35, Section 41-22-4, Code  
of Alabama, 1975)

**330-X-1-13 Records.**

(1) "Public Record" for the purpose of these rules means all Board records which are reasonably necessary to record the business and activities required to be done or carried on by the Board so that the status and condition of such business and activities can be known by the public. Records which do not constitute "public records" include, but are not limited to, those received by a public officer in confidence, sensitive personnel records, registrant's records, complaints against registrants, and records the disclosure of which would be detrimental to the best interests of the public.

(2) Specific public records are available for inspection at Board headquarters during regular business hours.

(3) Any person wishing to obtain copies of specific public records may request same from the Executive Secretary, and will be supplied copies upon payment of the cost of copying, handling and postage, which costs will be estimated and set from time to time by resolution by the Board.

Effective date: September 10, 1982  
(Auth: Section 41-22-4 (l) (c); Section 34-11-37; Section 34-11-35, Code of Alabama, 1975)

**330-X-1-14 Roster.** The Board shall during the month of March of each even-numbered year compile and publish a directory listing all registered professional engineers and land surveyors who have renewed their certificates of registration and all engineers-in-training who possess current certifications as engineers-in-training. Copies of the directory shall be mailed to each person so registered or certified and shall be distributed or sold to the public upon request and upon payment of a fee to be set from time to time by resolution by the Board.

Effective date: September 10, 1982  
(Auth: Section 34-11-3; Section 34-11-35, Code of Alabama, 1975)

**330-X-1-15 Declaratory Rulings.**

(1) The Board may issue declaratory rulings to any person substantially affected by a rule with respect to the validity of the rule, or with respect to the applicability to any person, property, or state of facts of any rule or statute enforceable by the Board, or with respect to the meaning and scope of any order of the Board. Such rulings shall be issued provided

(a) The petitioner shows that he/she is substantially affected by the rule in question,

(b) Sufficient facts are supplied in the request to permit the Board to make a valid determination, and

(c) The request arises from an actual question or controversy.

(2) A petition for a declaratory ruling shall be submitted in the following form:

Petition for Declaratory Ruling.

On Rule No. \_\_\_\_\_

1. Petitioner \_\_\_\_\_

Name: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: \_\_\_\_\_

2. All rules or statutes that may be involved in the petition, if known: \_\_\_\_\_

3. Clear and concise statement of the precise factual situation involved: \_\_\_\_\_

4. The exact question to which an answer is desired: \_\_\_\_\_

5. The reason for submitting the petition: \_\_\_\_\_

6. Full disclosure of the petitioner's interest: \_\_\_\_\_

7. Statement as to whether the petitioner's case is presently under consideration by the Board of Registration for Professional Engineers and Land Surveyors or in any pending proceeding: \_\_\_\_\_

8. Affidavit Certification  
Signature \_\_\_\_\_ of \_\_\_\_\_ Petitioner

Sworn to and subscribed before me this the \_\_\_\_\_ day of \_\_\_\_\_ 19, \_\_\_\_\_

\_\_\_\_\_  
Notary Public

(3) Such rulings will be made in accordance with the Alabama Administrative Procedures Act, Section 41-22-11, Code of Alabama, 1975.

Effective date: September 9, 1983  
(Auth: Section 41-22-11; Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-2  
DEFINITIONS**

330-X-2-.01 Definitions of Terms

330-X-2-.01 **Definitions of Terms.**

(1) Section 34-11-1, Code of Alabama, 1975

provides for definitions of the following terms: (1) Board, (2) Engineer or Professional Engineer, (3) Engineer-in-Training, (4) Practice of Engineering, (5) Land Surveyor, (6) Land Surveying, (7) Practice and offer to Practice, and (8) Responsible Charge.

(2) The terms used in Section 34-11-7 and Section 34-11-9, Code of Alabama, 1975 "under his direction"... "under the direction" and the terms used in Rule XII of these Rules and Regulations, "under his direct supervision" and "under his responsible supervising control" will be construed by this Board to mean that the engineer or land surveyor providing such supervision shall have made the decision on technical matters of policy and design and shall have exercised his professional judgment in all engineering and land surveying matters that are embodied in the design and the plans, specifications, or other documents involved in the work. By applying his seal or signature to the final documents he signifies that he has complied with the requirements of these definitions and the Rules of Professional Conduct (Code of Ethics) and accepts responsibility therefor.

Effective date: September 10, 1982

(Auth: Section 34-11-1; Section 34-11-7; Section 34-11-9; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-3 APPLICATIONS

- 330-X-3-.01 Grouping of Applications
- 330-X-3-.02 Form of Application
- 330-X-3-.03 Applications from Non-Residents
- 330-X-3-.04 Reconsiderations and Reapplications
- 330-X-3-.05 Disposal of Applications

**330-X-3-.01 Grouping of Applications.** In order to insure that each applicant's qualifications will be evaluated in accordance with that section of the law which will afford an applicant the most favorable and/or the most appropriate consideration, the Board, after its initial review of the qualifications presented by the applicant and substantiated with verifications obtained by the Board in any of the several methods open to the Board for substantiating qualifications, will classify applications in one of the three groupings listed herein. The Executive Secretary will make a tentative grouping of each application as soon as it is received in proper form for the purpose of processing it for presentation.

(a) The Groupings are as follows:

1. Group 1 - Professional Engineers' Applications
2. Group 2 - Land Surveyors' Applications

3. Group 3 - Engineers'-in-Training Applications  
Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

#### 330-X-3-.02 Form of Application.

(1) All applications for registration shall be made on printed form provided by the Board and no applications made otherwise will be accepted. Where space does not permit an applicant to present his record of experience or practice on the form provided by the Board, the applicant may provide supplementary sheets of paper 8½ X 11 inches in size. Such additional sheets shall be typed on one side only, shall be signed and dated. Applications must be clearly **typewritten** in black suitable for photostatic copy and all questions must be answered. An application not properly made out, or not containing all of the information provided for, or not accompanied by the required fee will be returned with a statement of the reason for return. The application shall be accompanied by an unmounted recognizable, recent photograph (one not more than six (6) months old) of the applicant, with date taken, or photoengraving of same (size 2 by 2½ inches overall with face not less than ¾ inches wide). **NOTE: The applicant applying on the basis of examination shall be required to furnish two (2) photographs.**

(2) Applications for registration as a Professional Engineer or as a Land Surveyor or for certification as Engineer-in-Training shall be subscribed and sworn to, on a form provided by the Board, before a Notary Public or other persons qualified to administer oaths.

(3) The conditions set out in the Application Form, including the Rules of Professional Conduct (Code of Ethics) set forth in Attachment A enclosed with application form, shall be construed to be a part of the Rules and Regulations.

(4) To allow time for processing, all applications for examination and enrollment as Engineer-in-Training shall be filed with the Board at least forty-five (45) days before the date set for examination. To allow time for processing, all applications for examination and registration as Professional Engineer or Land Surveyor shall be filed with the Board at least ninety (90) days before the date set for examination.

(5) Withholding information, misrepresentation, or untrue statements will be cause for denial of application.

(6) Registration as Professional Engineer by reciprocity is granted provided the applicant's qualifications meet the requirements of Chapter 11, Title 34, Code of Alabama, 1975, and he has passed a two day, 16 hour written examination given by another State Board and he is currently registered and in good standing with another State Board.

(7) Further, Professional Engineers registered after June 5, 1981, who were allowed to take and pass their Principles and Practice of Engineering Examination (PE) in another State prior to completion of the applicable engineering experience as required by the Registration Law of that State, will not be considered for registration in Alabama by reciprocity. Such applicant for registration as Professional Engineer in the State of Alabama will be required to take and pass the Principles and Practice of Engineering Examination (PE) again after meeting appropriate Alabama experience requirements.

(8) If a properly executed NCEE Form as prepared by the Committee on National Certification of Registration Records is provided with certified copies verifying applicant's educational qualifications, experience record, responses from references and registration in other State or States where he passed the sixteen hour examination, the applicant will be required to complete only those Sections of the application form dealing with General Information, Registration in other States and the Affidavit.

(9) The Board requires a transcript showing subjects and grades of all scholastic work which the applicant wishes to claim. This transcript should also show degree issued, and date of issuance. It is the responsibility of the applicant to see that such a record is sent **direct** from the institution to the Board Office and no action will be taken by the Board until such information is received.

Effective date: September 10, 1982

(Auth: Section 34-11-5; Section 34-11-35, Code of Alabama, 1975)

#### **330-X-3-.03 Applications from Non-Residents.**

(1) In general, applicants not residents of Alabama will be expected to secure registration or certification in their home State or State of residence and may not apply for initial certification and/or registration in Alabama.

(2) Non-Alabama residents who are graduates of accredited engineering curricula from Alabama

colleges or universities may apply for an original registration in this State.

(3) The definition of a "Resident of Alabama" shall be interpreted by the Board to include an employee of Alabama based employer who may be living beyond the geographical boundaries of the State as a condition of employment at the time such an employee files.

(4) The Executive Secretary is authorized by the Board to return an application to an applicant who is applying for initial certification and/or registration if he is not a "Resident of Alabama."

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

#### **330-X-3-.04 Reconsideration and Reapplications.**

(1) At any time within one year after date of notice of action by the Board a request may be made for reconsideration of an application which has been denied. After one year has expired a new application is required and must be made under a Section of Chapter 11, Title 34, Code of Alabama, 1975 available on the date this new application is filed.

(2) A denied applicant may request reconsideration under the Section in which he applied at any time within one year, and additional or explanatory evidence bearing on the record as filed, and of the date originally filed, must be furnished to the Board.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

#### **330-X-3-.05 Disposal of Applications.**

(1) Approved Applications - When the Board, after due consideration of an application and of information pertaining thereto, is satisfied that the applicant is eligible for certification as an Engineer-in-Training, or registration as Professional Engineer and/or Land Surveyor, under any Section of the Law, the applicant will be granted certification or registration, and the applicant will be notified by the Executive Secretary.

(2) Deferred Applications - If an applicant's experience is considered inadequate upon Board review, but the Board believes he may meet the minimum legal requirements within one year, such application may be held by the Board for up to one year without approval or denial. Such applicant will be advised of the basis for holding his application, of

additional information to be submitted, and of the approximate date on which his application will be formally considered again. If more than one additional year of experience is considered necessary, the application will be denied, and for further consideration, the applicant will be required to submit a new application after he has accrued the necessary experience.

(3) Denied Applications - When the Board, after due consideration of an application and of information pertaining thereto finds that the applicant is not eligible for certification or registration under any section of the Law, the applicant will be denied certification or registration and his application will be closed. The applicant will be notified of the action of the Board by the Executive Secretary. The applicant, after being notified that his application has been closed on the basis of denial, shall have a period of one year following the date of such closing during which he may appeal to the Board for a reconsideration of his qualifications.

(4) In accordance with the Records and Retention Schedule prepared for the Alabama State Board of Registration for Professional Engineers and Land Surveyors, applications of the following will be maintained on file in the Board Office for the period shown and thereafter may be destroyed:

- (a) Exam Inactive File - 5 years
- (b) Deceased - 3 years after death
- (c) Expired (did not renew registration) - 3 years after expiration
- (d) Denied - 5 years
- (e) Inactive - 1 year

(5) Any application that involved disciplinary action or violations will be retained in the file.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-4 FEES

330-X-4-.01	Method of Payment
330-X-4-.02	Application, Certification and Registration Fees
330-X-4-.03	Examination Fees
330-X-4-.04	Fees Not Refundable
330-X-4-.05	Renewal Fee
330-X-4-.06	Roster
330-X-4-.07	Certificate

**330-X-4-.01 Method of Payment.** Fees shall be payable to the State Board of Registration for Professional Engineers and Land Surveyors, 750 Washington Avenue, Montgomery, Alabama 36130. Payment of fees should be made by checks (personal, company or cashier's). No cash will be accepted as payment of fees. Applications not accompanied by the proper fee will be returned to the applicant.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

#### **330-X-4-.02 Application, Certification and Registration Fees.**

(1) PROFESSIONAL ENGINEER - As provided by Section 34-11-5, Code of Alabama, 1975.

(2) PROFESSIONAL ENGINEER BY RECIPROcity - Same as (1).

(3) LAND SURVEYOR - As provided by Section 34-11-5, Code of Alabama, 1975.

(4) ENGINEER-IN-TRAINING - As provided by Section 34-11-5, Code of Alabama, 1975.

Effective date: September 10, 1982

(Auth: Section 34-11-5; Section 34-11-35, Code of Alabama, 1975)

#### **330-X-4-.03 Examination Fees.**

(1) The examination fee as provided by Section 34-11-6 shall be set from time to time by the Board by resolution.

(2) The examination fee for a registrant wishing to take the examination for record purposes shall be set from time to time by the Board by resolution.

(3) The fee for regrading of an examination will be the same fee as that charged by the National Council of Engineering Examiners.

Effective date: September 10, 1982

(Auth: Section 34-11-6; Section 34-11-35, Code of Alabama, 1975)

**330-X-4-.04 Fees Not Refundable.** No fee, or part of any fee, paid by any applicant for application, examination and/or registration will be returned to the applicant, either in the event of his failure to take the examination, or in the event of his failure to pass the required examination, if and when given.

Effective date: September 10, 1982

(Auth: Section 34-11-5; Section 34-11-35, Code of Alabama, 1975)

**330-X-4-.05 Renewal Fee.** The renewal fees shall be set from time to time by the Board by resolution, as provided by Section 34-11-8 (a) and (b), Code of Alabama, 1975,

Effective date: September 10, 1982

(Auth: Section 34-11-8; Section 34-11-35, Code of Alabama, 1975)

**330-X-4-.06 Roster.** The fee for a copy of the biennial Roster shall be \$5.00 except for persons registered or certified with the Board, governmental agencies, libraries, or professional societies.

Effective date: September 10, 1982

(Auth: Section 34-11-3; Section 34-11-35, Code of Alabama, 1975)

**330-X-4-.07 Certificate.** Duplicate certificate shall be issued as provided by Section 34-11-12, Code of Alabama, 1975.

Effective date: September 10, 1982

(Auth: Section 34-11-12; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-5 CURRICULA APPROVED BY THE BOARD

330-X-5-.01 Curricula Approved by the Board

**330-X-5-.01 Curricula Approved by the Board.** The term "graduate of an approved engineering curriculum of four years or more" as used in Section 34-11-4(1) and (2), Code of Alabama, 1975 shall mean:

(a) A Bachelor's degree in Engineering approved by the Accreditation Board for Engineering and Technology (formerly Engineers' Council for Professional Development) at the time of graduation or within a four (4) year period of graduation.

(b) A Bachelor's degree in one of the mathematical, physical or engineering sciences and in addition thereto, successful completion of graduate study in an engineering curriculum in a school or college in which the undergraduate or graduate curriculum was approved by the Accreditation Board for Engineering and Technology (formerly Engineers' Council for Professional Development) at the time of graduation or within a four (4) year period of graduation.

Effective date: September 10, 1982

(Auth: Section 34-11-4; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-6 EXPERIENCE

330-X-6-.01 Graduation and Experience Plus Examination

330-X-6-.02 Experience Plus Examination

330-X-6-.03 Additional Experience Required

330-X-6-.04 Non-qualifying Experience

**330-X-6-.01 Graduation and Experience Plus Examination.** In evaluating experience offered as qualifying experience under Section 34-11-4 (1)(a) and (3)(a), Code of Alabama, 1975, the Board will take into consideration the following:

(a) Experience must be progressive and of an increasing standard of quality and responsibility, and usually follows graduation.

(b) Experience must not have been obtained in violation of the Registration Law.

(c) Military Experience, to be creditable, must have been spent in Engineering and/or Land Surveying and of a character equivalent to that required in the civilian sector in like work.

(d) Experience must be gained by working under the supervision of a registered Professional Engineer and/or Land Surveyor, as the case may be, or an explanation satisfactory to the Board must be given as to why the experience was not so received.

(e) Short periods of Engineering employment less than three months will not be considered creditable.

(f) Concurrent time, that is time spent in engineering or land surveying work, while attending school will be credited either as education experience or work experience but not as both. A combined certificate for Engineer and Land Surveyor registration will require a minimum of six years experience of which at least two years must be land surveying and of which four years must be engineering.

(g) For sales experience to be creditable, it must be demonstrated conclusively that Engineering principles and Engineering knowledge were actually employed. The mere selection of data or equipment from a company catalogue or a similar publication will not be considered Engineering experience.



(h) Successful completion of graduate study in an Engineering Curriculum accredited by ABET (formerly ECPD), may be offered as one year of Engineering experience.

(i) For teaching experience to be creditable, the Engineer applicant must have taught in an Engineering Curriculum accredited by ABET (formerly ECPD), and been employed in the grade of assistant professor or higher.

(j) Experience must not be anticipated, that is, the application must not be postdated. The experience must have actually been received at the time the application is submitted.

Effective date: September 10, 1982

(Auth: Section 34-11-4; Section 34-11-35, Code of Alabama, 1975)

**330-X-6-.02 Experience Plus Examination.** In evaluating experience offered as qualifying experience under Section 34-11-4 (1)(b), (2)(b) and (3)(b), Code of Alabama, 1975, the Board will take into consideration the following:

(a) Satisfactory completion of each year of a regular four year Engineering Curriculum accredited by ABET (formerly ECPD), shall be considered as equivalent to a year of engineering experience.

(b) Graduation in a curriculum other than engineering from a college or university of recognized standing, or graduation in an unapproved engineering curriculum, or graduation in an Engineering Technology Curriculum of four years or more, may be considered as equivalent to two years of engineering experience.

(c) Experience must be progressive and of increasing responsibility received while working under a registered Professional Engineer and/or Land Surveyor, as the case may be, or an explanation satisfactory to the Board must be given as to why the experience was not so received.

(d) Applicants under this Section without a degree must present evidence that they have become self-educated in the Engineering and/or Land Surveying field.

Effective date: September 10, 1982

(Auth: Section 34-11-4; Section 34-11-35, Code of Alabama, 1975)

**330-X-6-.03 Additional Experience Required.** If an applicant's experience is considered inadequate upon Board review, but the Board believes he may

meet the minimum, legal requirements within one year, such application may be held by the Board for up to one year without approval or denial. Such applicant will be advised of the basis for holding his application, of additional information to be submitted, and of the approximate date on which his application will be formally considered again. If more than one additional year of experience is considered necessary, the application will be denied, and for further consideration the applicant will be required to submit a new application after he has accrued the necessary experience.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-6-.04 Non-qualifying Experience.** The Board will not accept the mere execution as a contractor of work designed by a professional engineer, or the supervision of the construction of such work as a foreman or superintendent as qualifying engineering experience.

Effective date: September 10, 1982

(Auth: Section 34-11-14; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-7 REFERENCES

330-X-7-.01 Statement of Policy  
330-X-7-.02 References  
330-X-7-.03 Confidentiality of Reference Replies

#### 330-X-7-.01 Statement of Policy.

(1) The applicant should give serious attention to the selection of his references.

(2) The Engineers or Land Surveyors under whose direct supervision the applicant has worked should be given as references.

(3) Any Board Member may on his own initiative, or the Board may request a Board Member, a staff employee or others to make an independent investigation of the applicant's qualifications and report his findings.

(4) Additional references may be required by the Board.

(5) It is the responsibility of the applicant to assure the timely return of all reference letters, educational transcripts and verifications of registrations in other States. Board action will not

be taken until all necessary information has been received. This information must be on file in the Board Office ten (10) days prior to the date of the next scheduled Board Meeting.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

### 330-X-7-.02 References.

(1) The applicant shall furnish on his application for registration the names, addresses and States in which registered of at least five (5) references.

(2) If applying for Engineer Registration, at least three (3) of the five references must be currently registered Professional Engineers; however, it is desirable that all the references be registered Professional Engineers who are qualified to evaluate the applicant's engineering training and experience.

(3) If applying for Land Surveyor Registration, at least three (3) of the five (5) references must be currently registered Professional Engineers also registered as Land Surveyors or registered Land Surveyors, who are qualified to evaluate the applicant's land surveying training and experience.

(4) All references should know the applicant personally.

(5) Accurate statements of fact from responsible references covering the applicant's experience are necessary.

(6) References dated more than one year prior to Board review are not acceptable.

(7) The Board occasionally finds it necessary to correspond directly with a reference to seek clarification or amplification of the reference's original statements, which may have been unfavorable, questionable or simply inadequate to substantiate experience claimed by the applicant. If the reference fails or declines to furnish the necessary information within a reasonable time, all information submitted by that reference may be disregarded in consideration of the application involved.

Effective date: September 10, 1982

(Auth: Section 34-11-5; Section 34-11-35, Code of Alabama, 1975)

**330-X-7-.03 Confidentiality of Reference Replies.** Those replies received from references regarding the qualifications of an applicant shall be

included as records which do not constitute "public records" as provided for in Rule 330-X-1-.13, and such replies will be held confidential.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

### CHAPTER 330-X-8 EXAMINATIONS

330-X-8-.01	Classifications of Examinations
330-X-8-.02	Eligibility for Examination
330-X-8-.03	Examination Dates and Locations
330-X-8-.04	Examinations in the English Language
330-X-8-.05	Study Information
330-X-8-.06	Instructions for Examination
330-X-8-.07	Examination Offerings
330-X-8-.08	Examination Results
330-X-8-.09	Review of Failed Examination
330-X-8-.10	Examination for Record Purposes

**330-X-8-.01 Classifications of Examinations.** Written examinations as required by the Alabama Law will be classified as follows:

(a) Examination in the Fundamental Engineering Subjects -EIT Exam -Exam I, 1 day, 8 hour NCEE Exam

(b) Examination in the Principles and Practice of Engineering - PE Exam -Exam II, 1 day, 8 hour NCEE Exam

(c) Examination in the Fundamentals of Land Surveying - LSF Exam - Exam I, 1 day, 8 hour NCEE Exam

(d) Examination in the Principles and Practice of Land Surveying - LSP Exam - Exam II, 4 hour NCEE Exam - AM

(e) Examination in Alabama Land Surveying History and Law - LSALA -Exam III, 4 hour Alabama Exam - PM

Effective date: September 10, 1982

Auth: Section 34-11-6; Section 34-11-35, Code of Alabama, 1975)

### 330-X-8-.02 Eligibility for Examination.

(1) Engineer applicants will not be permitted to take Exam II until Exam I has been passed. Land Surveyor applicants will not be permitted to take Exam II and Exam III until Exam I has been passed.

(2) No candidate may take the eight (8) hour engineer examination in the Principles and Practice of Engineering nor the sixteen (16) hour examination in Land Surveying until the Board has established his eligibility for examination; except, however, a Land Surveyor applicant who is a graduate of a four (4) year ABET (formerly ECPD) approved surveying curriculum may take the Fundamentals of Land Surveying Examination prior to obtaining the requisite years of experience necessary for Land Surveyor Registration.

(3) Candidates for the 8 hour examination in the Fundamentals of Engineering (EIT) may be notified of the next scheduled examination without Board action provided the proper application has been filed and the correct fee paid. No EIT certificate will be issued nor action taken toward professional registration until the applicant has satisfied the legal requirements for certification or registration set out in Chapter 11, Title 34, Code of Alabama, 1975.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.03 Examination Dates and Locations.** Written examinations are held in places designated by the Board and will be offered twice each year, once in the 1st six months and once in the 2nd six months of each calendar year.

Effective date: September 10, 1982  
(Auth: Section 34-11-6; Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.04 Examinations in the English Language.** All examinations will be in the English language.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.05 Study Information.** Questions used on prior examinations will not be distributed. Order forms are available, upon request, for ordering typical questions from the National Council of Engineering Examiners (NCEE). Information on Land Surveying in Alabama is made available to applicants approved by the Board for the Land Surveying Examination in Alabama History and Law.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.06 Instructions for Examination.** Instructions provided prior to each examination will furnish information regarding whether the examination is OPEN or CLOSED Book. On an OPEN BOOK EXAMINATION, textbooks, bound

classroom manuals, slide rules and self powered, non-printing calculators or computers are permitted.

Effective date: September 10, 1982  
(Auth: Section 34-11-6; Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.07 Examination Offerings.** Applicants approved for examination, and otherwise deemed qualified, will be allowed to take four (4) consecutive offerings of that examination, without filing a new application unless required by Chapter 11, Title 34, Code of Alabama, 1975 as follows:

(a) Applicants will be notified at least thirty (30) days in advance and should appear for the first scheduled examination without payment of any additional fee unless required by Chapter 11, Title 34, Code of Alabama, 1975.

(b) Should the applicant fail to take this first examination offered or fail to pass this examination, he may be notified of the next three scheduled examinations provided above, however, it will be necessary that the applicant file a request for re-examination. The examination fee as set by the Board from time to time by resolution shall be paid with each request. Should the applicant fail to take the examination or fail to pass the examination he has applied for, the fee paid is not refundable.

(c) In the event an applicant fails to take or pass the required examination after the above four (4) offerings, his application will be closed and the applicant will be so notified.

(d) For reconsideration an applicant must file a new application and pay the application fee as required by Law. It will be incumbent upon the applicant to indicate on the new application the extent of additional education and qualifying experience since application closing which will permit him to qualify for four (4) consecutive examination offerings as provided above.

(e) In the event the re-qualified applicant again fails to pass the required examination after four (4) additional offerings, his application will be closed and the applicant will be so notified.

(f) The procedure as outline in (d) and (e) above would then be repeated before further consideration would be afforded the applicant.

Effective date: September 10, 1982  
(Auth: Section 34-11-5; Section 34-11-6; Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.08 Examination Results.** Examination results will be reviewed by the Board and no information will be given to any applicant who has taken the examination until after the scores have been approved by the Board. The passing score on each examination will be determined by the Board. Passing scores will not be reported; however, the candidate will be advised of his score if below the passing score.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.09 Review of Failed Examination.** An applicant who fails to make a passing score on a written examination may request a review of his examination paper within 30 days after notice of results of his examination has been mailed to him, at such time and place as may be designated by the Executive Secretary. After review of his examination paper, an applicant wishing to have his examination regraded will be required to follow procedure prescribed by NCEE and will be required to pay a fee for this service.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-8-.10 Examination for Record Purposes.**

(1) Any Engineer registered by this Board may take for record purposes the Fundamentals Examination and the Principles and Practice Examination prepared by the National Council of Engineering Examiners upon payment of a fee as established by the Board.

(2) Any Land Surveyor registered by this Board may take for record purposes the Fundamentals of Land Surveying and the Principles and Practice of Land Surveying Examination prepared by the National Council of Engineering Examiners upon payment of a fee as established by the Board.

(3) Failure to pass either or both parts of the examination will in no way affect current registration.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-9  
CLASSIFICATIONS AND BRANCHES  
OF ENGINEERING**

330-X-9-.01 Classification of Registration  
330-X-9-.02 Branches of Engineering

**330-X-9-.01 Classification of Registration.** Applicants shall be registered or certified under one or more of the following titles:

- (a) Professional Engineer
  - (b) Land Surveyor, or
  - (c) Engineer-in-Training
- Effective date: September 10, 1982  
(Auth: Section 34-11-1; Section 34-11-35, Code of Alabama, 1975)

**330-X-9-.02 Branches of Engineering.** Chapter 11, Title 34, Code of Alabama, 1975 makes no specific designations as to the branches of Engineering practice for which Certificates of Registration as Professional Engineer shall be issued; however, the Rules of Professional Conduct, Rule 330-X-14-.03, provides that a Professional Engineer shall act only in fields in which he is qualified by education or experience. For consideration under Section 34-11-4(1), the Board will recognize degrees received in Engineering courses accredited by the Accreditation Board for Engineering and Technology (formerly Engineers' Council for Professional Development) and will issue Certificates of Registration as a Professional Engineer to applicants who demonstrate their qualifications under the provisions of the Law and in conformity with the Rules and Regulations of the Board.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-10  
REGISTRATIONS**

330-X-10-.01 Registration Number  
330-X-10-.02 Certificates of Registration  
330-X-10-.03 Reissuance of Certificates

**330-X-10-.01 Registration Number.** At the time an applicant is granted registration by the Board, he will be assigned a serial number. These numbers will be issued consecutively in the order in which the applications are approved by the Board. The applicant will be advised of this serial number in the notice sent to him by the Executive Secretary.

Effective date: September 10, 1982  
(Auth: Section 34-11-7; Section 34-11-35, Code of Alabama, 1975)

**330-X-10-.02 Certificates of Registration.**

(1) As soon as possible after the Board has received from an applicant, who has been notified of

the approval of his application and of his serial number, payment of his registration fee, a Certificate of Registration will be issued, signed by the Chairman and the Secretary, bearing the seal of the Board, and also bearing on its face the serial number of the registrant.

(2) The application of any applicant who fails to complete his registration as provided for hereinabove within a period of thirty days after notice is mailed to him by the Board that he has been granted registration shall be denied registration upon action by the Board.

Effective date: September 10, 1982

(Auth: Section 34-11-5; Section 34-11-7; Section 34-11-35, Code of Alabama, 1975)

**330-X-10-.03 Reissuance of Certificates.** A registrant requesting a new Certificate of Registration to replace a certificate under the provisions of Section 34-11-12, Code of Alabama, 1975 shall surrender to the Board, if possible, the original certificate held by him and shall file with his request a sworn affidavit setting out the reasons for his request so that the Board records will reflect the reason for its issuance of a new certificate. Upon payment of fee as provided by Section 34-11-12, Code of Alabama, 1975 and completed form, a new certificate will be prepared.

Effective date: September 10, 1982

(Auth: Section 34-11-11; Section 34-11-12; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-11 SEALS

330-X-11-.01 Seal of the Board  
330-X-11-.02 Seal of the Registrant  
330-X-11-.03 Seal on Documents

**330-X-11-.01 Seal of the Board.** The seal of the Board shall be circular in form and 1 7/8 inches in diameter and shall be imprinted on all certificates issued by the Board.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-11-.02 Seal of the Registrant.**

(1) Upon approval of his application by the Board, the registrant will be advised that he may secure an official seal which shall be applied to engineering drawings, specifications, reports and other engineering or land surveying documents prepared by him or under his responsible supervising control.

(2) The seals to be used by the registrants are to be circular in form and from 1 5/8 to 2 inches in diameter with copy of the design to be furnished each registrant upon registration.

(3) Seals obtained prior to the adoption of this rule and which are in conformance with prior Board rules are acceptable.

(4) Rubber stamps, identical in size, design and content with the approved seals may be used by the registrant at his option.

Effective date: September 10, 1982

(Auth: Section 34-11-9; Section 34-11-35, Code of Alabama, 1975)

**330-X-11-.03 Seal on Documents.**

(1) The seal and/or signature and registration number of a registrant on a document constitute a certification that the document was prepared by the registrant or under his direct supervision or that he has reviewed the document in sufficient depth to fully coordinate and assume responsibility for plans prepared by another registered Professional Engineer or Land Surveyor.

(2) Each sheet of plans, drawings, documents, specifications and reports for engineering practice and of maps, plats, charts and reports for land surveying practice, shall be signed and/or sealed and dated by the registrant or permit holder preparing them, or in direction and control of their preparation.

(3) Where more than one sheet is bound together in one volume, the registrant or permit holder who prepared said volume, or under whose direction and control said volume was prepared, may sign and/or seal and date only the title or index sheet, providing that the signed sheet clearly identifies all of the other sheets comprising the bound volume, and provided that any of the other sheets which were prepared by, or under the direction and control of, another registrant or permit holder, be signed, and/or sealed and dated by said other registrant or permit holder.

(4) Additions, deletions or other revisions affecting public health and safety or State and local codes shall not be made unless signed and/or sealed and dated by the registrant or permit holder who made the revisions or under whose direction and control said revisions were made.

Effective date: September 10, 1982

(Auth: Section 34-11-9; Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-12  
INTERIM PERMITS**

- 330-X-12-.01 Requirements
- 330-X-12-.02 Issuance
- 330-X-12-.03 Land Surveyors not Eligible

**330-X-12-.01 Requirements.**

(1) This Board may grant an interim permit to practice as a Professional Engineer to persons who apply for such permit and who are legally qualified to so practice in another State, and who have never had a registration revoked or invalidated. The application procedure for an interim permit is identical to that prescribed for continuing registration as a Professional Engineer in this State. A person desiring an interim permit will file the prescribed application for registration and request in writing that he be issued an interim permit. This request will state the reason for requesting such permit and the specific work to which it applies.

(2) If the Executive Secretary of the Board finds the application and request to be in order, the request for interim permit will be referred to a Member of the Board by mail and upon his approval, the interim permit and number will be issued through the Office of the Board.

Effective date: September 10, 1982

(Auth: Section 34-11-4; Section 34-11-35, Code of Alabama, 1975)

**330-X-12-.02 Issuance.**

(1) An interim permit will be effective until the next regular meeting of the Board after the interim permit has been granted at which time the applicant will be considered for registration. If, in the opinion of the Board, the qualifications of the applicant are in doubt, the interim permit is immediately terminated.

(2) While practicing under an interim permit in this State, the holder thereof will affix to all plans and documents for use and execution in this State, the seal or stamp required in the State in which he took the 16 hour written examination with the added notation: "Practicing in the State of Alabama under Interim Permit No. ."

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-12-.03 Land Surveyors not eligible.** This Board is not empowered to grant a permit for the interim practice of land surveying in Alabama. No person may legally practice land surveying in this State without first being fully registered as a Registered Land Surveyor by this Board.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-13  
EXPIRATIONS AND RENEWALS**

- 330-X-13-.01 Renewals
- 330-X-13-.02 Expirations

Stipulations with reference to expirations and renewal of Certificates of Registration and Certificates of enrollment for Engineers-in-Training are set out in Section 34-11-8, Code of Alabama, 1975.

**330-X-13-.01 Renewals.**

(1) Registrants and certified Engineers-in-Training will be mailed annually, during the month of October, a renewal notice which they will be required to sign and return to the Board office with their renewal fee. The registration renewal notice will contain the five Canons of the Rules of Professional Conduct (Code of Ethics), Rule 330-X-14, and the registrant is required to read and re-affirm his agreement to abide by the Rules of Professional Conduct.

(2) The Annual Renewal Fee is set each year and it may vary from year to year. Therefore, no advance renewal fees will be accepted.

Effective date: September 10, 1982

(Auth: Section 34-11-8; Section 34-11-35, Code of Alabama, 1975)

**330-X-13-.02 Expirations.**

(1) The right to practice as an Engineer and/or Land Surveyor expires December 31 unless renewed. The right to renew expires June 30. To be re-registered, a registrant who does not renew before June 30, will be required to file a new application and meet the statutory requirements in existence at time of re-registration.

(2) An Engineer-in-Training who does not renew his certification within the period provided by Law will not invalidate his status as an Engineer-in-Training, but his name shall, after ninety (90) days, be removed from the Board's current mailing list

and omitted from the Roster. The fee to bring an enrollment current after a renewal expiration shall be twice that established for annual renewal. An Engineer-in-Training certificate will be valid for a period of ten years.

Effective date: September 10, 1982

(Auth: Section 34-11-8; Section 34-11-35, Code of Alabama, 1975)

**CHAPTER 330-X-14  
PROFESSIONAL CONDUCT (CODE OF ETHICS)**

- 330-X-14-.01 Preamble
- 330-X-14-.02 Conflict of Interest (Canon I)
- 330-X-14-.03 Qualified by Education and Experience (Canon II)
- 330-X-14-.04 Confidences of Clients and Employers (Canon III)
- 330-X-14-.05 Practice (Canon IV)
- 330-X-14-.06 Ethics (Canon V)
- 330-X-14-.07 Convictions

**330-X-14-.01 Preamble.**

(1) In order to safeguard the life, health, property and welfare of the public and to establish and maintain a high standard of integrity, skills and practice in the Professions of Engineering and Land Surveying, the following Rules of Professional Conduct (Code of Ethics) are promulgated in accordance with Section 34-11-35, Code of Alabama, 1975 and shall be binding upon every person holding a certificate of Registration as a Professional Engineer or Land Surveyor.

(2) All persons registered under the provisions of Chapter 11, Title 34, Code of Alabama 1975 and prior Code, are charged with having knowledge of the existence of the Rules of Professional Conduct (Code of Ethics), and shall be deemed to be familiar with their several provisions and to understand them. Such knowledge shall encompass the understanding that the practice of engineering or land surveying is a privilege, as opposed to a right, and the registrant shall be forthright and candid in his statements or written response to the Board or its representatives on matters pertaining to professional conduct.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-14-.02 Conflict of Interest. (Canon I)** The Engineer and/or Land Surveyor shall exercise independent professional judgments, decisions and

practices on behalf of clients and employers as follows:

(a) The Engineer and/or Land Surveyor shall avoid all conflicts of interest with his client or employer, but when a conflict of interest is unavoidable, the Engineer and/or Land Surveyor shall promptly inform his employer or client of any business association, interest, or circumstances which might tend to influence his professional judgments, decisions or practices or the quality of his services.

(b) The Engineer and/or Land Surveyor shall not solicit or accept directly or indirectly, any financial or other valuable considerations, material favors or benefits of any substantial nature, including but not limited to any act, article, money or other material possessions which is of such value or proportion that its acceptance creates a clandestine obligation on the part of the receiver or otherwise compromises his ability to exercise his own judgment, without regard to such benefit, from any supplier of materials or equipment for any project on which he is performing or has contracted to perform Engineering and/or Land Surveying services.

(c) The Engineer and/or Land Surveyor shall not solicit or accept any gratuity, material favor or benefits of any substantial nature, including but not limited to any act, article, money or other material possessions which is of such value or proportion that its acceptance creates a clandestine obligation on the part of the receiver or otherwise compromises his ability to exercise his own judgment, without regard to such benefit, directly or indirectly, from contractors, their agents, servants or employees or from any other party dealing with his client or employer in connection with any project on which he is performing or has contracted to perform Engineering and/or Land Surveying services.

(d) The Engineer and/or Land Surveyor shall not solicit or accept, directly or indirectly, any Engineering and/or Land Surveying contract, selection, or employment from a governmental body in which a principal or officer of his organization serves as a member or employee.

(e) When in public service as a member or employee of a governmental body, the Engineer and/or Land Surveyor shall not participate, directly or indirectly, in considerations or actions with respect to retaining services offered or provided by him, his associates or his organization to such governmental body.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-14-.03 Qualified by Education and Experience. (Canon II)** The Engineer and/or Land Surveyor shall act competently and use proper care in performing engineering and/or land surveying services for clients or employers and shall act only in fields in which he is qualified by education and experience as follows:

(a) The Engineer and/or Land Surveyor shall not accept any Engineering and/or Land Surveying employment, or undertake any Engineering and/or Land Surveying assignment, for which he is not qualified by education or experience to perform or to carry out adequately and competently; providing and excepting, however, that an Engineer and/or Land Surveyor may accept an assignment requiring education and experience outside his field of competence to the extent, only, that his personal Engineering and/or Land Surveying services are restricted solely to those phases of the service or project in which he is qualified and competent, and that all other phases of such service or project shall be performed by legally qualified consultants, associates or employees.

(b) The Engineer and/or Land Surveyor shall not affix his signature or seal to any Engineering and/or Land Surveying plan or document dealing with subject matter on which he is not qualified by education or experience to form a dependable judgment.

(c) The Engineer and/or Land Surveyor shall be completely objective and truthful in all professional reports, statements or testimony. He shall include all relevant and pertinent information in such reports, statements or testimony.

(d) The Engineer and/or Land Surveyor, when serving as an expert or technical witness before any court, commission or other tribunal, shall express an opinion only when it is founded upon adequate knowledge of the facts in issue, upon a background of technical competence in the subject matter, and upon honest conviction of the accuracy and propriety of his testimony.

(e) The Engineer and/or Land Surveyor shall issue no statements, or criticisms or arguments on matters connected with public policy which are inspired or paid for by an interested party, or parties, unless he has prefaced his comments by explicitly identifying himself, by disclosing the

identities of the party, or parties, on whose behalf he is speaking, and by revealing the existence of any pecuniary interest he may have in the instant matter.

(f) The Engineer and/or Land Surveyor shall not engage in any professional matter for which a specific license is required without first being licensed in that profession.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-14-.04 Confidences of Clients and Employers. (Canon III)** The Engineer and/or Land Surveyor shall safeguard and preserve the confidences and private information of clients and employers as follows:

(a) Except as permitted by 330-X-14-.04(b), the Engineer and/or Land Surveyor shall not knowingly:

1. Reveal a confidence or private information regarding or in the possession of his client or employer;

2. Use a confidence or private information regarding or in the possession of his client or employer to the disadvantage of such client or employer;

3. Use a confidence or private information regarding or in the possession of his client or employer for the advantage of a third person, unless the client or employer consents after full disclosure;

4. Nothing in this Article shall relieve an Engineer and/or Land Surveyor from complying with Rule 330-X-14-.03(e).

(b) The Engineer and/or Land Surveyor may reveal confidences or private information under the following circumstances:

1. When he has obtained the consent of the client or clients, employer or employers, affected, but only after full disclosure to them;

2. When required by law or court order;

3. When necessary to establish legal proof of his relationship with a client or employer in a court action to recover salaries, fees or other compensation due him as a result of his employment or association with such client or employer;

4. When necessary to defend himself or his employees or associates in a legal action alleging wrongful conduct.

(c) The Engineer and/or Land Surveyor shall exercise reasonable care to prevent unauthorized disclosure or use by his employees and associates of private information or confidences regarding or in the possession of a client or employer.



Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-14-.05 Practice. (Canon IV)** The Engineer and/or Land Surveyor shall endeavor to build his practice and professional reputation on the merit of his services as follows:

(a) The Engineer and/or Land Surveyor shall not offer, or promise to pay or deliver, directly or indirectly, any commission, political contribution, gift, favor, gratuity, benefit or reward as an inducement to secure any specific Professional Engineering and/or Land Surveying work or assignment; providing and excepting, however, that an Engineer and/or Land Surveyor may pay a duly licensed employment agency its fee or commission for securing Engineering and/or Land Surveying employment in a salaried position.

(b) The Engineer and/or Land Surveyor shall not solicit professional employment by self-laudatory advertising, or in any manner contrary to high professional standards.

(c) The Engineer and/or Land Surveyor shall not make, publish or cause to be made or published, any representation or statement concerning his professional qualifications or those of his partners, associates, firm or organization which is in any way misleading, or tends to mislead the recipient thereof, or the public, concerning his Engineering and/or Land Surveying education, experience, specializations or other Engineering and/or Land Surveying qualifications.

(d) The Engineer and/or Land Surveyor shall not attempt to compete with another Engineer and/or Land Surveyor for employment by reducing his usual charges or by the use of unethical practices.

(e) The Engineer and/or Land Surveyor shall not supplant, nor attempt to supplant, directly or indirectly, another Engineer and/or Land Surveyor in a particular engagement, after definite steps have been taken toward such other Engineer's and/or Land Surveyor's employment.

Effective date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alaama, 1975)

**330-X-14-.06 Ethics. (Canon V)** The Engineer and/or Land Surveyor shall contribute to the maintenance, integrity, independence and competency of the engineering and/or land surveying profession as follows:

- (a) The Engineer and/or Land Surveyor shall not:
1. Violate any provision of the Alabama Law regulating practice of Engineering and Land Surveying;
  2. Participate, directly or indirectly, in any plan, scheme or arrangement attempting or having as its purpose the evasion of any provision of the Alabama Law regulating practice of Engineering and Land Surveying;
  3. Fail to exercise reasonable care or diligence to prevent his partners, associates, and employees from engaging in conduct which if done by him, would violate any provision of the Alabama law regulating practice of Engineering and Land Surveying;
  4. Engage in any illegal conduct involving moral turpitude;
  5. Engage in any conduct that discredits or tends to discredit the profession of Engineering and/or Land Surveying;
  6. Permit or allow himself, his professional identification, seal, firm, or business name, or his services to be used or made use of, directly or indirectly, or in any manner whatsoever, so as to make possible or create the opportunity for the unauthorized practice of Engineering and/or Land Surveying by any person, firm or corporation in this State;
  7. Perform any acts, allow omissions or make any assertions or representations which are fraudulent, deceitful, or misleading, or which in any manner whatsoever tend to create a misleading impression;
  8. Knowingly associate with or permit or allow the use of his name, firm name or professional identification or seal in any business venture, project or enterprise which he knows or has reason to believe is engaged in professional practices which violate any provision of the Alabama law regulating practice of Engineering and Land Surveying;
  9. Knowingly associate with or permit the use of his name, professional identification, seal, firm or business name in connection with any venture or enterprise which he knows, or has reason to believe, is engaging in trade, business or professional practice of a fraudulent, deceitful or dishonest nature;
  10. Injure or attempt to injure or damage the professional reputation of another by any means whatsoever; provided and except, however, that this shall not relieve an Engineer and/or Land Surveyor of the obligation to expose unethical or illegal conduct to the proper authorities or preclude a frank but private appraisal of Engineers and/or Land Surveyors or other persons or firms considered for employment;

11. Aid or abet, directly or indirectly, any unregistered person in connection with the unauthorized practice of Engineering and/or Land Surveying; or any firm or corporation in the practice of Engineering and/or Land Surveying unless carried on in accordance with the provisions of section 34-11-9 of the Alabama law regulating practice of Engineering and Land Surveying;

12. Review the work of another Engineer and/or Land Surveyor, except with the knowledge or consent of such Engineer and/or Land Surveyor, unless the connection of such Engineer and/or Land Surveyor with the work has been terminated.

(b) The Engineer and/or Land Surveyor shall be personally and professionally responsible and accountable for the care, custody, control and use of his Engineer's and/or Land Surveyor's seal, his professional signature and identification. The Engineer and/or Land Surveyor whose seal has been lost, misplaced or stolen shall, upon discovery of its loss, report same immediately to the Board, which may invalidate the stolen registration number of said seal, if it deems this necessary, and issue another registration number to said Engineer and/or Land Surveyor.

(c) When in public service as a member or employee of any governmental body, agency or department, the Engineer and/or Land Surveyor shall not participate, directly or indirectly, use or make use of any property, facility or service of such governmental body, agency or department for the benefit of any private business or activity in which such Engineer and/or Land Surveyor also may be engaged, unless prior, proper authority is obtained in writing.

(d) When in private practice or employment the Engineer and/or Land Surveyor shall not, directly or indirectly, use or make use of any property/facility or service of his client or employer for the benefit of said Engineer and/or Land Surveyor, unless prior, proper authority is obtained in writing.

(e) The Engineer and/or Land Surveyor shall not practice or offer to practice Engineering and/or Land Surveying in any governmental jurisdiction in which to do so would be in violation of the laws regulating the practice of Professional Engineering and/or Land Surveying in that jurisdiction.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

**330-X-14-.07 Convictions.** The revocation, suspension, or denial of a license to practice Engineering and/or Land Surveying in another jurisdiction, for reasons or causes which the Board finds would constitute a violation of the Alabama law regulating practice of Engineering and Land Surveying or any rule, regulation or code promulgated by the Board, shall be sufficient cause for the denial, suspension or revocation of a license to practice Engineering and/or Land Surveying in the State of Alabama.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

#### SEVERABILITY

If any of the above provisions of the Rules of Professional Conduct (Code of Ethics) or any part thereof, or any sentence, paragraph, clause, phrase or word thereof is construed by the courts to be invalid for any reason, it is the intention of the Board that the remainder shall continue in full force and effect; that is, it is the intention of the Board that each of the above provisions and/or any portions thereof, are severable.

#### CHAPTER 330-X-15 COMPLIANCE AND ENFORCEMENT

330-X-15-.01 Compliance  
330-X-15-.02 Enforcement

330-X-15-.01 Compliance.

(1) Section 34-11-9, Code of Alabama, 1975 provides that a firm, company, partnership or corporation may engage or offer to engage in the practice of professional engineering or land surveying; provided, that before engaging in such practice the person or persons connected with such firms, companies, partnerships or corporations, acting in a professional capacity and in responsible charge of the practice of professional engineering or land surveying for such organization, is or are registered as Professional Engineers or Land Surveyors in this State.

(2) The words "connected with" and "professional capacity" imply a formal relationship between the firm, company, partnership or corporation and the engineer or land surveyor. Any and all agreements to employ, contract with, or to associate an engineer or land surveyor shall be in writing and shall fully set forth all the details relative to the agreement.

(3) The words "acting in a professional capacity" and in "responsible charge" require that the engineer or land surveyor be in direct control and that he personally supervise all engineering or land surveying done for the firm, company, partnership or corporation under the terms of his employment, contract or association. It is a further requirement that the engineer or land surveyor have authority from the firm, company, partnership or corporation which shall result in the firm, company, partnership or corporation being legally liable for acts and judgments of the engineer or land surveyor for projects undertaken pursuant to such employment, contract, or association and that this be acknowledged in the document setting out the formal connection between the firm, company, partnership or corporation and the engineer or land surveyor.

Effective date: September 10, 1982

(Auth: Section 34-11-9; Section 34-11-35, Code of Alabama, 1975)

**330-X-15-.02 Enforcement.** The Board may initiate action in cases where a person's actions are in violation of the law beyond reasonable doubt. (Examples include: advertising for professional services, including listing in the "Yellow Pages" of the telephone directory under the professional section therein, advertising in any form through the local advertising medium, use of letterheads stating or implying that the applicant is capable and/or is furnishing professional services, etc.). Upon receipt of evidence from any person that a non-registrant is representing or attempting to use as his own, the certificate or registration seal of another, or any person who is practicing without registration, the Board may assemble the facts, obtain legal guidance and follow the case to completion based on the legal guidance given step-by-step as additional information is provided.

Effective date: September 10, 1982

(Auth: Section 34-11-15; Section 34-11-35, Code of Alabama, 1975)

#### CHAPTER 330-X-16 DISCIPLINARY ACTION

330-X-16-.01	Complaints
330-X-16-.02	Probable Cause
330-X-16-.03	Summons and Complaint
330-X-16-.04	Pre-Hearing Discovery
330-X-16-.05	Disciplinary Hearings
330-X-16-.06	Discipline

330-X-16-.07	Costs
330-X-16-.08	Reinstatement of Registration or Certification After Revocation
330-X-16-.09	Conflict and Bias

#### 330-X-16-.01 Complaints.

(1) Proceedings to revoke or suspend a certificate of registration or to reprimand a registrant may be initiated by any person or by the Board upon the filing with the Board Secretary of an original and 2 copies of a complaint which shall contain:

(a) Name and address of the complaining party as well as the name and address of any person complained against.

(b) A plain and concise statement of the facts which together indicate that the person complained against has violated provisions of Chapter 11, Title 34, Code of Alabama, 1975 or Rules promulgated by the Board or Rules of Professional Conduct (Code of Ethics).

(c) The relief sought.

(d) The signature of the complainant and a verification in the form prescribed in Section 34-11-11, Code of Alabama, 1975.

Effective date: September 10, 1982

(Auth: Section 34-11-11; Section 34-11-35, Code of Alabama, 1975)

#### 330-X-16-.02 Probable Cause.

(1) Before October 1, 1983. Upon receipt of such charges, the Board's Investigative Committee (which shall be comprised of one Board Member, the Executive Secretary and the Board's Investigator) shall consult with the Board's legal advisor to determine what action shall be taken.

(2) Beginning October 1, 1983. Upon the lodging of a complaint the Executive Secretary shall refer the complaint to one member of the Board who shall be selected on a rotating basis; provided, however, that if the complaint is first made to a Board member, then it shall be referred to that Board Member. The Board member to whom a complaint is referred shall, in consultation with the Executive Secretary and the Board's attorney determine whether probable cause exists for the issuing of a Summons and Complaint by the Board. If a Summons and Complaint is issued, the Board member who made the probable cause determination

shall not vote at the disciplinary hearing held pursuant to the Summons and Complaint.

Effective date: Section (1) September 10, 1982

Section (2) October 1, 1983

(Auth: Section 34-11-11; Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.03 Summons and Complaint.

(1) Preparation. In the event the Board determines that probable cause exists for the filing of a Summons and Complaint, the Board shall instruct its counsel to prepare such.

(2) The Summons and Complaint shall be mailed registered mail return receipt requested to the most recent address of the Respondent on file with the Board and shall be mailed at least 30 days prior to the scheduled date of the hearing. A copy shall also be sent first class mail.

(3) Contents. The Summons and Complaint shall give notice in substantial compliance with the Alabama Administrative Procedures Act, Section 41-22-12 (b) and Section 34-11-11, Code of Alabama, 1975.

Effective date: October 1, 1983

(Auth: Section 41-22-12(b); Section 34-11-11; Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.04 Pre-Hearing Discovery.

(1) Permitted. Pre-hearing discovery shall be permitted in accordance with this rule to the extent necessary to prevent fraud, conserve the Board's time, prevent undue surprise at hearing and facilitate the carriage of justice.

(2) Extent Allowed. The attorney for the Board or the Respondent may upon application to the Board Member, who determined probable cause, obtain discovery regarding any matter not privileged which is relevant to the subject matter involved in the pending action, whether it relates to the charge of the Board or the defense of the Respondent.

(3) Methods of Discovery.

(a) Upon written application to the Board Member, who determined probable cause, the following discovery shall be allowed or ordered:

1. Deposition upon oral examination of any expert witness.
2. Interrogatories to Respondent.
3. Order for production and copying of documents and things and entry upon land for inspection and other purposes, against any person.

(b) The discovery must be had in accordance with any terms and conditions imposed by the Board Member. The Board Member may impose any such terms and conditions as are just upon discovery in order to protect a person from annoyance, embarrassment, oppression or undue burden or expense.

Effective date: September 10, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.05 Disciplinary Hearings.

(1) Conduct of Hearing.

(a) Hearing Examiner. The Board may, in its discretion, appoint some person to act as hearing examiner at disciplinary hearings. In the event a hearing examiner is appointed, he/she shall preside at the hearing and shall rule on all questions of evidence and procedure, notwithstanding any other provisions of these rules to the contrary.

(b) Plea. The Respondent shall plead either "guilty" or "not guilty" to the charges set forth in the complaint.

(c) Opening Statement. Each side shall be permitted to make a short opening statement.

(d) The State shall present its evidence, followed by the Respondent, followed by rebuttal by the State. Each witness called may be examined in the following manner:

1. Direct examination.
2. Cross examination.
3. Examination by Board.
4. Re-direct examination.
5. Re-cross examination.
6. Re-examination by Board.

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

(f) The Board may request one or both sides to prepare within 7 days for the Board's consideration a proposed order of the Board including findings of fact, official notice and conclusions of law. Underlying facts of record which support the findings should be cited.

(g) Order. The Board shall issue an order within 30 days of the date of the final hearing, which shall include findings of fact, official notice taken, and conclusions of law, stated separately. Respondent shall be delivered a copy of the order by certified mail return receipt requested, and a copy shall be mailed first class to each attorney of record.

(2) Evidence. Evidence shall be admitted in accordance with the Alabama Administrative

Procedures Act, Section 41-22-13, Code of Alabama, 1975.

(3) Emergencies. The Board may in an emergency situation, when danger to the public health, safety and welfare requires suspending a license without hearing or with an abbreviated hearing in accordance with the Alabama Administrative Procedures Act, Section 41-22-19 (d).

(4) Other. The hearing shall otherwise be conducted in compliance with the provisions of the Alabama Administrative Procedures Act, Chapter 22, Title 41, Code of Alabama, 1975.

Effective date: Section 1(a) through 1(f):  
September 10, 1982  
Sections 1(g), (2), (3) and (4): October 1, 1983  
(Auth: Section 41-22-13, Section 41-22-16(c);  
Section 41-22-19 (d); Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.06 Discipline.

(1) Revocation or suspension of Registration or Certification. Upon a finding that Respondent has violated any enumerated provision of Section 34-11-11 or any rule adopted pursuant to Section 34-11-35, the Board shall revoke or suspend Respondent's registration to practice as a Professional Engineer and/or Professional Land Surveyor or certification as Engineer-in-Training in Alabama.

(2) Stay of Execution of Order. The Board may, in its discretion, permanently or temporarily stay the execution of its order to revoke or suspend Respondent's registration or certification. The stay may be conditioned on any provision the Board deems appropriate under all the circumstances of a particular case.

(3) Consideration. In determining whether a registration or certification should be revoked or suspended, and whether execution of the order should be stayed, and upon what conditions, the Board shall consider all relevant factors, including, but not limited to the following:

- (a) the severity of the offense;
- (b) the danger to the public;
- (c) the number of repetitions of offenses;
- (d) the length of time since the date of violation;
- (e) the number of complaints filed against the registrant;
- (f) the length of time the registrant has practiced;

(g) the actual damage to the complainant and/or the public;

- (h) the deterrent effect of the penalty imposed;
- (i) the effect of the penalty upon the registrant's livelihood;
- (j) any efforts of rehabilitation; and
- (k) any other mitigating or aggravating circumstances.

Effective date: September 10, 1982  
(Auth: Section 34-11-11; Section 34-11-35, Code of Alabama, 1975)

**330-X-16-.07 Costs.** The Board may, in its discretion, tax all actual costs incurred in a disciplinary hearing against the person whose registration or certification was revoked, refused or suspended.

Effective Date: September 10, 1982  
(Auth: Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.08 Reinstatement of Registration or Certification after Revocation.

(1) Application for Re-instatement. Any person whose registration or certification has been revoked may apply to the Board for reinstatement of the registration or certification at any time within two years of the revocation, except a person convicted of a crime of moral turpitude in which case five years shall have elapsed since said conviction. In his/her application for reinstatement, the applicant should state why he/she feels the registration or certification should be reinstated and should specifically set forth any changed circumstances which would justify reinstatement. Applicant must include in his/her application evidence that he/she meets the current requirements for registration or certification.

(2) Board Action. Upon receipt of such application the Board shall grant applicant a hearing on reinstatement, at which time applicant may appeal to the Board to reinstate his/her registration or certification.

Effective date: September 10, 1982  
(Auth: Section 34-11-12; Section 34-11-35, Code of Alabama, 1975)

### 330-X-16-.09 Conflict and Bias.

(1) No Board member shall be entitled to vote in any disciplinary matter if the Board member is personally biased against the Respondent or when such voting would violate the provisions of the Alabama Administrative Procedures Act, Section 41-22-18 (a), Code of Alabama, 1975.



(2) Any person who wishes to receive notice by mail of all proposed actions on rules may do so by requesting such notice from the Executive Secretary and pay an annual charge of \$50 to cover costs of the mailings. All annual subscriptions begin October 1 and expire September 30.

Effective date: October 1, 1982

(Auth: Section 41-22-5, Section 34-11-35, Code of Alabama, 1975)

**330-X-18-.03 Public Hearings.** The Board shall permit all interested persons reasonable opportunity to submit data, views or arguments concerning any proposed rule action. Data, views or arguments submitted in writing must be received by the Executive Secretary at least seven days before the date specified in the notice as the day of the public hearing. Those persons wishing to appear before the Board to present data, views or arguments orally must submit a request to appear before the Board to the Executive Secretary, and such request must be received by the Executive Secretary at least seven days before the scheduled public hearing.

Effective date: October 1, 1982

(Auth: Section 41-22-5; Section 34-11-35, Code of Alabama, 1975)

**330-X-18-.04 Board Decision.**

(1) The Board shall fully consider all written and oral submissions concerning every proposed rule action. Upon adoption of a rule, the Board, if conflicting views are submitted on the proposed rule, shall issue a concise statement of the principal reasons for and against its adoption, incorporating therein its reasons for overruling any considerations urged against its adoption.

Effective date: October 1, 1982

(Auth: Section 41-22-5; Section 34-11-35, Code of Alabama, 1975)

**330-X-18-.05 Emergency Rules.** In the event the Board finds that an immediate danger to the public health, safety or welfare requires adoption of a rule upon fewer than 35 days' notice or that action is required by or to comply with a federal statute or regulation which requires adoption of a rule upon fewer than 35 days' notice, the Board may adopt an emergency rule under the provisions of the Administrative Procedures Act, Section 41-22-5(b), Code of Alabama, 1975.

Effective date: October 1, 1982

(Auth: Section 41-22-5; Section 34-11-35, Code of Alabama, 1975)

**330-X-18-.06 Compliance with Administrative Procedures Act.** All rules adopted by the Board shall otherwise substantively and procedurally comply substantially with the provisions of the Alabama Administrative Procedures Act, Chapter 22, Title 41, Code of Alabama, 1975.

Effective date: October 1, 1982

(Auth: Section 34-11-35, Code of Alabama, 1975)